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. Scope to include a review of arrangement	3,4,10,11,A,B,D	Removed from 2020/21 Audit Plan due to Covid-19 impact on
Harry Sotnick-	Adult Social Care	post transfer of supplier. (Now PCC)	3,4,11, A,B,D	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
<del>Domiciliary Care</del>	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– <del>25 years old</del>	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 la Dacidantial Unit		Follow up on previous exceptions raised		Follow up performed during 2019/20, exceptions remain open and therefore second follow up required. Further detail can be
Children's Residential Unit Short Breaks	Children, Families and Education Children, Families and Education	Scope to include a review of key controls.	1,4,11,A,B,D	found below in the ADDED section. 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 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

Security         Corporate & IT         unscheduled review of security.         7.8.all         Removed from 2202/12 Audit Plan due to Could-19 impact on generation.           Generation         Corporate & IT         Scope of erview of security.         7.8.all         Removed from 2202/12 Audit Plan due to Could-19 impact on generation.           User Access and Asset.         Corporate & IT         Scope to include the management/scontrol of with assessment         7.8.11.AE         Removed from 2020/21 Audit Plan due to Could-19 impact on generation.           Wanagement         Corporate & IT         Scope to include a review of project         7.8.11.AE         Removed from 2020/21 Audit Plan due to Could-19 impact on generation.           Scope to include a review of project         Total review of capacity.         7.8.11.AE         Removed from 2020/21 Audit Plan due to Could-19 impact on generation.           Scope to include a review of project         Total review of capacity.         7.8.11.AE         Removed from 2020/21 Audit Plan due to Could-19 impact on generation.           Scope to include a review of project         Total review of capacity.         7.8.11.AE         Removed from 2020/21 Audit Plan due to Could-19 impact on generation.           Scope to include a review of capacity.         Corporate & IT         Scope to include a review of capacity.         7.8.11.AE         Scope to include a review of capacity.         7.8.11.AE         Scope to include a review of capacity.         7.8.11.AE	Audit	Audit Sponsor	Provisional Scope	Strategic Risk & Corporate Priorities	Comment
Marketing & Heome         Seepe of review to include income         Juil 18,0;         Removed from 2020[21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment           IT Procurement, Inventory & disposal         Corporate & IT         Seepe to include the management/control of were access and Asset         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         Stope to include a review of project underway.         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         Scope to include a review of project underway.         7,8,11,A,E         Removed from 2020[21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment           Shared Services         Executive         Scope to include a review of capacity, contingency arrangements and therway.         7,8,11,A,E           Shared Services         Executive         Informative tracking follow up on previous exceptions raised Corporate & IT         Follow up on previous exceptions raised 2,0,0,6         2,0,0,6           Guidhall         Cuture, Lekare & Regulatory Services         Follow up on previous exceptions raised 4,9,10,4,0,0         8,4,8,10,11,4,8,0,6           Guidhall         Cuture, Lekare & Regulatory Services         Seepe to include a review of key financialed operational cotorotis	Information Governance (Data		Scope to include data sweep and		
Generation         Corporate & IT         preduction (Internation (Interation (Internation (In		Corporate & IT		7,8,all	
IT Procurement, Inventory & Corporate & IT Scope to include the management/control of user-access and asset waves access and asset and	_				
