

**CITY OF YORK COUNCIL
STRATEGIC AUDIT PLAN**

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Ref	Name	Risk Rate	Audit Frequency	Last Audit Date	2007/08	2008/09	2009/10	2010/11	2011/12
110	Support and Advice (Resources)	0	0	N/A	4	4	4	4	4
120	Main Accounting Systems	50	12	December 2007	25	30	30	30	30
130	Mortgages	16	36	April 2002	0	0	0	0	0
140	VAT Accounting	36	24		0	20	0	0	20
150	Treasury Management & Prudential Code	48	12	November 2006	8	8	8	20	8
160	Car Loans	20	36		0	0	0	0	6
170	Venture Fund	30	24		0	0	0	10	0
180	Creditors	52	12	November 2007	30	30	30	30	30
190	Debtors	52	12	November 2007	30	30	30	30	30
200	Payroll	52	12	January 2007	30	30	30	30	30
210	Construction Industry Scheme	32	24		0	0	0	15	0
220	IS-IT Strategy	44	24	December 2005	0	0	8	0	0
240	IT Advice and Support (incl systems development)	0	0	N/A	20	20	20	20	20
250	IT Business Continuity	41	12	May 2005	0	0	0	12	0
260	Information Security	54	12	April 2006	0	12	12	12	12
270	IT Asset Management	44	24	October 2007	10	0	0	10	0
280	Electronic Communications	44	24		0	15	0	15	0
290	System Development and Maintenance	38	24		0	0	0	0	0
300	Internal Recharging	34	24		0	0	0	10	10
310	Council Tax & NNDR	63	12	December 2006	30	25	25	25	25
320	Council Tax Benefits & Housing Benefits	63	12	March 2007	30	30	30	30	30
330	Cashiers	46	12	February 2007	12	12	12	12	12
350	HB Performance Standards	0	0		0	0	0	0	0
360	Registrars	30	24	September 2003	0	0	0	12	0
380	Data Protection	30	24		0	0	20	0	0
390	Freedom of Information	44	24		0	20	0	0	20
400	Asset Management	54	12	July 2006	20	20	20	20	20
410	Lease Management	30	24		0	12	0	12	0
420	Property Services (RFMD)	46	24	September 2003	0	0	0	20	0
430	Risk Management & Insurance	54	12	June 2005	0	10	10	10	10
435	Insurance	25	36	June 2005	0	0	0	0	10
450	Support and Advice (City Strategy)	0	0	N/A	4	4	4	4	4
460	Development Control	32	24	September 2003	15	15	0	0	15
470	Building Control	32	24	September 2003	15	15	0	0	15
480	National Land and Property Gazetteer	44	24	March 2007	0	0	0	10	0

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490	Local Land Charges	30	24	August 2006	0	0	0	15	0
510	Section 106 agreements	30	24	March 2007	0	0	20	0	0
520	Heritage Properties	22	36		0	0	10	0	0
530	Environment and Conservation	16	36	March 2003	0	0	0	0	12
540	Engineering Consultancy	32	24	November 2005	0	12	0	12	0
550	City Development	28	24		0	0	0	10	0
560	Highways Maintenance	41	24		0	20	0	20	0
570	Section 38 Highways agreements	30	24		0	0	15	0	15
580	Highways Regulation	34	24	March 2003	0	10	0	15	0
590	Capital Programme (incl Local Transport Plan)	28	24	September 2007	20	0	0	20	0
600	Emergency Planning	26	36		0	0	0	0	15
610	On street Parking & Car Parks	44	24	December 2007	20	0	20	0	20
620	Traffic Management	38	24		0	0	0	15	0
640	Staff Park and Ride - Staff Parking	22	36	August 2004	0	0	0	15	0
650	Public Transport	49	24	August 2007	20	15	0	15	0
670	Concessionary Travel	30	24	February 2005	0	0	0	20	0
680	Food Safety, environmental health, trading standards and other regulatory services	36	24	September 2003	0	0	20	0	20
690	Crematoria and Cemeteries	22	36		20	0	0	20	0
700	Licensing	40	24		0	18	0	18	0
710	Street Environment Service	30	24		0	0	0	12	0
730	Waste Disposal - Strategy	46	24	March 2005	15	0	20	0	0
740	Pool Cars	17	36	September 2005	0	0	0	10	0
750	York-England.com	0	0		0	0	0	0	0
760	Economic Development Unit	48	24	September 2005	0	15	0	0	15
770	First Stop York Partnership	0	0		0	0	0	0	0
771	Local Area Agreement				0	10	10	10	10
790	City Centre Partnership	24	36		0	0	0	12	0
800	York Training Centre	38	24		18	0	0	18	0
830	Support and Advice (Neighbourhood Services)	0	0	N/A	4	4	4	4	4
840	External Trading	40	24		0	0	0	15	0
850	Building Cleaning	34	24		0	0	15	0	0
860	Commercial Waste	38	24	May 2005	0	20	0	20	0
870	Motor Fitters & Fleet Maintenance	44	24		15	15	0	15	0

