

INTERNAL AUDIT PLAN PROGRESS AS AT 31 DECEMBER 2014

| SERVICE GROUPING | SERVICE | AUDIT ACTIVITY | AUDIT TYPE | STATUS | OPINION |
|---|--|--|------------------------|--------------------|--|
| 2013 / 2014 Internal Audit Plan - Audits Brought Forward | | | | | |
| Assistant Chief Executive (ACE) | Policy and Communications | Intranet | Assurance | Final Report | Moderate |
| Assistant Chief Executive (ACE) | Planning and Performance | Data Protection - Procurement | Assurance | Final Report | Moderate |
| Assistant Chief Executive (ACE) | Planning and Performance | Data Quality | Assurance | Final Report | Limited |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Environment Partnership | Assurance | Final Report | Moderate |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Community Buildings | Advice & Consultancy | Final Report | N/A |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | AAPs - Performance Management Framework | Advice & Consultancy | Final Report | N/A |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Participatory Budgets | Advice & Consultancy | Final Report | N/A |
| Children and Adult Services (CAS) | Children's Services | Secure Services - Contract with Youth Justice Board | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Direct Services | Schools Grounds Maintenance Arrangements | Advice and Consultancy | Final Report | N/A |
| Neighbourhood Services (NS) | Environmental Health and Consumer Protection | Private Sector Housing - Housing Complaints | Assurance | Final Report | Substantial |
| Regeneration and Economic Development (RED) | Transport and Contract Services | Supported Housing - CCTV | Assurance | Final Report | Moderate |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Empty Homes Loan Fund | Assurance | Final Report | Moderate |
| Resources | Human Resources and Organisational Development | Payroll | Assurance | Final Report | Moderate |
| Resources | Human Resources and Organisational Development | Performance Appraisals | Assurance | Final Report | Moderate |
| Resources | Human Resources and Organisational Development | Comensura (Agency Workers) | Assurance | Final Report | Moderate |
| Resources | Corporate Finance | Capital Accounting | Assurance | Final Report | Substantial |
| Resources | Corporate Finance | Journal Transfers | Assurance | Final Report | Moderate |
| Resources | Corporate Finance | General Ledger | Assurance | Final Report | Moderate |
| Resources | Corporate Finance | Procurement - Award of Contracts | Assurance | Final Report | Substantial |
| Resources | Financial Services | Creditor Payments | Assurance | Final Report | Moderate |
| Resources | Financial Services | Sundry Debtors | Assurance | Final Report | Limited |
| Resources | Financial Services | Cash Collection | Assurance | Final Report | Moderate |
| Resources | Financial Services | Calculation of School Budgets | Assurance | Final Report | Substantial |
| Resources | ICT | Networks | Assurance | Final Report | Moderate |
| Resources | ICT | SQL | Assurance | Final Report | Moderate |
| Resources | ICT | ISPs - 3rd Party Access | Assurance | Final Report | Moderate |
| Resources | ICT | ISPs - Operational Procedures | Assurance | Final Report | Moderate |
| Resources | ICT | Software Licenses | Assurance | Final Report | Moderate |
| 2014 / 2015 Internal Audit Plan | | | | | |
| Assistant Chief Executive (ACE) | Policy and Communications | Business Continuity Planning | Key System | In Progress | |
| Assistant Chief Executive (ACE) | Planning and Performance | Data Quality / Performance Management Framework | Key System | Not Started | |
| Assistant Chief Executive (ACE) | Planning and Performance | Data Protection - Rolling Programme of reviews (One per Quarter) | Assurance | In Progress | |
| Assistant Chief Executive (ACE) | Planning and Performance | Information Governance Group | Advice and Consultancy | In Progress | |
| Assistant Chief Executive (ACE) | Planning and Performance | Transparency Agenda Arrangements | Advice and Consultancy | In Progress | |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Area Action Partnerships (AAPs) - Performance Management Framework | Assurance | Deferred | |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Partnerships | Key System | Draft Report | |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Community Buildings - Revenue Costs (Part 1) | Advice and Consultancy | Final Report | N/A |
| Assistant Chief Executive (ACE) | Partnerships and Community Engagement | Community Buildings - Revenue Costs (Part 2) | Advice and Consultancy | Final Report | N/A |
