

Appendix C - Portsmouth City Council Internal Audit Plan 2020/21

<b>Audit</b>	<b>Audit Sponsor</b>	<b>Strategic Risks</b>	<b>Corporate Priorities</b>	<b>Provisional Scope</b>
Residential Units	Adult Social Care	3,4,11	1,2,4	Follow up on previous exceptions raised
Supplier Due Diligence	Adult Social Care	3,4,10,11	1,2,4	Scope to include a review of key controls and supplier arrangements to safeguard against modern slavery.
Harry Sotnick	Adult Social Care	3,4,11	1,2,4	Scope to include a review of arrangement post transfer of supplier. (Now PCC)
Deprivation of Liberties	Adult Social Care	3,4,11	1,2,4	Potential follow up required.
Adult Safeguarding	Adult Social Care	3,4,11	1,2,4	Scope to include a review of key controls.
IT System One	Adult Social Care	3,4,7,8	1,2,4	Scope to include a review of key controls.
Domiciliary Care	Adult Social Care	3,4,11	1,2,4	Scope to include a review of key controls.
Children with Disabilities	Children, Families and Education	1,4,11	1,2,4	Scope to include a review of key controls.
Education Health Care Plan 19 - 25 years old	Children, Families and Education	1,4,11	1,2,4	Scope to include a review of the educational provision in place to 25 year olds.
Troubled Families Grant	Children, Families and Education	1,4,11	1,2,4	Grant Verification
Edge of Care	Children, Families and Education	1,4,11	1,2,4	Follow up on previous exceptions raised
No Recourse to Public Funds	Children, Families and Education	1,4,11	1,2,4	Scope to include a review of key operational and financial controls.
Care Leavers	Children, Families and Education	1,4,11	1,2,4	Scope to include review of statutory duties and compliance

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Adoption Service	Children, Families and Education	1,4,11	1,2,4	Scope to include review of recruitment of adopters and consider effectiveness of partnerships
Children's Residential Unit	Children, Families and Education	1,4,11	1,2,4	Follow up on previous exceptions raised
Short Breaks	Children, Families and Education	1,4,11	1,2,4	Scope to include a review of key controls.
Schools (TBD)	Children, Families and Education	1,4,11	1,2,4	Scope to include a review of key controls.
Customer Experience	Corporate & IT	7,8,10	all	Scope of review to include impact of digital initiatives
Cashiers	Corporate & IT	7,8,11	all	Scope to include a review of key controls.
Information Governance (Data Security)	Corporate & IT	7,8	all	Scope to include data sweep and unscheduled review of security.
Marketing & Income Generation	Corporate & IT	10,11	2,4,5	Scope of review to include income generation.
IT Procurement, inventory & disposal	Corporate & IT	7,8,11	1,5	Follow up on previous exceptions raised
User Access and Asset Management	Corporate & IT	7,8,11	1,5	Scope to include the management/control of users access and assets
IS Helpdesk & Desktop management	Corporate & IT	7,8, 11	1,5	Follow up on previous exceptions raised
Back-up and recovery Disaster recovery/Business Continuity	Corporate & IT	7,8,11	1,5	Scope to include a review of project underway.

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Shared Services	Corporate & IT	10,11	all	Scope to include a review of capacity, contingency arrangements and infrastructure.
Learning & Development	Corporate & IT	2	2,4,5	Follow up on previous exceptions raised
Apprentices Levy	Corporate & IT	2,11	1,4,5	Follow up on previous exceptions raised
Volunteering & Social Action	Culture, Leisure & Regulatory Services	3,4,8,10,11	1,2,4,5	Follow up on previous exceptions raised
Guildhall	Culture, Leisure & Regulatory Services	4,9,10	1,2,4,5	Follow up on previous exceptions raised
City Attractions (Museum)	Culture, Leisure & Regulatory Services	4,9	1,2,4,5	Scope to include a review of key financial and operational controls.
Water Safety	Culture, Leisure & Regulatory Services	4,9	1,3,4,5	Follow up on previous exceptions raised
Associations (Community Centres)	Culture, Leisure & Regulatory Services	2,4,9	1,2,4,5	Follow up on previous exceptions raised
Modern Slavery	Executive	3,6	1,3,4,5	Follow up on previous exceptions raised
International Visits	Executive	10,11	1,2,4,5	Scope to include review of key controls
Systems Thinking	Executive	4,10,11	all	Scope to include a review of outcomes monitoring
Housing & Council Tax Benefits	Finance	2,6,7,8	1,2,4,5	Scope to include a review of key controls.
Budget Monitoring & Delegated Authority	Finance	4,8,11	1,2,4,5	Scope to include a review of key controls.
Accounts Payable	Finance	4,7,8,11	1,2,4,5	Scope to include a review of key controls.
Accounts Receivable	Finance	4,7,8,11	1,2,4,5	Scope to include a review of key controls.

