

Assurance

		Internal Control Environment	Monitoring and evaluation	Reliability and Integrity	Effectiveness of ops	Safeguarding of assets	Compliance with Laws, Regs, Rules, Procedures and contract conditions	Actions agreed	Summary of areas where no assurance can be given
Service	Function								
Adult Social Care	Help in the Home contract	Amber	Green		Green	Green	Amber	✓	The review highlighted that that the 3rd sector organisation did not have a strategy in place to mitigate reducing PCC funding. The contract had not been referred to Legal for review before being entered into as required by the Contract Procedure Rules.
	Carer's Service	Green			Green		Amber	✓	The review highlighted improvements in the storage of documents held both manually and electronic
	Vanguard Centre	Green					Amber	✓	The review highlighted non-compliance with the Financial Rules for purchase orders, cash handling and inventory
	Residential and day care		Green		Amber	Amber	Amber	✓	The review highlighted non-compliance with the Financial Rules for income collection, purchase orders, petty cash & inventory.
	Hospital based social care teams				Amber			✓	A process review was carried out which suggested improvements to forms, social work and admin processes.
Follow ups	4. Shearwater	Green	Green				Green	N/A	All exceptions had been actioned
	5. Edinburgh House					Green	Amber	✓	Actions relating to compliance with Financial Rules for inventory and income collection are not fully implemented.

Adult Social Care – Finance Team	Client Affairs	Red	Green		Green		Amber	✓	The review highlighted that there were no formalised procedures for client property searches or the records needing to be kept. There was also no record kept to show why a particular estate agent had been used.
	Deferred payments scheme	Amber	Green				Green	✓	The review highlighted that property valuations are not updated.
Housing Management - Follow up	3. Mobile Homes follow up	Green	Green					N/A	All exceptions had been actioned
Revenues & Benefits	Council Tax	Green	Green		Amber		Amber	✓	The review highlighted that the previously raised exception in relation Northgate access had not been implemented. The review also highlighted that write offs were not been monitored for accuracy.
	NNDR								
	Housing Benefits	Green				Green	Green	✓	N/A
	Debt recovery	Green	Green	Green	Amber		Green	✓	The review highlighted that not all staff had completed mandatory training
Children’s Social Care & Safeguarding	Residential Homes & family centres		Green			Amber	Amber	✓	The review highlighted non-compliance with the Financial Rules for cash handling, petty cash & Inventory. The review also highlighted non-compliance with the Driving at Work Policy.
Looked after Children	Foster Carer Recruitment	Green	Green	Green			Green	N/A	No exceptions raised
	Recruitment of adopters	Green	Green				Green	N/A	No exceptions raised
	Beechside		Amber		Green	Green	Green	✓	The review highlighted that staff had completed mandatory training including information governance.
Assessment & Intervention	Family Support Team	Green			Green		Amber	✓	The review highlighted non compliance with some aspects of the Children in Need Procedures.

	Cases in legal proceedings	Amber	Amber		Red		Amber	✓	The review highlighted that there is no SLA with Legal Services, key documentation was not always being provided for Legal privilege meetings. Decisions made were not being actioned in a timely manner and the monitoring process was not effective. Staff have not received recent training on care proceedings
IYSS	Duke of Edinburgh Scheme	Green	Green			Amber	Amber	✓	The review highlighted non-compliance with the Financial Rules for inventory, purchase orders and purchase cards
	Outdoor Education Centre	Amber				Red	Amber	✓	The review highlighted non-compliance with the Financial Rules for inventory & purchase orders.
Follow ups	1. Support to Young People Leaving Care						Amber	✓	Action relating to the signing of plans by young people was not fully implemented.
	2. Fostering Allowances	Green				Amber		✓	Actions relating to Finance returns has not been completed.
	3. Pocket Money	Green					Amber	✓	Actions relating to the paperwork for pocket money have not been completed.
	5. Skye Close	Green	Green				Green	N/A	All exceptions had been actioned
	6. Lightfoot Lawn		Amber				Green	✓	Actions relating to the mini-bus & MIDAS training were not fully actioned.
Education	Supply Teachers	Green	Green				Green	N/A	No exceptions raised.
	Safeguarding	Green	Green				Green	N/A	No exceptions raised.
	Resilience	Red			Red		Green	✓	Testing highlighted that 56% of the schools sampled did not have an adequate resilience plan in place
Audit and Performance Improvement	Carbon Reduction Programme	Green			Green			N/A	No exceptions raised.

Community Housing and Regeneration	Community Funerals	Red	Amber		Green	Amber	Amber	✓	The review highlighted that there is no procedure for dealing with cash, there is only one member of staff trained, improvements required to storage and documentation
Traffic and Environment	Integrated Transport Unit	Advice to project only							
IS	Disposal of equipment	Amber				Red	Green	✓	The review highlighted that the redeployment inventory was not accurate and the management trail for disposal
	Physical security	Green	Green		Amber	Red		✓	The review highlighted improvements required to physical access controls.
Follow ups	1. Archiving/ back ups		Amber				Amber	✓	Actions relating to storage and retention of data are not yet completed.
	2. Scala		Amber			Green		✓	Action relating to the storage of backups has not yet been completed.
Asset Management	Modern Records Service	Green	Green			Amber	Amber	✓	The review highlighted that agency workers had not signed the code of conduct declaration and access to the MRS database was not adequately controlled.
HR	Conduct and ethical behaviour	Green	Amber				Amber	✓	The review highlighted inconsistencies across Services in relation to compliance with the PDR Policy, completion of Code of Conduct form and Anti Fraud, Bribery & Corruption Training.
Corporate	Safeguarding	Green	Red				Amber	✓	The review highlighted that for some of the volunteers tested adequate safeguarding checks could not be evidenced.

	Security Reviews	Green	Amber				Amber	✓	Unannounced walkabouts were carried out, where staff had recently moved into the Civic Offices, the review highlighted incidents of unsecured personal data and PCC assets.
External	Langstone Harbour Board								Completed and report issued to the board