disposal         Corporate & IT         Product 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         Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment           Back up and recovery Disaster recovery/Business Continuity         Corporate & IT         Scope to include a review of capacity, contingency arrangements and infrastructure. Income tracking         10.11.all         International Visit           Shared Services         Executive         Follow up on previous exceptions raised         2,8.0.E         International Visit           Shared Services         Executive         Infrastructure. Income tracking         10.11.all         International Visit           Urburneting & Development         Corporate & IT         Follow up on previous exceptions raised         2,8.0.E         International Visit           Guildhall         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A8.0.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         4,9,10,A8.0.E         Removed from 2020/21 Audit Plan due t		Corporate & IT	0	10,11,B,D,E	PCC resources & revised risk assessment
User Access and Asset: Management         Scope to include the management/control of users access and assets         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         PCC resources & revised risk assessment           IS Helpdesk & Desktop         Corporate & IT         Scope to include a review of project underway.         7,8,11,A,E         PCC resources & revised risk assessment           Back up and recovery Disaster recovery/Business Continuity         Corporate & IT         Scope to include a review of capacity, contingency arrangements and follow up on previous exceptions raised         7,8,11,A,E           Apprentices Levy         Corporate & IT         Follow up on previous exceptions raised         2,8,0,E           Apprentices Levy         Corporate & IT         Follow up on previous exceptions raised         2,11,A,D,E           Guildhall         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Guidwall         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Services         Collware, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Modern Slavery         Executive         Follow up on previous exce	IT Procurement, inventory &		Follow up on previous exceptions raised		
Management         user-access-and-assets         Removed from 2020/21 Audit Plan due to Covid-19 impact on 7,8,11,A,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on 7,8,11,A,E           IS Heipdesk & Desktop management         Corporate & IT         Follow up on previous exceptions raised underway.         7,8,11,A,E         PCC resources & revised risk assessment           Back up and recovery /Busines         Corporate & IT         Scope to include a review of project underway.         7,8,11,A,E            Corporate & IT         Scope to include a review of capacity, corporate & IT         Follow up on previous exceptions raised         10,11,all           Shared Services         Executive         Infrastructure. Income tracking         10,11,all           Apprentices Levy         Corporate & IT         Follow up on previous exceptions raised         2,8,0,6           Guildhall         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Guildhall         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Kuter Safety         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,0,A,B,D,E           Kuter Safety         Cuture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,0,A,B,D,E           Modern Slav		Corporate & IT		7,8,11,A,E	
Corporate & IT         Follow up on previous exceptions raised         7,8,11,A,E         PCC resources & revised risk assessment           IS Helpdesk & Desktop management         Corporate & IT         Scope to include a review of project underway.         7,8,11,A,E            Back up and recovery Disaster recovery/Business Continuity         Corporate & IT         Scope to include a review of capacity, contingency arrangements and         7,8,11,A,E            Shared Services         Executive         infrastructure. Income tracking, contingency arrangements and         10,11,all            Appentices Levy         Corporate & IT         Follow up on previous exceptions raised corporate & IT         2,0,0,E           Appentices Levy         Corporate & Regulatory Services         Follow up on previous exceptions raised services         2,4,0,E           Guildhall         Cutture, Leisure & Regulatory Services         Follow up on previous exceptions raised services         3,4,8,10,11,A,B,D,E           Gity Attactions (Museum)         Cutture, Leisure & Regulatory Services         Follow up on previous exceptions raised services         4,9,A,C,D,E           Modern Slavery         Cutture, Leisure & Regulatory Services         Stope to include a review of key controls         4,9,A,C,D,E           Modern Slavery         Executive         Scope to include a review of key controls         4,9,A,C,D,E           Modern	User Access and Asset		-		
