

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	N/A
Theme 1	Corporate Assurance Framework & Risk Register		Annual	The Annual Assurance Statement for 2011/12 is being produced with the Strategy & Performance Team	N/A
BUSINESS HEALTH CHECKS					
Theme 1	Department for Enterprise, Tourism and the Environment (ET&E)		Annual	Preliminary work is being undertaken in Q4. It has been agreed that the fieldwork will take place between April and July 2011	N/A
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	Deleted following discussions with ET&E	
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	Opportunities to strengthen arrangements identified
Priority 6	# Other groups Enterprise, Community and Environment Board		N/A		
TOTAL PLACE INITIATIVES					
Priority 5	# Independent Living			Completed November 2010	N/A
	# Mental Health			Completed January 2011	N/A
	# Domestic Abuse			To be finished March 2011	N/A

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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	Report being drafted	
	<i>External Grant Funding</i>				
	# Arrangements to Manage Exposure to Grant Funding		N/A	Completed March 2011	Opportunities to strengthen arrangements identified
	# Renaissance Southend Limited Grant Funded Projects		N/A	Completed March 2011	
	# Compliance with Grant Terms and Conditions (two grants)		N/A	Substantially complete	
	ONE OFF OR CROSS CUTTING REVIEWS				
	<i>Delivering Excellence Programmes</i>				
Theme 1	Programme Management Arrangements		N/A	This work will be completed in 2011/12	N/A
	# New Ways of Working				
	# Transformation				
	# Access To Services				
	# Employee Engagement				
Theme 1	<i>Agresso implementation</i>		N/A	The critical friend role will continue to the end of the project	N/A
Theme 1	KEY FINANCIAL SYSTEMS				
	General Ledger		Annual	Detailed work on all 10 systems is complete. Currently at draft reporting stage.	
	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		

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	SCHOOLS				
Theme 1	Triannual Schools Audit (including Financial Management Standard (FMS) where applicable)		Annual		
	# Secondary Schools Summer 2010			Completed December 2010	Good
	# Primary & Special Schools March 2011			Postponed until 2011/ 12 awaiting government announcement on the new regulatory framework for schools post FMS	N/A
	# 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
	RECOMMENDATION FOLLOW UP				
Theme 1	Follow Up of Audit Recommendations		Annual	Completed each quarter	N/A
	RISK BASED REVIEWS / CORPORATE PRIORITIES				
	Business Continuity incl. partners and contractors		2008/09	Giving the changing environment, will complete in 2011/12	N/A
	Financial Planning and Management incl. budgetary control		2007/08	Completed December 2010	Adequate
	Human Resources - Redeployment / Talent Pool		2008/09	Substantially complete	
	Data Quality Spot Checks		2009/10	See 2009/10 work	N/A
	Procurement:				
	# Spot Checks (smaller value purchases) ETE		2009/10	Completed December 2010	Improvement Required
	# Compliance with Council's Contract Procedure Rules (1 Directorate)		2010/11	Work in progress	
	# Analysis of data re lower value procurements			Planned for Q1 2011/12	N/A
	Working with the Voluntary Sector through Grant Funding			Completed November 2010	Adequate

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	Review the arrangements for generating and collecting income within Children and Learning			Deleted	N/A
	COMPUTER AUDIT: NETWORK BASED				
	Telecommunications (Voice Over Internet Protocol)		2005/06	Work in progress	
	Web Content Management		2006/07	Completed December 2010	Good
	COMPUTER AUDIT: SECURITY & CONTROL				
	Data backup and recovery		2005/06	Postponed to 2011/12 when new IT arrangements will be in place	N/A
	COMPUTER AUDIT: APPLICATION SYSTEMS				
	Northgate		2006/07	Substantially complete	
	COMPUTER AUDIT: OTHER				
	Follow up of recommendations made			Completed each quarter	N/A
	Risk assessment			Completed. Will be used to support planning for 2011/12	N/A
	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	

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	CERTIFICATION WORK				
	LAA Stretch Target Performance Validation		2008/09	Completed January 2011	Grant Reward Claim Signed
	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
CORPORATE SUPPORT					
	ANTI FRAUD & CORRUPTION & RIPA				
	Corporate Support Fraud & RIPA (excluding Head of Internal Audit input)				
Theme 1	High Fraud Risk Systems (as identified in the Audit Commission's Report, Protecting the Public Purse)			Audit approach being developed in partnership with the Corporate Fraud Team.	N/A
Theme 1	Data Warehouse				
	Audit Commission National Fraud Initiative			2010 data submitted. Data Matches due back in January 2011.	N/A
	Ad hoc investigations			See summary report	N/A
	# 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	
	# 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	
				6 Reports Issued	
				5 Audits Are In Progress	