

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2016

SERVICE GROUPING	FORMER SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
2015 / 2016 Internal Audit Plan - Audits Brought Forward						
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Data Quality Framework	Assurance	Final	Moderate
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	DP - Data Breach arrangements	Assurance	Preparation	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Freedom of Information	Assurance	Final	Moderate
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	AAPs: Performance Management Framework	Assurance	Final	Substantial
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Partnership Governance Framework	Key System	Final	Moderate
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Section 117 Process	Advice & Consultancy	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Extra Care Housing - Prepaid Card Roll Out	Advice & Consultancy	Final	N/A
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Reablement Car Mileages	Advice & Consultancy	Final	N/A
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Inspection of Licensing - Body Art Licences	Assurance	Final	Substantial
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Licensing Enforcement - Safeguarding Complaints	Assurance	Final	Substantial
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Accumulations	Assurance	Final	N/A
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Works in Default	Assurance	Final	Substantial
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Consumer Services - Weights and Measures Approved Body Status	Assurance	Cancelled	N/A
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	E Market Place	Advice & Consultancy	Defer to 2017/18	N/A
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	SSID System Review	Assurance	Final	Substantial
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	POPPIE Systems Review	Assurance	Final	Substantial
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	County Durham Well Being for Life Service - DCRS	Assurance	Final	Moderate
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Drug and Alcohol Treatment Services - Contract Management Arrangements	Assurance	Final	Moderate
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Review of Lifeline Contract	Assurance	Final	Moderate
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Delivery of 0-19 Services - Due Diligence	Advice & Consultancy	In Progress	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Foster Carer Payments	Assurance	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Children's Homes - High Etherley	Assurance	Final	Limited
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Children's Homes - Framwellgate Moor	Assurance	Final	Moderate
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Children Safeguarding Governance Arrangements	Assurance	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Supervised Spend - Leaving Care	Assurance	Final	Limited
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Planning & Service Strategy	SSID System Review	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Telecare Services & Care Connect	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Supported Housing - CCTV	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Transport - Contractual arrangements	Assurance	Final	Limited
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Gypsy Roma Traveller Sites	Assurance	Draft	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Business Durham	Assurance	Final	Moderate
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Financial Assistance Programme	Assurance	Final	Moderate
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Durham Employment and Skills	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	International Relations	Assurance	Final	Moderate
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Durham Villages Regeneration Company	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Contract Audit - Direct Services	Assurance	Final	Moderate
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Effectiveness of MAIS and CSE Arrangements	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Fly Tipping	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Fleet Management - Development of Fleet Management System	Advice & Consultancy	In Progress	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	Compensation Payments	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	Environmental Compliance	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Compliance with Construction, Design and Maintenance Procedures	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Stores Management - Disposal of Waste Materials	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Capital Project Review	Assurance	Final	Moderate
Resources		Legal and Demoncratic Services	Land Charges	Assurance	Final	Moderate
Resources		Corporate Finance and HR	Procurement - Off Contract Spend	Assurance	Final	Moderate
Resources		Corporate Finance and HR	Procurement - CPRs	Assurance	Final	Substantial
Resources		Corporate Finance and HR	Procurement cards	Assurance	Draft	
Resources		Corporate Finance and HR	Journals	Key System	Final	Substantial
Resources		Corporate Finance and HR	Recruitment and Selection	Assurance	Final	Substantial
Resources		Corporate Finance and HR	Appraisals	Assurance	Final	Moderate
Resources		Corporate Finance and HR	Violent Persons Register	Assurance	TOR	
