## Appendix A - Municipal Year To Date (No Assurance and Critical Audit Summary)

1516-029 - Portsmouth Craft & Manufacturing Industry Transport       5       ND Assurance Prinancial & Reputational       Five high risk exceptions arose within this audit due to fack of training - Financial & Reputational       2016/17       Audit Plan         Environment & Business       1       3       ND Assurance       Date Protection Breach - Financial & Reputational       One retital risk exception four high risk exceptions and one medium risk exception have been raised as and one medium risk exception have been raised as and one medium risk exception have been raised as a result of audit testing. The critical and one medium risk exception have been raised as a result of audit testing. The critical and one medium risk exception have been raised as a result of audit testing. The critical exception relations to conversations deemed as confidential that are taking place in the open reception area. The high risk exceptions area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception highlights that the reception realial & Reputational       Quarter 2       2016/17         1516-019 - Events Organised or Infrastructure Provided Culture       7       No Assurance No Assurance Protection floor for events.       2016/17       Audit Plan         2016/17 Organised	Audit Title - NO	Critical	High Risks	Original Audit	Key Risk	Summary	Follow Up	Follow Up	Follow Up Summary
1516-029 - Portsmouth Craft & Manufacturing Industry Transport       5       ND Assurance Prinancial & Reputational       Five high risk exceptions arose within this audit due to fack of training - Financial & Reputational       2016/17       Audit Plan         Environment & Business       1       3       ND Assurance       Date Protection Breach - Financial & Reputational       One retital risk exception four high risk exceptions and one medium risk exception have been raised as and one medium risk exception have been raised as and one medium risk exception have been raised as a result of audit testing. The critical and one medium risk exception have been raised as a result of audit testing. The critical and one medium risk exception have been raised as a result of audit testing. The critical exception relations to conversations deemed as confidential that are taking place in the open reception area. The high risk exceptions area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area, to a security presence in the ground floor reception area and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception rea and the use of the 9 ground floor reception highlights that the reception realial & Reputational       Quarter 2       2016/17         1516-019 - Events Organised or Infrastructure Provided Culture       7       No Assurance No Assurance Protection floor for events.       2016/17       Audit Plan         2016/17 Organised	ASSURANCE AUDITS	Risks		Assurance			Due	Audit	
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next GAS meeting									next GAS meeting

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1516-082 - Closed-circuit	4 No Assurance	Non compliance	Four high risk exceptions highlighted in this report.	2016/17				
Television (CCTV)		with legislation -	The CCTV Policy not including all CCTV usage across	Audit Plan				
Corporate		Financial &	the Authority and services not having their own.					
		Reputational	Breach of Data Protection Act (DPA) Principle 7 and					
			European Convention on Human Rights (ECHR) &					
			Human Rights Act (HRA) Article 8 by some Housing					
			tenants having access to CCTV images. Non-					
			compliance with significant areas of the Codes of					
			Practice, DPA and ECHR & HRA by services that					
			utilise CCTV especially around defining a pressing					
			need/ privacy impact assessment. Non- compliance					
			with the Protection of Freedoms Act (POFA) Code of					
			Practice regarding regular oversight of CCTV usage to					
			ensure compliance with Codes of Practice and					
			relevant Acts.					
1516-086 - Individual	2 No Assurance	Contracts	Two high risk exceptions were raised as a result of	2016/17				
Service Contracts for		become	audit testing. It was found that no officer has	Audit Plan				
Adult Social Care		obsolete or	responsibility for ensuring that Individual Service					
		ineffective -	Contracts remain in line with the Authority's					
		Operational &	requirements. Ineffective use of resources was found					
		Financial	as follows: i) information being sent out twice to care					
			providers, ii) manual contracts being posted to care					
			providers and the signed copies being scanned into					
			Swift when returned, when it could be possible to					
			send these out electronically.					
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1516-009 - Through Care		5	No Assurance	Financial loss to	Five high risk exceptions and one medium risk	2016/17		
Team Children's Social Care		5		the Authority	5	Audit Plan		
1516-034 - Information Governance/ Data Protection/ Data security <b>Corporate</b>		2	No Assurance	Breach - Financial &	Testing conducted during two security sweeps of the Civic Offices showed that staff were not complying with the clear desk policy and were failing to adequately secure PCC assets			
1516-045 - Accounts receivable <b>Finance &amp; IS</b>		2	No Assurance		Two high risk and one medium risk exceptions arose. 1 High and 1 Medium are ongoing exceptions from previous years audits dating back to the last 3 financial years. These relate to the authorisation of credit notes and debt collection targets.	2016/17 Audit Plan		
1516-098 Mainland Marketing Distributions (Shipping Ltd) - Main Accounting	0	0	No Assurance	Financial loss to the company	No assurance can be given regarding the access controls to the main accounting system Navision. This was previously raised in the 2013/14 Accounts Receivable audit at MMD	2016/17 Audit Plan		

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