

## INTERNAL AUDIT PLAN PROGRESS AS AT 31 MARCH 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
<b>2013 / 2014 Internal Audit Plan - Audits Brought Forward</b>					
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
<b>2014 / 2015 Internal Audit Plan</b>					
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	In Progress	
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	Final Report	N/A
Assistant Chief Executive (ACE)	Planning and Performance	Transparency Agenda Arrangements	Advice and Consultancy	Final Report	N/A
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	Final Report	Moderate
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	Final Report	Substantial
Children and Adult Services (CAS)	Education	School Financial Performance	Assurance	Final Report	Substantial
Children and Adult Services (CAS)	Education	SEN Placement and Provision	Assurance	Deferred	
Children and Adult Services (CAS)	Education	School Organisation and Capital Programme	Assurance	Final Report	Substantial
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 35	15 Substantial 16 Moderate 4 Limited
Children and Adult Services (CAS)	Education	Schools Financial Value Standard (SFVS)	Advice and Consultancy	In Progress	

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SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Children and Adult Services (CAS)	Education	Governor Training	Advice and Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Education	School Business Manager Training	Advice and Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Education	Head Teacher Group Attendance	Advice and Consultancy	Final Report	n/a
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	Final Report	Limited
Children and Adult Services (CAS)	Commissioning	Community Chest Grant Scheme / Adult Mental Health Capital Grant Scheme	Assurance	In Progress	
Children and Adult Services (CAS)	Commissioning	Social Care Financial Assessments & Reassessments	Assurance	Preparation	
Children and Adult Services (CAS)	Commissioning	Direct Payments	Assurance	Final Report	Moderate
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	Final Report	N/A
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	Final Report	N/A
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	Final Report	Substantial
Neighbourhood Services (NS)	Culture and Sport Services	Integrated Leisure Management System	Advice and Consultancy	Final Report	N/A
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	Final Report	Substantial
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	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Fleet	Assurance	Final Report	Limited
Neighbourhood Services (NS)	Direct Services	Development of New Fleet Management System	Advice and Consultancy	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Grounds Maintenance Charging (inc Clean and Green Follow Up)	Assurance	Deferred	
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	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Durham Crematorium - Joint Committee	Assurance	Final Report	Substantial
Neighbourhood Services (NS)	Direct Services	Mountsett Crematorium - Joint Committee	Assurance	Final Report	Substantial
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Markets Strategy	Assurance	Deferred	
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Fair Trading	Assurance	Final Report	Moderate
Neighbourhood Services (NS)	Environmental Health and Consumer Protection	Animal Health	Assurance	Final Report	Limited
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	Deferred	
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	

## INTERNAL AUDIT PLAN PROGRESS AS AT 31 MARCH 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
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	Final Report	N/A
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	Cancelled	
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	Final Report	N/A
Regeneration and Economic Development (RED)	Planning and Assets	Energy Management - Warm Up North	Advice / Grant Cert	Deferred	
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	Final Report	Moderate
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	In Progress	
Regeneration and Economic Development (RED)	Transport and Contract Services	Transport - Safeguarding Arrangements	Assurance	In Progress	
Regeneration and Economic Development (RED)	Economic Development and Housing	Housing Stock Transfer	Advice and Consultancy	Final Report	N/A
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	Final Report	Substantial
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	Draft Report	
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	In Progress	
Resources	Human Resources and Organisational Development	Agency Workers	Key System	Deferred	
Resources	Legal and Democratic Services	Registrars	Assurance	Draft Report	
Resources	Legal and Democratic Services	Land Charges - Fees and Income	Assurance	Preparation	
Resources	Legal and Democratic Services	Standards - Arrangements	Assurance	Preparation	
Resources	Legal and Democratic Services	Elections	Assurance	Final Report	Moderate
Resources	Legal and Democratic Services	RIPA Group	Advice and Consultancy	Final Report	N/A
Resources	Legal and Democratic Services	Members Allowances	Assurance	Preparation	
Resources	Corporate Finance	VAT Arrangements	Assurance	Final Report	Substantial
Resources	Corporate Finance	Bank Reconciliation	Key System	Final Report	Substantial
Resources	Corporate Finance	Treasury Management	Key System	Final Report	Substantial
Resources	Corporate Finance	New Banking Contract	Advice and Consultancy	Final Report	N/A
Resources	Corporate Finance	Collection Fund	Key System	In Progress	
Resources	Corporate Finance	General Ledger	Key System	Final Report	Substantial
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	Final Report	Substantial
Resources	Corporate Finance	Oracle Development - Project Board	Advice and Consultancy	Final Report	N/A
Resources	Financial Services	Budgetary Control	Key Systems	Final Report	Substantial
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	In Progress	
Resources	Financial Services	Debtors	Key Systems	In Progress	
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	Final Report	Moderate
Resources	Financial Services	Cash Collection	Key Systems	In Progress	
Resources	Financial Services	PCI Compliance - Follow Up	Assurance	Final Report	Substantial
Resources	Financial Services	PCI Working Group	Advice and Consultancy	In Progress	
Resources	Financial Services	School Financial Performance	Assurance	Final Report	Substantial
Resources	Financial Services	Welfare Rights	Assurance	In Progress	

## INTERNAL AUDIT PLAN PROGRESS AS AT 31 MARCH 2015

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	Final Report	N/A
Resources	Financial Services	Debtors Working Group	Advice and Consultancy	Final Report	N/A
Resources	Financial Services	Bailiff Service	Assurance	In Progress	
Resources	Internal Audit, Risk and Fraud	Risk Management	Key System	Final Report	Moderate
Resources	Internal Audit, Risk and Fraud	Insurance	Assurance	Draft Report	
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	In Progress	
Resources	Information and Communication Technology	Oracle Database	Assurance	Final Report	Moderate
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	In Progress	
<b>2014 / 2015 Audits Added to the Plan</b>					
Assistant Chief Executive (ACE)	Planning and Performance	Data Quality - 3 Specific Performance Indicators - Follow Up Audit	Follow Up	In Progress	
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	Final Report	Limited
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	Final Report	N/A
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	Final Report	N/A
Regeneration and Economic Development (RED)	Transport and Contract Services	Strategic Transport - Integrated Transport Block	Assurance	Final Report	Substantial
Resources	Information and Communication Technology	Password Management	Assurance	In Progress	
Resources	Information and Communication Technology	Digital Durham	Advice and Consultancy	In Progress	