Resources		Corporate Finance and HR / CAS	Employee tribunal arrangements	Advice & Consultancy	Final	N/A
Resources		Financial and HR Services	Council Tax	Key System	Final	Substantial
Resources		Financial and HR Services	Business Rates	Key System	Final	Substantial
Resources		Financial and HR Services	Housing Benefits	Key System	Final	Moderate
Resources		Financial and HR Services	Creditors	Key System	Final	Moderate
Resources		Financial and HR Services	Creditors - Invoices with no PO	Key System	Final	Moderate
Resources		Financial and HR Services	Creditors - Masterfile	Key System	Final	Moderate

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SERVICE GROUPING	FORMER SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Resources		Financial and HR Services	Cash Collection	Key System	Draft	
Resources		Financial and HR Services	Debtors	Key System	Draft	
Resources		Financial and HR Services	Payroll	Key System	In Progress	
Resources		Financial and HR Services	Budgetary Control	Key System	Final	Substantial
Resources		Financial and HR Services	Better Care Fund	Assurance	Final	Substantial
Resources		Information and Communication Technology	ICT Service Level Agreements	Assurance	TOR	
Resources		Information and Communication Technology	ISP - Security Incident Management	Assurance	In Progress	
Resources		Information and Communication Technology	ISP - PSN Readiness	Assurance	TOR	
Resources		Information and Communication Technology	ISP - Systems Development & Maintenance	Assurance	Draft	
Resources		Information and Communication Technology	Active Directory	Advice & Consultancy	Defer to 2017/18	
Resources		Information and Communication Technology	Design and Print Service	Assurance	Final	Moderate
Resources		Internal Audit, Risk and Fraud	Counter Fraud arrangements	Key System	In Progress	
2016 / 2017 Internal Audit Plan						
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Policy and Communications	Business Continuity	Key System	Not Started	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Data Quality	Assurance	Not Started	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Equality Impact Assessment process for MTFP	Assurance	Final	Substantial
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Data Protection - Accessing External Databases	Assurance	Not Started	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Data Protection - Neighbourhood Services Healthchecks	Assurance	Cancelled	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	County Records Office	Assurance	Final	Substantial
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Planning and Performance	Information Governance Group	Advice & Consultancy	In Progress	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Grants	Assurance	TOR	
Transformation and Partnerships (TaP)	Regeneration and Economic Development	Strategy, Programmes and Performance	EU Structural Funds Programme	Assurance	Not Started	
Transformation and Partnerships (TaP)	Regeneration and Economic Development	Strategy, Programmes and Performance	Project Management arrangements	Advice & Consultancy	Not Started	
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Leisure Accounts	Advice & Consultancy	Complete	N/A
Transformation and Partnerships (TaP)	Assistant Chief Executive (ACE)	Partnerships and Community Engagement	Community Buildings - Health and Safety Compliance	Advice & Consultancy	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Direct Payment Cards	Advice & Consultancy	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Continuing Health Care	Assurance	Preparation	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Shared Lives - Review of effectiveness of service	Assurance	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Adaptations Service	Assurance	Not Started	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Implementation of the Care Act	Advice & Consultancy	Not Started	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Pathways - Establishment Audit	Assurance	Preparation	
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Pathways - Establishment Closure Audit - Consett	Assurance	Final	Substantial
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Pathways - Establishment Closure Audit - Chester Le Street	Assurance	Final	Substantial
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Pathways - Establishment Closure Audit - Bishop Auckland	Assurance	Final	Substantial
Adult & Health Services	Children and Adult Services (CAS)	Adult Services	Reablement Services - Review of effectiveness of service	Assurance	Draft	
Adult & Health Services	Children and Adult Services (CAS)	Commissioning	Transport Group - Outcomes of People 2 review	Advice & Consultancy	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Commissioning	Procurement - Arrangements for contract management and monitoring	Advice & Consultancy	In Progress	
Adult & Health Services	Children and Adult Services (CAS)	Commissioning/Resources	Creditors Supplier Masterfile	Assurance	Final	Limited
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Control of Infectious Diseases (Third Party Assurance)	Assurance	Not Started	
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Pollution Control - Planning Consultation Arrangements	Assurance	Preparation	
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Contaminated Land	Assurance	Preparation	
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Trading Standards Grant	Grant Claim	Final	N/A
