

APPENDIX A: DURHAM COUNTY COUNCIL - EMERGENT INTERNAL AUDIT PLAN 2016/2017

Audit Title	Service Grouping	Service	Audit Type	No. Days	Link to Council Plan
Business Continuity	Assistant Chief Executive	Policy and Communications	Key System	10	Altogether Better Council
Data Quality	Assistant Chief Executive	Planning and Performance	Assurance	10	Altogether Better Council
Equality Impact Assessment process for MTFP	Assistant Chief Executive	Planning and Performance	Assurance	10	Altogether Better Council
Data Protection (include DP Healthchecks for NS)	Assistant Chief Executive	Planning and Performance	Assurance	20	Altogether Better Council
County Records Office	Assistant Chief Executive	Planning and Performance	Assurance	7	Altogether Better Council
Information Governance Group	Assistant Chief Executive	Planning and Performance	Advice & Consultancy	3	Altogether Better Council
Community Grants	Assistant Chief Executive	Partnerships and Community Engagement	Assurance	10	Altogether Better Council
Shared Lives - Review of effectiveness of Service	Children and Adult Services	Adult Care	Assurance	20	
Reablement Services - Review of effectiveness of Service	Children and Adult Services	Adult Care	Assurance	20	
Continuing Health Care (Deferred 2015/16)	Children and Adult Services	Adult Care	Assurance	20	
Pathways - Establishment Audit	Children and Adult Services	Adult Care	Assurance	10	
Pathways - Establishment Audit (Closure)	Children and Adult Services	Adult Care	Assurance	15	
Implementation of the Care Act	Children and Adult Services	Adult Care	Advice & Consultancy	10	
Adaptations	Children and Adult Services	Adult Care	Assurance	5	
Children's Homes - Establishment Audit	Children and Adult Services	Children's Services	Assurance	10	
One Point Hubs - Establishment Audit	Children and Adult Services	Children's Services	Assurance	20	
Supervised Spend - Leaving Care Service Follow Up	Children and Adult Services	Children's Services	Assurance	15	
Aycliffe Locality Office, Residential and Secure Services Follow Up	Children and Adult Services	Children's Services	Assurance	15	
Think Family Programme	Children and Adult Services	Children's Services	Grant Claims	3	
Direct Payment Cards	Children and Adult Services	Commissioning	Advice & Consultancy	5	
Procurement - Arrangements for contract management and monitoring	Children and Adult Services	Commissioning	Advice & Consultancy	10	
Transport - Input into groups established to consider outcomes of People 2 review.	Children and Adult Services	Commissioning	Advice & Consultancy	15	
Schools - Safe Recruitment and Selection	Children and Adult Services	Education Services	Assurance	15	
Schools Financial Value Standard (SFVS)	Children and Adult Services	Education Services	Advice & Consultancy	10	
Education and Business Learning Organisation	Children and Adult Services	Education Services	Assurance	10	
Youth Employment Initiative - Support in developing control framework.	Children and Adult Services	Education Services	Advice & Consultancy	20	
Careers Service (Deferred 2015/16)	Children and Adult Services	Education Services	Assurance	10	
The Woodlands (Pupil Referral Unit) - Review of Finance and Governance arrangements.	Children and Adult Services	Education Services	Assurance	3	
Information Security - Caldicott Compliance	Children and Adult Services	PSS	Assurance	10	
Petty Cash Arrangements: Locality Offices	Children and Adult Services	PSS	Advice & Consultancy	10	
Stop Smoking Service (Nicotine Replacement Vouchers)	Children and Adult Services	Public Health	Advice & Consultancy	2	
Supervised Consumption (Pharmoutcomes)	Children and Adult Services	Public Health	Advice & Consultancy	2	
Alcohol Brief Interventions Service (Pharmoutcomes)	Children and Adult Services	Public Health	Advice & Consultancy	2	
Stop Smoking Service (Nicotine Replacement Vouchers)	Children and Adult Services	Public Health	Assurance	10	
DCRS - Quality of information held to inform key service performance indicators	Children and Adult Services	Public Health	Assurance	5	
School Programme (SLA)	Schools	Education Services	Assurance	300	
School Voluntary or Private School Funds (SLA)	Schools	Education Services	Assurance	25	
Schools - Grant work	Schools	Education Services	Grant Claims	5	
Bulky Goods Collections Service	Neighbourhood Services	Direct Services	Advice & Consultancy	8	
Bereavement Services - Paupers Funeral Arrangements	Neighbourhood Services	Direct Services	Advice & Consultancy	5	
Allotment Management - Follow Up	Neighbourhood Services	Direct Services	Assurance	10	
Fuel Stocks & Stores	Neighbourhood Services	Direct Services	Assurance	20	
