

Audit	Audit Sponsor	Provisional Scope	Strategic Risk & Corporate Priorities	Comment
Residential Units	Adult Social Care	Follow up on previous exceptions raised	3,4,11, A,B,D	
Supplier Due Diligence	Adult Social Care	Scope to include a review of key controls and supplier arrangements to safeguard against modern slavery.	3,4,10,11,A,B,D	
Harry Sotnick	Adult Social Care	Scope to include a review of arrangement post transfer of supplier. (Now PCC)	3,4,11, A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Deprivation of Liberties	Adult Social Care	Follow up on previous exceptions raised	3,4,11,A,B,D	
Adult Safeguarding	Adult Social Care	Scope to include a review of key controls.	3,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
IT System One	Adult Social Care	Scope to include a review of key controls.	3,4,7,8,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Domiciliary Care	Adult Social Care	Scope to include a review of key controls.	3,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Children with Disabilities	Children, Families and Education	Scope to include a review of key controls.	1,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Education Health Care Plan 19-25 years old	Children, Families and Education	Scope to include a review of the educational provision in place to 25 year olds.	1,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Troubled Families Grant	Children, Families and Education	Grant Verification	1,4,11,A,B,D	
Edge of Care	Children, Families and Education	Follow up on previous exceptions raised	1,4,11,A,B,D	
No Recourse to Public Funds	Children, Families and Education	Scope to include a review of key operational and financial controls.	1,4,11,A,B,D	
Care Leavers	Children, Families and Education	Scope to include review of statutory duties and compliance	1,4,11,A,B,D	
Adoption Service	Children, Families and Education	Scope to include review of recruitment of adopters and consider effectiveness of partnerships	1,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Children's Residential Unit	Children, Families and Education	Follow up on previous exceptions raised	1,4,11,A,B,D	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required. Further detail can be found below in the ADDED section.
Short Breaks	Children, Families and Education	Scope to include a review of key controls.	1,4,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Schools (TBD)	Children, Families and Education	Scope to include a review of key controls.	1,4,11,A,B,D	Schools determined, further detail can be found below in the ADDED section
Customer Experience	Corporate & IT	Scope of review to include impact of digital initiatives.	7,8,10,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Cashiers	Corporate & IT	Scope to include a review of key controls.	7,8,10,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment

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Information Governance (Data Security)	Corporate & IT	Scope to include data sweep and unscheduled review of security.	7,8,all	
Marketing & Income-Generation	Corporate & IT	Scope of review to include income-generation.	10,11,B,D,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
IT Procurement, inventory & disposal	Corporate & IT	Follow up on previous exceptions raised	7,8,11,A,E	
User Access and Asset-Management	Corporate & IT	Scope to include the management/control of users access and assets	7,8,11,A,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
IS Helpdesk & Desktop management	Corporate & IT	Follow up on previous exceptions raised	7,8,11,A,E	
Back up and recovery Disaster recovery/Business Continuity	Corporate & IT	Scope to include a review of project underway.	7,8,11,A,E	
Shared Services	Executive	Scope to include a review of capacity, contingency arrangements and infrastructure. Income tracking	10,11,all	
Learning & Development	Corporate & IT	Follow up on previous exceptions raised	2,B,D,E	
Apprentices Levy	Corporate & IT	Follow up on previous exceptions raised	2,11,A,D,E	
Volunteering & Social Action	Culture, Leisure & Regulatory Services	Follow up on previous exceptions raised	3,4,8,10,11,A,B,D,E	
Guildhall	Culture, Leisure & Regulatory Services	Follow up on previous exceptions raised	4,9,10,A,B,D,E	
City Attractions (Museum)	Culture, Leisure & Regulatory Services	Scope to include a review of key financial and operational controls.	4,9,A,B,D,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Water Safety	Culture, Leisure & Regulatory Services	Follow up on previous exceptions raised	4,9,A,C,D,E	
Associations (Community Centres)	Culture, Leisure & Regulatory Services	Follow up on previous exceptions raised	2,4,9,A,B,D,E	
Modern Slavery	Executive	Follow up on previous exceptions raised	3,6,A,C,D,E	
International Visits	Executive	Scope to include review of key controls	10,11,A,B,D,E	
Systems Thinking	Executive	Scope to include a review of outcomes monitoring	4,10,11,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Housing & Council Tax Benefits	Finance	Scope to include a review of key controls.	2,6,7,8,A,B,D,E	
Budget Monitoring & Delegated Authority	Finance	Scope to include a review of key controls.	4,8,11,A,B,D,E	
Accounts Payable	Finance	Scope to include a review of key controls.	4,7,8,11,A,B,D,E	