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management         Corporate & IT         Scope to include a review of project underway.         7,8,11,A,E           Back up and recovery Disater recovery/Business Continuity recovery/Business Continuity         Corporate & IT         Scope to include a review of capacity, contingency arrangements and Sindre Services         Follow up on previous exceptions raised         7,8,11,A,E           Shared Services         Executive         Infrastructure, Income tracking         10,11,all         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,B,D,E         Apprentices         Services         3,A,8,10,11,A,B,D,E         Infrastructure, Leisure & Regulatory         Follow up on previous exceptions raised         4,9,10,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         3,A,8,10,11,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         3,A,8,10,11,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         4,9,A,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         4,9,A,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         2,4,9,A,B,D,E         Infrastructure, Leisure & Regulatory         Services         2,4,9,A,B,D,E         Infrastructure, Leisure & Regulatory         Services <td>IS Helpdesk &amp; Desktop</td> <td></td> <td>Follow up on previous exceptions raised</td> <td></td> <td></td>	IS Helpdesk & Desktop		Follow up on previous exceptions raised		
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Shared Services         Executive         Infrastructure. Income tracking         10.11.all           Learning & Development         Follow up on previous exceptions raised         2,8,0,E           Apprentices Levy         Corporate & IT         Follow up on previous exceptions raised         2,11,A,D,E           Volunteering & Social Action         Culture, Leisure & Regulatory         Follow up on previous exceptions raised         2,11,A,D,E           Guidhall         Culture, Leisure & Regulatory         Follow up on previous exceptions raised         3,4,8,10,11,A,B,D,E           Grey Attractions (Museum)         Culture, Leisure & Regulatory         Follow up on previous exceptions raised         4,9,10,A,B,D,E           Services         Services         Services         4,9,0,A,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on operational controls.           Water Safety         Culture, Leisure & Regulatory         Follow up on previous exceptions raised         4,9,A,C,D,E           Associations (Community         Culture, Leisure & Regulatory         Follow up on previous exceptions raised         5ervices           Services         Follow up on previous exceptions raised         4,9,A,C,D,E         4,9,A,C,D,E           Modern Slavery         Executive         Follow up on previous exceptions raised         5ervices           Systems Thinking         Executive         <					
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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     3,4,8,10,11,A,B,D,E       City Attractions (Museum)     Culture, Leisure & Regulatory Services     Scope to include a review of key financial and operational controls.     4,9,10,A,B,D,E       Water Safety     Culture, Leisure & Regulatory Services     Scope to include a review of key financial and operational controls.     4,9,A,C,D,E       Associations (Community Centres)     Culture, Leisure & Regulatory Services     Follow up on previous exceptions raised Services     2,4,9,A,B,D,E       Modern Slavery     Executive     Follow up on previous exceptions raised Services     2,4,9,A,B,D,E       Modern Slavery     Executive     Scope to include review of key controls     10,11,A,B,D,E       International Visits     Executive     Scope to include a review of key controls     10,11,A,B,D,E       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     Scope to include a review of key controls.     2,6,7,8,A,B,D,E		Corporate & IT	· · · · · · · · · · · · · · · · · · ·	2.B.D.E	
