

**ANNUAL INTERNAL AUDIT PLAN 2015 / 2016 (April 2015 to March 2016)**

<b>CORPORATE PROVISIONS</b>	<b>DAYS</b>
<b>PLANNING, REPORTING AND SERVICE DEVELOPMENT</b>	
Audit Planning and Reporting	450
Follow Up of Audit Recommendations	100
Quality Assurance and Performance Management	250
Service Development	50
Assurance Mapping (Combined Assurance)	50
External Audit Liaison	4
Audit Committee Reporting and Support	30
<b>COUNTER FRAUD</b>	
Irregularity Investigation	400
Counter Fraud Awareness	100
National Fraud Initiative	50
Proactive Counter Fraud Reviews including:	200
<i>Housing Tenancy</i>	
<i>Procurement</i>	
<i>Blue Badge Misuse</i>	
<i>Payroll</i>	
<i>Right to Buy</i>	
<i>Single Person Discount</i>	
<i>Council Tax Reduction</i>	
<i>Business Rates</i>	
<i>Direct Payments</i>	
<i>Car Mileage</i>	
<b>CONTINGENCY</b>	
Advice and Consultancy	215
Contingency	145
<b>GRANT CERTIFICATION</b>	50

<b>2015 / 2016 INTERNAL AUDIT PLAN</b>					
<b>Audit Title</b>	<b>Service Grouping</b>	<b>Service</b>	<b>Audit Type</b>	<b>No. Days</b>	<b>Link to Council Plan</b>
Business Continuity Planning	Assistant Chief Executive (ACE)	Policy and Communications	Key System	10	Altogether Better Council
Strategy for Social Media	Assistant Chief Executive (ACE)	Policy and Communications	Advice & Consultancy	5	Altogether Better Council
Durham Ask Governance	Assistant Chief Executive (ACE)	Policy and Communications	Advice & Consultancy	5	Altogether Better Council
Data Quality Framework	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	15	Altogether Better Council
Data Protection	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	20	Altogether Better Council
Freedom of Information	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	10	Altogether Better Council
Information Governance Group	Assistant Chief Executive (ACE)	Planning and Performance	Advice & Consultancy	2	Altogether Better Council
Area Action Partnerships (AAPs) - Performance Management Framework	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Assurance	10	Altogether Better Council
Community Engagement (Consultation Strategy)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Advice & Consultancy	5	Altogether Better Council
Partnership Governance Framework	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Key System	5	Altogether Better Council
Community Buildings Funding (Part 3)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Advice & Consultancy	2	Altogether Better Council
Community Grants (Governance and payments)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Assurance	15	Altogether Better Council
Continuing Health Care / S117 Payments - Review of effectiveness of service arrangements	Children and Adult Services (CAS)	Adult Care	Assurance	20	Altogether Healthier
Continuing Health Care	Children and Adult Services (CAS)	Adult Care	Advice & Consultancy	10	Altogether Healthier
Extra Care	Children and Adult Services (CAS)	Adult Care	Assurance	15	Altogether Healthier
Implementation of the Care Act	Children and Adult Services (CAS)	Adult Care	Advice & Consultancy	10	Altogether Healthier
Integration of Financial Services Team within Revenues and Benefits	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	10	Altogether Better Council

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Direct Payments – Advice and Consultancy activity to continue to provide support on direct payment cards as required.	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	10	Altogether Better Council
Procurement – Arrangements for the management and monitoring of contract information across the service	Children and Adult Services (CAS)	Commissioning	Assurance	15	Altogether Better Council
Transport – Outcomes of People 2 review.	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	10	Altogether Better Council
Commissioning of Drug and Alcohol Services - Review of Service contract management arrangements	Children and Adult Services (CAS)	Commissioning	Assurance	15	Altogether Healthier
Personal Budgets	Children and Adult Services (CAS)	Commissioning	Assurance	20	Altogether Better Council
Post Contract Arrangements	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	10	Altogether Better Council