| Children and Adult Services (CAS) | Children's Services | Foster Carer Payments | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | Adoption Strategy | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | Children Safeguarding Governance Arrangements | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | Establishment Visits and Overall Management Arrangements | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | First Contact Service | Assurance | In Progress | |
| Children and Adult Services (CAS) | Children's Services | Voluntary Organisations (DCC Employee Arrangements) | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | MTFP Saving - Provision of Supervised Contact | Assurance | Deferred | |
| Children and Adult Services (CAS) | Children's Services | Disability Commissioning Arrangements (Short Breaks) | Assurance | In Progress | |
| Children and Adult Services (CAS) | Children's Services | In & Out of County Placements | Assurance | Preparation | |
| Children and Adult Services (CAS) | Children's Services | Application of Think Family Grants | Assurance | In Progress | |
| Children and Adult Services (CAS) | Education | School Financial Performance | Assurance | In Progress | |
| Children and Adult Services (CAS) | Education | SEN Placement and Provision | Assurance | Deferred | |
| Children and Adult Services (CAS) | Education | School Organisation and Capital Programme | Assurance | Draft Report | |
| Children and Adult Services (CAS) | Education / Children's Services | Safeguarding of Children in Schools | Advice and Consultancy | Final Report | N/A |
| Children and Adult Services (CAS) | Education | Adult Learning Service | Assurance | Deferred | |
| Children and Adult Services (CAS) | Education | Education and Business Link | Assurance | Deferred | |
| Children and Adult Services (CAS) | Education | Careers Service | Assurance | Deferred | |
| Children and Adult Services (CAS) | Education | School's Audit Programme - SLA (51 Schools to complete) | Assurance | Final Reports x 17 | 7 Substantial 7 Moderate 3 Limited |
| Children and Adult Services (CAS) | Education | Schools Financial Value Standard (SFVS) | Advice and Consultancy | Preparation | |

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|-----------------------------------|--|---|------------------------|--------------|-------------|
| Children and Adult Services (CAS) | Education | Governor Training | Advice and Consultancy | Not Started | |
| Children and Adult Services (CAS) | Education | School Business Manager Training | Advice and Consultancy | Not Started | |
| Children and Adult Services (CAS) | Education | Head Teacher Group Attendance | Advice and Consultancy | Not Started | |
| Children and Adult Services (CAS) | Adult Services | Continuing Health Care and Free Nursing Care | Assurance | Deferred | |
| Children and Adult Services (CAS) | Adult Services | Establishment Visits and Overall Management Arrangements - Hawthorn House | Assurance | Final Report | Limited |
| Children and Adult Services (CAS) | Adult Services | Establishment Visits and Overall Management Arrangements - Pathways Ebony Woodwork Unit | Assurance | Final Report | Moderate |
| Children and Adult Services (CAS) | Adult Services | Adaptations Service | Assurance | Draft Report | |
| Children and Adult Services (CAS) | Commissioning | Community Chest Grant Scheme / Adult Mental Health Capital Grant Scheme | Assurance | Not Started | |
| Children and Adult Services (CAS) | Commissioning | Social Care Financial Assessments & Reassessments | Assurance | Preparation | |
| Children and Adult Services (CAS) | Commissioning | Direct Payments | Assurance | Draft Report | |
| Children and Adult Services (CAS) | Commissioning | Personal Budgets - Commissioned Service | Assurance | Deferred | |
| Children and Adult Services (CAS) | Commissioning | Management of Client Finances | Assurance | Preparation | |
| Children and Adult Services (CAS) | Commissioning | SSID Development | Advice and Consultancy | In Progress | |
| Children and Adult Services (CAS) | Public Health | Drug and Alcohol Treatment Services and Clinical Public Health Services | Advice and Consultancy | Deferred | |
| Children and Adult Services (CAS) | Public Health | Nicotine Replacement Vouchers - Follow Up | Assurance | Cancelled | |
| Children and Adult Services (CAS) | Public Health | Public Health Assurance | Advice and Consultancy | In Progress | |
| Children and Adult Services (CAS) | Public Health | Commissioning Arrangements | Assurance | In Progress | |
| Children and Adult Services (CAS) | Public Health | Pharmoutcomes | Advice and Consultancy | In Progress | |
| Children and Adult Services (CAS) | Public Health | Health Visitor Transition | Advice and Consultancy | In Progress | |
| Children and Adult Services (CAS) | Planning and Service Strategy | Caldicott Compliance | Assurance | In Progress | |
| Children and Adult Services (CAS) | Planning and Service Strategy | Use of Petty Cash and Imprest Accounts | Assurance | Deferred | |