Corporate & ITControl2,11,A,D,EVolunteering & Social ActionCulture, Leisure & Regulatory ServicesFollow up on previous exceptions raised 3,4,8,10,11,A,B,D,E3,4,8,0,11,A,B,D,EGuildhallCulture, Leisure & Regulatory ServicesFollow up on previous exceptions raised dependion on previous exceptions raised Services3,4,8,10,11,A,B,D,ECity Attractions (Museum)Culture, Leisure & Regulatory ServicesFollow up on previous exceptions raised operational controls.Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessmentWater SafetyCulture, Leisure & Regulatory ServicesFollow up on previous exceptions raised ServicesRemoved from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessmentWater SafetyCulture, Leisure & Regulatory ServicesFollow up on previous exceptions raised Services4,9,A,C,D,EModern SlaveryCulture, Leisure & Regulatory ServicesFollow up on previous exceptions raised Secope to include a review of key controls3,6,A,C,D,EInternational VisitsExecutiveScope to include a review of key controls monitoring10,11,A,B,D,EHousing & Council Tax Benefits FinanceScope to include a review of key controls. Scope to include a review of key controls.Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessmentHousing & Council Tax Benefits FinanceScope to include a review of key controls. Scope to include a review of key controls. Scope to include a review of key controls.2,6,7,8,A,B,D,EBudget Monitoring & Delega	Apprentices Levy		Follow up on previous exceptions raised	,,,,	
Volunteering & Social Action Services         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised Services         3,4,8,10,11,A,B,D,E           Guildhall         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised Services         4,9,10,A,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on Operational controls.           Water Safety         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised Operational controls.         Removed from 2020/21 Audit Plan due to Covid-19 impact on Operational controls.           Mater Safety         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised Services         4,9,A,C,D,E           Associations (Community         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised Services         4,9,A,C,D,E           Modern Slavery         Executive         Follow up on previous exceptions raised Services         5cope to include review of key controls         10,11,A,B,D,E           International Visits         Executive         Scope to include a review of key controls         Removed from 2020/21 Audit Plan due to Covid-19 impact on monitoring           Systems Thinking         Scope to include a review of key controls.         Removed from 2020/21 Audit Plan due to Covid-19 impact on monitoring         2,6,7,8,A,B,D,E           Budget Monitoring & Delegated Authority         Scope to include a review of key controls.		Corporate & IT	· · · · · · · · · · · · · · · · · · ·	2.11.A.D.E	
Services     3,4,8,10,11,A,B,D,E       Guildhall     Culture, Leisure & Regulatory Services     Follow up on previous exceptions raised operational controls.     4,9,10,A,B,D,E       Citty Attractions (Museum)     Culture, Leisure & Regulatory Services     Scope to include a review of key financial and operational controls.     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 Services     Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment       Modern Slavery     Culture, Leisure & Regulatory Services     Follow up on previous exceptions raised Secope to include a review of key controls     8,6,A,C,D,E       International Visits     Executive     Scope to include a review of outcomes- monitoring     10,11,A,B,D,E       Systems Thinking     Executive     Scope to include a review of key controls.     Removed from 2020/21 Audit Plan due to Covid-19 impact on POC resources & revised risk assessment       Housing & Council Tax Benefits     Finance     Scope to include a review of key controls.     Removed from 2020/21 Audit Plan due to Covid-19 impact on POC 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     Scope to include a review of key controls.     4,8,11,A,B,D,E <td>Volunteering &amp; Social Action</td> <td></td> <td>Follow up on previous exceptions raised</td> <td>_//</td> <td></td>	Volunteering & Social Action		Follow up on previous exceptions raised	_//	
Guildhall       Culture, Leisure & Regulatory Services       Follow up on previous exceptions raised operational controls.       4,9,10,A,B,D,E       Removed from 2020/21 Audit Plan due to Covid-19 impact on 9000000000000000000000000000000000000			· · · · · · · · · · · · · · · · · · ·	3.4.8.10.11.A.B.D.E	
