

**CITY OF YORK COUNCIL
STRATEGIC AUDIT PLAN**

Annex 2

Ref	Name	Risk Rate	Audit Frequency	Last Audit Date	2005/06	2006/07	2007/08	2008/09	2009/10
110	Support and Advice (Resources)	0	0	N/A	4	4	4	4	4
120	Main Accounting Systems	50	12	24-Apr-06	30	30	30	30	30
130	Mortgages	16	36	15-Apr-02	0	0	0	0	0
140	VAT Accounting	36	24		0	0	0	20	0
150	Treasury Management & Prudential Code	48	12	18-Apr-06	20	20	20	20	20
160	Car Loans	20	36		0	0	0	0	0
170	Venture Fund	30	24		0	0	0	0	10
180	Creditors	52	12	4-Apr-06	30	30	30	30	30
190	Debtors	52	12	13-Sep-05	30	30	30	30	30
200	Payroll	52	12	12-Apr-06	30	30	30	30	30
210	Construction Industry Scheme	32	24		0	0	0	15	0
220	IS-IT Strategy	44	0	19-Dec-05	8	0	0	0	0
240	IT Advice and Support (incl systems development)	0	0	N/A	10	15	10	10	10
250	IT Business Continuity	54	0	19-May-05	0	0	0	12	0
260	Information Security	54	0	24-Apr-06	10	30	20	0	0
270	IT Asset Management	44	0		0	0	10	0	0
280	Electronic Communications	44	0		0	0	20	0	0
290	System Development and Maintenance	38	0		24	0	0	0	0
300	Internal Recharging	34	24		0	0	0	10	0
310	Council Tax & NNDR	63	12	20-Apr-05	25	25	25	25	25
320	Council Tax Benefits & Housing Benefits	63	12	28-Apr-06	30	30	30	30	30
330	Cashiers	46	12	21-Apr-06	12	15	12	12	12
340	Electronic Payment Methods	38	24		0	0	0	0	12
350	HB Performance Standards	0	0		0	0	0	0	0
360	Registrars	30	24	15-Sep-03	0	12	0	0	12
380	Data Protection	30	24		0	0	0	0	20
390	Freedom of Information	44	24		0	0	0	20	0
400	Asset Management	54	12	4-Jan-05	20	20	20	20	20
410	Lease Management	30	24		0	0	12	0	0
420	Property Services (RFMD)	46	24	5-Sep-03	0	20	0	0	20
430	Risk Management & Insurance	44	24	27-Jun-05	10	0	10	10	10
450	Support and Advice (Environment and Development)	0	0	N/A	4	4	4	4	4
460	Development Control	32	24	16-Sep-03	0	0	10	0	0
470	Building Control	32	24	16-Sep-03	0	0	10	0	0
480	National Land and Property Gazetteer	44	24		10	10	0	0	10

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490	Local Land Charges	30	24		0	15	0	0	15
500	Planning Processes	32	24		0	0	20	0	20
510	Section 106 agreements	30	24		0	20	0	0	20
520	Heritage Properties	22	36		0	0	0	10	0
530	Environment and Conservation	16	36	4-Mar-03	0	0	12	0	0
540	Engineering Consultancy	32	24	4-Nov-05	12	0	0	12	0
550	City Development	28	24		0	0	10	0	0
560	Highways Maintenance	41	24		0	20	20	20	20
570	Section 38 Highways agreements	30	24		0	0	0	15	0
580	Highways Regulation	34	24	7-Mar-03	0	0	0	10	0
590	Capital Programme (incl Local Transport Plan)	28	24	5-Apr-06	20	20	20	0	20
600	Emergency Planning	26	36		0	0	12	0	0
610	On street Parking & Car Parks	44	24	29-Apr-05	0	0	20	0	0
620	Traffic Management	38	24		0	0	15	0	0
630	Client Monitoring	28	24		0	0	0	0	0
640	Staff Park and Ride - Staff Parking	22	36	12-Aug-04	0	0	0	15	0
650	Public Transport	33	24	20-Apr-06	15	0	0	15	0
660	Local Transport Plan (now included in Capital Programme)	50	24		12	0	0	0	0
670	Concessionary Travel	30	24	1-Feb-05	0	0	0	20	0
680	Food Safety, environmental health, trading standards and other regulatory services	36	24	15-Sep-03	0	20	0	20	0
690	Crematoria and Cemeteries	22	36		0	0	0	15	0
700	Licensing	40	24		18	0	0	18	0
710	Street Environment Service	30	24		0	0	12	0	12
730	Waste Disposal - Strategy	46	24	30-Mar-05	0	0	20	0	20
740	Pool Cars	17	36	15-Sep-05	0	0	10	0	0
750	York-England.com	0	0		0	0	0	0	0
760	Economic Development Unit	48	24	30-Sep-05	0	0	0	15	0
770	First Stop York Partnership	0	0		0	0	0	0	0
780	Science City (York) Project	0	0		0	0	0	0	0
790	City Centre Partnership	24	36		0	0	0	0	12
800	York Training Centre	38	24		0	18	0	0	18
810	Skills and Social Inclusion	0	0		0	0	0	0	0
830	Support and Advice (Commercial Services)	0	0	N/A	4	4	4	4	4

