

**APPENDIX A - Audits Completed to date (10th October 2018)**

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	Last Implementation date
Deferred Payments - Director of Adult Social Care	0	0	0	2	2	Assurance	Assurance	NAT	NAT	NAT	Assurance	The issues raised are low level improvements only.	Not applicable
Direct Payments - Director of Adult Social Care	0	1	2	0	3	NAT	Assurance	Limited Assurance	Reasonable Assurance	NAT	Limited Assurance	The issues raised are in relation to evidence to support expenditure, late returns by clients of Direct Payments and enhanced fraud checks proposed.	Apr-19
Modern Records - Director of City Development and Culture	0	3	1	0	4	Limited Assurance	Assurance	Limited Assurance	NAT	NAT	Limited Assurance	The issues raised are in relation to physical condition of the record stores, the strategy for the digital preservation of electronic records and the fact that the service's computer system will not be compatible once the Microsoft windows upgrade is performed, and will need to be replaced.	Between Oct 18 and Oct 2020
Portsmouth Reablement & Rehabilitation Team - Director of Adult Social Care	0	0	1	0	1	Assurance	Assurance	NAT	Reasonable Assurance	NAT	Reasonable Assurance	The issue raised was in relation to incorrect reporting on initial assessments.	Mar-19
Travel & Subsistence - Director of Finance & Information Service	0	5	1	0	6	NAT	Limited Assurance	NAT	Limited Assurance	Limited Assurance	Limited Assurance	The issues raised are in relation to failure to comply with financial rules, for example, evidence of driving license and adequate insurance, circumvention of mileage rules and lack of training.	Dec-18
Mobile Phones - Director of Finance and Information Service	0	1	2	1	4	NAT	Limited Assurance	Reasonable Assurance	Reasonable Assurance	NAT	Limited Assurance	The issue raised was in relation to an inadequate management trail for phones ordered and users acceptance of mobile phone conditions.	Feb-19
Supporting vulnerable people through Homecheck/ Telecare - Director of Housing, Neighbourhood and Building Services	0	4	2	1	7	Assurance	Limited Assurance	Limited Assurance	Limited Assurance	NAT	Limited Assurance	The issues raised are in relation to the accuracy and availability of stock records, non completion of mandatory staff training and income handling documentation, Key performance indicator monitoring and duties being undertaken whilst awaiting DBS clearance.	May-19
Energy Management - Director of Housing, Neighbourhood and Building Services	0	0	1	0	1	NAT	NAT	Assurance	Assurance	NAT	Reasonable Assurance	The issue raised was in relation to over reliance on one member of staff for the compilation and submission of the annual report.	Dec-18
Risk Management - Director of HR, Legal and Performance	0	3	1	1	5	Limited Assurance	Limited Assurance	Limited Assurance	NAT	NAT	Limited Assurance	The issues raised are in relation to the risk management framework, specifically corporate oversight and the monitoring and reporting of the strategic risks.	Mar-19
St Swithuns - Director of Children Services and Education	0	2	0	0	2	NAT	Limited Assurance	NAT	Limited Assurance	NAT	Limited Assurance	The issues raised are in relation to retention of confidential / sensitive data in personnel files and no income trail for two pockets of income in the sample tested.	Dec-18
Southsea Infant - Director of Children Services and Education	0	0	0	0	0	Assurance	Assurance	NAT	Assurance	Assurance	Assurance	No issues were raised	Not applicable
Port Grant - Director of Portsmouth International Port	0	0	0	0	0	NAT	Assurance	NAT	NAT	NAT	Assurance	Grant Verification	Not applicable
Local Transport Capital & Pothole Grant (Grants) - Director of Regeneration	0	0	0	0	0	NAT	Assurance	NAT	NAT	NAT	Assurance	Grant Verification	Not applicable