

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
2014 / 2015 Internal Audit Plan - Audits Brought Forward / Deferred					
Assistant Chief Executive (ACE)	Policy and Communications	Business Continuity Planning	Key System	Final Report	Substantial
Assistant Chief Executive (ACE)	Planning and Performance	Data Protection - Access to Records: Legal Services	Assurance	Final Report	Moderate
Assistant Chief Executive (ACE)	Planning and Performance	Data Protection - Access to Records: Environmental Health	Assurance	Final Report	Moderate
Assistant Chief Executive (ACE)	Planning and Performance	Data Quality (2013/14 follow up)	Key System	Final Report	Moderate
Assistant Chief Executive (ACE)	Planning and Performance	Data Quality	Key System	Final Report	Moderate
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Area Action Partnerships (AAPs) - Performance Management Framework	Assurance	Preparation	
Children and Adult Services (CAS)	Adult Care	Hawthorn House Follow Up	Assurance	Final Report	Moderate
Children and Adult Services (CAS)	Children's Services	Foster Carer Payments	Assurance	Preparation	
Children and Adult Services (CAS)	Children's Services	Children Safeguarding Governance Arrangements	Assurance	Preparation	
Children and Adult Services (CAS)	Children's Services	Leaving Care Service	Assurance	Preparation	
Children and Adult Services (CAS)	Children's Services	Disability Commissioning Arrangements (Short Breaks)	Assurance	Final Report	Substantial
Children and Adult Services (CAS)	Children's Services	Out of County Placements	Assurance	Final Report	Substantial
Children and Adult Services (CAS)	Children's Services	First Contact Service	Assurance	Final Report	Substantial
Children and Adult Services (CAS)	Children's Services	Voluntary Organisations (DCC Employee Arrangements)	Assurance	Not yet started	
Children and Adult Services (CAS)	Commissioning	Management of Client Finances	Assurance	Final Report	Substantial
Children and Adult Services (CAS)	Commissioning	Social Care Financial Assessments and Reassessments	Assurance	In Progress	
Children and Adult Services (CAS)	Education Services	Schools Financial Value Standard (SFVS)	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	PSS	Caldicott Compliance	Assurance	Final Report	Moderate
Children and Adult Services (CAS)	Public Health	Support to the Director of Public Health on providing assurance on Health Protection Arrangements	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Public Health	Health Visitor Transition	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Public Health	Pharmoutcomes NRT	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Public Health	Pharmoutcomes Supervised Consumption	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Public Health	Commissioning of Clinical Public Health Services	Assurance	Final Report	Moderate
Neighbourhood Services (NS)	Direct Services	Allotments Management	Assurance	Final Report	Limited
Neighbourhood Services (NS)	Direct Services	Quality Management System (QMS)	Advice & Consultancy	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Computerised Repairs and Maintenance System	Advice & Consultancy	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Catering Service	Advice & Consultancy	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Contract Audit - Direct Services	Assurance	In Progress	
Neighbourhood Services (NS)	Technical Service	Capital Project Review	Assurance	In Progress	
Neighbourhood Services (NS)	Technical Service	Contract Audit - Construction PPM	Assurance	Draft Report	
Neighbourhood Services (NS)	Technical Service	Contract Audit - Highways	Assurance	Draft Report	
Neighbourhood Services (NS)	Technical Service	Flooding Mitigation (Service led Self Assessment)	Assurance	In Progress	
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	ERDF	Advice & Consultancy	Final Report	N/A
Regeneration and Economic Development (RED)	Planning and Assets	Planning System	Assurance	In Progress	
Regeneration and Economic Development (RED)	Transport and Contract Services	Transport - Contractual Arrangements	Assurance	Preparation	
Regeneration and Economic Development (RED)	Transport and Contract Services	Transport - Safeguarding Arrangements	Assurance	Preparation	
Regeneration and Economic Development (RED)	Economic Development and Housing	Housing Stock Transfer	Advice & Consultancy	Final Report	N/A
Regeneration and Economic Development (RED)	Economic Development and Housing	Housing Solutions	Assurance	Final Report	Substantial
