

Appendix 2a: Internal Audit Plan 2020/21

Managing the Business			
All	Covid-19	Yes	To assess the robustness of arrangements that ensure challenges and opportunities resulting from the Covid-19 emergency are effectively actioned, governed and the desired outcomes are realised.
All	IT Audit: remote working and cyber security arrangements	Yes	To assess the robustness of arrangements that enable the majority of staff to work remotely, while maintaining critical cyber security functions.
N&E (LR)	Neighbourhoods and Environment Performance Board	No	To assess the effectiveness of the Board in gaining suitable assurance over the arrangements in place to achieve the outcomes required of Neighbourhoods and Environment in relation to the wider 2050 agenda.
A&C (SB)	Adult Social Care Service Delivery	Yes	To assess the effectiveness of any proposed new arrangements for managing the delivery and continuous improvement of adult social care services to achieve improved outcomes for individuals.
T (RP)	Health and Safety	No	To assess the robustness of the arrangements for ensuring employees and the public are adequately protected from harm whilst also complying with Council policy and legislation.
<i>Implementing Action Plans</i>			
<i>None</i>			
Managing Service Delivery Risks			
Pride and Joy			
By 2050 Southenders are fiercely proud of and go out of their way to champion what our city has to offer.			
N&E (NH)	National Productivity Investment Fund	Yes	To certify, in all significant respects, that the conditions attached to the grant have been complied with. <i>Planned July to September 2020</i>
<i>Implementing Action Plans</i>			
<i>None</i>			

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Safe and Well By 2050 people in Southend-on-Sea feel safe in all aspects of their lives and are well enough to live fulfilling lives			
N&E (CR)	Private Sector Housing	Yes	To assess the effectiveness of the Private Sector Housing offer in regeneration of the housing market to ensure inclusive, healthy and safe places to live. <i>From the 2019/20 audit plan.</i>
A&C (AA)	Rough Sleepers	Yes	To assess the adequacy of arrangements to ensure effective support is given to vulnerable people in order to achieve the outcomes within the Housing, Homelessness and Rough Sleeping Strategy, while achieving value for money.
C&PH (JOL)	Children's Quality Assurance Framework (QAF)	No	To assess the robustness of arrangements for ensuring that the QAF effectively monitors and evaluates the services delivered to children and to the standards that enable children and young people's welfare to be safeguarded and promoted and their needs met.
A&C (SB)	Southend Care	No	To assess the effectiveness of the arrangements for managing the delivery of services contained within the Southend Care Management Agreement.
G&H (GH)	Management of the South Essex Homes Partnership Agreement	No	To assess the effectiveness of the arrangements for managing the delivery of services contained within the Partnership Agreement.
A&C (SB)	Essex Partnership University Trust (EPUT) Section 75 Agreement	Yes	To assess the robustness of arrangements to ensure the delivery of the outcomes required from the Section 75 agreement are realised.
G&H (GH)	Disabled Facilities Grant	Yes	To certify that, in all significant respects, the conditions attached to the grant have been complied with. <i>Planned July to September 2019</i>
C&PH (JOL)	Troubled Families	Yes	To certify that, in all significant respects, the conditions attached to the grant have been complied with. <i>Planned throughout the year to align with the Payment by Results claim windows set by the Ministry of Housing, Communities and Local Government.</i>

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Implementing Action Plans			
C&PH (MB / JOL)	Data Quality – Children’s Services	No	To check that actions agreed have been effectively implemented and have been embedded into the day to day operation of the service.
A&C (SB)	Adult Social Care Financial Assessments	Yes	
A&C (Abi?)	Homelessness	Yes	
A&C (SB)	Direct Payment Support Service Contract Management	Yes	
A&C / C&PH (SB / JOL)	Social Care Payments to Individuals and Providers	Yes	
Active and Involved By 2050 we have a thriving, active and involved community that feel invested in our city			
A&C (SD)	Fusion Contract Management	Yes	To assess the effectiveness of contract management arrangements in place to gain assurance that the health and safety arrangements are robustly managed while still delivering the wider outcomes of the contract.
Implementing Action Plans			
<i>None</i>			
Opportunity and Prosperity By 2050 Southend-on-Sea is a successful city and we share our prosperity amongst all of our people			
G&H (EC)	Better Queensway	No	To assess the robustness of the Council’s project management arrangements to deliver Better Queensway.
C&PH (BM)	Special Education Needs and / or Disabilities Provision	No	To assess the effectiveness of arrangements in place to ensure better outcomes are achieved for children and young people with Special Education Needs and / or Disabilities (SEND).

