

**ANNUAL INTERNAL AUDIT PLAN 2016 / 2017 (April 2016 to March 2017)**

<b>CORPORATE PROVISIONS</b>	<b>DAYS</b>
<b>PLANNING, REPORTING AND SERVICE DEVELOPMENT</b>	
Audit Planning and Reporting	450
Follow Up of Audit Recommendations	60
Quality Assurance and Performance Management	350
Service Development	75
External Audit Liaison	2
Audit Committee Reporting and Support	20
<b>COUNTER FRAUD</b>	
Irregularity Investigation	200
Counter Fraud Awareness	75
National Fraud Initiative	100
Tenancy investigations	50.0
Council Tax Reduction Investigations	75.0
Single Person Discount Investigations	65.0
Business Rates Investigations	35.0
Direct Payment Investigations	20.0
Blue Badge Investigations	25.0
Insurance Investigations	40.0
Proceeds of Crime Act (POCA)	2.0
DPA Requests for Information	10.0
SPOCC Requests	100.0
Counter Fraud Administration	25.0
Organised Crime	30.0
Proactive Counter Fraud Reviews including:	
<i>Financial Assessments</i>	20
<i>Blue Badge</i>	20
<i>Recourse to Public Funds</i>	20
<i>Schools Declarations of Interest</i>	20
<i>School Admissions</i>	20
<i>Employee Declarations of Interest</i>	20
<i>Members Gifts &amp; Hospitality</i>	20
<b>CONTINGENCY</b>	
Advice and Consultancy	90
Contingency	90

<b>2016 / 2017 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	Assistant Chief Executive (ACE)	Policy and Communications	Key System	10	Altogether Better Council
Data Quality	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	10	Altogether Better Council
Equality Impact Assessment process for MTFP	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	10	Altogether Better Council
Data Protection (include DP Healthchecks for NS)	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	20	Altogether Better Council
County Records Office	Assistant Chief Executive (ACE)	Planning and Performance	Assurance	7	Altogether Better Council
Information Governance Group	Assistant Chief Executive (ACE)	Planning and Performance	Advice & Consultancy	3	Altogether Better Council
Community Grants	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Assurance	10	Altogether Better Council
Shared Lives - Review of effectiveness of Service	Children and Adult Services (CAS)	Adult Care	Assurance	20	
Reablement Services - Review of effectiveness of Service	Children and Adult Services (CAS)	Adult Care	Assurance	20	
Continuing Health Care (Deferred 2015/16)	Children and Adult Services (CAS)	Adult Care	Assurance	20	
Pathways - Establishment Audit	Children and Adult Services (CAS)	Adult Care	Assurance	10	
Pathways - Establishment Closure Audit (Consett)	Children and Adult Services (CAS)	Adult Care	Assurance	5	
Pathways - Establishment Closure Audit (Chester le Street)	Children and Adult Services (CAS)	Adult Care	Assurance	5	
Pathways - Establishment Closure Audit (Bishop Auckland)	Children and Adult Services (CAS)	Adult Care	Assurance	5	
<b>2016 / 2017 INTERNAL AUDIT PLAN</b>					

