

Priority / Theme Supported	AUDIT ACTIVITY	£'000	Last Audited	Current Status	Control Environment
AUDIT OPINION PROGRAMME OF WORK 2010/11					
ASSURANCE FRAMEWORK					
Theme 1	Manager Assurance Statements		Annual	Completed. Reported to June 2010 Audit Committee	No opinion given
Theme 1	Corporate Assurance Framework & Risk Register		Annual	This work is being completed with the Strategy & Performance Team	
BUSINESS HEALTH CHECKS					
Theme 1	Department for Enterprise, Tourism and the Environment		Annual	Planned for Q4	
PARTNERSHIPS					
	Local Strategic Partnership		N/A	Given the changes in the LSP structure, this work now be completed in 2011/12.	
Priority 1	Safer / Stronger Communities Board		2009/10		
	# CCTV		2007/08	Planned for Q4	
Priority 5	Health & Well Being Partnership Board		2009/10		
Priority 2	Children & Learning Partnership Board		2009/10		
	# Local Safeguarding Childrens Board - Serious Case Reviews			Completed. Report issued to the December 2010 Local Safeguarding Children Board. Refer Appendix 4	No opinion given
	# Other groups				
Priority 6	Enterprise, Community and Environment Board		N/A		
TOTAL PLACE INITIATIVES					
Priority 5	# Independent Living			Completed November 2010	No opinion given
	# Mental Health			Work Ongoing	
	# Domestic Abuse			Work to start in October 2010	

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	REGENERATION SCHEMES, CAPITAL PROGRAMME & PROJECTS				
	<i>Management Arrangements</i>				
Priority 6	Regeneration Governance Arrangements - Renaissance Southend		N/A	Deleted as no longer a priority	
Theme 1	Arrangements for producing and monitoring the delivery of the capital programme - Programme Office		N/A	Work complete. Report being drafted	
Theme 1	External Funding / Grant Identification and Management		N/A	Work in progress. This review is being extended to ensure that all schemes in receipt of external funding comply with the grant instructions	
Theme 1	<i>Strategic Schools Capital Schemes</i>				
	# Belfairs - Building Schools for the Future	15.233m	2008/09		
	# New Primary School (Hinguar)	2.674m			
	# Chase Post 16 Block	5.467m			
	# Other Schools Schemes	13.989m			
	<i>Part Grant Funded Schemes</i>				
Priority 7	# Victoria Gateway - HCA Funded	5.183m			
Priority 7	# Cuckoo Corner DFt & SBC	4.200m			
Priority 7	# Progress Road - HCA funded	2.377m			
	<i>SBC Funded Strategic Schemes</i>				
Priority 8	# New Swimming Pool	4.199m			
Theme 1	# Accommodation Strategy	3.950m			
Priority 7	# Highways re Access to Airport	2.000m			
	<i>Section 106 / Section 38 Funding</i>				
Priority 7	# Fossets Farm Development (2011/12)	7.700m			
	<i>HRA Capital Schemes</i>				
Priority 7	# MRA & Decent Homes	19.277m			
	<i>Landmark / Strategic Schemes</i>				
	# Pier Head & Structure	3.000m			
Theme 1	Review of management arrangements for smaller schemes		N/A		
	ONE OFF OR CROSS CUTTING REVIEWS				
	<i>Delivering Excellence Programmes</i>				
Theme 1	Programme Management Arrangements		N/A		
	# New Ways of Working				
	# Transformation				
	# Access To Services				

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	# Employee Engagement				
Theme 1	<u>Agresso implementation</u>		N/A	First Interim Memo issued December 2010	No opinion given
Theme 1	KEY FINANCIAL SYSTEMS				
	General Ledger		Annual	6 of the 11 systems are substantially complete Progress report attached (Appendix 2a)	
	Accounts Receivable (debtors)		Annual		
	Accounts Payable (creditors including Market Place)		Annual		
	Payroll		Annual		
	Treasury Management		Annual		
	Income (cash & bank)		Annual		
	Council Tax		Annual		
	Non Domestic Rates		Annual		
	Housing Rents (days funded by South Essex Homes)		Annual		
	Housing Benefits		Annual		
	SCHOOLS				
Theme 1	Triennial Schools Audit (including Financial Management Standard where applicable)		Annual		
	# Secondary Schools Summer 2010			Completed December 2010	Good
	# Primary & Special Schools March 2011				
	# Schools Balance Sheet Analysis			Issues arising from this analysis now being investigated by the Schools Finance Team	
Theme 1	Thematic Reviews:		Annual		
	# Procurement			Delete. No longer a priority as schools opting out of Council control.	
	# Service Level Agreements				
	PRO-ACTIVE ANTI FRAUD AND CORRUPTION WORK				
Theme 1	Service Pro-active Fraud incl. Cash Ups				
	# Cash ups of 6 sites across three directorates			Completed November 2010	2 Good 4 Adequate
Theme 1	High Fraud Risk Systems (as identified in the Audit Commission's Report, Protecting the Public Purse)			Audit approach being developed	
Theme 1	Data Warehouse				

