

## Internal Audit Risk Assessment

## Annex 1

Ref	Audit Area	Risk Rating
1	Financial Planning and Budget Setting	HIGH
2	Budgetary Control & Savings	HIGH
3	Ordering and Creditor Payments	HIGH
4	Business Continuity	HIGH
5	Payroll	HIGH
6	Procurement and Contract Management	HIGH
7	Efficiency and Value for Money	HIGH
8	Equalities	HIGH
9	Main Accounting System (Financial Ledger)	HIGH
10	Council Tax Benefits & Housing Benefits	HIGH
11	Asset Management	HIGH
12	Community Stadium	HIGH
13	Administration and Accommodation Review	HIGH
14	Libraries & Adult Education Project	HIGH
16	Project Management	HIGH
17	Council Tax & NNDR	HIGH
18	Housing Rents	HIGH
19	Performance Management	HIGH
20	Health & Safety	HIGH
21	Workforce Planning	HIGH
22	New Personnel Systems	HIGH
23	Partnership Arrangements	HIGH
24	Performance Indicators and Data Quality	HIGH
25	Recruitment	HIGH
26	Treasury Management & Prudential Code	HIGH
27	Debtors	HIGH
28	Cashiers and Income Management	HIGH
29	Nursery Education Grants	HIGH
30	Information Security	HIGH
31	Access York Project	HIGH
32	Public Health	HIGH
33	Environment and Sustainability	HIGH
34	VAT Accounting	HIGH
35	Waste PFI	HIGH
36	Schools Audits	HIGH
37	On street Parking & Car Parks	MEDIUM
38	General IT Controls	MEDIUM
39	Public Transport	MEDIUM
40	Fleet Services & Fleet Maintenance	MEDIUM
41	Risk Management	MEDIUM

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15	Contracting for Care	MEDIUM
42	Charging for Care	MEDIUM
43	Direct Payments	MEDIUM
44	Transport (Home to School, Social Services etc)	MEDIUM
45	Sickness Management	MEDIUM
46	Commissioning and Bought In Services / Supporting People	MEDIUM
47	Staff Registers of Interests and Gifts and Hospitality	MEDIUM
48	Procurement Cards	MEDIUM
49	Leisure Facilities	MEDIUM
50	Tenants Choice	MEDIUM
51	Education Contracts (PFI, Catering, Caretaking)	MEDIUM
52	Academies - Arrangements For Transfer	MEDIUM
53	Post 16 Funding	MEDIUM
54	Agency Staff	MEDIUM
55	Commercial Waste	MEDIUM
56	City of York Trading Company	MEDIUM
57	Housing Repairs and Maintenance	MEDIUM
58	IT Asset Management	MEDIUM
59	IT Service Desk / Fault Management	MEDIUM
60	Concessionary Travel	MEDIUM
61	Stores and Purchasing (CANS)	MEDIUM
62	Capital programme	MEDIUM
63	EPH's, Special Sheltered Housing and Sheltered Housing.	MEDIUM
64	New Housing Funding Arrangements	MEDIUM
65	Waste Operations - Disposal	MEDIUM
66	Building Repairs and Maintenance	MEDIUM
67	Behaviour Support (including Exclusions)	MEDIUM
68	Individual School Budgets	MEDIUM
69	Out of City Placements	MEDIUM
70	Residential and Nursing Home Costs	MEDIUM
71	Travel and Subsistence	MEDIUM
72	Handling Complaints	MEDIUM
73	Members Allowances	MEDIUM
74	Information Governance	MEDIUM
75	Highways Regulation	MEDIUM
76	Waste Operations - Refuse Collection & Recycling	MEDIUM
77	Mental Health Services	MEDIUM
78	Licensing	MEDIUM
79	Early Years and Childcare Service	MEDIUM
80	Construction Industry Scheme	MEDIUM

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81	Section 106 agreements	MEDIUM
82	Future Prospects	MEDIUM
83	Food Safety, environmental health, trading standards and other regulatory	MEDIUM
84	Children Leaving Care	MEDIUM
85	Disciplinary Procedures	MEDIUM
86	Engineering Consultancy	MEDIUM
87	Neighbourhood Pride Service	MEDIUM
88	Libraries	MEDIUM
89	Choice Based Lettings / Housing Allocations	MEDIUM
90	Youth Services	MEDIUM
91	Adults Respite, Employment & Day Services	MEDIUM
92	IT Business Continuity	MEDIUM
93	Referrals and Care Assessments (Adults)	MEDIUM
94	Referrals and Assessments (Children's Services)	MEDIUM
95	Insurance	MEDIUM
96	Development Control	MEDIUM
97	Building Control	MEDIUM
98	IT System Development & Change Management	MEDIUM
99	Civil Engineering	MEDIUM
100	Facilities Management	MEDIUM
101	Crematoria and Cemeteries	MEDIUM
102	Neighbourhood Management Unit (including Ward Committees)	MEDIUM
103	Right to Buy	MEDIUM
104	Integrated Children's Centres	MEDIUM
105	Foster Carers and Adoption Allowances	MEDIUM
106	Cleaning (Buildings, Schools, Voids)	MEDIUM
107	Community Equipment and Loans Store	MEDIUM
108	Adult and Community Education	MEDIUM
109	Special Educational Needs	MEDIUM
110	Children's Residential and Respite Accommodation	MEDIUM
111	Family Support	MEDIUM
112	Property Income and Lease Management	MEDIUM
113	Pool Cars	MEDIUM
114	Legal Services and Coroner	MEDIUM
115	City Development (LDF-Strategic Development)	MEDIUM
116	Education Access Service	MEDIUM
117	Telecommunications	MEDIUM
118	Economic Development Unit	MEDIUM
119	Education Development Service	MEDIUM
120	Staff Parking	LOW

Ref	Audit Area	Risk Rating
121	Children's Services Administration Sites	LOW
122	Emergency Planning	LOW
123	CANS Job Costing	LOW
124	Open spaces, park and play areas, pitches, courts & bowls	LOW
125	Performance Arts	LOW
126	Blue Badge Scheme	LOW
127	Recoupment	LOW
128	Children with Disabilities	LOW
129	Local Land Charges	LOW
130	Arts and Entertainment	LOW
131	Grants & Adaptations (Private Sector Housing Renewal & DFGs)	LOW
132	York Training Centre	LOW
133	Electoral Services, Member support, Democracy support, Members interes	LOW
134	Registrars	LOW
135	Marketing & Communications	LOW
136	Discretionary rate relief	LOW
137	Car Loans	LOW
138	Street Environment Service	LOW
139	Homelessness - Travellers	LOW
140	Mortgages	LOW
141	Lord Mayoralty	LOW
142	Heritage Properties	LOW
143	Delayed Discharges	LOW
144	Pooled Budgets	LOW

**Note**

The annual plan will also contain allocations to cover a number of mandatory and contingency areas including support & advice and follow up of agreed actions.