Stronger Families Programme	Children and Adult Services (CAS)	Children's Services	Advice & Consultancy	5	Altogether Better for Children and Young People
Stronger Families Programme - Q1	Children and Adult Services (CAS)	Children's Services	Grant Certification	2	Altogether Better for Children and Young People
Stronger Families Programme - Q2	Children and Adult Services (CAS)	Children's Services	Grant Certification	2	Altogether Better for Children and Young People
Stronger Families Programme - Q3	Children and Adult Services (CAS)	Children's Services	Grant Certification	2	Altogether Better for Children and Young People
Stronger Families Programme - Q4	Children and Adult Services (CAS)	Children's Services	Grant Certification	2	Altogether Better for Children and Young People
Adoption Service	Children and Adult Services (CAS)	Children's Services	Assurance	10	Altogether Better for Children and Young People
Review of collection and banking of income / petty cash management as part of wider review across the Aycliffe Site	Children and Adult Services (CAS)	Children's Services / Planning and Service Strategy	Key System	20	Altogether Better Council
Children's Centres / Homes - Cash handling arrangements	Children and Adult Services (CAS)	Children's Services	Assurance	10	Altogether Better for Children and Young People
Review of the arrangements for the brokering of external providers of school improvement services	Children and Adult Services (CAS)	Education Services	Assurance	10	Altogether Better for Children and Young People
Adult Learning Service - Collection of Fees (Review deferred from 2014/15)	Children and Adult Services (CAS)	Education Services	Assurance	15	Altogether Better for Children and Young People
Careers Service (Review deferred from 2014/15)	Children and Adult Services (CAS)	Education Services	Assurance	10	Altogether Better for Children and Young People
Education and Business Link (Review deferred from 2014/15)	Children and Adult Services (CAS)	Education Services	Assurance	10	Altogether Better for Children and Young People
School Programme	Children and Adult Services (CAS)	Education Services	Assurance	255	Altogether Better for Children and Young People
Governor Training	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	5	Altogether Better Council
SBM Training	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	5	Altogether Better Council
Headteacher Group	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	1	Altogether Better Council
Youth Employment Initiative	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	15	Altogether Better Council
Caldicott Group	Children and Adult Services (CAS)	Planning and Service Strategy	Advice and	2	Altogether Better Council
Caldicott Compliance - POPPIE	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance	10	Altogether Better Council
Caldicott Compliance - SSID System Review	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance	10	Altogether Better Council
Caldicott Compliance - County Durham Wellbeing for Life Services (DCRS System)	Children and Adult Services (CAS)	Planning and Service Strategy	Assurance	10	Altogether Better Council
Petty Cash and Imprest Accounts	Children and Adult Services (CAS)	Planning and Service Strategy	Key System	10	Altogether Better Council
E Market Place	Children and Adult Services (CAS)	Planning and Service Strategy	Advice and	5	Altogether Better Council
Public Health Data Quality	Children and Adult Services (CAS)	Public Health	Assurance	5	Altogether Better Council
County Durham Wellbeing for Life Services (DCRS system)	Children and Adult Services (CAS)	Public Health	Assurance	10	Altogether Better Council
Drug and Alcohol Estate	Children and Adult Services (CAS)	Public Health	Advice & Consultancy	10	Altogether Better Council
SevenHills	Neighbourhood Services (NS)	Culture & Sport	Assurance	15	Altogether Better Council
Stanley Bowls	Neighbourhood Services (NS)	Culture & Sport	Audit of Accounts	5	Altogether Better Council
CLUK Income Share Agreement	Neighbourhood Services (NS)	Culture & Sport	Assurance	5	Altogether Better Council