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Accounts Receivable	Finance	Scope to include a review of key controls.	4,7,8,11,A,B,D,E	
Payroll/ Pension	Finance	Scope to include a review of key controls.	8,11,A,B,D,E	
Purchase Cards	Finance	Scope to include a review of key controls.	8,11,A,B,D,E	
Travel & Expenses	Finance	Scope to include a review of key controls.	8,11,A,B,D,E	
Rents & Charges	Housing, Neighbourhood and Building Services	Scope to include a review of key controls.	7,8,11,13,A,B,D,E	
Estate Services	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	8,11,13,A,B,D,E	
Sheltered Services	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	8,11,13,A,B,D,E	
Planned Maintenance	Housing, Neighbourhood and Building Services	Scope to review Value for Money.	4,9,11,A,B,D,E	
Right to Buy	Housing, Neighbourhood and Building Services	Scope to include review of due diligence arrangements and repurchases.	4,11,A,B,D,E	
Homelessness	Housing, Neighbourhood and Building Services	Scope to include a review of compliance with legislation.	4,11,A,B,D,E	
Claims Housing (Insurance)	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	8,11,A,B,D,E	
Gas Contract	Housing, Neighbourhood and Building Services	Scope to include a review of contract monitoring arrangements.	4,9,11,A,C	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Out of Hours	Housing, Neighbourhood and Building Services	Scope to include a review of key operational controls.	4,11,A,C,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Emergency Procedures	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	7,8,11,12,13,A,D,E	
Compliance Checks (Safety)	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	7,8,11,12,13,A,D,E	
Energy Management Grant	Housing, Neighbourhood and Building Services	Annual verification	5,7,9,A,D,E	
Disabled Facilities Grant	Housing, Neighbourhood and Building Services	Annual verification	4,11,A,D,E	
Homes in Multiple Occupation	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	3,6,A,D,E	
Coffee Shops	Housing, Neighbourhood and Building Services	Follow up on previous exceptions raised	A,E	
Langstone Harbour Board	Langstone Harbour Board	N/A	N/A	
Portico (TBC)	Portico	-	-	Portico audits determined, further detail can be found below in the ADDED section

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Income Dues Brittany	Port	Scope to include a review of key controls.	4,11,all	
Income Dues Portico	Port	Follow up on previous exceptions raised	4,11,all	
Marine M (Application)	Port	Scope to include a review of post-implementation delivery.	7,8,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
ABP contract for Pilots	Port	Scope to include a review of key risk exposure.	7,9,11,A,C	
PECS Grant	Port	Grant Verification	7,9,11,A,C	
Orpheus Grant	Port	Grant Verification	7,9,11,A,C	
2SEAS Speed Grant	Port	Grant Verification	7,9,11,A,C	
Department of Transport Grant	Port	Grant Verification	7,9,11,A,C	
Public Health Outcomes	Public Health	Follow up on previous exceptions raised	4,9,11,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
NHS Digital Submission	Public Health	Annual verification	4,9,11,all	
Mental Health	Public Health	Scope to include a review of contract-monitoring arrangements.	4,9,11,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Ravlin	Regeneration	Scope to include a review of the governance and delivery model.	11,13,A,B,E	
Commercial Rents	Regeneration	Scope to include a review of financial & operational controls.	8,11,all	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Local Transport Capital Grant	Regeneration	Annual verification	11,A,C,D	
Home to School Transport	Regeneration	Scope to include a review of financial & operational controls.	1,4,11,A,C,D,E	
Asset Register & Valuation	Regeneration	Scope to include a review of financial & operational controls. Combining 3 registers	7,8,11,A,C,D,E	Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment
Residential Parking	Regeneration	Follow up on previous exceptions raised	11,13,all	
Bus Subsidy Grant	Regeneration	Annual verification	4,11,all	
ADDED				
Direct Payments	Adult Social Care	Review required due to issues arising from investigation	3,4,11,A,B,D	
Alcohol Treatment Capital	Public Health	Grant Verification (delay from 201920)	4,9,11,all	

