

## INTERNAL AUDIT WORK UNDERTAKEN IN 2018/19

| AUDIT WORK COMPLETED / REPORTS ISSUED  | STATUS                              | DATE REPORTED TO A&G COMMITTEE / DATE EXPECTED |
|--|-------------------------------------|--|
| <b>Corporate &amp; Cross-Cutting</b>   |                                     |  |
| Asset Management   | Draft report issued                 | September 2019                                 |
| Budgetary Control (incorporating children's social care funding and budget management) | Draft report issued                 | September 2019                                 |
| Data Quality   | Draft report issued                 | September 2019                                 |
| Equalities   | Draft report issued                 | September 2019                                 |
| GDPR Compliance  | Draft report issued                 | September 2019                                 |
| Governance Arrangements  | <b>Substantial Assurance</b>        | <b>June 2019</b>                               |
| ICT – Asset Management   | Draft report issued                 | September 2019                                 |
| ICT – Governance & Cyber Security  | Draft report issued                 | September 2019                                 |
| Information Security   | <b>Reasonable Assurance</b>         | <b>March 2019</b>                              |
| Multi-Agency Incident Planning   | Ongoing – initial feedback provided | September 2019                                 |
| Procurement & Contract Management  | Draft report issued                 | September 2019                                 |
| Project Management – Overall Arrangements  | Draft report issued                 | September 2019                                 |
| Project Management – School Placement Planning   | <b>No Opinion Given</b>             | <b>March 2019</b>                              |
| Project Management – Housing ICT   | <b>No Opinion Given</b>             | <b>June 2019</b>                               |
| Workforce Planning   | Support / advice provided           | N/A  |

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|---|----------------------------------|---|
| Staff Parking (addition to plan)                      | Draft report issued              | September 2019  |
| Bodyworn CCTV (addition to plan)                      | Draft report issued              | September 2019  |
| NHS Information Governance toolkit (addition to plan) | Initial documentation of systems | N/A   |
| Ward Committee Funding (addition to plan)             | <b>No Opinion Given</b>          | <b>June 2019</b>  |
| <b>Main Financial Systems</b>                         |                                  |   |
| Council Tax Support and Housing Benefits              | Draft report issued              | September 2019  |
| Debtors   | Draft report issued              | September 2019  |
| Main Accounting System                                | Draft report issued              | September 2019  |
| Ordering and Creditor Payments                        | <b>Substantial Assurance</b>     | <b>June 2019</b>  |
| Payroll   | <b>Substantial Assurance</b>     | <b>March 2019</b>   |
| VAT Accounting  | <b>High Assurance</b>            | <b>June 2019</b>  |
| <b>Health, Housing and Adult Social Care</b>          |                                  |   |
| ASC Absence Management                                | Support / advice provided        | N/A   |
| ASC Budget Management                                 | <b>Substantial Assurance</b>     | <b>June 2019</b>  |
| Continuing Healthcare                                 | Ongoing                          | September 2019  |
| CQC Improvement Plan                                  | Support / advice provided        | N/A   |
| Housing Fraud   | Draft report issued              | September 2019  |
| Public Health – Health Protection Standards           | Draft report issued              | September 2019  |

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| Section 117 of the Mental Health Act (follow-up)                    | <b>No Opinion Given</b>                                     | <b>March 2019</b>   |
| <b>Economy and Place</b>  |   |   |
| York Central  | Support / advice provided                                   | N/A   |
| Clean Air Data  | <b>High Assurance</b>                                       | <b>September 2018</b>                                     |
| Contract Management – Allerton Park                                 | Draft report issued   | September 2019  |
| Waste Services – Procurement  | Draft report issued   | September 2019  |
| Section 106 Agreements – Education (addition to plan)               | Draft report issued   | September 2019  |
| <b>Children, Education and Communities</b>                          |   |   |
| Adult Education Service   | <b>Reasonable Assurance</b>                                 | <b>March 2019</b>   |
| Free Early Education Funding  | Draft report issued   | September 2019  |
| Schools themed audit – Budget Management                            | Draft report issued   | September 2019  |
| Schools themed audit – Information Governance                       | <b>Reasonable Assurance</b>                                 | <b>June 2019</b>  |
| Schools Maintenance Programme                                       | Ongoing   | September 2019  |
| Services to Schools   | Draft report issued   | September 2019  |
| Wenlock Terrace   | <b>Reasonable Assurance</b>                                 | <b>March 2019</b>   |
| Schools:<br>St Wilfrid's Primary School<br>Wigginton Primary School | <b>Reasonable Assurance</b><br><b>Substantial Assurance</b> | <b>June 2019</b><br><b>June 2019</b>                      |

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| Clifton Green Primary School<br>St Paul's Primary School | Draft report issued<br><b>Reasonable Assurance</b> | September 2019<br><b>June 2019</b>             |