Regeneration and Economic Development (RED)	Economic Development and Housing	Choice Based Lettings	Assurance	Final Report	Substantial
Regeneration and Economic Development (RED)	Planning and Assets	Warm Up North	Advice & Consultancy	Preparation	
Resources	HR&OD	Payroll	Key System	Draft Report	
Resources	HR&OD	Violent Persons Register	Assurance	Final Report	Moderate
Resources	HR&OD	Health and Safety	Key System	Final Report	Substantial
Resources	HR&OD	Attendance Management Framework - Phased returns	Assurance	Final Report	Moderate
Resources	HR&OD	Members Allowances & Expenses	Assurance	Final Report	Substantial
Resources	HR&OD	Standards	Assurance	Preparation	
Resources	Legal and Democratic Services	Land Charges Fees and Income	Assurance	Preparation	
Resources	Legal and Democratic Services	Registrars	Assurance	Final Report	Moderate
Resources	Corporate Finance	VAT Arrangements	Assurance	Final Report	Substantial
Resources	Corporate Finance	Collection Fund	Key System	Final Report	Substantial
Resources	Financial Services	Council Tax	Key System	Final Report	Moderate
Resources	Financial Services	Business Rates	Key System	Final Report	Moderate
Resources	Financial Services	Welfare Rights Reporting System	Assurance	Preparation	
Resources	Financial Services	Bailiffs	Advice & Consultancy	Final Report	N/A
Resources	Financial Services	Creditors	Key System	Final Report	Moderate
Resources	Financial Services	Debtors	Key System	Final Report	Moderate
Resources	Financial Services	Debtors: Follow Up to 2013-14 Review	Key System	Final Report	Moderate
Resources	ICT	Cash Collection	Key System	Final Report	Moderate

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Resources	ICT	Mobile Phones	Advice & Consultancy	Final Report	N/A
Resources	ICT	Password Management	Assurance	Draft Report	
Resources	ICT	Physical Security	Assurance	Final Report	Moderate
Resources	ICT	ISMS Risk Assessment	Assurance	Final Report	Moderate
Resources	Internal Audit, Risk and Fraud	Insurance	Assurance	Final Report	Moderate
Resources	Financial Services	Agency	Assurance	Preparation	
Resources	Internal Audit, Risk and Fraud	Counter Fraud Arrangements	Key System	Not yet started	
Resources	ICT	ICT Business Continuity Plan	Assurance	Preparation	
Resources	ICT	Design and Print Service	Assurance	In Progress	
2015 / 2016 Internal Audit Plan					
Assistant Chief Executive (ACE)	Policy and Communications	Business Continuity Planning	Key System	Not yet started	
Assistant Chief Executive (ACE)	Policy and Communications	Strategy for Social Media	Advice & Consultancy	Cancelled	
Assistant Chief Executive (ACE)	Policy and Communications	Durham Ask Governance	Advice & Consultancy	Cancelled	
Assistant Chief Executive (ACE)	Planning and Performance	Data Quality Framework	Assurance	Preparation	
Assistant Chief Executive (ACE)	Planning and Performance	Data Protection	Assurance	Preparation	
Assistant Chief Executive (ACE)	Planning and Performance	Freedom of Information	Assurance	In Progress	
Assistant Chief Executive (ACE)	Planning and Performance	Information Governance Group	Advice & Consultancy	In Progress	
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Engagement (Consultation Strategy)	Advice & Consultancy	Preparation	
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Partnership Governance Framework	Key System	Preparation	
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Buildings Funding (Part 3)	Advice & Consultancy	Final Report	N/A
Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Grants (Governance & Payments)	Assurance	Draft Report	
Children and Adult Services (CAS)	Adult Care	Continuing Health Care	Assurance	Preparation	
Children and Adult Services (CAS)	Adult Care	Continuing Health Care / S117 Payments	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Adult Care	Adaptations Service Follow Up	Assurance	Preparation	
Children and Adult Services (CAS)	Adult Care	Implementation of the Care Act	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Adult Care	Extra Care	Assurance	In Progress	
Children and Adult Services (CAS)	Children's Services	Stronger Families Programme - Q1	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Children's Services	Stronger Families Programme - Q2	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Children's Services	Stronger Families Programme - Q3	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Children's Services	Adoption Service	Assurance	Cancelled	
Children and Adult Services (CAS)	Children's Services	Children's Centres / Homes - Cash handling arrangements - Tow Law / High Etherley	Assurance	Preparation	