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	Information Security - Caldicott compliance (attendance at Caldicott Group meetings)	Advice & Consultancy	Preparation	
Adult & Health Services	Children and Adult Services (CAS)	Planning & Service Strategy	Petty Cash Arrangements - Locality Offices	Advice & Consultancy	Preparation	
Adult & Health Services	Children and Adult Services (CAS)	Public Health	DCRS - Data Quality	Advice & Consultancy	Final	N/A
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Stop Smoking Service (Nicotine Replacement Vouchers) Revisit	Advice & Consultancy	Final	N/A
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Stop Smoking Service (Nicotine Replacement Vouchers) Revisit following Advice	Assurance	Not Started	
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Alcohol Brief Interventions Service (PharmOutcomes)	Advice & Consultancy	Final	N/A
Adult & Health Services	Children and Adult Services (CAS)	Public Health	Supervised Consumption (Pharmoutcomes)	Advice & Consultancy	Final	N/A
Adult & Health Services	Neighbourhood Services (NS)	EHCP	Taxi Licensing - Driver Licence Verification	Advice & Consultancy	Final	N/A
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Troubled Families Programme - Milestone 1 of 4	Advice & Consultancy	Complete	N/A
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Troubled Families Programme - Milestone 2 of 4	Advice & Consultancy	Complete	N/A
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Troubled Families Programme - Milestone 3 of 4	Advice & Consultancy	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Troubled Families Programme - Milestone 4 of 4	Advice & Consultancy	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Children's Homes - Establishment Audit	Assurance	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Supervised Spend - Leaving Care Service: Follow Up	Assurance	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	One Point Hubs - Establishment Audit	Advice & Consultancy	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Aycliffe Locality Office, Residential and Secure Services - Follow Up	Assurance	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	School Programme provided through SLA	Assurance	Various	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Direct Salaried Grants	Advice & Consultancy	Not Started	

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Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Collaborative Fund Grant	Advice & Consultancy	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Youth Employment Initiative - ESF Interim Claim Process	Advice & Consultancy	Final	N/A
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Youth Employment Initiative - Training Provided to YEI Staff	Advice & Consultancy	Complete	N/A
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Youth Employment Initiative - Grant Claim Stage 2 Review	Advice & Consultancy	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Youth Employment Initiative - Detailed instructions for claim procedure - DurhamWorks	Advice & Consultancy	In Progress	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Schools Financial Value Standard (SFVS)	Advice & Consultancy	In Progress	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Schools - Safe Recruitment and Selection	Assurance	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	The Woodlands Pupil Referral Unit - (Finance and Governance)	Assurance	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Careers Service	Assurance	Cancelled	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Education & Business Learning Organisation	Assurance	Cancelled	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Governor Training: • Internal Audit Role in Supporting Schools • Schools Financial Value Standard – The Governors Role	Advice & Consultancy	Complete	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	School Business Manager Training	Advice & Consultancy	Complete	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Head Teacher Group Attendance	Advice & Consultancy	Complete	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education	Schools User Provider Group	Advice & Consultancy	In Progress	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Planning & Service Strategy	Information Security - Caldicott compliance - Data Sharing Procedures - Foster Carers	Assurance	Preparation	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Planning & Service Strategy	Information Security - Caldicott compliance (attendance at Caldicott Group meetings)	Advice & Consultancy	In Progress	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Children's Services	Children's Homes - High Etherley Follow Up	Assurance	Not Started	
Children and Young People's (CYPS)	Children and Adult Services (CAS)	Education - Schools	Schools - Safe Recruitment and Selection	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Utility Bills	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Section 106 arrangements	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Building Control - Systems Review	Assurance	Final	Moderate
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Asset Management	Assurance	Final	Limited