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880	Refuse Collection	44	24		15	0	15	0	15
900	Street Scene	28	24		0	0	0	0	0
910	Finance, Administration & Management	44	24	October 2007	25	0	0	20	0
920	Civil Engineering	36	24		0	0	20	0	0
930	Building Repairs and Maintenance	55	12	April 2006	0	15	15	15	15
940	Stores and Purchasing	46	24	January 2004	20	20	0	20	0
960	Support and Advice (Chief Executives)	0	0	N/A	4	4	4	4	4
970	Legal Services and Coroner	28	24	August 2004	0	0	0	10	0
980	Electoral Services, Member support, Democracy support, Members allowances, Members interests	32	24	November 2006	0	0	15	0	0
990	Lord Mayoralty	16	36		0	0	0	0	8
1000	Marketing & Communications	32	24		0	0	10	0	10
1010	Partnerships	56	12	April 2006	25	20	20	20	20
1020	Human Resources	46	24		0	0	0	0	0
1030	Recruitment & Selection	57	12	April 2006	20	12	12	12	12
1040	Performance Indicators	61	12	April 2007	30	30	30	30	30
1050	Performance Management	61	12		0	25	25	25	25
1060	Business Continuity	54	24	October 2006	0	18	18	18	18
1070	Public Service Agreements	52	24	April 2007	15	15	15	15	15
1090	Support and Advice (LCCS)	0	0	N/A	4	4	4	4	4
1100	Youth Services, Training and Development	39	24	June 2007	15	0	0	15	0
1110	Pupil Support Centre	24	36		0	15	0	0	0
1120	Special Educational Needs	52	24		0	0	18	0	18
1130	Early Years and Childcare Service	50	24	April 2006	0	0	15	0	0
1140	Nursery Education Grants	52	24	March 2007	20	20	20	20	20
1150	Sure Start York	42	24		0	0	12	0	12
1170	Adult and Community Education	42	24	June 2006	0	0	12	0	0
1180	Discretionary rate relief	18	36		0	0	12	0	0
1190	Libraries	42	24	August 2004	0	18	0	18	0
1200	Open spaces, park and play areas, pitches, courts & bowls	26	36		0	0	12	0	0
1210	Leisure Facilities	53	24	June 2007	15	12	12	12	12
1220	Arts and Entertainment	22	36	October 2003	0	0	0	15	0
1230	Performance Arts	26	36		0	0	0	12	0
1240	Music Tuition Fees	47	24	November 2003	20	0	20	0	20

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1250	Individual School Budgets	48	24	May 2005	0	0	15	0	15
1260	Standards Fund	50	24	September 2007	20	0	0	20	20
1270	Recoupment	22	36	August 2006	0	0	0	10	0
1280	Home to School Transport	48	24	November 2005	0	15	0	15	0
1290	Students Awards	32	24	May 2004	0	0	15	0	0
1300	LCSS Capital programme	55	24	August 2007	20	20	20	20	20
1310	Private Finance Initiatives	50	24	December 2007	10	0	10	0	10
1320	Education Development Service	38	24	March 2007	0	0	12	0	0
1330	Management Information	28	24		0	12	0	0	12
1340	Education Contracts	32	24	April 2007	0	0	15	0	0
1350	Children's Services Administration Sites (Ashbank-Holycroft)	20	36	March 2007	0	0	0	0	15
1360	Children Leaving Care	16	36		0	15	0	0	0
1370	Exclusions	16	36		0	15	0	0	0
1380	Family Support	28	24	August 2005	0	0	15	0	0
1390	Out of City Placements	37	24	March 2006	0	15	0	0	15
1400	Specialist Child Placements	22	36		0	0	0	0	20
1410	Children with Disabilities	22	36		0	0	15	0	0
1420	Foster Carers and Adoption	34	24	April 2005	0	25	0	25	0
1430	Children's Residential and Respite Accommodation	32	24	November 2005	0	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	April 2006	25	25	0	25	0
1480	Adults Independent Living	43	24		0	0	20	0	20
1490	Discretionary Charging	40	24	December 2005	4	4	15	0	0
1500	Delayed Discharges	51	24		0	10	0	0	10
1510	Residential and Nursing Home Costs	42	24	December 2005	0	20	0	0	20
1520	Meals on Wheels	20	36	July 2003	0	20	0	0	0
1530	Homelessness - Travellers	29	24		0	10	0	0	10
1540	Pooled Budgets	42	24		0	0	12	0	0
1550	York Craft	32	24		0	0	15	0	0
1560	Community Services Transport	28	24	September 2003	0	0	25	0	0
1570	EPH's, Special Sheltered Housing and Sheltered Housing.	45	24	September 2006	0	25	0	0	25
1590	Mental Health Services	36	24		0	20	0	0	20