Children and Adult Services (CAS)	Children's Services / PSS	Aycliffe Site - Collection and banking of income / petty cash management	Key System	In Progress	
Children and Adult Services (CAS)	Commissioning	Transport – Input into group established to consider outcomes of People 2 review.	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Commissioning	Management of Client Finances - Use of pre-paid cards Phase 1	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	Commissioning	Management of Client Finances - Use of pre-paid cards Phase 2	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Commissioning	Integration of Financial Services Team within Revenues and Benefits	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Commissioning	Arrangements for management and monitoring of contract information across service	Assurance	Cancelled	
Children and Adult Services (CAS)	Commissioning	Direct payments - Introduction of Pre-Paid Cards	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Commissioning	Personal Budgets	Assurance	Preparation	
Children and Adult Services (CAS)	Commissioning	Drug and Alcohol Services Contract Management Arrangements	Assurance	Not yet started	
Children and Adult Services (CAS)	Commissioning	Post Contract Arrangements	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Education Services	Adult Learning and Skills Service	Assurance	Final Report	Moderate
Children and Adult Services (CAS)	Education Services	Youth Employment Initiative	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Education Services	Arrangements for brokering of external providers of school improvement services	Assurance	Preparation	
Children and Adult Services (CAS)	Education Services	Schools Financial Value Standard (SFVS)	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Education Services	Governor Training	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Education Services	SBM Training	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Education Services	Headteacher Group	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Education Services	Careers Service	Assurance	Preparation	
Children and Adult Services (CAS)	Education Services	Education and Business Link	Assurance	Preparation	
Children and Adult Services (CAS)	Education Services	School Programme provided through SLA	Assurance	Various	16 Substantial 6 Moderate
Children and Adult Services (CAS)	PSS	Petty Cash and Imprest Accounts at Locality Offices	Advice & Consultancy	Final Report	N/A
Children and Adult Services (CAS)	PSS	Petty Cash and Imprest Accounts at Locality Offices	Assurance	Preparation	
Children and Adult Services (CAS)	PSS	E Market Place	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	PSS	Caldicott Compliance - SSID System	Assurance	Preparation	
Children and Adult Services (CAS)	PSS	Caldicott Compliance - POPPIE System	Assurance	Preparation	
Children and Adult Services (CAS)	PSS	Caldicott Group	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	PSS	Caldicott Compliance - DCRS	Assurance	Preparation	

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Children and Adult Services (CAS)	PSS / Public Health	DCRS - Quality of information held to inform key service performance indicators	Assurance	Preparation	
Children and Adult Services (CAS)	Public Health	Public Health - Data Quality (Performance Indicators) Mapping Exercise	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Public Health	Drug and Alcohol Estate	Advice & Consultancy	Preparation	
Children and Adult Services (CAS)	Education Services	School Programme for voluntary of private school funds provided through SLA	Assurance	Planned In Progress Complete	13 0 2
Children and Adult Services (CAS)	Education Services	Schools User Provider Group	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Education Services	Head Teacher Induction	Advice & Consultancy	In Progress	
Children and Adult Services (CAS)	Children and Adults	North of England Public Sector Internal Audit Forum	Advice & Consultancy	In Progress	
Neighbourhood Services (NS)	Culture & Sport	Stanley Bowls	Advice & Consultancy	Preparation	
Neighbourhood Services (NS)	Culture & Sport	County Durham Sport	Advice & Consultancy	Preparation	
Neighbourhood Services (NS)	Culture & Sport	Integrated Leisure Management System	Advice & Consultancy	In Progress	
Neighbourhood Services (NS)	Culture & Sport	Spennymoor Leisure Centre - Review of Core Financial Systems	Assurance	Final Report	Moderate
Neighbourhood Services (NS)	Culture & Sport	Newton Aycliffe Leisure Centre - Review of Core Financial Systems	Assurance	Final Report	Moderate