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Land Sales - Quality and Price	Advice & Consultancy	TOR	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Low Carbo	Grant	Preparation	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Rebus	Grant	Preparation	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Public Right of Way	Assurance	Not Started	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	On Street and Off Street Parking	Assurance	Draft	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Concessionary Fares	Assurance	Not Started	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Transport Contractual Arrangements (follow up)	Assurance	TOR	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Local Transport Capital Block Funding	Grant	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Local Pinch Point Fund	Grant	Cancelled	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Bus Subsidy Ring Fenced Grant	Grant	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Seaham Marina Grant (Capital)	Grant	Not Started	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Accommodation Project	Advice & Consultancy	Not Started	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Disabled Facilities Grant	Grant	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	Netpark Phase 3	Grant	Not Started	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Bulky Goods Collections Service	Advice & Consultancy	Defer to 2017/18	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Bereavement Services - Public Health Funeral Arrangements	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Allotment Management - Follow Up	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Durham Crematorium	Assurance (Joint Ctte)	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Mounsett Crematorium	Assurance (Joint Ctte)	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Woodland Burial Trust – Follow Up	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Fuel Stocks & Stores	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Building Services, Repairs & Maintenance works billing processes	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	QMS (Quarterly Visit)	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Facilities Management	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Electrical Components - Procurement Card Expenditure (Follow Up)	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Direct Services	Play Areas - Inspection Mechanisms and Charges to Parish & Town Councils	Assurance	Preparation	

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SERVICE GROUPING	FORMER SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	Garden Waste Collection	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	Environmental Compliance	Advice & Consultancy	Not Started	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	CRM System Implementation	Advice & Consultancy	Defer to 2017/18	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Projects and Business Services	Customer Services Complaints	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Leisure Centre - Core Financial Systems (Teesdale)	Assurance	TOR	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Leisure Works Governance Arrangements (Consett Leisure Centre)	Assurance	Not Started	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	1Life Governance arrangements (Peterlee and Seaham Leisure Centres)	Assurance	Not Started	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Review of Leisure Centre Timesheet authorisation procedures (10 DCC centres)	Assurance	TOR	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Shildon Leisure Centre - Follow Up	Assurance	TOR	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	CLUK Income Share Agreement	Assurance	Draft	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	County Durham Sport - Trust Arrangements	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Stanley Bowls	Advice & Consultancy	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Integrated Leisure Management System	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	DLI Museum	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Gala Stage School	Assurance	Preparation	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Picture House & Gala ticketing system arrangements	Advice & Consultancy	Not Started	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Sport and Leisure Services	Locomotion - Follow Up	Assurance	In Progress	
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Civil Engineering Framework Sub £50K - Follow Up	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Stores (Buildings & Highways)	Assurance	Final	Substantial
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Local Highways Maintenance Fund - Incentive Element	Grant	Not Started	
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Planning and Assets	Carbon Reduction Commitment	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Economic Development and Housing	West Rainton and Leamside CA	Advice & Consultancy	Final	N/A
Regeneration and Local Services (ReaL)	Neighbourhood Services (NS)	Technical Services	Local Transport Capital Block Funding for NECA	Grant	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	LSTF Capital Block UTMIC	Grant	Final	N/A
Regeneration and Local Services (ReaL)	Regeneration and Economic Development	Transport and Contract Services	Local Growth Fund - Durham Station Gateway Scheme	Grant	Final	N/A
Resources		Legal and Democratic Services	RIPA Officers Group	Advice & Consultancy	In Progress	
Resources		Legal and Democratic Services	Newco Trading Arrangements - Follow Up	Assurance	Not Started	
Resources		Corporate Finance and HR	Medium Term Financial Plan	Key System	Not Started	