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Payroll/ Pension	Finance	8,11	1,2,4,5	Scope to include a review of key controls.
Purchase Cards	Finance	8,11	1,2,4,5	Scope to include a review of key controls.
Travel & Expenses	Finance	8,11	1,2,4,5	Scope to include a review of key controls.
Rents & Charges	Housing, Neighbourhood and Building Services	7,8,11,13	1,2,4,5	Scope to include a review of key controls.
Estate Services	Housing, Neighbourhood and Building Services	8,11,13	1,2,4,5	Follow up on previous exceptions raised
Sheltered Services	Housing, Neighbourhood and Building Services	8,11,13	1,4,5	Follow up on previous exceptions raised
Planned Maintenance	Housing, Neighbourhood and Building Services	4,9,11	1,2,4,5	Scope to review Value for Money.
Right to Buy	Housing, Neighbourhood and Building Services	4,11	1,2,4,5	Scope to include review of due diligence arrangements and repurchases.
Homelessness / Temporary Accommodation	Housing, Neighbourhood and Building Services	4,11	1,2,4,5	Scope to include a review of compliance with legislation and financial controls
Claims Housing (Insurance)	Housing, Neighbourhood and Building Services	8,11	1,2,4,5	Follow up on previous exceptions raised
Gas Contract	Housing, Neighbourhood and Building Services	4,9,11	1,3	Scope to include a review of contract monitoring arrangements.
Out of Hours	Housing, Neighbourhood and Building Services	4,11	1,3,5	Scope to include a review of key operational controls.
Emergency Procedures	Housing, Neighbourhood and Building Services	7,8,11,12,13	1,4,5	Follow up on previous exceptions raised

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Compliance Checks (Safety)	Housing, Neighbourhood and Building Services	7,8,11,12,13	1,4,5	Follow up on previous exceptions raised
Energy Management Grant	Housing, Neighbourhood and Building Services	5,7,9	1,4,5	Annual verification
Disabled Facilities Grant	Housing, Neighbourhood and Building Services	4,11	1,4,5	Annual verification
Homes in Multiple Occupation	Housing, Neighbourhood and Building Services	3,6	1,4,5	Follow up on previous exceptions raised
Coffee Shops	Housing, Neighbourhood and Building Services	-	1,5	Follow up on previous exceptions raised
Langstone Harbour Board	Langstone Harbour Board	N/A	N/A	N/A
Portico (TBC)	Portico	-	-	-
Income Dues Brittany	Port	4,11	all	Scope to include a review of key controls.
Income Dues Portico	Port	4,11	all	Follow up on previous exceptions raised
Marine M (Application)	Port	7,8	5	Scope to include a review of post implementation delivery.
ABP contract for Pilots	Port	7,9,11	1,3	Scope to include a review of key risk exposure.
PECS Grant	Port	7,9,11	1,3	Grant Verification
Orpheus Grant	Port	7,9,11	1,3	Grant Verification
2SEAS Speed Grant	Port	7,9,11	1,3	Grant Verification
Department of Transport Grant	Port	7,9,11	1,3	Grant Verification
Public Health Outcomes	Public Health	4,9,11	all	Follow up on previous exceptions raised
NHS Digital Submission	Public Health	4,9,11	all	Annual verification

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Mental Health	Public Health	4,9,10	all	Scope to include a review of contract monitoring arrangements.
Ravelin	Regeneration	11,13	1,2,5	Scope to include a review of the governance and delivery model.
Commercial Rents	Regeneration	8,11	all	Scope to include a review of financial & operational controls.
Local Transport Capital Grant	Regeneration	11	1,3,4	Annual verification
Home to School Transport	Regeneration	1,4,11	1,3,4,5	Scope to include a review of financial & operational controls.
Asset Register & Valuation	Regeneration	7,8,11	1,3,4,5	Scope to include a review of financial & operational controls.
Residential Parking	Regeneration	11,13	all	Follow up on previous exceptions raised
Bus Subsidy Grant	Regeneration	4,11	all	Annual verification

### **Strategic Risks**

1. Pressures lead to increased caseloads and therefore reduced practice quality in children's social care, increasing vulnerability of children and leading to a preventable incident.
2. Challenges in recruiting and retaining key staff and skills into the city, meaning that key services are compromised.
3. Pressures in the local market for care services, including residential and domiciliary care, mean that care of vulnerable adults is compromised, leading to a preventable incident.
4. Reduction in services for vulnerable people, such as domestic violence and substance misuse service, lead to poorer outcomes and increased demand for other services.
5. Failure to protect the city environment, including in relation to air quality, flood defence and natural and heritage assets.
6. Exposure to national level political and legislative change (such as welfare reform) including impact on scope of duties, powers, responsibilities and service demand.
7. Exposure to system failure, including support expiry, single points of failure, cyber
8. Failure to ensure the City Council's information is held and protected in line with Information Governance policies and procedures
9. Failure to fulfil health and safety responsibilities, including in respect of operational and heritage buildings.
10. Increased partnering, alternative delivery models and commercial approaches increase pressure on capacity, challenge governance arrangements, and increase risk of income loss if arrangements cease.
11. Addressing underlying budget pressures and delivering effective and sustainable services, particularly in children's and adults' services.
12. Major incident or service disruption (including serious health protection threats) leading to delivery failure that significantly impairs or prevents the Council's ability to deliver key services and/or statutory functions.
13. Failure to deliver strategic improvements for the city, due to wider market factors

### **Corporate Priorities**

1. Make Portsmouth a city that works together, enabling communities to thrive and people to live healthily, safe and independent lives.
2. Encourage regeneration built around our city's thriving culture, making Portsmouth a great place to live, work and visit.
3. Make our city cleaner, safer and greener.
4. Make Portsmouth a great place to live, learn and play, so our children and young people are safe, healthy and positive about their futures.
5. Make sure our council is a caring, competent and collaborative organisation that puts people at the heart of everything we do.