

# APPENDIX A

2014/15 Completed Full Audits between 1st April - 26th August

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Effectiveness of Operations	Safeguarding of Assets	Reliability & Integrity	Audit Assurance	Summary
<b>Children's Social Care - Stephen Kitchman</b>												
1415-006   CSC - Corporate Parenting	0	0	0	0	0	0	No areas tested (NAT)	0	NAT	NAT	Assurance	#####
1415-010   CSC - Private Foster Carers	1	3	1		5	1	2	2	NAT	NAT	No Assurance	One critical exception was raised in relation to Disclosure and Baring Service checks. Three high risk exceptions were raised which relate to non-compliance with PCC procedures, incomplete 'capacity to care assessments' and a lack of monthly supervision of private fostering cases
1415-013   CSC - Family Support Children in need			1		1	0	1	0	NAT	NAT	Limited Assurance	#####
1415-015   CSC - Social Work Matters	0	0	0	0	0	0	0	0	NAT	NAT	Assurance	No exceptions were raised from this audit. It was found that there is a clear framework within which the project was managed and the programme board was given regular progress updates. The objectives of the project appear to have been met.
<b>HR, Legal &amp; Performance - Jon Bell</b>												
1415-067   HLP - eBay Account		1	1	1	3	1	0	NAT	1	1	Limited Assurance	A high risk exception was raised as passwords for Paypal and eBay were found to be identical and weak in nature, these have now been changed. Medium risk exception raised as whilst procedures are in place they are in need of expansion.
<b>Intergrated Commissioning Unit - Preeti Sheth</b>												
1415-089   ICU - Care homes placements		0	2	2	4	1	2	1	NAT	NAT	Limited Assurance	Two medium risk exceptions were raised, the first is in relation to a lack of communication between Social Workers/ Care Managers and Contract Officers prior to care home reviews. The second is in relation to a lack of evidence of checks of staff turnover and/or financial checks undertaken as part of the monitoring review process.
<b>Transport &amp; Environment - Simon Moon</b>												
1415-111   T&E - Climate Change and Sustainability	0	0	0	0	0	0	0	NAT	NAT	0	Assurance	#####

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<b>External</b>												
1415-119   EXT - Gatcombe Park Primary		4	2		6	1	3	1	0	1	Limited Assurance	#####

1415-121   EXT - Northern Parade Primary		1	1		2	0	2	0	0	0	Limited Assurance	#####
1415-132   EXT - Meredith Infant		2	1		3	0	1	0	1	1	Limited Assurance	#####
1415-133   EXT - St Judes Primary		6	2		8	1	7	0	0	0	Limited Assurance	#####
1415-135   EXT - Devonshire Infant & Nursery	0	0	0	0	0	0	0	0	0	0	Assurance	The Full Audit resulted in no exceptions being raised for any of the areas tested. Completion of the Schools Financial Value Standard (SFVS) statement for year ending March 2014 is in line with Internal Audit's judgment.
Grand Total For Period	1	17	11	3	32	5	18	4	2	3		

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2014/15 Completed Full Audits  
Between 26th August & 6th October

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Effectiveness of Operations	Safeguarding of Assets	Reliability & Integrity	Audit Assurance	Summary
Children's Social Care - Stephen Kitchman												
1415-012   CSC - Direct Payments	2	1	1		4	1	2	1	0	NAT	No assurance	#####
Customer, Community & Democratic Services - Louise Wilders												
1415-038   CCD - FOI		1			1	NAT	1	NAT	NAT	NAT	Limited Assurance	The review found that the Authority is currently not meeting the Information Commissioners Office target of answering Freedom of Information requests within 20 working days
City Development & Cultural Services - Stephen Bailey												
1415-047   CDC - Portsdown Hill & Hilsea Lines Rangers			1	1	2	1	0	NAT	1	NAT	Limited Assurance	Testing has highlighted one medium risk exception in relation to evidencing an annual 'Work Activities' Health & Safety Risk Assessment. One low-risk improvement exception was also raised.

<b>Financial Services - Chris Ward</b>												
1415-064   FIN - Payment of travel and subsistence			2		2	0	1	0	1	NAT	Limited Assurance	#####
<b>Housing &amp; Property Services - Owen Buckwell</b>												
1415-077   H&P - Homelessness & Temporary Accommodation		1	1		2	NAT	1	0	1	NAT	Limited Assurance	Testing found 1 high risk and 1 medium risk exception. One for incorrect payments to suppliers and the other for breach of legislation.
1415-084   H&P - Maintenance Repairs					0	NAT	NAT	0	NAT	NAT	Assurance	No exceptions were raised as a result of this audit. Testing reviewed customer satisfaction measures confirmed how value for money was obtained within the Repairs & Maintenance and Green & Clean services

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<b>Information Service - Mel Burns</b>												
1415-097   INS - Vendor Management			1		1	NAT	0	1	NAT	NAT	Limited Assurance	One medium risk exception relating to lack of monitoring on a IS related contract which arose from a lack of clarity from the service as to who was responsible for this monitoring.
<b>Revenues &amp; Benefits - Ed Woodhouse</b>												
1415-103   R&B - Housing & Council Tax benefits					0	NAT	0	0	NAT	NAT	Assurance	#####
<b>Transport &amp; Environment - Simon Moon</b>												
1415-107   T&E - PFI Contract					0	0	NAT	NAT	NAT	NAT	Assurance	Audit have reviewed the negotiation strategy formulated to renegotiate the Highways PFI Modernisation Programme (HPMP), along with the changes made to the insurance cover for the Highways PFI contract and have no comment to make at this time due to the Highways PFI contract being under renegotiation with the contractor Ensign. No further audit work will be undertaken until the renegotiation process has been completed.
1415-108   T&E - PFI Contract Claims					0	0	NAT	NAT	NAT	NAT	Assurance	
<b>External</b>												
1415-120   EXT - Secondary School		14	1		15	2	9	4	0	0	No assurance	#####
1415-125   EXT - Meon Infant		2		1	3	0	1	0	1	1	Limited Assurance	#####
1415-128   EXT - Corpus Christi		3	3		6	1	2	2	0	1	Limited Assurance	#####

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1415-130   EXT - St Swithuns Primary		2	1		3	0	1	0	1	1	Limited Assurance	#####
1415-134   EXT - Langstone Harbour Board						0	0	0	0	0	Assurance	External work
Grand Total For Period	2	24	11	2	39	5	18	8	5	3		
Totals for 2014/15	3	41	22	5	71	10	36	12	7	6		

2013/14 Full Audits completed since 26th August

Audit Title	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Effectiveness of Operations	Safeguarding of Assets	Reliability & Integrity	Audit Assurance	Summary
1314-083 CCDS - Equalities & Diversity		1			1	1	0	0	NAT	NAT	Limited Assurance	One high risk exception was raised as it was identified that the current training system for Equalities & Diversity is not fit for purpose