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840	External Trading	40	24		0	25	0	0	15
850	Building Cleaning	34	24		0	15	0	0	15
860	Commercial Waste	38	24	20-May-05	0	0	0	20	0
870	Motor Fitters & Fleet Maintenance	44	24		0	0	0	20	0
880	Refuse Collection	44	24		0	0	20	0	0
890	Service Delivery (Quality and Performance)	40	24		0	0	0	15	0
900	Street Scene	28	24		0	0	12	0	0
910	Finance, Administration & Management	44	24	18-Apr-06	20	0	0	20	0
920	Civil Engineering	36	24		0	0	0	0	20
930	Building Repairs and Maintenance	55	12	28-Apr-06	20	0	15	0	0
940	Stores and Purchasing (Servitor)	55	12	19-Jan-04	0	0	20	0	0
960	Support and Advice (Chief Executives)	0	0	N/A	4	4	4	4	4
970	Legal Services and Coroner	28	24	2-Aug-04	0	0	12	0	10
980	Electoral Services, Member support, Democracy support, Members allowances, Members interests	32	24	24-Sep-03	0	15	0	0	15
990	Lord Mayoralty	16	36		0	0	0	0	0
1000	Marketing & Communications	32	24		0	0	0	10	0
1010	Partnerships	56	12	26-Apr-06	20	0	20	20	20
1020	Human Resources	46	24		25	0	25	0	0
1030	Recruitment Process	49	24	26-Apr-06	20	0	20	0	0
1040	Performance Indicators	61	12	7-Sep-05	30	30	30	30	30
1050	Performance Management	61	12		25	0	25	0	25
1060	Business Continuity	43	24	19-May-05	18	18	18	18	18
1070	Public Service Agreements	52	24	1-Feb-06	15	15	15	15	15
1090	Support and Advice (Education and Leisure)	0	0	N/A	4	4	4	4	4
1100	Youth Services, Training and Development	22	36		0	0	12	0	0
1110	Pupil Support Centre	24	36		0	0	0	15	0
1120	Special Educational Needs	52	24		0	0	0	18	0
1130	Early Years and Childcare Service	50	24	26-Apr-06	15	0	15	0	15
1140	Nursery Education Grants	52	24	26-Apr-06	20	20	20	20	20
1150	Sure Start York	42	24		12	12	0	12	0
1160	Neighbourhood Nursery Initiative	40	24		0	0	0	0	0
1170	Adult and Community Education	42	24		0	0	0	0	0
1180	Discretionary rate relief	18	36		0	0	10	0	0
1190	Libraries	42	24	20-Aug-04	0	0	0	18	0

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1200	Open spaces, park and play areas, pitches, courts & bowls	26	36		0	0	0	0	12
1210	Establishments (TLM)	53	24	25-Jan-06	12	0	12	12	12
1220	Arts and Entertainment	22	36	28-Oct-03	0	0	0	0	15
1230	Performance Arts	26	36		0	0	0	0	12
1240	Music Tuition Fees	47	24	10-Nov-03	0	0	0	20	0
1250	Individual School Budgets	48	24	19-May-05	0	15	15	15	15
1260	Standards Fund	50	24	7-Mar-05	0	0	0	20	0
1270	Recoupment	22	36		0	10	0	0	0
1280	Home to School Transport	48	24	15-Nov-05	5	0	15	15	15
1290	Students Awards	32	24	7-May-04	0	0	0	0	15
1300	Education and Leisure Capital programme	49	24	4-Apr-06	20	20	20	20	20
1310	Private Finance Initiatives	50	24	7-Feb-06	10	10	0	15	0
1320	Education Development Service	38	24		0	12	0	0	12
1330	Management Information	28	24		0	0	0	12	0
1340	Education Contracts	32	24		0	15	0	0	15
1350	Children's Services Administration Sites (Ashbank-Holycroft)	20	36		0	15	0	0	0
1360	Children Leaving Care	16	36		0	0	0	15	0
1370	Exclusions	16	36		0	0	12	0	0
1380	Family Support	28	24	3-Aug-05	0	0	0	0	15
1390	Out of City Placements	37	24	28-Mar-06	15	0	0	15	0
1400	Specialist Child Placements	22	36		0	0	20	0	0
1410	Children with Disabilities	22	36		15	0	15	0	15
1420	Foster Carers and Adoption	34	24	7-Apr-05	0	0	25	0	0
1430	Children's Residential and Respite Accommodation	32	24	15-Nov-05	8	0	8	0	8
1450	Support and Advice (Adult Social Services and Housing)	0	0	N/A	4	4	4	4	4
1470	Homecare Expenditure	46	24	24-Apr-06	25	0	0	25	0
1480	Adults Independent Living	43	24		0	20	0	0	20
1490	Discretionary Charging	40	24	6-Dec-05	15	0	15	0	15
1500	Delayed Discharges	51	24		0	0	0	10	0
1510	Residential and Nursing Home Costs	42	24	14-Dec-05	20	0	0	20	0
1520	Meals on Wheels	20	36	2-Jul-03	0	0	0	20	0
1530	Homelessness - Travellers	29	24		0	0	0	10	0
1540	Pooled Budgets	42	24		0	0	12	0	12

