

APPENDIX A2 - Audits Completed Since The Last Meeting (15th September 2017)

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Achievement of organisation's strategic objectives	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary
PCC1718-073 - SIM card inventory & stock control - Regeneration - Tristan Samuels	0	4	2	0	6	NAT	NAT	3	3	NAT	No assurance	Six high risk exceptions have been raised as a result of this review. These were in relation to incomplete inventory records, access controls for the safe, active SIM cards awaiting cancellation, no evidence to support transfer of stock between teams, no processes for the ordering or disposing of stock and whether activation levels for the cards were appropriate.
PCC1718-014 - Data Sweeps - Corporate - Michael Lawther	0	1	0	0	1	NAT	1	NAT	NAT	NAT	Limited assurance	One high risk exception has been raised as a result of this review. Testing highlighted 24 unsecured laptops (average value £600 each), 3 unsecured security passes, 3 unlocked key safes and 8 instances of unsecured sensitive data. This is a reduction in the number of unsecured laptops and sensitive data found over the last three years, but an increase in unlocked key safes and unsecured activated passes.
PCC1718-028 - iExpenses - Finance & Information Service - Chris Ward	0	7	0	0	7	1	5	NAT	1	NAT	Limited assurance	7 high risk exceptions have been raised as a result of the audit review. These related to inadequate management review of claims, claims being incorrectly authorised, claims being made that contravene the Travel & Subsistence policy, lack of receipts, staff not undertaking the iexpenses training, inadequate journey descriptions and employees potentially splitting claims so as to exceed the 60 mile limit for journeys.
PCC1718-062 - Meon Infant School - External	0	3	0	0	3	1	1	1		NAT	Limited assurance	Three high risk exceptions were raised as a result of this review relating to weaknesses in operational controls for DBS documentation, petty cash and inventory.

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PCC1718-008 - Children in Need - Children's Social Care - Alison Jeffery	0	0	3	0	3	NAT	3	NAT	NAT	NAT	Reasonable Assurance	Three medium risk exceptions were raised as a result of this review relating to lack of compliance with Children in Need internal procedures, gaps in the content of Children in Need plans, and the way in which concerns from the referrals had been addressed and recorded within the case notes.
PCC1718-011 - Licensing & Enforcement - City Development & Culture - Stephen Baily	0	0	0	0	0	NAT		NAT		NAT	Assurance	No exceptions were raised as a result of this audit