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1600	Referrals and Care Assessments	38	24	March 2006	0	0	0	20	0
1610	Health and Disabilities (Physical and Learning Disabilities)	33	24	May 2007	20	0	15	0	0
1620	Community Equipment and Loans Store	28	24	June 2007	15	0	0	15	0
1630	Supporting People	48	24	September 2006	0	0	25	0	25
1650	Commissioning & Bought in Services	34	24		0	0	20	0	0
1660	Adult Social services and Housing Capital Programme	54	24	April 2006	0	0	15	0	15
1670	Housing Revenue Account	44	24		0	8	0	0	8
1690	Right to Buy	38	24	April 2005	0	0	20	0	0
1700	Housing Allocations	38	24	August 2005	0	18	0	0	18
1710	Housing Rents	52	12	May 2007	20	25	25	25	25
1720	Private Sector Housing Renewal	20	36		0	15	0	0	0
1730	Housing Repairs and Maintenance	44	24		0	0	15	0	0
1740	Tenants Choice	33	24	April 2006	0	0	20	0	0
1750	EPH Amenity Fund Audit	0	0	N/A	3	3	3	3	3
9000	Contingency Audits	0	0	N/A	90	90	90	90	90
9010	Easy@york	54	24	N/A	10	20	10	0	0
9020	Administration and Accommodation Review	55	12		0	20	20	20	20
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	50	40	40	40	40
9070	Fraud Investigations	0	0	N/A	90	90	90	90	90
9080	Contract Procedures	63	12	N/A	60	50	50	50	50
9090	Budgetary Control	48	24	November 2007	25	25	25	25	25
9100	Corporate Governance	56	12	February 2006	20	25	25	25	25
9110	Statement of Internal Control	N/A	N/A	N/A	20	20	20	20	20
9120	Project Management	59	12		0	20	20	20	20
9130	Training and Development	32	24		0	0	15	0	0
9140	Agency Staff	45	24		0	0	20	0	0
9150	RIPA	30	24		0	15	0	0	15
9160	Sickness Monitoring	55	12	February 2006	20	12	12	12	12
9170	Telecommunications	44	24		0	0	0	25	0
9180	Travel and Subsistence	36	24	January 2006	0	20	0	0	20
9190	New Depot Project	0	0	N/A	0	0	0	0	0

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9200	Breaches and Waivers	0	0	N/A	30	50	50	50	50
815	Future Prospects	33	24	March 2007	0	8	0	0	8
9511	Disciplinary Procedures	29	24		0	15	0	0	15
9513	Referrals and Assessments (Children's Services)	38	24		0	20	0	0	20
9514	Case Management (Children's Services)	38	24		0	0	15	0	15
9515	Waste PFI	57	12		10	10	10	10	10
9517	Records Management	43	24		0	15	0	0	15
9518	Access Services (LCCS)	39	24		0	0	10	0	0
9519	Health and Safety	59	12		0	15	15	15	15
9520	Equalities	42	24		0	15	0	15	0
9521	Competition & Procurement	37	24		0	12	0	0	12
230	CAATS/data interrogation	N/A	N/A	April 2007	0	8	8	8	8
-	External Audit Liaison	N/A	N/A	N/A	3	3	3	3	3
-	Audit & Governance Committee	N/A	N/A	N/A	8	8	8	8	8
-	Chargeable work / VFM / special projects	N/A	N/A	N/A	0	200	200	200	200
-	Financial Management Standard in Schools	N/A	N/A	April 2007	20	20	20	20	20
-	Schools	N/A	N/A	N/A	100	100	100	100	100
TOTAL					1340	2014	2028	2042	2009