Spennymoor Leisure Centre	Neighbourhood Services (NS)	Culture & Sport	Assurance	10	Altogether Better Council
Newton Aycliffe Leisure Centre	Neighbourhood Services (NS)	Culture & Sport	Assurance	10	Altogether Better Council
Killhope Museum	Neighbourhood Services (NS)	Culture & Sport	Assurance	15	Altogether Better Council
Locomotion Museum	Neighbourhood Services (NS)	Culture & Sport	Assurance	15	Altogether Better Council
Gala Theatre – Cinema Operator Procurement and links to Box Office	Neighbourhood Services (NS)	Culture & Sport	Advice & Consultancy	10	Altogether Better Council
County Durham Sport	Neighbourhood Services (NS)	Culture & Sport	Grant Certification	5	Altogether Better Council
Fixed Play (Sn 106)	Neighbourhood Services (NS)	Culture & Sport	Assurance	10	Altogether Better Council
Leisureworks	Neighbourhood Services (NS)	Culture & Sport	Advice & Consultancy	10	Altogether Better Council
QMS (Monitoring Visit)	Neighbourhood Services (NS)	Direct Services	Advice & Consultancy	5	Altogether Better Council
Property Help Desk - Schools and Public Building Maintenance	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Better Council
Fleet Management - Follow Up	Neighbourhood Services (NS)	Direct Services	Assurance	15	Altogether Better Council
Use of Fuel Cards	Neighbourhood Services (NS)	Direct Services	Assurance	5	Altogether Better Council
Safer Communities / Anti-Social Behaviour Teams	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Safer
Bereavement Services - Central Durham Crematorium	Neighbourhood Services (NS)	Direct Services	Assurance	19	Altogether Better Council
Bereavement Services - Mountsett Crematorium (Joint Committee)	Neighbourhood Services (NS)	Direct Services	Assurance	19	Altogether Better Council

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Clean and Green Complaints Handling	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Better Council
Livin Housing Association Contract - Follow Up Audit	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Better Council
School Billing Process	Neighbourhood Services (NS)	Direct Services	Key System	10	Altogether Better Council
Markets	Neighbourhood Services (NS)	Environment, Health and Consumer Protection	Assurance	15	Altogether Better Council
Review of Miscellaneous Registrations - Fee setting and cost recovery	Neighbourhood Services (NS)	Environment, Health and Consumer Protection	Assurance	10	Altogether Better Council
Licensing Enforcement	Neighbourhood Services (NS)	Environment, Health and Consumer Protection	Assurance	5	Altogether Better Council
Weights and Measures Approved Body Status	Neighbourhood Services (NS)	Environment, Health and Consumer Protection	Assurance (3rd Party)	5	Altogether Better Council
Food Safety	Neighbourhood Services (NS)	Environment, Health and Consumer Protection	Assurance (3rd Party)	5	Altogether Healthier
Pest Control and Accumulations	Neighbourhood Services (NS)	Environment, Health and Consumer Protection / Direct Services	Assurance	10	Altogether Healthier
Works in Default	Neighbourhood Services (NS)	Environment, Health and Consumer Protection / Direct Services	Assurance	10	Altogether Healthier
Technically, Environmentally and Economically Practical (TEEP) - EU Legislation	Neighbourhood Services (NS)	Projects and Business Services	Advice & Consultancy	8	Altogether Greener
Customer Services Complaints	Neighbourhood Services (NS)	Projects and Business Services	Assurance	10	Altogether Better Council
Environmental Compliance	Neighbourhood Services (NS)	Projects and Business Services	Advice & Consultancy	10	Altogether Greener
Fly Tipping	Neighbourhood Services (NS)	Projects and Business Services	Assurance	10	Altogether Greener
CDM Compliance	Neighbourhood Services (NS)	Technical Services	Assurance	10	Altogether Better Council
Stores Management - On site processes for disposal of surplus materials	Neighbourhood Services (NS)	Technical Services / Direct Services	Assurance	15	Altogether Better Council
Carbon Reduction Commitment	Regeneration and Economic Development	Planning and Assets	Assurance	10	Altogether Green
Warm Up North	Regeneration and Economic Development	Planning and Assets	Advice & Consultancy	5	Altogether Green