Building Services, Repairs & Maintenance works billing processes	Neighbourhood Services	Direct Services	Assurance	25	
QMS (Quarterly Visit)	Neighbourhood Services	Direct Services	Advice & Consultancy	5	
Facilities Management	Neighbourhood Services	Direct Services	Assurance	15	
Electrical Components - Procurement Card Expenditure (Follow Up to Part 1)	Neighbourhood Services	Direct Services	Assurance	10	
Play Areas - Inspection Mechanisms and Charges to Parish & Town Councils	Neighbourhood Services	Direct Services	Assurance	8	
Control of Infectious Diseases (Third Party Assurance)	Neighbourhood Services	EHCP	Assurance	5	
Pollution Control - Planning Consultation Arrangements	Neighbourhood Services	EHCP	Assurance	5	
Contaminated Land	Neighbourhood Services	EHCP	Assurance	5	
Trading Standards Grant	Neighbourhood Services	EHCP	Grant Claim	4	
Garden Waste Collection	Neighbourhood Services	Projects and Business Services	Assurance	5	
Environmental Compliance	Neighbourhood Services	Projects and Business Services	Advice & Consultancy	10	
CRM System Implementation	Neighbourhood Services	Projects and Business Services	Advice & Consultancy	10	
Customer Services Complaints	Neighbourhood Services	Projects and Business Services	Assurance	10	

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Leisure Centre - Core Financial Systems (Shildon & Teesdale)	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
Leisure Works management arrangements (Consett Leisure Centre)	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
Leisure Works management arrangements (Peterlee and Seaham Leisure Centres)	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
CLUK Income Share Agreement	Neighbourhood Services	Sport and Leisure Services	Assurance	6	
County Durham Sport	Neighbourhood Services	Sport and Leisure Services	Grant Claim	3	
County Durham Sport	Neighbourhood Services	Sport and Leisure Services	Advice & Consultancy	2	
Stanley Bowls	Neighbourhood Services	Sport and Leisure Services	Audit of Accounts	5	
Integrated Leisure Management System	Neighbourhood Services	Sport and Leisure Services	Assurance	15	
DLI Museum	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
Gala Stage School	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
Gala ticketing system arrangements	Neighbourhood Services	Sport and Leisure Services	Advice & Consultancy	5	
Locomotion - Follow Up	Neighbourhood Services	Sport and Leisure Services	Assurance	10	
Civil Engineering Framework Sub £50K - Follow Up	Neighbourhood Services	Technical Services	Assurance	5	
Stores (Buildings & Highways)	Neighbourhood Services	Technical Services	Assurance	30	
Durham Crematorium	Crematoria	Direct Services	Assurance (Joint Ctte)	19	
Mounsett Crematorium	Crematoria	Direct Services	Assurance (Joint Ctte)	19	
Carbon Reduction Commitment	Regeneration and Economic Development	Planning and Assets	Assurance	5	Altogether Green
Utility Bills	Regeneration and Economic Development	Planning and Assets	Assurance	10	Altogether Green
Section 106 arrangements	Regeneration and Economic Development	Planning and Assets	Assurance	10	Altogether Better Council
Community Infrastructure Levy	Regeneration and Economic Development	Planning and Assets	Advice & Consultancy	2	Altogether Better Council
Building Control - Systems Review	Regeneration and Economic Development	Planning and Assets	Assurance	15	Altogether Better Council
Asset Management	Regeneration and Economic Development	Planning and Assets	Assurance	20	Altogether Better Council
Low Carbo	Regeneration and Economic Development	Planning and Assets	Grant	4	Altogether Better Council
Rebus	Regeneration and Economic Development	Planning and Assets	Grant	4	Altogether Better Council
EU Structural Funds Programme	Regeneration and Economic Development	Strategy, Programmes and Performance	Assurance	10	Altogether Better Council
Public Right of Way	Regeneration and Economic Development	Transport and Contract Services	Assurance	10	Altogether Safer Council
On Street and Off Street Parking	Regeneration and Economic Development	Transport and Contract Services	Assurance	15	Altogether Safer Council
Concessionary Fares	Regeneration and Economic Development	Transport and Contract Services	Assurance	10	Altogether Better Council
Local Transport Capital Block Funding	Regeneration and Economic Development	Transport and Contract Services	Grant	3	Altogether Better Council
Local Pinch Point Fund	Regeneration and Economic Development	Transport and Contract Services	Grant	3	Altogether Better Council
