

AUDITS	LAST AUDITED	AUDIT COVERAGE RISK	2009/10 PLAN	STATUS OF AUDIT AS AT 31 MAY 2010	CONTROL ENVIRONMENT	STATUS OF ACTION PLANS AS AT 30 APRIL 2010
<b>ASSURANCE FRAMEWORK</b>						
Manager Assurance Statements	2008/09	Annual	15	Completed Jun 2009	Good	No recommendations made
Cabinet, Scrutiny and the Standards Board	2008/09	Annual	10	Completed Aug 2009	Good	Partially complete
Corporate Assurance Framework & Risk Register	2008/09	Annual	15	Complete. Work supported production of governance statement	N/A	N/A
Follow up reviews	2008/09	Annual	15	Completed each quarter	N/A	N/A
<b>CORPORATE PROCESSES</b>						
Public Consultation	2008/09	3 Year Cycle		Delete. Covered as part of Business Health Checks	N/A	N/A
Business Strategy & Planning	2008/09	3 Year Cycle				
Financial Management incl. Budgetary Control	2008/09	Annual	0	Delete	N/A	N/A
<b>Asset Management (Property)</b>	<b>2008/09</b>	<b>3 Year Cycle</b>	<b>0</b>	Delete	N/A	N/A
Policy Framework	2007/08	3 Year Cycle	0	Delete	N/A	N/A
Risk Management including:	2008/09	3 Year Cycle	0	Delete	N/A	N/A
# Health & Safety	2007/08	3 Year Cycle				
# Business Continuity	2008/09	3 Year Cycle	0	Delete	N/A	N/A
Performance Management	2008/09	3 Year Cycle	0	Delete	N/A	N/A
Information Management including:	2007/08	3 Year Cycle		Delete	N/A	N/A
# Data Protection / Freedom of Information	2007/08	3 Year Cycle				
# <b>Data Quality Spot Checks</b>	<b>2008/09</b>	<b>Annual</b>	<b>30</b>	Complete Aug 2009 <b><u>Draft report produced</u></b>	<b>Interim Report</b>	Partially complete
Value for Money	2007/08	3 Year Cycle				
Partnerships - See Section Below	2008/09	Annual				
<b>Procurement Spot Checks incl. Contract Procedure Rules</b> See Capital Contracts Section	<b>2008/09</b>	<b>Annual</b>	<b>30</b>	Complete Sept 2009	<b>Adequate</b>	Partially complete
Project Management - See Capital Contracts Section	2007/08	Annual				
Complaints	2007/08	3 Year Cycle	0	Delete	N/A	N/A
Code of Conduct (Members & Officers)	2008/09	3 Year Cycle	0	Delete	N/A	N/A
<b>PARTNERSHIPS</b>						
<b>Governance Reviews</b>						
<b>Audit Commission Review of the Local Area Agreement Revisit</b> <i>Focus upon whether the governance framework is developing and whether recommendations made by External Audit have been addressed.</i>	N/A	N/A	45	<b><u>Work in Progress in partnership with the PCT and Police Internal Audit teams</u></b>		
<b>Key Strategic Partnerships</b> <i>Focus on evaluating the adequacy of the partnerships governance arrangements.</i>						
<b>SAVS Funding Arrangements (requested by Southend Executive)</b>	N/A	N/A	5	Complete Dec 2009	N/A	Not yet due
<b>Learning Disability Partnership Board</b> <i>Focus on evaluating the adequacy of the Board's governance arrangements.</i>	N/A	N/A	10	<b><u>Strategic issues being picked up as part of the Key Strategic Partnership review</u></b>		
<b>Local Childrens Safeguarding Board:</b> <i>Focus on whether there is quality performance information supplied to the board by partner agencies</i>	N/A	N/A	0	Postponed until 2010/11	N/A	N/A