Resources		Corporate Finance and HR	Capital Accounting	Key System	Not Started	
Resources		Corporate Finance and HR	General Ledger	Key System	Not Started	
Resources		Corporate Finance and HR	Bank Reconciliation	Key System	Not Started	
Resources		Corporate Finance and HR	Short Term Investments	Key System	Not Started	
Resources		Corporate Finance and HR	Banking Arrangements	Assurance	Not Started	
Resources		Corporate Finance and HR	Tendering/Quotation arrangements	Assurance	In Progress	
Resources		Corporate Finance and HR	Contract Management	Assurance	Final	Moderate
Resources		Corporate Finance and HR	Off Contract Spend	Assurance	Not Started	
Resources		Corporate Finance and HR	Procurement - Schools Commercial Focus	Advice & Consultancy	Not Started	
Resources		Corporate Finance and HR	Oracle Programme Board	Advice & Consultancy	In Progress	
Resources		Corporate Finance and HR	Oracle Project - Transactional Purchasing Improvement Group	Advice & Consultancy	In Progress	
Resources		Corporate Finance and HR	Oracle Project - Petty Cash and Payment Cards	Advice & Consultancy	In Progress	
Resources		Corporate Finance and HR	Service Reviews	Advice & Consultancy	Not Started	
Resources		Corporate Finance and HR	Attendance Management Framework	Assurance	In Progress	
Resources		Corporate Finance and HR	Flexible Working Pilot arrangements	Advice & Consultancy	Not Started	
Resources		Corporate Finance and HR	Learning & Development	Advice & Consultancy	Not Started	
Resources		Corporate Finance and HR	Health & Safety training requirements	Assurance	Draft	
Resources		Corporate Finance and HR	Employee Car Leasing Scheme	Advice & Consultancy	Complete	N/A
Resources		Corporate Finance and HR	SLAs with schools working group	Advice & Consultancy	In Progress	
Resources		Financial and HR Services	Flexible Working - Variations to Contracts	Assurance	Defer to 2017/18	
Resources		Financial and HR Services	Agency	Assurance	Final	Limited
Resources		Financial and HR Services	Learning Disability Shared Lives Service - Financial Inspections	Assurance	In Progress	
Resources		Financial and HR Services	Creditors	Key System	TOR	
Resources		Financial and HR Services	Creditors - Feeder Systems	Key System	In Progress	
Resources		Financial and HR Services	P2P Performance Improvement Project	Advice & Consultancy	In Progress	
Resources		Financial and HR Services	Payroll	Key System	TOR	
Resources		Financial and HR Services	Payroll - General Ledger Uploads	Key System	TOR	
Resources		Financial and HR Services	Business Rates	Key System	Preparation	
Resources		Financial and HR Services	HB, CTR, DHP and Welfare Assistance	Key System	Preparation	
Resources		Financial and HR Services	HB Sundry Debtor Overpayments	Key System	Not Started	
Resources		Financial and HR Services	Enforcement, including bailiff arrangements	Assurance	Not Started	
Resources		Financial and HR Services	Council Tax	Key System	Preparation	
Resources		Financial and HR Services	Council Tax - Reconciliations	Key System	Not Started	

INTERNAL AUDIT PLAN PROGRESS AS AT 30 SEPTEMBER 2016

SERVICE GROUPING	FORMER SERVICE GROUPING	SERVICE	AUDIT ACTIVITY	AUDIT TYPE	STATUS	OPINION
Resources		Financial and HR Services	Cash Collection	Key System	Preparation	
Resources		Financial and HR Services	Cash Collection - Wharton Park and Weighbridges	Key System	In Progress	
Resources		Financial and HR Services	Debtors	Key System	Preparation	
Resources		Financial and HR Services	Debtors Working Group	Advice & Consultancy	In Progress	
Resources		Financial and HR Services	Chapter Homes arrangements	Advice & Consultancy	Not Started	
Resources		Financial and HR Services	Caspar system	Advice & Consultancy	Final	N/A
Resources		Financial and HR Services	ResourceLink Migration Group	Advice & Consultancy	In Progress	
Resources		Financial and HR Services	Section 256 agreements	Grant certification	In Progress	
Resources		Financial and HR Services	Better Care Fund (Section 75)	Grant certification	Not Started	
Resources		Information and Communication Technology	Information Security - Backup Procedures	Assurance	Preparation	
Resources		Information and Communication Technology	Information Security - Information Sharing	Assurance	Preparation	
Resources		Information and Communication Technology	Mobile Computing	Assurance	In Progress	
Resources		Information and Communication Technology	SQL Server	Assurance	Preparation	
Resources		Information and Communication Technology	ICT Purchasing	Assurance	TOR	
Resources		Information and Communication Technology	ICT Strategy	Assurance	Final	Substantial
Resources		Information and Communication Technology	Windows	Assurance	In Progress	
Resources		Information and Communication Technology	Asset Register	Assurance	In Progress	
Resources		Corporate Finance and HR	Teachers Pension Fund	Advice & Consultancy	TOR	
Resources		Financial and HR Services	Teaching Assistants	Advice & Consultancy	Final	N/A
Resources		Financial and HR Services	Prepaid cards	Advice & Consultancy	Not Started	
Resources		Financial and HR Services	Equal Pay Claims	Advice & Consultancy	Final	N/A
Resources		Internal Audit, Risk & Fraud	Insurance - Employers Liability Process	Advice & Consultancy	TOR	
Resources		Financial and HR Services	Financial Services Support for CAS	Assurance	TOR	
Resources		Financial and HR Services	Financial Services Support for CAS - COP Petty Cash Account	Assurance	Draft	
Resources		Financial and HR Services	Teaching Assistants (2)	Advice & Consultancy	Final	N/A