Services       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       PCC resources & revised risk assessment         Associations (Community Centres)       Culture, Leisure & Regulatory Services       Follow up on previous exceptions raised       4,9,A,C,D,E       10,0,0,0,0,0,0,0,0,0,0,0,0,0,0,0,0,0,0,	Guildhall	Culture. Leisure & Regulatory	Follow up on previous exceptions raised	-//-/ -/ /////	
City Attractions (Museum)         Culture, Leisure & Regulatory Services         Scope to include a review of key financial and operational controls.         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,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment           Associations (Community         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised         4,9,A,C,D,E         Follow up on 2,4,9,A,B,D,E         Follow up on PCC resources & revised risk assessment           Modern Slavery         Executive         Follow up on previous exceptions raised         3,6,A,C,D,E         Follow up on 3,6,A,C,D,E         Follow up on 10,11,A,B,D,E           International Visits         Executive         Scope to include a review of key controls         10,11,A,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on 10,11,A,B,D,E           Housing & Council Tax Benefits         Finance         Scope to include a review of key controls.         2,6,7,8,A,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on 2,6,7,8,A,B,D,E           Budget Monitoring & Delegated Authority         Scope to include a review of key controls.         2,6,7,8,A,B,D,E         Removed from 2020/21 Audit Plan due to Covid-19 impact on 2,6,7,8,A,B,D,E			· · · · · · · · · · · · · · · · · · ·	4.9.10.A.B.D.E	
Services         operational controls.         4,9,A,B,D,E         PCC resources & revised risk assessment           Water Safety         Culture, Leisure & Regulatory Services         Follow up on previous exceptions raised 4,9,A,C,D,E         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	City Attractions (Museum)		Scope to include a review of key financial and		Removed from 2020/21 Audit Plan due to Covid-19 impact on
Water Safety       Culture, Leisure & Regulatory Services       Follow up on previous exceptions raised       4,9,A,C,D,E         Associations (Community       Culture, Leisure & Regulatory Services       Follow up on previous exceptions raised       4,9,A,C,D,E         Associations (Community       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 key controls.       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.       2,6,7,8,A,B,D,E         Scope to include a review of key controls.       Scope to include a review of key controls.       2,6,7,8,A,B,D,E	, , ,				
Services       Andman       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       Culture, Leisure & Regulatory 2,4,9,A,B,D,E         Modern Slavery       Executive       Follow up on previous exceptions raised 3,6,A,C,D,E       3,6,A,C,D,E         International Visits       Executive       Scope to include review of key controls monitoring       10,11,A,B,D,E         Systems Thinking       Executive       Scope to include a review of outcomes- monitoring       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.       2,6,7,8,A,B,D,E         Scope to include a review of key controls.       2,6,7,8,A,B,D,E       Executive       Executive	Water Safety	Culture, Leisure & Regulatory			
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       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       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       4,8,11,A,B,D,E	,			4.9.A.C.D.E	
Centres)     Services     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     10,11,A,B,D,E       Systems Thinking     Executive     10,11,A,B,D,E       Systems Thinking     Executive     10,11,A,B,D,E       Housing & Council Tax Benefits     Finance     Scope to include a review of key controls.       Budget Monitoring & Delegated Authority     Finance     Scope to include a review of key controls.       Scope to include a review of key controls.     2,6,7,8,A,B,D,E     Removed from 2020/21 Audit Plan due to Covid-19 impact on PCC resources & revised risk assessment	Associations (Community		Follow up on previous exceptions raised		
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       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				2,4,9,A,B,D,E	