Neighbourhood Services (NS)	Culture & Sport	Fixed Play (Sn 106)	Assurance	Deferred to 2016/17	N/A
Neighbourhood Services (NS)	Culture & Sport	Leisureworks Management	Assurance	Preparation	
Neighbourhood Services (NS)	Culture & Sport	SevenHills - Review of resource distribution arrangements, Debtors, Expenditure and Stocks and Stores	Assurance	Preparation	
Neighbourhood Services (NS)	Culture & Sport	Locomotion Museum - Review of governance arrangements / Core Financial Systems	Assurance	Preparation	
Neighbourhood Services (NS)	Culture & Sport	Gala Theatre – Cinema Operator Procurement and links to Box Office	Assurance	In Progress	
Neighbourhood Services (NS)	Culture & Sport	CLUK Income Share Agreement	Assurance	Final Report	Substantial
Neighbourhood Services (NS)	Culture & Sport	Killhope Museum- Review of Core Financial Systems	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	School Billing Process	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Livin Housing Association Contract Follow Up	Assurance	Final Report	Substantial
Neighbourhood Services (NS)	Direct Services	Quality Management System (QMS)	Advice & Consultancy	Final Report	N/A
Neighbourhood Services (NS)	Direct Services	Quality Management System (QMS)	Advice & Consultancy	Preparation	
Neighbourhood Services (NS)	Direct Services	Clean and Green Complaints Handling	Assurance	Cancelled	N/A
Neighbourhood Services (NS)	Direct Services	Safer Communities / Anti-Social Behaviour Teams - MAIS and Child Sexual Exploitation	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Bereavement Services - Durham Crematorium	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Bereavement Services - Mountsett Crematorium	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Fleet Management - Follow Up	Assurance	In Progress	
Neighbourhood Services (NS)	Direct Services	Use of Fuel Cards	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Property Help Desk - Schools and Public Building Maintenance	Advice & Consultancy	Preparation	
Neighbourhood Services (NS)	EHCP	Trading Standards Grant	Advice & Consultancy	Final Report	N/A
Neighbourhood Services (NS)	EHCP	Food Safety	Assurance	Final Report	Substantial
Neighbourhood Services (NS)	EHCP	Licensing Review of Miscellaneous Registrations - Fee setting and cost recovery	Assurance	Preparation	
Neighbourhood Services (NS)	EHCP	Licensing Enforcement	Assurance	Preparation	
Neighbourhood Services (NS)	EHCP	Pest Control and Accumulations	Assurance	Preparation	
Neighbourhood Services (NS)	EHCP	Works in Default	Assurance	In Progress	
Neighbourhood Services (NS)	EHCP	Markets - Review of income collection and contract monitoring arrangements	Assurance	Draft Report	
Neighbourhood Services (NS)	EHCP	Weights and Measures Approved Body Status	Assurance	Preparation	
Neighbourhood Services (NS)	Projects & Business Services	Customer Services Complaints	Assurance	Preparation	
Neighbourhood Services (NS)	Projects & Business Services	Environmental Compliance	Advice & Consultancy	In Progress	
Neighbourhood Services (NS)	Projects & Business Services	Fly Tipping	Assurance	Preparation	
Neighbourhood Services (NS)	Projects & Business Services	TEEP	Advice & Consultancy	Preparation	
Neighbourhood Services (NS)	Projects & Business Services	Sickness Management - Revised absence recording mechanisms (Corporate Activity)	Assurance	Preparation	
Neighbourhood Services (NS)	Technical Services	CDM Compliance	Assurance	Preparation	
Neighbourhood Services (NS)	Technical Services / Direct Services	Stores Management - On site processes for disposal of surplus materials	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Allotments Management Follow UP	Assurance	Preparation	
Neighbourhood Services (NS)	Direct Services	Woodland Burial Trust	Assurance	Final Report	N/A
Neighbourhood Services (NS)	EHCP	Animal Health Follow UP	Assurance	Not yet started	
Neighbourhood Services (NS)	Technical Services	Local Highways Maintenance Funding - Incentive Element	Advice & Consultancy	Final Report	N/A
Regeneration and Economic Development (RED)	Planning and Assets	Carbon Reduction Commitment	Assurance	Final Report	Moderate
Regeneration and Economic Development (RED)	Planning and Assets	Community Infrastructure Levy	Advice & Consultancy	Not yet started	
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	EU Structural Funds Programme	Assurance	Deferred to 2016/17	
Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	Project Management Arrangements	Advice & Consultancy	Preparation	
Regeneration and Economic Development (RED)	Transport and Contract Services	Park and Ride	Assurance	Draft Report	