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<b>Grant Certification Work</b>						
LAA Stretch Targets: Arrangements	2008/09	Annual	20	Complete Jul 2009	Adequate	Completed
<b>CAPITAL PROGRAMME / PROJECTS</b>						
Capital Programme Framework (Programme Board)	N/A	Currency of Contract	30	To be completed in 2010/11	N/A	N/A
Belfairs - Building Schools for the Future	2008/09	Currency of Contract	10	Update included in Jan 2010 Summary Audit Report	N/A	N/A
Town Centre Redevelopment	2008/09	Currency of Contract	5	Feedback provided	No opinion given	N/A
New Swimming Pool	N/A	Currency of Contract	0	Delete	N/A	N/A
Fosset Farm Development	N/A	Currency of Contract				
Victoria Station - Department for Transport Funded	N/A	Currency of Contract				
Progress Road - Department for Transport Funded	N/A	Currency of Contract				
Futures College	N/A	Currency of Contract				
New Primary School - Shoeburyness	N/A	Currency of Contract	0	Delete	N/A	N/A
School Capital Programme	2007/08	Currency of Contract	0	Delete	N/A	N/A
Renaissance Southend: Governance Arrangements	2008/09	N/A	5	To be revisited in 2010/11	N/A	N/A
<b>BUSINESS HEALTH CHECKS</b>						
Four Service Reviews	N/A	Annual				
# Adult & Community Service: Cultural Services			20	Results of this work have been taken into account along with the Manager Assurance Statement self assessments to support the assertions in the Annual Governance Statement	N/A	N/A
# Children & Learning: School Support & Preventative Services			20		N/A	N/A
# Enterprise, Tourism & the Environment: Planning and Transport Services			20		N/A	N/A
# Support Services: Customer Services			20		N/A	N/A
<b>KEY FINANCIAL SYSTEMS</b>						
Main Accounting	2008/09	Annual	10	Complete May 2010	Good	Not yet due
Treasury Management	2005/06	Annual	15	Complete March 2010	Good	Not yet due
Creditors	2008/09	Annual	15	Complete May 2010	Adequate	Not yet due
E-Procurement	2008/09	Annual	10	Complete May 2010	Good	Not yet due
Debtors	2008/09	Annual	10	Complete April 2010	Adequate	Not yet due
Income	2008/09	Annual	10	Complete May 2010	Adequate	Not yet due
Payroll	2008/09	Annual	10	Complete May 2010	Adequate	Not yet due
Housing Rents (South Essex Homes)	2008/09	Annual	0	Complete May 2010	Good	Not yet due
Housing Benefits	2008/09	Annual	15	Complete May 2010	Adequate	Not yet due
Council Tax	2008/09	Annual	15	Complete May 2010	Good	Not yet due
Non Domestic Rates	2008/09	Annual	10	Complete Feb 2010	Good	Not yet due
<b>SCHOOLS</b>						
Financial Management Standard 2009/10	2008/09	Annual	45	Completed May 2010	7 Met, 1 Not Met, 2 Conditional Met	N/A
Thematic Review	N/A	Annual	0	Deleted	N/A	N/A

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<b>CERTIFICATION WORK</b>						
Supporting People Grant	2008/09	Annual	15	Complete May 2009	Unqualified Opinion	Complete
<b>RECOMMENDATION FOLLOW UP</b>						
Follow Up of Audit Recommendations	2008/09	Annual	50	Quarterly	N/A	N/A
Follow Up of External Audit / Inspection Reports:	2008/09	Annual	0			
<b>RISK BASED REVIEWS / CORPORATE PRIORITIES</b>						
<b>Continue to reduce crime, disorder and antisocial behaviour</b>						
Operational CCTV	2007/08	Low	0	Deleted	N/A	N/A
Community Safety	2008/09	Low				
Drug Action Team	2006/07	High	6	Feedback provided. Strategic issues being picked up as part of the Key Strategic Partnership review	No opinion given	N/A
<b>Continue to improve outcomes for vulnerable children</b>						
Head of School Support and Preventative Services						
# Review the effectiveness of integrated arrangements to deliver key priorities in relation to improving educational standards and aspirations		High	0	Deleted	N/A	N/A
Head of Children's Commissioning and Learning Infrastructure						
# Review the implementation of the new Contact Point system		High	15	Update included in Jan 2010 Summary Audit Report	N/A	N/A
# Review the arrangements for generating and collecting income		High	0	Deleted	N/A	N/A
<b>Create a well maintained and attractive street scene, parks and open spaces</b>						
Street Scene	2007/08	High	15	Complete Aug 2009	Adequate	Complete
Parks, Gardens & Open Spaces	2005/06	Low				
<b>Minimise overall waste, maximise recycling and make Southend a low waste town by 2012</b>						
Waste Management	2008/09	High	5	Update included in Jan 2010 Summary Audit Report	N/A	N/A
<b>Continue to improve outcomes for vulnerable adults and older people</b>						
Adult & Community Customer Services & Finance: Self Directed Support and Direct Payments	2008/09	High	15	Complete Oct 2009	Adequate	Partially complete
Commissioning Adult Home Care Services	2008/09	High	0	Deleted	N/A	N/A
Learning Disabilities & Resources: Learning Disability Placements	2005/06	Medium	3	Draft Report Produced		
Supporting People	2008/09	Medium				
Intermediate Care	2008/09	Medium				
Occupational Equipment & Therapy Service	2007/08	Low				
<b>Enhance the prosperity of Southend and its residents</b>						
Enterprise & Innovation	2007/08	Medium	0	Delete	N/A	N/A
Adult College	2004/05	Low				