Modern Slavery       Executive       Scope to include review of key controls       3,6,A,C,D,E         International Visits       Executive       10,11,A,B,D,E       10,11,A,B,D,E         Systems Thinking       Executive       Scope to include a review of outcomes- monitoring       4,10,11,all       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       Scope to include a review of key controls.       4,8,11,A,B,D,E       Finance			Follow up on previous exceptions raised	,,-,,,,	
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     PCC resources & revised risk assessment       Systems Thinking     Executive     Scope to include a review of key controls.     4,10,11,all     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	Modern Slavery	Executive	· · · · · · · · · · · · · · · · · · ·	3.6.A.C.D.E	
International Visits     Executive     Scope to include a review of outcomes monitoring     10,11,A,B,D,E       Systems Thinking     Executive     Scope to include a review of outcomes monitoring     4,10,11,all     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			Scope to include review of key controls		
Systems Thinking         Executive         Scope to include a review of outcomes- monitoring         A,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         PCC resources & revised risk assessment           Budget Monitoring & Delegated Authority         Finance         Scope to include a review of key controls.         4,8,11,A,B,D,E         4,8,11,A,B,D,E	International Visits	Executive		10.11.A.B.D.F	
Systems Thinking         Executive         monitoring         4,10,11,all         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         Image: Council Tax Benefits         Scope to include a review of key controls.         2,6,7,8,A,B,D,E         Image: Council Tax Benefits         Image: Council Tax Benefits         Scope to include a review of key controls.         4,8,11,A,B,D,E         Image: Council Tax Benefits			Scope to include a review of outcomes	20,22,,,0,0,0,2	Removed from 2020/21 Audit Plan due to Covid-19 impact on
Housing & Council Tax Benefits     Finance     Scope to include a review of key controls.     2,6,7,8,A,B,D,E       Budget Monitoring & Delegated     Scope to include a review of key controls.     4,8,11,A,B,D,E       Authority     Finance     4,8,11,A,B,D,E	Systems Thinking	Executive		4.10.11 all	
Housing & Council Tax Benefits     Finance     2,6,7,8,A,B,D,E       Budget Monitoring & Delegated     Scope to include a review of key controls.     4,8,11,A,B,D,E       Authority     Finance     Scope to include a review of key controls.     4,8,11,A,B,D,E	5			1,20,22,011	
Budget Monitoring & Delegated     Scope to include a review of key controls.       Authority     Finance       Scope to include a review of key controls.       Scope to include a review of key controls.	Housing & Council Tax Benefits	Finance	to morade a review of key controls.	26784BDF	
Authority     Finance     4,8,11,A,B,D,E       Scope to include a review of key controls.     5			Scope to include a review of key controls	2,0,7,0,7,0,0,0	
Scope to include a review of key controls.		Finance	scope to mende a review of key controls.	4 8 11 A B D F	
	, actioncy		Scope to include a review of key controls	7,0,11, <b>0,0,</b> 0,0	
	Accounts Payable	Finance	scope to include a review of key collitions.	4,7,8,11,A,B,D,E	

Audit	Audit Sponsor	Provisional Scope	Strategic Risk &	Comment
			Corporate Priorities	
		Scope to include a review of key controls.		
Accounts Receivable	Finance		4,7,8,11,A,B,D,E	
		Scope to include a review of key controls.		
Payroll/ Pension	Finance		8,11,A,B,D,E	
		Scope to include a review of key controls.		
Purchase Cards	Finance		8,11,A,B,D,E	
- 10	-	Scope to include a review of key controls.		
Travel & Expenses	Finance		8,11,A,B,D,E	
	Housing, Neighbourhood and	Scope to include a review of key controls.		
Rents & Charges	Building Services	<b>5</b> U	7,8,11,13,A,B,D,E	
Fatata Camilana	Housing, Neighbourhood and	Follow up on previous exceptions raised	0.44.42.4.9.9.5	
Estate Services	Building Services Housing, Neighbourhood and		8,11,13,A,B,D,E	
		Follow up on previous exceptions raised	0.44.42.4.9.9.5	
Sheltered Services	Building Services Housing, Neighbourhood and	Conno to version Malue for Manau	8,11,13,A,B,D,E	
Dianned Maintenance	<b>.</b> .	Scope to review Value for Money.		
Planned Maintenance	Building Services Housing, Neighbourhood and	Scope to include review of due diligence	4,9,11,A,B,D,E	
Pight to Pund	Building Services			
Right to Buy	Housing, Neighbourhood and	arrangements and repurchases. Scope to include a review of compliance with	4,11,A,B,D,E	