Regeneration and Economic Development (RED)	Transport and Contract Services	Telecare Services & Care Connect	Assurance	Preparation	
Regeneration and Economic Development (RED)	Transport and Contract Services	CCTV	Assurance	Preparation	
Regeneration and Economic Development (RED)	Economic Development and Housing	Mentoring Project	Assurance	Final Report	Moderate
Regeneration and Economic Development (RED)	Economic Development and Housing	Durham Employment and Skills	Assurance	Preparation	

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2015

SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Regeneration and Economic Development (RED)	Economic Development and Housing	International Relations	Assurance	In Progress	
Regeneration and Economic Development (RED)	Economic Development and Housing	West Rainton and Leamside CA	Advice & Consultancy	Final Report	N/A
Regeneration and Economic Development (RED)	Economic Development and Housing	Business Durham	Assurance	Preparation	
Regeneration and Economic Development (RED)	Economic Development and Housing	Private Sector Housing (Selective Licensing)	Assurance	Draft Report	
Regeneration and Economic Development (RED)	Economic Development and Housing	Gypsy, Roma, Traveller Sites	Assurance	Preparation	
Regeneration and Economic Development (RED)	Economic Development and Housing	Durham Villages Regeneration Company	Advice & Consultancy	In Progress	
Regeneration and Economic Development (RED)	Planning and Assets	Building Control - Online Payments	Assurance	Final Report	Substantial
Regeneration and Economic Development (RED)	Economic Development and Housing	Disabled Facilities Grant	Assurance	Final Report	Moderate
Resources	HR&OD	Flexi Scheme	Assurance	Preparation	
Resources	HR&OD	Recruitment & Selection Policy	Assurance	Preparation	
Resources	HR&OD	Flexible Working - Variations to Contracts	Assurance	Preparation	
Resources	HR&OD	Appraisals	Assurance	Preparation	
Resources	HR&OD	Attendance Management Framework	Assurance	Preparation	
Resources	HR&OD	Violent Persons Register	Assurance	Preparation	
Resources	HR&OD	Occupational Health	Assurance	Cancelled	
Resources	Legal and Democratic Services	Committee Services (incl. Modern.gov)	Assurance	Final Report	Substantial
Resources	Legal and Democratic Services	Member Declarations of Interest	Assurance	Preparation	
Resources	Legal and Democratic Services	Officer Scheme of Delegation	Assurance	Draft Report	
Resources	Legal and Democratic Services	Newco	Assurance	Preparation	
Resources	Legal and Democratic Services	RIPA	Advice & Consultancy	In Progress	
Resources	Corporate Finance	General Ledger	Key System	Preparation	
Resources	Corporate Finance	MTFP	Key System	Not yet started	
Resources	Corporate Finance	Capital Accounting	Key System	Preparation	
Resources	Corporate Finance	Journal Transfers	Key System	Preparation	
Resources	Corporate Finance	Bank Reconciliation	Key System	Preparation	
Resources	Corporate Finance	Direct Debit Payments	Assurance	Preparation	
Resources	Corporate Finance	Treasury Management	Key System	Preparation	
Resources	Corporate Finance	Teachers Pension Fund (2015/16 = Follow Up)	Assurance	Final Report	Substantial
Resources	Corporate Finance	Bank Contract	Advice & Consultancy	In Progress	
Resources	Corporate Finance	Leases	Assurance	In Progress	
Resources	Corporate Finance	Procurement - Procurement Cards	Assurance	In Progress	
Resources	Corporate Finance	Procurement - Document Retention	Advice & Consultancy	Preparation	
Resources	Corporate Finance	Procurement - Contract Management	Assurance	In Progress	
Resources	Corporate Finance	Procurement - Off Contract Spend	Assurance	In Progress	
Resources	Corporate Finance	Procurement - Contract Procedure Rules	Assurance	In Progress	
Resources	Corporate Finance	Oracle Project Group	Advice & Consultancy	In Progress	
Resources	Financial Services	Subsistence Claims	Counter Fraud	In Progress	
Resources	Financial Services	Business Rates - Charities	Counter Fraud	Final Report	N/A
Resources	Financial Services	Payroll	Key System	Preparation	
Resources	Financial Services	Taxation - PAYE	Assurance	Preparation	
Resources	Financial Services	Budgetary Control (lighter touch)	Key System	Not yet started	
Resources	Financial Services	Revs and Bens Reconciliations	Key System	Draft Report	
Resources	Financial Services	Creditor Payments	Key System	Preparation	
Resources	Financial Services	Creditors Working Group	Advice & Consultancy	In Progress	
Resources	Financial Services	Business Rates	Key System	Not yet started	