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Tourism & Promotion	2000/01	Low				
<b>Enable well planned quality housing and developments that meet the needs and expectations of all Southend's residents and businesses</b>						
Building Control	2007/08	High	15	Draft Report Produced		
Regeneration & Property	2007/08	High	0	Refer Renaissance Southend Governance Review	N/A	N/A
Community Housing	2008/09	Medium				
<b>Make Southend active and alive with sport and culture</b>						
Theatres	2007/08	Medium				
Sports Provision & Development	2002/03	Low	0	Deleted	N/A	N/A
Libraries	2006/07	Low				
Museums & Galleries	2004/05	Low				
Arts Development	N/A	Low				
<b>Become a higher performing organisation</b>						
Financial Planning & Capital	2007/08	High	0	Deleted	N/A	N/A
Human Resources (CRB Checks)	2008/09	High	15	Work in Progress		
Media & Communications	2000/01	Medium	0	Deleted	N/A	N/A
Legal Function	2005/06	Medium	0	Deleted	N/A	N/A
Insurance	2006/07	Medium	0	Deleted	N/A	N/A
Democratic Services	2003/04	Low				
Bereavement Services	2003/04	Low				
<b>COMPUTER AUDIT: STRATEGIC</b>						
IT Strategy Review	N/A	High	15	Draft report produced		
<b>COMPUTER AUDIT: NETWORK BASED</b>						
Telecommunications	2005/06	High	15	Deleted	N/A	N/A
Virus Protection / Spyware	2003/04	Medium	10	Complete July 2009	Good	Partially complete
<b>COMPUTER AUDIT: SECURITY &amp; CONTROL</b>						
PC End User Controls	2005/06	High	10	Complete Sept 2009	Adequate	Partially complete
Change Controls	2006/07	High	10	Complete Sept 2009	Good	Complete
<b>COMPUTER AUDIT: APPLICATION SYSTEMS</b>						
Covalent Application	N/A	High	10	Complete Nov 2009	Good	Not yet due
Cedar Application Replacement Project (Phase 1)	2001/02	High	10	Deleted	N/A	N/A
Electoral Registration Application	N/A	High	10	Deleted	N/A	N/A
LLPG Gazateer Application	N/A	High	10	Complete Aug 2009	Improvement Required	Partially complete
Albany BACS Review	N/A	High	10	Draft report produced		N/A
<b>Minimise our impact on the natural environment</b>						
Traffic Management	2007/08	High	15	Delete	N/A	N/A
Highways Network	2007/08	High	0	Refer Business Health Check		

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Strategic Planning & Transport	2004/05	Medium	0	Refer Business Health Check		
<b>Energy Management</b>	<b>2008/09</b>	<b>Medium</b>	<b>10</b>	Delete	N/A	N/A
Regulatory Services	2006/07	Low				
<b>Reducing the inequalities gap and increase the life chances of people living in Southend</b>						
Access to Services	2007/08	High	0	Refer Business Health Check		
Equality & Diversity	2007/08	Medium				
Passenger Transport & Haulage	2007/08	Medium				
Voluntary Sector Partners & Grants	2001/02	Low				
<b>TOTAL CORE AUDIT DAYS</b>			<b>794</b>			
<b>COUNCIL: ANTI FRAUD &amp; CORRUPTION ARRANGEMENTS PLUS PROACTIVE AND INVESTIGATIVE WORK</b>						
<b>Corporate Support</b>	<b>N/A</b>	<b>Annual</b>	<b>10</b>	See Anti Fraud & Corruption Update Report	N/A	N/A
<b>Service Pro-active Fraud incl. Cash Ups</b>	<b>N/A</b>	<b>Annual</b>	<b>30</b>	Work in Progress		
<b>Investigations</b>	<b>N/A</b>	<b>Annual</b>	<b>65</b>		N/A	N/A
<b>SOUTH ESSEX HOMES</b>						
Three Year Contract to 31 March 2010/11	2008/09		116			
<b>SOUTHEND ASSOCIATION VOLUNTARY SERVICES (SAVS)</b>						
<b>Business Health Check</b>	<b>N/A</b>		<b>15</b>	Complete Dec 2009	<b>Interim report</b>	Not yet due
<b>TOTAL NON CORE DAYS</b>			<b>236</b>			
<b>TOTAL DAYS AVAILABLE</b>			<b>1030</b>			
<b>Items shown as bold in the status column reflect changes since the last report to the Audit Committee</b>						