Community Infrastructure Levy	Regeneration and Economic Development	Planning and Assets	Advice & Consultancy	2	Altogether Wealthier
Building Control - Online Payments	Regeneration and Economic Development	Planning and Assets	Advice & Consultancy	3	Altogether Better Council
EU Structural Funds Programme	Regeneration and Economic Development	Strategy, Programmes and Performance	Assurance	10	Altogether Better Council
Payroll	Regeneration and Economic Development	Strategy, Programmes and Performance	Key System	15	Altogether Better Council
Creditors	Regeneration and Economic Development	Strategy, Programmes and Performance	Key System	15	Altogether Better Council
Debtors	Regeneration and Economic Development	Strategy, Programmes and Performance	Key System	15	Altogether Better Council
Cash Collection	Regeneration and Economic Development	Strategy, Programmes and Performance	Key System	15	Altogether Better Council
Project Management Arrangements	Regeneration and Economic Development	Strategy, Programmes and Performance	Advice & Consultancy	5	Altogether Better Council
Park and Ride	Regeneration and Economic Development	Transport and Contract Services	Assurance	10	Altogether Safer Council
Telecare Services & Care Connect	Regeneration and Economic Development	Transport and Contract Services	Assurance	10	Altogether Safer Council
CCTV	Regeneration and Economic Development	Transport and Contract Services	Assurance	5	Altogether Safer Council
Mentoring Project	Regeneration and Economic Development	Economic Development and Housing	Assurance	10	Altogether Wealthier
Durham Employment and Skills	Regeneration and Economic Development	Economic Development and Housing	Assurance	10	Altogether Wealthier
International Relations	Regeneration and Economic Development	Economic Development and Housing	Assurance	10	Altogether Wealthier
West Rainton and Leamside CA	Regeneration and Economic Development	Economic Development and Housing	Advice & Consultancy	5	Altogether Wealthier
Business Durham	Regeneration and Economic Development	Economic Development and Housing	Assurance	20	Altogether Wealthier
Private Sector Housing (Selective Licensing)	Regeneration and Economic Development	Economic Development and Housing	Assurance	10	Altogether Wealthier
Gypsy, Roma, Traveller Sites	Regeneration and Economic Development	Economic Development and Housing	Assurance	10	Altogether Wealthier
Durham Villages Regeneration Company	Regeneration and Economic Development	Economic Development and Housing	Advice & Consultancy	10	Altogether Wealthier
Flexi Scheme	Resources	Human Resources and Organisational Development	Assurance	15	Altogether Better Council
Recruitment & Selection Policy	Resources	Human Resources and Organisational Development	Assurance	15	Altogether Better Council
Flexible Working - Variations to Contracts	Resources	Human Resources and Organisational Development	Assurance	15	Altogether Better Council
Appraisals	Resources	Human Resources and Organisational Development	Assurance	10	Altogether Better Council
Attendance Management Framework	Resources	Human Resources and Organisational Development	Assurance	15	Altogether Better Council
Violent Persons Register	Resources	Human Resources and Organisational Development	Assurance	10	Altogether Better Council
Occupational Health	Resources	Human Resources and Organisational Development	Assurance	10	Altogether Better Council
Committee Services (incl. Modern.gov)	Resources	Legal and Democratic Services	Assurance	7	Altogether Better Council
Member Declarations of Interest	Resources	Legal and Democratic Services	Assurance	15	Altogether Better Council
Officer Scheme of Delegation	Resources	Legal and Democratic Services	Assurance	15	Altogether Better Council
Newco	Resources	Legal and Democratic Services	Assurance	10	Altogether Better Council
RIPA	Resources	Legal and Democratic Services	Advice & Consultancy	2	Altogether Better Council
General Ledger	Resources	Corporate Finance	Key System	10	Altogether Better Council
MTFP	Resources	Corporate Finance	Key System	10	Altogether Better Council
Capital Accounting	Resources	Corporate Finance	Key System	10	Altogether Better Council
Journal Transfers	Resources	Corporate Finance	Key System	5	Altogether Better Council