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1550	York Craft	20	36		0	0	0	0	10
1560	Community Services Transport	28	24	15-Sep-03	0	0	15	0	0
1570	EPH's, Special Sheltered Housing and Sheltered Housing.	45	24		0	25	0	25	0
1590	Mental Health Services	36	24		0	0	0	20	0
1600	Referrals and Care Assessments	38	24	27-Mar-06	20	0	20	0	0
1610	Health and Disabilities (Physical and Learning Disabilities)	33	24		0	0	15	0	15
1620	Joint Equipment Store	28	24	20-Jun-02	0	0	15	0	0
1630	Supporting People	48	24		25	0	25	0	25
1640	Social Services Capital Programme (no longer used)	N/A	N/A		10	0	0	0	0
1650	Commissioning & Bought in Services	34	24		0	0	0	0	20
1660	Adult Social services and Housing Capital Programme	54	24	27-Apr-06	15	8	15	8	15
1670	Housing Revenue Account	44	24		0	0	0	8	0
1690	Right to Buy	26	36	20-Apr-05	0	0	0	0	20
1700	Housing Allocations	38	24	3-Aug-05	0	0	0	18	0
1710	Housing Rents	52	12	27-Apr-06	25	25	25	25	25
1720	Private Sector Housing Renewal	20	36		0	0	0	15	0
1730	Housing Repairs and Maintenance	44	24		0	15	0	0	15
1740	Tenants Choice	33	24	20-Apr-06	20	0	20	0	20
1750	EPH Amenity Fund Audit	0	0		3	3	3	3	3
9000	Contingency Audits	0	0	N/A	90	90	90	90	90
9010	Easy@york	54	24	N/A	20	20	20	20	20
9020	Administration and Accommodation Review	0	0	N/A	0	0	0	0	0
9030	Replacement ISIS System	0	0	N/A	0	0	0	0	0
9040	Replacement FMS System	0	0	N/A	0	0	0	0	0
9050	National fraud Initiative	0	0	N/A	0	15	15	15	15
9060	Follow Up Audits	0	0	N/A	30	40	30	30	30
9070	Fraud Investigations	0	0	N/A	100	90	90	90	90
9080	Contract Procedures	63	12	N/A	50	50	50	50	50
9090	Budgetary Control	48	24	28-Apr-06	25	25	25	25	25
9100	Corporate Governance	42	24	7-Feb-06	30	25	25	25	25
9110	Statement of Internal Control	0	0	9-Jun-05	0	20	20	20	20
9120	Project Management	59	12		0	0	20	0	20
9130	Training and Development	32	24		0	0	0	0	15

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9140	Agency Staff	45	24		0	0	20	0	20
9150	RIPA	30	24		0	0	0	15	0
9160	Sickness Monitoring	34	24		0	0	20	0	0
9170	Telecommunications	44	24		0	0	25	0	0
9180	Travel and Subsistence	36	24	19-Jan-06	20	0	0	20	0
9190	New Depot Project	0	0		10	10	0	0	0
9200	Breaches and Waivers	0	0	30-Sep-05	50	50	50	50	50
9230	Future Prospects	0	0		0	8	0	8	0
	Chargeable work / VFM / special projects				24	0	0	0	0
	CAATS/data interrogation				8	0	0	0	0
	Schools				100	100	100	100	100
	TOTAL				1460	1340	1735	1708	1696