| Children and Adult Services (CAS) | All CAS Services | CAS - Cash Collection | Key System | In Progress | |
| Children and Adult Services (CAS) | All CAS Services | CAS - Creditors | Key System | In Progress | |
| Children and Adult Services (CAS) | All CAS Services | CAS - Debtors | Key System | In Progress | |
| Children and Adult Services (CAS) | All CAS Services | CAS - Payroll | Key System | In Progress | |
| Neighbourhood Services (NS) | Culture and Sport Services | Gala Theatre - Catering and Bars | Assurance | In Progress | |
| Neighbourhood Services (NS) | Culture and Sport Services | Integrated Leisure Management System | Advice and Consultancy | In Progress | |
| Neighbourhood Services (NS) | Culture and Sport Services | Stanley Bowls | Advice and Consultancy | Final Report | N/A |
| Neighbourhood Services (NS) | Culture and Sport Services | Competition Line UK - Income Share Agreement | Assurance | Final Report | N/A |
| Neighbourhood Services (NS) | Culture and Sport Services | Countryside and Parks Management | Assurance | Draft Report | |
| Neighbourhood Services (NS) | Culture and Sport Services | Leisure Services Review - Future Service Delivery | Advice and Consultancy | Cancelled | |
| Neighbourhood Services (NS) | Culture and Sport Services | Libraries - Review of Procurement, Payments and Custody of Assets | Assurance | Final Report | Moderate |
| Neighbourhood Services (NS) | Culture and Sport Services | Freemans Quay - Income and Banking | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Culture and Sport Services | Durham Town Hall - Income and Banking | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Culture and Sport Services | Bishop Auckland Town Hall - Income and Banking | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Direct Services | Building Compliance | Advice and Consultancy | Final Report | N/A |
| Neighbourhood Services (NS) | Direct Services | Pest Control | Assurance | Final Report | Moderate |
| Neighbourhood Services (NS) | Direct Services | Catering Service | Advice and Consultancy | Draft Report | |
| Neighbourhood Services (NS) | Direct Services | Fleet | Assurance | Final Report | Limited |
| Neighbourhood Services (NS) | Direct Services | Development of New Fleet Management System | Advice and Consultancy | In Progress | |
| Neighbourhood Services (NS) | Direct Services | Grounds Maintenance Charging (inc Clean and Green Follow Up) | Assurance | Not Started | |
| Neighbourhood Services (NS) | Direct Services | Allotments Management | Assurance | Draft Report | |
| Neighbourhood Services (NS) | Direct Services | Trade Waste - Follow Up | Assurance | Final Report | Moderate |
| Neighbourhood Services (NS) | Direct Services | Computerised Repairs and Maintenance System | Advice and Consultancy | Preparation | |
| Neighbourhood Services (NS) | Direct Services | Quality Management System (QMS) - Period 1 | Assurance | Final Report | N/A |
| Neighbourhood Services (NS) | Direct Services | Quality Management System (QMS) - Period 2 | Assurance | Preparation | |
| Neighbourhood Services (NS) | Direct Services | Durham Crematorium - Joint Committee | Assurance | Preparation | |
| Neighbourhood Services (NS) | Direct Services | Mountsett Crematorium - Joint Committee | Assurance | Preparation | |
| Neighbourhood Services (NS) | Environmental Health and Consumer Protection | Markets Strategy | Assurance | Deferred | |
| Neighbourhood Services (NS) | Environmental Health and Consumer Protection | Fair Trading | Assurance | Draft Report | |
| Neighbourhood Services (NS) | Environmental Health and Consumer Protection | Animal Health | Assurance | Draft Report | |
| Neighbourhood Services (NS) | Environmental Health and Consumer Protection | Premises Licensing - Fee Setting | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Technical Services | Winter Maintenance | Assurance | Final Report | Substantial |
| Neighbourhood Services (NS) | Technical Services | Design Services | Assurance | Cancelled | |
| Neighbourhood Services (NS) | Technical Services | Flooding Mitigation | Assurance | In Progress | |
| Neighbourhood Services (NS) | Technical Services | Strategic Transport | Assurance | Cancelled | |
| Neighbourhood Services (NS) | Technical Services | Compliance with Construction, Design and Maintenance Procedures | Advice and Consultancy | Not Started | |
| Neighbourhood Services (NS) | Technical Services | Capital Project Review | Assurance | Preparation | |
| Neighbourhood Services (NS) | Technical Services | Stores | Assurance | Final Report | Moderate |
| Neighbourhood Services (NS) | Technical Services | Contract Audit | Assurance | In Progress | |
| Neighbourhood Services (NS) | Projects and Business Services | Environmental Compliance | Assurance | In Progress | |