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	RECOMMENDATION FOLLOW UP				
Theme 1	Follow Up of Audit Recommendations		Annual	Completed each quarter	
	RISK BASED REVIEWS / CORPORATE PRIORITIES				
	SAFE: Continue to reduce crime, disorder and antisocial behaviour				
	See Partnership Section - Safer Communities Board				
	SAFE: Create a well maintained and attractive street scene, parks and open spaces				
	See Regeneration Schemes, Capital Programme and Projects Section				
	CLEAN: Minimise our impact on the natural environment				
	Sustainability incl.: - Climate Change - Energy Management - Sustainable Procurement		N/A	Deleted	
	Highways Network		2007/08	Deleted	
	Watching Brief - Contract Management and Partner Liaison		2008/09		
	HEALTHY: Continue to improve outcomes for vulnerable adults and older people				
	See Partnership Section - Health and Wellbeing Board and the Total Place Initiative				
	NHS Partnerships - Continuing / Intermediate / Integrated Care			Deleted	
	HEALTHY: Make Southend active and alive with sport and culture				
	Making effective use of cultural / sport infrastructure in support of other corporate / LSP priorities (e.g. health and wellbeing, reduction of crime and disorder)			Deleted	
	PROSPEROUS: Continue to improve outcomes for vulnerable children				
	Review the effectiveness of integrated arrangements to deliver key priorities in relation to improving educational standards and aspirations			Deleted	

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	See Partnership Section - Children and Learning Partnership Board				
	PROSPEROUS: Enhance the prosperity of Southend and its residents				
	Economic Development Strategy			Deleted	
	PROSPEROUS: Enable well planned quality housing and developments that meet the needs and expectations of all Southend's residents and businesses				
	Development Control				
	PROSPEROUS: Reducing the inequalities gap and increase the life chances of people living in Southend				
	Access to Services - See Cross Cutting Reviews: - Delivering Excellence Programme		2007/08		
	EXCELLENT: Become a higher performing organisation				
	Business Continuity incl. partners and contractors		2008/09	Giving the changing environment, will complete in 2011/12	
	Financial Planning and Management incl. budgetary control		2007/08	Completed December 2010	Adequate
	Human Resources - Redeployment / Talent Pool		2008/09	Work in Progress	
	Data Quality Spot Checks		2009/10	See 2009/10 work	
	Procurement:				
	# Spot Checks (smaller value purchases)		2009/10	Completed December 2010	Improvement Required
	# Value for money re smaller value purchases			Planned for Q4	
	Working with the Voluntary Sector through Grant Funding			Completed December 2010	Adequate
	Review the arrangements for generating and collecting income within Children and Learning			Deleted	
	COMPUTER AUDIT: NETWORK BASED				
	Telecommunications (Voice Over Internet Protocol)		2005/06	Terms of Reference Produced	
	Web Content Management		2006/07	Completed December 2010	Good

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	COMPUTER AUDIT: SECURITY & CONTROL				
	Data backup and recovery		2005/06	Terms of Reference Produced	
	COMPUTER AUDIT: APPLICATION SYSTEMS				
	Northgate		2006/07	Field work complete. Draft report being produced	
	COMPUTER AUDIT: OTHER				
	Follow up of recommendations made			Completed each quarter	
	Risk assessment			Completed. Will be used to support planning for 2011/12	
	WORK CARRIED FORWARD FROM 2009/10				
	Finishing financial systems work			All carried forward work completed.	Various
	Other reviews				Various
	# Data Quality Spot Checks (3 indicators)			Two completed Feb 2010. One completed June 2010	No opinion given
	# Building Control			Completed August 2010	Adequate
	# Criminal Records Bureau Checks			Completed December 2010	Adequate
	# IT Strategy Review			Completed September 2010	Adequate
	# Albany BACS Review			Completed July 2010	Good
	# Internal Audit Working Group: Governance Arrangements of Key Strategic Partnerships			Completed July 2010	No opinion given
OTHER AUDIT WORK					
	SOUTHEND ASSOCIATION VOLUNTARY SERVICES (SAVS)				
	Free Annual Support		2009/10	Deleted as no longer a priority	
	CERTIFICATION WORK				
	LAA Stretch Target Performance Validation		2008/09	Deleted as audit no longer required by central government	
	ContactPoint Annual Compliance Confirmation			Completed July 2010	Unqualified opinion given
	Stroke Care Grant			Completed Aug 2010	Unqualified opinion given
	East of England Development Agency Economic Participation Programme Grant			Completed by East of England Development Agency May 2010	Limited assurance opinion given

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CORPORATE SUPPORT					
	ANTI FRAUD & CORRUPTION & RIPA				
	Corporate Support Fraud & RIPA (excluding Head of Internal Audit input)				
	Audit Commission National Fraud Initiative			2010 data submitted. Data Matches due back in January 2011.	N/A
	Ad hoc investigations			See summary report	No opinions given
	# Complaint against the HR Department re the application of two HR policies			Completed November 2010	
	# Invoice leak investigation			Completed September 2010	
	# Complaint re housing application through choice based lettings system			Completed October 2010	
	# Renaissance Southend - compliance of three projects with grant conditions			Substantially complete	
	# Investigated how specific elements of Shoebury Fund monies were spent			Completed September 2010	
	# Responded to a couple of notified thefts of cash			Various	
SOUTH ESSEX HOMES					
	Three Year Service Level Agreement to 31 March 2011		Annual	Total Number of Reviews in the Audit Plan = 11	
				4 Reports Issued	
				3 Audit are in progress	
				1 Terms of Reference being produced	