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Implementation of the Care Act	Children and Adult Services (CAS)	Adult Care	Advice & Consultancy	10	Altogether Healthier
Adaptations	Children and Adult Services (CAS)	Adult Care	Assurance	5	Altogether Healthier
Children's Homes - Establishment Audit	Children and Adult Services (CAS)	Children's Services	Assurance	10	Altogether Better for Children and Young People
One Point Hubs - Establishment Audit	Children and Adult Services (CAS)	Children's Services	Assurance	20	Altogether Better for Children and Young People
Supervised Spend - Leaving Care Service Follow Up	Children and Adult Services (CAS)	Children's Services	Assurance	15	Altogether Better for Children and Young People
Aycliffe Locality Office, Residential and Secure Services Follow Up	Children and Adult Services (CAS)	Children's Services	Assurance	15	Altogether Better for Children and Young People
Think Family Programme	Children and Adult Services (CAS)	Children's Services	Grant Claims	3	Altogether Better for Children and Young People
Direct Payment Cards	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	5	Altogether Better Council
Procurement - Arrangements for contract management and monitoring	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	10	Altogether Better Council
Transport – Input into groups established to consider outcomes of People 2 review.	Children and Adult Services (CAS)	Commissioning	Advice & Consultancy	15	Altogether Better Council
Schools - Safe Recruitment and Selection	Children and Adult Services (CAS)	Education Services	Assurance	15	Altogether Better for Children and Young People
Schools Financial Value Standard (SFVS) Completion of CFO Assurance Statement for 2015/2016	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	10	Altogether Better Council
Education and Business Learning Organisation (Deferred 2015/16)	Children and Adult Services (CAS)	Education Services	Assurance	10	Altogether Better Council
Youth Employment Initiative - Support in developing control framework.	Children and Adult Services (CAS)	Education Services	Advice & Consultancy	20	Altogether Better for Children and Young People
Careers Service (Deferred 2015/16)	Children and Adult Services (CAS)	Education Services	Assurance	10	Altogether Better for Children and Young People
The Woodlands (Pupil Referral Unit) - Review of Finance and Governance arrangements	Children and Adult Services (CAS)	Education Services	Assurance	3	Altogether Better for Children and Young People
School Programme	Children and Adult Services (CAS)	Education Services	Assurance	333	Altogether Better for Children and Young People
Information Security - Caldicott Compliance	Children and Adult Services (CAS)	PSS	Assurance	10	Altogether Better Council
Petty Cash Arrangements: Locality Offices	Children and Adult Services (CAS)	PSS	Advice & Consultancy	10	Altogether Better Council
Stop Smoking Service (Nicotine Replacement Vouchers) Revisit further to Advice and Consultancy work currently being undertaken in support of the service.	Children and Adult Services (CAS)	Public Health	Advice & Consultancy	2	Altogether Healthier
Supervised Consumption (Pharmoutcomes) Review potential for delivering VFM in dispensing of prescriptions.	Children and Adult Services (CAS)	Public Health	Advice & Consultancy	2	Altogether Healthier
Alcohol Brief Interventions Service (Pharmoutcomes) Revisit further to Advice and Consultancy work currently being undertaken in support of service.	Children and Adult Services (CAS)	Public Health	Advice & Consultancy	2	Altogether Healthier
Stop Smoking Service (Nicotine Replacement Vouchers) Revisit further to Advice and Consultancy	Children and Adult Services (CAS)	Public Health	Assurance	10	Altogether Healthier
DCRS - Quality of information held to inform key service performance indicators (Deferred 2015/16)	Children and Adult Services (CAS)	Public Health	Assurance	5	Altogether Better Council
Bulky Goods Collections Service	Neighbourhood Services (NS)	Direct Services	Advice & Consultancy	8	Altogether Better Council
Bereavement Services - Public Health Funeral Arrangements	Neighbourhood Services (NS)	Direct Services	Advice & Consultancy	5	Altogether Better Council
Allotment Management - Follow Up	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Better Council
Durham Crematorium	Neighbourhood Services (NS)	Direct Services	Assurance (Joint Ctte)	19	Altogether Better Council
Mounsett Crematorium	Neighbourhood Services (NS)	Direct Services	Assurance (Joint Ctte)	19	Altogether Better Council
Fuel Stocks & Stores	Neighbourhood Services (NS)	Direct Services	Assurance	20	Altogether Better Council
Building Services, Repairs & Maintenance works billing processes	Neighbourhood Services (NS)	Direct Services	Assurance	25	Altogether Better Council
QMS (Quarterly Visit)	Neighbourhood Services (NS)	Direct Services	Advice & Consultancy	5	Altogether Better Council
Facilities Management	Neighbourhood Services (NS)	Direct Services	Assurance	15	Altogether Better Council
Electrical Components - Procurement Card Expenditure (Follow Up to Part 1	Neighbourhood Services (NS)	Direct Services	Assurance	10	Altogether Better Council
Play Areas - Inspection Mechanisms and Charges to Parish & Town Councils	Neighbourhood Services (NS)	Direct Services	Assurance	8	Altogether Better Council
Control of Infectious Diseases (Third Party Assurance)	Neighbourhood Services (NS)	EHCP	Assurance	5	Altogether Better Council
Pollution Control - Planning Consultation Arrangements	Neighbourhood Services (NS)	EHCP	Assurance	5	Altogether Better Council
Contaminated Land	Neighbourhood Services (NS)	EHCP	Assurance	5	Altogether Better Council
Trading Standards Grant	Neighbourhood Services (NS)	EHCP	Grant Claim	4	Altogether Better Council
Garden Waste Collection	Neighbourhood Services (NS)	Projects and Business Services	Assurance	5	Altogether Greener
Environmental Compliance	Neighbourhood Services (NS)	Projects and Business Services	Advice & Consultancy	10	Altogether Greener
CRM System Implementation	Neighbourhood Services (NS)	Projects and Business Services	Advice & Consultancy	10	Altogether Better Council
Customer Services Complaints	Neighbourhood Services (NS)	Projects and Business Services	Assurance	10	Altogether Better Council
Leisure Centre - Core Financial Systems (Shildon & Teesdale)	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Leisure Works management arrangements (Consett Leisure Centre)	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Life management arrangements (Peterlee and Seaham Leisure Centres)	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Review of Leisure Centre Timesheet authorisation procedures	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	15	Altogether Better Council
CLUK Income Share Agreement	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	6	Altogether Better Council
County Durham Sport	Neighbourhood Services (NS)	Sport and Leisure Services	Advice & Consultancy	2	Altogether Better Council
Stanley Bowls	Neighbourhood Services (NS)	Sport and Leisure Services	Audit of Accounts	5	Altogether Better Council
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Integrated Leisure Management System	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	15	Altogether Better Council
DLI Museum	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Gala Stage School	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Picture House and Gala ticketing system arrangements	Neighbourhood Services (NS)	Sport and Leisure Services	Advice & Consultancy	5	Altogether Better Council

