

APPENDIX 3: 2010/11 SUMMARY FINDINGS FROM AUDIT REVIEWS

AUDIT AREA	OBJECTIVE OF WORK	STATUS	OUTCOME	CONTROL ENVIRONMENT	RECOMMENDATIONS			TOTAL No. OF
					H	M	L	RECS
CORPORATE PROCESSES								
Data Quality Spot Checks of National Indicators (NIs) (2009/10)	<p>The purpose of the review was to assess whether:</p> <ul style="list-style-type: none"> supporting systems have been designed to collect accurate, valid, relevant, reliable, timely and complete information; and the indicator is being correctly calculated in accordance with the guidance and current recognised data quality standards. 	Complete Feb 2010	<p><i>NI 182: Satisfaction of Business with Local Authority Regulation Services</i></p> <p>Data quality assurance had improved. Further actions were however identified in order for the NI to be considered to be fully compliant.</p> <p>Action was required to:</p> <ul style="list-style-type: none"> gain assurance regarding the accuracy and completeness of all visit data provided by service teams; and ensure sufficient surveys were despatched to businesses (split in the same proportion between compliant and non compliant businesses) in order that the target response required by the NI was met. 	No opinion given	2	1	0	3
		Complete Feb 2010	<p><i>NI 198 Children Travelling to School: Mode of transport usually used.</i></p> <p>The Council is correctly reporting data supplied by the Department for Transport (DfT) in line with NI requirements.</p> <p>However, the Council's supporting systems do not currently give assurance over the validity, reliability, relevance and completeness of the census data supplied by schools.</p>	No opinion given	2	2	0	4

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			Action was required to: <ul style="list-style-type: none"> clarify roles and responsibilities for checking the quality of data submitted by the schools; and to issue data collection standards to schools. 					
		Complete June 2010	<i>NI 188: Adapting to Climate Change.</i> At the time of the review, there was insufficient evidence to audit. Therefore Internal Audit provided challenge and support as the evidence was collated to ensure that level 2 requirements were met. The Head of Public Protection subsequently reviewed and signed off the evidence.	No opinion given	0	0	0	0
ENABLE WELL PLANNED QUALITY HOUSING AND DEVELOPMENTS THAT MEET THE NEEDS AND EXPECTATIONS OF ALL SOUTHEND'S RESIDENTS AND BUSINESSES								
Building Control (2009/10)	To assess whether the Building Control service meets fulfils its legislative and regulatory functions in an economic, efficient and effective manner.	Complete September 2010	The team fulfil its statutory requirements by processing applications within deadlines and has opportunities to become increasingly self-financing. However to meet future challenges that may arise within the industry, service planning and performance management processes need improvement. This will enable more robust management direction and oversight and value for money to be evidenced.	Adequate	1	10	4	15

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BECOME A HIGHER PERFORMING ORGANISATION								
<i>COMPUTER AUDIT PROGRAMME</i>								
IT Strategy Review (2009/10)	To assess whether there are robust processes in place to develop, monitor and deliver an effective IT Strategy that supports the achievement of wider Council objectives.	Complete September 2010	The control environment for IT Strategy is generally satisfactory. However, improvements in the monitoring of the strategic plan and resulting projects need to be made. The current ICT Infrastructure also needs to be evaluated to provide a baseline for future activities.	Adequate	0	5	2	7
Albany BACS Review (2009/10)	To assess the adequacy of the control environment that has been established for the Albany BACS-IP (Bankers' Automated Clearing Services) Payment System.	Completed July 2010	The control environment for the Albany BACS-IP Application is generally sound.	Good	0	3	3	6
GRANT CLAIM CERTIFICATION								
ContactPoint Annual Compliance Confirmation 2009/10	To confirm to Department of Children, Schools and Families that the Authority and the partner organisations it has accredited remain compliant with ContactPoint accreditation conditions in respect of their ContactPoint management and use.	Completed Jul 2010	From work undertaken, there was reasonable assurance that during 2009/10, the Authority and its arrangements with partner organisations were compliant with ContactPoint accreditation conditions in respect of their ContactPoint management and use. Policies and procedures were drafted, approved to be issued and used as 'Interim' versions during 2009/10. These were subsequently approved by management.	Unqualified	0	0	0	0

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Stroke Care Grant	To assess whether there is reasonable assurance that the 'Demonstrating How to Deliver Stroke Care For Adults in The Community' Grant has been used for deliver stroke care for adults in the community.	Completed August 2010	<p>From the work undertaken and the evidence obtained, reasonable assurance can be given that:</p> <ul style="list-style-type: none"> the amount stated on the Statement of Grant Usage is materially correct; and monies have been spent on eligible activities in 2009/10 in accordance with the terms and conditions of the grant 	Unqualified	0	0	0	0
East of England Development Agency Economic Participation Programme Grant	To review the governance, operational arrangements and internal control systems in place over the Economic Participation Programme (EPP).	Completed May 2010	<p>High level governance arrangements and the revised project approval process introduced by the Economic Participation Team during 2009/10 have strengthened the decision making process. Project appraisal and assessment processed were found to be robust</p> <p>However governance and operational arrangements needed strengthening by:</p> <ul style="list-style-type: none"> taking immediate action to manage the risks associated with the departure of the current EPP Support Officer at the end of March 2010 and the recruitment of a replacement operating a risk register to capture and assess programme level risks 	Limited Assurance	3	7	1	11

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			<ul style="list-style-type: none"> providing risk management guidance and training to the Economic Participation team and project managers improving the quality and completeness of paper and electronic project files and the retention of evidence of sign-off of key documentation and key decision points <p><i>NB this review was carried out by Ernst and Young. Internal Audit has followed up the recommendations to check implementation progress.</i></p> <p><i>This work is required annually and will be carried out by Internal Audit in future years.</i></p>					
AD HOC WORK								
Invoice Leak Investigation	To assess whether it was possible to identify who had disclosed the information to the Evening Echo newspaper regarding the cost of using an interim member of staff.	Completed July 2010	<p>From the evidence available, it has not been possible to identify the source of the leak of information for the Evening Echo's story.</p> <p>Arrangements to receive and move private and confidential information around the building need strengthening.</p>	No opinion given	0	3	0	3