

APPENDIX A - Audit Results Since Last Report

Audit Title - NO ASSURANCE AUDITS completed since the last meeting	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary
1516-019   CDC - Events Organised or Infrastructure Provided		7			7	1	4	NAT	2	NAT	No Assurance	Seven high risk exceptions have been raised as a result of audit testing relating to a lack of clear procedures for processing event applications, the event application process, fees and charges, risk assessments for events, insurance, event security and the monitoring of events.
1516-082   HSP - CCTV		4	2		6	NAT	6	NAT	NAT	NAT	No Assurance	Four high risk exceptions highlighted in this report. The CCTV Policy not including all CCTV usage across the Authority and services not having their own. Breach of DPA Principle 7 and ECHR & 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   IPC - Individual Service Contracts		2			2	1	NAT	NAT	1	NAT	No Assurance	Two high risk exceptions were raised as a result of audit testing. It was found that no officer has responsibility for ensuring that Individual Service Contracts remain in line with the Authority's requirements. Ineffective use of resources was found 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.
1516-061   CUL - Coroner's Office		6			6	1	1	4	NAT	NAT	No Assurance	Six high risk exceptions have been raised as a result of the audit testing. The exceptions relate to a weakness in controls in relation to the administration, training of staff, storage, security, back up and transport of the Coroner's records for the Portsmouth and South East Region.
Audit Title - LIMITED ASSURANCE AUDITS completed since the last meeting	Critical Risk	High Risk	Medium Risk	Low Risk - Improvement	Total Exceptions	Internal Control Environment	Compliance	Safeguarding of Assets	Effectiveness of Operations	Reliability & Integrity	Audit Assurance	Summary
1516-005   ASC - Client Affairs includes pre-paid bank cards		1			1	0	1	NAT	0	NAT	Limited Assurance	One high risk exception was raised from this audit. This relates to lack of recording of receipt checking carried out when clients are in residential homes to ensure that their money is being spent by the care home on the client. Checks made on pre-paid card account expenditure are also not being recorded.
1516-008   CSC - Permission To Share		1			1	0	1	NAT	NAT	NAT	Limited Assurance	One high risk exception was raised relating to agencies sharing information with PCC without having consent to share this information.
1516-013   CDC - Historic Records			1		1	0	0	1	0	NAT	Limited Assurance	One medium risk exception has been raised as a result of the audit

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1516-032   C&C - Members Allowances			2		2	0	1	0	NAT		1	Limited Assurance	Two high risk exceptions were raised as a result of this audit. The first was in relation to members' mobile phone expenditure. One member was found to be in receipt of an allowance for business use of a personal mobile telephone, and another was found to be accruing monthly charges in far excess of the average monthly expenditure. The second was in relation to an incongruence between published expense and allowance figures, and amounts actually paid to members. Telephone allowances were not recorded in the published figures, and a mayoral allowance was under reported by £881.58, due to an administrative error.
1516-043   CSE - Children with Disabilities		1	2		3	0	3	NAT		0	NAT	Limited Assurance	Audit testing highlighted one high risk and two medium risk exceptions. The high risk assessment was raised due to non-compliance with the case procedures in relation to reviews of plans.
1516-056   FIS - Cloud Storage		1	1		2	1	0	NAT		1	NAT	Limited Assurance	One high risk and one medium risk exceptions have been raised as a result of audit testing. The high risk was in relation to a lack of evidence being available to confirm the purpose of staff usage of non-corporate cloud storage systems. The medium risk exception was in relation to the strength of Huddle's access controls, whereby once a password has been created users were not required to change it at regular intervals.
1516-067   RCS - Climate Change & Sustainability (CRC)			1		1	1	0	NAT		NAT	NAT	Limited Assurance	One medium risk exception was raised as the estimation figures used to purchase allowances in advance are not checked by another member of staff for accuracy. The content of the 2014/15 submission was found to be accurate
1516-071   HSP - Sheltered Housing		1	2		3	NAT	2	1	NAT		NAT	Limited Assurance	One high risk exception was raised in relation to funds looked after by staff that belong to residents at the sheltered housing blocks. Testing identified that money is received from family members or carers of residents to pay for items such as lunches, hairdressers and cleaning. The receipts being issued by staff for these transactions are not on controlled stationery which could potentially leave staff in a vulnerable position.
1516-002   ASC - Better Care Fund					0	0	0	NAT		0	NAT	Limited Assurance	Recommendations were made during an audit of Better Care Fund arrangements carried out by the Portsmouth Clinical Commissioning Group's (CCG) internal auditors in March 2015 relating to risk management and escalating key risks to the Health and Wellbeing Board. Progress has been evidenced during this current audit, however, limited assurance is being given to reflect the fact that these issues have not been fully implemented as yet.

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1516-093   ICU - Supported Living					0	0	0	NAT	0	NAT	Assurance	A sample of eight contracts were reviewed as part of the audit for Supported Living. The total cumulative value of the contracts reviewed was £12,635,279. No exceptions were raised as part of this audit.
1516-078   HSP - Contract Management Housing					0	0	0	NAT	0	NAT	Assurance	No exceptions raised.
1516-088   PIP - Car Parking Contract					0	0	0	0	NAT	NAT	Assurance	No exceptions raised.