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|---|--|--|------------------------|--------------|-------------|
| Neighbourhood Services (NS) | Projects and Business Services | Customer Access Points | Assurance | Cancelled | |
| Neighbourhood Services (NS) | Projects and Business Services | Garden Waste Collection Scheme | Advice and Consultancy | Preparation | |
| Neighbourhood Services (NS) | Projects and Business Services | Fly Tipping | Advice and Consultancy | Final Report | N/A |
| Neighbourhood Services (NS) | Projects and Business Services | NS - Cash Collection | Key System | In Progress | |
| Neighbourhood Services (NS) | Projects and Business Services | NS - Creditors | Key System | In Progress | |
| Neighbourhood Services (NS) | Projects and Business Services | NS - Debtors | Key System | In Progress | |
| Neighbourhood Services (NS) | Projects and Business Services | NS - Payroll | Key System | In Progress | |
| Regeneration and Economic Development (RED) | Planning and Assets | Planning System | Assurance | In Progress | |
| Regeneration and Economic Development (RED) | Planning and Assets | Spatial Policy | Assurance | Not Started | |
| Regeneration and Economic Development (RED) | Planning and Assets | Asset Management - Follow Up | Assurance | Final Report | Moderate |
| Regeneration and Economic Development (RED) | Planning and Assets | Community Infrastructure Levy | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Planning and Assets | Energy Management - Warm Up North | Advice / Grant Cert | Not Started | |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | European Regional Development Fund | Advice and Consultancy | Preparation | |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | RED - Cash Collection | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | RED - Creditors | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | RED - Debtors | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Strategy, Programmes and Performance | RED - Payroll | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Transport and Contract Services | Traffic Accident Data Unit (TADU) - Prevention and Investigation | Assurance | Final Report | Substantial |
| Regeneration and Economic Development (RED) | Transport and Contract Services | Transport - Contractual Arrangements | Assurance | Not Started | |
| Regeneration and Economic Development (RED) | Transport and Contract Services | Transport - Safeguarding Arrangements | Assurance | Not Started | |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Housing Stock Transfer | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Housing Solutions (include Housing Advice, Homelessness & Family Intervention) | Assurance | Preparation | |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Economic Development - Apprenticeship Programme | Assurance | Final Report | Substantial |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Regeneration and Development - Heart of Teesdale Landscape Partnership | Assurance | In Progress | |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Choice Based Letting Scheme | Advice and Consultancy | Preparation | |
| Resources | Human Resources and Organisational Development | Attendance Management Framework | Assurance | In Progress | |
| Resources | Human Resources and Organisational Development | Disciplinary Procedures | Assurance | Draft Report | |
| Resources | Human Resources and Organisational Development | Violent Persons Register | Assurance | Preparation | |
| Resources | Human Resources and Organisational Development | Health and Safety | Key System | Preparation | |
| Resources | Human Resources and Organisational Development | Payroll | Key System | Preparation | |
| Resources | Human Resources and Organisational Development | Agency Workers | Key System | Not Started | |
| Resources | Legal and Democratic Services | Registrars | Assurance | Preparation | |
| Resources | Legal and Democratic Services | Land Charges - Fees and Income | Assurance | Preparation | |
| Resources | Legal and Democratic Services | Standards - Arrangements | Assurance | Not Started | |
| Resources | Legal and Democratic Services | Elections | Assurance | In Progress | |
| Resources | Legal and Democratic Services | RIPA Group | Advice and Consultancy | In Progress | |
| Resources | Legal and Democratic Services | Members Allowances | Assurance | Preparation | |
| Resources | Corporate Finance | VAT Arrangements | Assurance | Preparation | |
| Resources | Corporate Finance | Bank Reconciliation | Key System | Preparation | |
| Resources | Corporate Finance | Treasury Management | Key System | Draft Report | |
| Resources | Corporate Finance | New Banking Contract | Advice and Consultancy | In Progress | |
| Resources | Corporate Finance | Collection Fund | Key System | In Progress | |