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T (SP)	Hayes Contract Management	Yes	To assess whether there are robust arrangements in place to ensure that the contract is delivering the planned outcomes and / or benefits in compliance with the specified performance and quality standards, at the correct cost. <i>From the 2019/20 audit plan.</i>
G&H (EC & RP)	Adult Community College Debt Collection	Yes	To assess the robustness of arrangements to collect debt fully and in a timely manner.
G&H (EC & RP)	Adult Community College Payroll	Yes	To assess the robustness of arrangements to accurately and properly pay college staff.
G&H (GH)	Housing Pipeline	Yes	To assess the robustness of the governance arrangements in place to ensure the right decisions are made in a way that is evidence based and transparent.
Implementing Action Plans			
None			
<p>Connected and Smart</p> <p>By 2050 people can easily get in, out and around our borough and we have a world class digital infrastructure</p>			
N&E (NH)	Order, Delivery and Payment of Highways Works	Yes	To assess the robustness of the end-to-end process, from ordering through to payment and the registration of works in the relevant asset management records.
N&E (CR)	Climate Change	No	To assess the adequacy of arrangements to deliver the outcomes required of the Climate Change Emergency Action Plan.
N&E (AW)	Transport Joint Venture	Yes	To assess the robustness of the governance arrangements which ensure the effective delivery of the joint venture arrangement.
N&E (NH)	Local Transport Capital Block Funding - Highways Maintenance	Yes	To certify that, in all significant respects, the conditions attached to the grant have been complied with. <i>Planned July to September 2020</i>
N&E (NH)	Pothole Action Fund and Flood Resilience Fund	Yes	
Implementing Action Plans			
No work required			

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Key Financial Systems			
All Outcomes			
F&R (CF)	Treasury Management	Yes	To assess the robustness of arrangements in place to deliver Treasury Management in line with the CIPFA Treasury Management Code of Practice.
Implementing Action Plans			
A&C (SB)	Social Care Debt Collection	Yes	To check that actions agreed have been effectively implemented and have been embedded into the day to day operation of the service.
Advice and Support			
All Outcomes			
All	Simple and Effective Governance	No	Provide ongoing support and challenge of the governance arrangements being developed, implemented and embedded by the Transforming Together team.
All	Getting to know your business	No	Provide ongoing support and challenge of the arrangements being developed and implemented to challenge Council services about what they do, why they do it and how they do it, to ensure that the Council is delivering the right things effectively and financially sustainable.
Pride and Joy			
By 2050 Southenders are fiercely proud of, and go out of their way, to champion what our city has to offer.			
N&E (IK)	Waste Collection and Street Cleansing	No	Provide support and challenge to the project team during the options appraisal process of the procurement arrangements that are currently underway for new waste collection and street cleansing operations.
Safe and Well			
By 2050 people in Southend-on-Sea feel safe in all aspects of their lives and are well enough to live fulfilling lives			
No advice and support work currently planned.			

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Active and Involved By 2050 we have a thriving, active and involved community that feel invested in our city			
A&C (JL)	Community Grants	Yes	To provide support and challenge as the new process for awarding community grants is developed and implemented.
Opportunity and Prosperity By 2050 Southend-on-Sea is a successful city and we share our prosperity amongst all of our people			
No advice and support work currently planned.			
Connected and Smart By 2050 people can easily get in, out and around our borough and we have a world class digital infrastructure			
G&H (EC)	Housing Infrastructure Grant	Yes	To provide advice and support as arrangements are developed which ensure Homes for England Housing Infrastructure Grant terms and conditions are properly met.

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Managing Service Delivery

Delivering the internal audit service involves:

- audit planning and resourcing
- managing Audit Plan delivery, which includes overseeing contractor work
- reporting to senior management and the Audit Committee.

Audit Activities	Resource allocation
Managing the Business	8%
Managing Service Delivery Risks	48%
Key Financial Systems	2%
Grant Claims	5%
Advice and Support	6%
Follow Ups	5%
Contingency	17%
Managing Delivery of the Audit Plan	8%
Total	100%
Total Council Audit Plan Days	673

The days required to revisit and retest action plans from previous reports are included under each heading.

The Total Council Audit Plan Days reflects the higher cost of buying in external contractors to cover internal vacancies.

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Analysis Over Executive Director Responsibilities		
All	Cross Cutting	4%
F&R	Finance & Resources	2%
L&D	Legal & Democratic Services	0%
T	Transformation	12%
G&H	Growth & Housing	14%
N&E	Neighbourhoods & Environment	15%
C&PH	Children & Public Health	7%
A&C	Adults & Communities	20%
All	Contingency	17%
All	Managing Delivery of the Audit Plan	8%
	Total	100%

Analysis over the 5 Southend 2050 Themes		
1.	Pride & Joy	5%
2.	Active & Involved	5%
3.	Safe & Well	39%
4.	Opportunity & Prosperity	13%
5.	Connected & Smart	23%
6.	All	15%
	Total	100%

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Risk Watch List

These are other potential audits that may be considered for inclusion in the Audit Plan during the year should resources permit

G&H	Building a Safer Future
A&C	Data Quality – Adult Social Care
C&PH	In House Fostering Team
A&C	Liquid Logic Phase 2 – Introduction of Portals
G&H	Empty Homes Strategy
C&PH	SMART Southend
T	Corporate Establishment
F&R	Accounts Payable
N&E	Highways Improvement Plan
N&E	Community Safety
N&E	Cemeteries and Crematorium
F&R	Development of Corporate Approach to Procurement and Contract Management
A&C	Homecare Contract
C&PH	Public Health
C&PH	Children’s Services Financial Recovery Plan
C&PH	Children Missing from Education
C&PH	Victory Park Academy
F&R	Asset Management of the Corporate Estate
C&PH	Adherence to Terms and Conditions of the Early Years Grant Funding
A&C	Better Care Fund Section 75 Agreement