Bus Subsidy Ring Fenced Grant	Regeneration and Economic Development	Transport and Contract Services	Grant	3	Altogether Better Council
Seaham Marina Grant (Capital)	Regeneration and Economic Development	Economic Development and Housing	Advice & Consultancy	5	Altogether Wealthier
Accommodation Project	Regeneration and Economic Development	Economic Development and Housing	Advice & Consultancy	10	Altogether Better Council
Disabled Facilities Grant	Regeneration and Economic Development	Economic Development and Housing	Grant	2	Altogether Better Council
RIPA Officers Group	Resources	Legal and Democratic Services	Advice & Consultancy	2	Altogether Better Council
Medium Term Financial Plan	Resources	Corporate Finance and HR	Key System	10	Altogether Better Council
Capital Accounting	Resources	Corporate Finance and HR	Key System	10	Altogether Better Council
General Ledger	Resources	Corporate Finance and HR	Key System	5	Altogether Better Council
Bank Reconciliation	Resources	Corporate Finance and HR	Key System	8	Altogether Better Council
Short Term Investments	Resources	Corporate Finance and HR	Key System	10	Altogether Better Council
Banking Arrangements	Resources	Corporate Finance and HR	Assurance	10	Altogether Better Council
Tendering/Quotation arrangements	Resources	Corporate Finance and HR	Assurance	20	Altogether Better Council
Contract Management	Resources	Corporate Finance and HR	Assurance	15	Altogether Better Council
Procurement (any other areas)	Resources	Corporate Finance and HR	Assurance	20	Altogether Better Council
Oracle Programme Board	Resources	Corporate Finance and HR	Advice & Consultancy	4	Altogether Better Council
Oracle Project - Transactional Purchasing Improvement Group	Resources	Corporate Finance and HR	Advice & Consultancy	8	Altogether Better Council
Oracle Project - Petty Cash and Payment Cards	Resources	Corporate Finance and HR	Advice & Consultancy	8	Altogether Better Council
Service Reviews	Resources	Corporate Finance and HR	Advice & Consultancy	18	Altogether Better Council
Attendance Management Framework	Resources	Corporate Finance and HR	Assurance	15	Altogether Better Council
Flexible Working Pilot arrangements	Resources	Corporate Finance and HR	Advice & Consultancy	5	Altogether Better Council
Learning & Development	Resources	Corporate Finance and HR	Advice & Consultancy	10	Altogether Better Council
Health & Safety training requirements	Resources	Corporate Finance and HR	Assurance	10	Altogether Better Council
Agency	Resources	Financial and HR Services	Assurance	10	Altogether Better Council
Learning Disability Shared Lives Service - Financial Inspections	Resources	Financial and HR Services	Assurance	10	Altogether Better Council

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Creditors	Resources	Financial and HR Services	Key System	50	Altogether Better Council
IPIG	Resources	Financial and HR Services	Advice & Consultancy	5	Altogether Better Council
Payroll	Resources	Financial and HR Services	Key System	50	Altogether Better Council
Business Rates	Resources	Financial and HR Services	Key System	40	Altogether Better Council
HB, CTR, DHP and Welfare Assistance	Resources	Financial and HR Services	Key System	40	Altogether Better Council
HB Sundry Debtor Overpayments	Resources	Financial and HR Services	Key System	5	Altogether Better Council
Enforcement, including bailiff arrangements	Resources	Financial and HR Services	Assurance	10	Altogether Better Council
Council Tax	Resources	Financial and HR Services	Key System	40	Altogether Better Council
Cash Collection	Resources	Financial and HR Services	Key System	50	Altogether Better Council
Debtors	Resources	Financial and HR Services	Key System	50	Altogether Better Council
Debtors Working Group	Resources	Financial and HR Services	Advice & Consultancy	5	Altogether Better Council
Chapter Homes arrangements	Resources	Financial and HR Services	Advice & Consultancy	5	Altogether Better Council
Caspar system	Resources	Financial and HR Services	Advice & Consultancy	5	Altogether Better Council
ResourceLink Migration Group	Resources	Financial and HR Services	Advice & Consultancy	15	Altogether Better Council
Section 256 agreements / Better Care Fund	Resources	Financial and HR Services	Grant certification	10	Altogether Better Council
Information Security Policies	Resources	Information and Communication Technology	Assurance	20	Altogether Better Council
Mobile Computing	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
SQL Server	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
ICT Purchasing	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
ICT Strategy	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council