Homelessness	Building Services	legislation.	4,11,A,B,D,E	
Tiomelessness	Housing, Neighbourhood and	Follow up on previous exceptions raised	4,11,A,D,D,C	
Claims Housing (Insurance)	Building Services	Tonow up on previous exceptions raised	8,11,A,B,D,E	
	Housing, Neighbourhood and	Scope to include a review of contract	0,11,A,D,D,L	Removed from 2020/21 Audit Plan due to Covid-19 impact on
Gas Contract	Building Services	monitoring arrangements.	4,9,11,A,C	PCC resources & revised risk assessment
	Housing, Neighbourhood and	Scope to include a review of key operational	4,3,11,4,0	Removed from 2020/21 Audit Plan due to Covid-19 impact on
Out of Hours	Building Services	controls.	4,11,A,C,E	PCC resources & revised risk assessment
	Housing, Neighbourhood and	Follow up on previous exceptions raised	4,11,,,,,,,,,,	
Emergency Procedures	Building Services		7,8,11,12,13,A,D,E	
	Housing, Neighbourhood and	Follow up on previous exceptions raised	,,0,11,12,120,,,0,2	
Compliance Checks (Safety)	Building Services		7,8,11,12,13,A,D,E	
	Housing, Neighbourhood and	Annual verification	.,_,_,_,_,_,_,	
Energy Management Grant	Building Services		5,7,9,A,D,E	
	Housing, Neighbourhood and	Annual verification	-, , , , , ,	
Disabled Facilities Grant	Building Services		4,11,A,D,E	
	Housing, Neighbourhood and	Follow up on previous exceptions raised		
Homes in Multiple Occupation	Building Services		3,6,A,D,E	
	Housing, Neighbourhood and	Follow up on previous exceptions raised	0,0,,,0,2	
Coffee Shops	Building Services		A,E	
			, ,	
Langstone Harbour Board	Langtone Harbour Board	N/A	N/A	
Portico (TBC)	Portico	-	-	Portico audits determined, further detail can be found below in the ADDED section

Audit	Audit Sponsor	Provisional Scope	Strategic Risk & Corporate Priorities	Comment
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 Grant Verification	7,9,11,A,C	
Department of Transport Grant	Port	Follow up on previous exceptions raised	7,9,11,A,C	
Public Health Outcomes	Public Health		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	

Audit	Audit Sponsor	Provisional Scope	Strategic Risk & Corporate	Comment
			Priorities	
		School Determined		
Cottage Grove Primary	Children, Families and Education		1,4,11,A,B,D	
		School Determined		
Cumberland Infant School	Children, Families and Education		1,4,11,A,B,D	
Drambles Infant Cabaal & Nurser	Children Forsilion and Education	School Determined	1.4.44.4.5.5	
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	
		Audit determined as part of the 20/21	1,4,11,7,0,0	
Accounts Receivable	Portico	Portico Audit Plan	-	
		Audit determined as part of the 20/21		
Distribution	Portico	Portico Audit Plan	-	
		Audit determined as part of the 20/21		
Customs Agency	Portico	Portico Audit Plan	-	
		Audit determined as part of the 20/21		
Fixed Assets	Portico	Portico Audit Plan	-	
		Audit determined as part of the 20/21		
Training	Portico	Portico Audit Plan	-	
	Deather	Audit determined as part of the 20/21		
Repairs and Maintenance	Portico	Portico Audit Plan Follow up on previous exceptions raised	-	
CCTV Portico	Portico	Follow up on previous exceptions raised	_	
	Fortico	Follow up on previous exceptions raised	-	
Accounts Payable	Portico		-	
	i ordeo	Audit determined as part of the 20/21		
Workforce Planning and Policy	Portico	Portico Audit Plan	-	
		Scope to include review of key income		
Highways Permit Scheme	Regeneration	collection controls	7,8,11,all	New scheme requiring income verification
		Audit determined as part of the 20/21 SLEP		i - E
SLEP Local Growth Hub	SLEP	Audit Plan	-	
		Audit determined as part of the 20/21 SLEP		
Compliance with Financial Frame	SLEP	Audit Plan	-	
		Audit determined as part of the 20/21 SLEP		
Grant Awards including due dilig	SLEP	Audit Plan	-	
		Audit determined as part of the 20/21 SLEP		
Loans	SLEP	Audit Plan	-	
		Audit determined as part of the 20/21 SLEP		
Projects (Strategy Work)	SLEP	Audit Plan	-	
IT Infrastructure		Audit determined as part of the 20/21 SLEP		
IT Infrastructure	SLEP	Audit Plan Audit determined as part of the 20/21 SLEP	-	
Payroll / Expenses	SLEP	Audit determined as part of the 20/21 SLEP		
		Audit determined as part of the 20/21 SLEP	-	
Insurance	SLEP	Audit Plan		
insulative	JLLI		-	

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

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

Audit	Audit Sponsor	Provisional Scope	Strategic Risk &	Comment
			Corporate	
			Priorities	

## 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.