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Audit Title	Service Grouping	Service	Audit Type	No. Days	Link to Council Plan
Bank Reconciliation	Resources	Corporate Finance	Key System	5	Altogether Better Council
Direct Debit Payments	Resources	Corporate Finance	Assurance	7	Altogether Better Council
Treasury Management	Resources	Corporate Finance	Key System	10	Altogether Better Council
Teachers Pension Fund- Follow Up Audit	Resources	Corporate Finance	Assurance	2	Altogether Better Council
Bank Contract	Resources	Corporate Finance	Advice & Consultancy	2	Altogether Better Council
Leases	Resources	Corporate Finance	Assurance	10	Altogether Better Council
Procurement - Procurement Cards	Resources	Corporate Finance	Assurance	10	Altogether Better Council
Procurement - Document Retention	Resources	Corporate Finance	Advice & Consultancy	10	Altogether Better Council
Procurement - Contract Management	Resources	Corporate Finance	Assurance	10	Altogether Better Council
Procurement - Off Contract Spend	Resources	Corporate Finance	Assurance	20	Altogether Better Council
Procurement - Contract Procedure Rules	Resources	Corporate Finance	Assurance	10	Altogether Better Council
Oracle Project Group	Resources	Corporate Finance	Advice & Consultancy	4	Altogether Better Council
Payroll	Resources	Financial Services	Key System	15	Altogether Better Council
Payroll - Service Testing	Resources	Financial Services	Key System	30	Altogether Better Council
Taxation - PAYE	Resources	Financial Services	Assurance	10	Altogether Better Council
Agency	Resources	Financial Services	Assurance	10	Altogether Better Council
Budgetary Control (lighter touch)	Resources	Financial Services	Key System	10	Altogether Better Council
Revs and Bens Reconciliations	Resources	Financial Services	Key System	10	Altogether Better Council
Creditor Payments	Resources	Financial Services	Key System	15	Altogether Better Council
Creditors - Service Testing	Resources	Financial Services	Key System	30	Altogether Better Council
Creditors Working Group	Resources	Financial Services	Advice & Consultancy	2	Altogether Better Council
Business Rates	Resources	Financial Services	Key System	40	Altogether Better Council
HB, CTR and Welfare Assistance Scheme	Resources	Financial Services	Key System	50	Altogether Better Council
HB Sundry Debtor Overpayments	Resources	Financial Services	Key System	5	Altogether Better Council
Council Tax	Resources	Financial Services	Key System	40	Altogether Better Council
Cash Collection	Resources	Financial Services	Key System	15	Altogether Better Council
Cash Collection - Service Testing	Resources	Financial Services	Key System	30	Altogether Better Council
Debtors	Resources	Financial Services	Key System	15	Altogether Better Council
Debtors - Service Testing	Resources	Financial Services	Key System	30	Altogether Better Council
Debtors Working Group	Resources	Financial Services	Advice & Consultancy	2	Altogether Better Council
Financial arrangements re Health Visitors / Family Practitioners Transfer	Resources	Financial Services	Advice & Consultancy	10	Altogether Better Council
Better Care Fund: Sn 256	Resources	Financial Services	Advice & Consultancy	10	Altogether Better Council
Counter Fraud Arrangements	Resources	Internal Audit, Risk and Fraud	Key System	10	Altogether Better Council
Confidential Reporting Code	Resources	Internal Audit, Risk and Fraud	Assurance	10	Altogether Better Council
ICT Business Continuity Plan	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Design and Print Service	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Data Management	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Information Security	Resources	Information and Communication Technology	Assurance	20	Altogether Better Council
Unix	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Windows	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Active Directory	Resources	Information and Communication Technology	Advice & Consultancy	5	Altogether Better Council
Internet	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Income/expenditure arrangements	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council