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Cottage Grove Primary	Children, Families and Education	School Determined	1,4,11,A,B,D	
Cumberland Infant School	Children, Families and Education	School Determined	1,4,11,A,B,D	
Brambles Infant School & Nurser	Children, Families and Education	School Determined	1,4,11,A,B,D	
Milton Park Primary	Children, Families and Education	School Determined	1,4,11,A,B,D	
Accounts Receivable	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Distribution	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Customs Agency	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Fixed Assets	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Training	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Repairs and Maintenance	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
CCTV Portico	Portico	Follow up on previous exceptions raised	-	
Accounts Payable	Portico	Follow up on previous exceptions raised	-	
Workforce Planning and Policy	Portico	Audit determined as part of the 20/21 Portico Audit Plan	-	
Highways Permit Scheme	Regeneration	Scope to include review of key income collection controls	7,8,11,all	New scheme requiring income verification
SLEP Local Growth Hub	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Compliance with Financial Frame	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Grant Awards including due dilig	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Loans	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Projects (Strategy Work)	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
IT Infrastructure	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Payroll / Expenses	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Insurance	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	

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Recruitment & retention of staff	SLEP	Follow up on previous exceptions raised	-	
Local Growth Deal grant sign off	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Centenary Quay Grant	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Foundations for Growth Capital	SLEP	Audit determined as part of the 20/21 SLEP Audit Plan	-	
Local Growth Hub	SLEP	Grant Verification	-	
Test and Trace grant	Finance	Grant Verification	-	
Infection Control Grant	Finance	Grant Verification	-	
Covid Assurance Reporting	Executive	Post COVID 19 Central Government requirement, anticipated to cover, PPE, PPN20, vouchers, business grants, equipment distribution etc	-	
Domiciliary Care	Adult Social Care	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	3,4,11, A,B,D	
Appointeeships	Adult Social Care	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	3,4,11, A,B,D	
Fostering	Children, Families and Education	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	1,4,11,A,B,D	
Children's Residential Unit	Children, Families and Education	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	1,4,11,A,B,D	
Youth Offending Team	Children, Families and Education	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	1,4,11,A,B,D	
Mobile Phones	Corporate & IT	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	7,8,11,A,E	
Modern Records	Culture, Leisure & Regulatory Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,A,B,D,E	
City Twinning	Culture, Leisure & Regulatory Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,A,B,D,E	
Outdoor Centre	Culture, Leisure & Regulatory Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,A,B,D,E	

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Registrars	Culture, Leisure & Regulatory Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,A,B,D,E	
Health and Safety	Housing, Neighbourhood and Building Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,12,A,C,D	
Supporting vulnerable people though Homecheck/Telecare	Housing, Neighbourhood and Building Services	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	3,4,11,A,B,D	
Port - CCTV	Port	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	8,all	
Port - IT Security, Email, back ups etc.	Port	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	7,8,all	
Budget Monitoring	Portico	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	-	
Substance Misuse	Public Health	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	4,9,11,all	
Contaminated Land	Regeneration	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	5,A,C	
Hire Cars	Regeneration	Follow up performed during 2019/20, exceptions remain open and therefore second follow up required.	11,C	

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Strategic Risk

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

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