Locomotion - Follow Up	Neighbourhood Services (NS)	Sport and Leisure Services	Assurance	10	Altogether Better Council
Civil Engineering Framework Sub £50K - Follow Up	Neighbourhood Services (NS)	Technical Services	Assurance	5	Altogether Better Council
Stores (Buildings & Highways)	Neighbourhood Services (NS)	Technical Services	Assurance	30	Altogether Better Council
Local Highways Maintenance Fund - Incentive Element	Neighbourhood Services (NS)	Technical Services	Grant Claim	5	Altogether Better Council
Woodland Burial Trust	Neighbourhood Services (NS)		Advice & Consultancy	5	Altogether Better Council
Utility Bills	Regeneration and Economic Development (RED)	Planning and Assets	Assurance	10	Altogether Green
Section 106 arrangements	Regeneration and Economic Development (RED)	Planning and Assets	Assurance	10	Altogether Better Council
Building Control - Systems Review	Regeneration and Economic Development (RED)	Planning and Assets	Assurance	15	Altogether Better Council
Asset Management	Regeneration and Economic Development (RED)	Planning and Assets	Assurance	20	Altogether Better Council
Land Sales - Quality and Price	Regeneration and Economic Development (RED)	Planning and Assets	Advice & Consultancy	2	Altogether Better Council
Low Carbo	Regeneration and Economic Development (RED)	Planning and Assets	Grant	4	Altogether Better Council
Rebus	Regeneration and Economic Development (RED)	Planning and Assets	Grant	4	Altogether Better Council
EU Structural Funds Programme	Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	Assurance	5	Altogether Better Council
Project Management arrangements	Regeneration and Economic Development (RED)	Strategy, Programmes and Performance	Advice & Consultancy	5	Altogether Better Council
Public Right of Way	Regeneration and Economic Development (RED)	Transport and Contract Services	Assurance	10	Altogether Safer Council
On Street and Off Street Parking	Regeneration and Economic Development (RED)	Transport and Contract Services	Assurance	15	Altogether Safer Council
Concessionary Fares	Regeneration and Economic Development (RED)	Transport and Contract Services	Assurance	10	Altogether Better Council
Transport Contractual Arrangements (follow up)	Regeneration and Economic Development (RED)	Transport and Contract Services	Assurance	10	Altogether Better Council
Local Transport Capital Block Funding	Regeneration and Economic Development (RED)	Transport and Contract Services	Grant	3	Altogether Better Council
Local Pinch Point Fund	Regeneration and Economic Development (RED)	Transport and Contract Services	Grant	3	Altogether Better Council
Bus Subsidy Ring Fenced Grant	Regeneration and Economic Development (RED)	Transport and Contract Services	Grant	3	Altogether Better Council
Seaham Marina Grant (Capital)	Regeneration and Economic Development (RED)	Economic Development and Housing	Advice & Consultancy	5	Altogether Wealthier
Accommodation Project	Regeneration and Economic Development (RED)	Economic Development and Housing	Advice & Consultancy	10	Altogether Better Council
Disabled Facilities Grant	Regeneration and Economic Development (RED)	Economic Development and Housing	Grant	2	Altogether Better Council
Netpark Phase 3	Regeneration and Economic Development (RED)	Economic Development and Housing	Grant	2	Altogether Better Council
RIPA Officers Group	Resources	Legal and Democratic Services	Advice & Consultancy	2	Altogether Better Council
Newco Trading Arrangements - Follow Up	Resources	Legal and Democratic Services	Assurance	5	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
Off Contract Spend	Resources	Corporate Finance and HR	Assurance	15	Altogether Better Council
Procurement - Schools Commercial Focus	Resources	Corporate Finance and HR	Advice & Consultancy	5	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
Employee Car Leasing Scheme	Resources	Corporate Finance and HR	Advice & Consultancy	5	Altogether Better Council
SLAs with schools working group	Resources	Corporate Finance and HR	Advice & Consultancy	1	Altogether Better Council
Flexible Working - Variations to Contracts	Resources	Financial and HR Services	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
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
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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	Resources	Financial and HR Services	Grant certification	5	Altogether Better Council
Better Care Fund (Section 75)	Resources	Financial and HR Services	Grant certification	5	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
Windows	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council
Asset Register	Resources	Information and Communication Technology	Assurance	10	Altogether Better Council