| Resources | Corporate Finance | General Ledger | Key System | In Progress | |
| Resources | Corporate Finance | Contract Register | Assurance | Final Report | Moderate |
| Resources | Corporate Finance | Contract Management | Assurance | Final Report | Moderate |
| Resources | Corporate Finance | Variations | Assurance | Final Report | Substantial |
| Resources | Corporate Finance | Specifications | Assurance | In Progress | |
| Resources | Corporate Finance | Oracle Development - Project Board | Advice and Consultancy | Not Started | |
| Resources | Financial Services | Budgetary Control | Key Systems | Preparation | |
| Resources | Financial Services | Revenues and Benefits - Reconciliation | Key Systems | Final Report | Substantial |
| Resources | Financial Services | Business Improvement Districts | Assurance | Final Report | Substantial |
| Resources | Financial Services | Creditors | Key Systems | Not Started | |
| Resources | Financial Services | Debtors | Key Systems | Not Started | |
| Resources | Financial Services | Council Tax | Key Systems | In Progress | |
| Resources | Financial Services | Business Rates | Key Systems | In Progress | |
| Resources | Financial Services | Housing Benefit and Council Tax Reduction | Key Systems | In Progress | |
| Resources | Financial Services | Cash Collection | Key Systems | Not Started | |
| Resources | Financial Services | PCI Compliance - Follow Up | Assurance | Not Started | |
| Resources | Financial Services | PCI Working Group | Advice and Consultancy | In Progress | |
| Resources | Financial Services | School Financial Performance | Assurance | Preparation | |
| Resources | Financial Services | Welfare Rights | Assurance | In Progress | |

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| SERVICE GROUPING | SERVICE | AUDIT ACTIVITY | AUDIT TYPE | STATUS | OPINION |
|---|--|--|------------------------|--------------|----------|
| Resources | Financial Services | Welfare Assistance Scheme - Follow Up | Assurance | Final Report | Moderate |
| Resources | Financial Services | Creditors Working Group | Advice and Consultancy | In Progress | |
| Resources | Financial Services | Debtors Working Group | Advice and Consultancy | In Progress | |
| Resources | Financial Services | Bailiff Service | Assurance | In Progress | |
| Resources | Internal Audit, Risk and Fraud | Risk Management | Key System | Preparation | |
| Resources | Internal Audit, Risk and Fraud | Insurance | Assurance | Preparation | |
| Resources | Internal Audit, Risk and Fraud | Counter Fraud Arrangements | Key System | Deferred | |
| Resources | Internal Audit, Risk and Fraud | Review of Ethics | Assurance | Preparation | |
| Resources | Information and Communication Technology | Asset Management | Assurance | Final Report | Moderate |
| Resources | Information and Communication Technology | Change Control | Assurance | Final Report | Moderate |
| Resources | Information and Communication Technology | ISP Compliance Reviews | Assurance | Preparation | |
| Resources | Information and Communication Technology | Oracle Database | Assurance | In Progress | |
| Resources | Information and Communication Technology | ICT Business Continuity Plan | Assurance | Deferred | |
| Resources | Information and Communication Technology | Design and Print Service | Assurance | Deferred | |
| Resources | Information and Communication Technology | Mobile Phones - Allocation and Usage | Advice and Consultancy | Preparation | |
| 2014 / 2015 Audits Added to the Plan | | | | | |
| Children and Adult Services (CAS) | Commissioning | Direct Payments - Introduction of Pre Paid Cards | Advice and Consultancy | Draft Report | |
| Children and Adult Services (CAS) | Education | Specific School Review | Assurance | Draft Report | |
| Children and Adult Services (CAS) | Public Health | Data Quality - Performance Indicators Mapping Exercise | Advice and Consultancy | Preparation | |
| Children and Adult Services (CAS) | Adult Service | Supported Housing | Advice and Consultancy | In Progress | |
| Neighbourhood Services (NS) | Direct Services | Fleet Management Working Group | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Community Association Review | Advice and Consultancy | Final Report | N/A |
| Regeneration and Economic Development (RED) | Economic Development and Housing | Review of Gypsy, Roma, Traveller Service | Advice and Consultancy | In Progress | |
| Regeneration and Economic Development (RED) | Transport and Contract Services | Strategic Transport - Integrated Transport Block | Assurance | In Progress | |
| Resources | Information and Communication Technology | Password Management | Assurance | In Progress | |
| Resources | Information and Communication Technology | Digital Durham | Advice and Consultancy | In Progress | |