

**Consultation on 2011/12 Internal Audit Plan
Audit Risk Assessment**

Annex 1

Ref	Audit Area	Risk Rating
19091	Financial Planning and Budget Setting	High
19090	Budgetary Control	High
19020	Administration and Accommodation Review	High
11060	Business Continuity	High
10200	Payroll	High
10200a	New Personnel & Payroll System	High
19520	Equalities	High
10120	Main Accounting System (Financial Ledger)	High
10320	Council Tax Benefits & Housing Benefits	High
10400	Asset Management	High
10405	Community Stadium	High
10310	Council Tax & NNDR	High
11710	Housing Rents	High
19095	More 4 York / Efficiency and Value for Money	High
11050	Performance Management	High
19080	Procurement and Contract Management	High
19160	Sickness Management	High
10790	Partnership Arrangements	High
19519	Health & Safety	High
11040	Performance Indicators and Data Quality	High
10150	Treasury Management & Prudential Code	High
10330	Income Management	High
11030	Recruitment	High
11140	Nursery Education Grants	High
10430	Risk Management	High
10180	Ordering and Creditor Payments	High
10190	Debtors	High
10260	Information Security	High
10140	VAT Accounting	High
10530	Environment and Sustainability	High
19120	Project Management	High
19515	Waste PFI	High
15699	School Audits	High
19130	Workforce Planning	High
10610	On Street Parking & Car Parks	Medium
11340	Education Contracts (PFI, Catering, Caretaking)	Medium
10650	Public Transport	Medium
10870	Fleet Services & Fleet Maintenance	Medium
10600	Emergency Planning	Medium
10940	Stores and Purchasing	Medium
11470	Homecare Services	Medium
11280	Transport (Home to School, Social Services etc)	Medium
11630	Supporting People	Medium
11740	Tenants Choice	Medium
10690	Crematoria and Cemeteries	Medium
10860	Commercial Waste	Medium
10910	CANS Job Costing	Medium
11730	Housing Repairs and Maintenance	Medium
10270	IT Asset Management	Medium
10670	Concessionary Travel	Medium
11100	Youth Services	Medium
11300	Capital Programme	Medium
11480	Direct Payments & Personalisation	Medium
11570	EPH's, Special Sheltered Housing and Sheltered Housing.	Medium
10730	Waste Operations - Disposal	Medium

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10930	Building Repairs and Maintenance	Medium
11110	Behaviour Support (including Exclusions)	Medium
11250	Individual School Budgets	Medium
11390	Out of City Placements	Medium
11510	Residential and Nursing Home Costs	Medium
11670	Housing Revenue Account	Medium
10985	Members Allowances	Medium
11210	Leisure Facilities	Medium
19180	Travel and Subsistence	Medium
19525	Handling Complaints	Medium
10580	Highways Regulation	Medium
10880	Waste Operations - Refuse Collection & Recycling	Medium
19517	Information Governance	Medium
11590	Mental Health Services	Medium
10280	Electronic Communications	Medium
10700	Licensing	Medium
19100	Staff Registers of Interests and Gifts and Hospitality	Medium
11130	Early Years and Childcare Service	Medium
19140	Agency Staff	Medium
10210	Construction Industry Scheme	Medium
10510	Section 106 Agreements	Medium
10680	Food Safety, Environmental Health and Trading Standards	Medium
10815	Future Prospects	Medium
11360	Children Leaving Care	Medium
10540	Engineering Consultancy	Medium
10710	Area Based Working / Ward Committee Funding	Medium
11610	Adults Respite, Employment & Day Services	Medium
11700	Housing Allocations	Medium
19511	Disciplinary Procedures	Medium
10250	IT Business Continuity	Medium
11600	Referrals and Care Assessments (Adults)	Medium
11601	Referrals and Assessments (Children's Services)	Medium
10435	Insurance	Medium
10460	Development Control	Medium
10470	Building Control	Medium
10920	Civil Engineering	Medium
10420	Facilities Management	Medium
11760	Blue Badge Scheme	Medium
11150	Sure Start York	Medium
11240	Music Tuition Fees	Medium
11420	Foster Carers and Adoption Allowances	Medium
11690	Right to Buy	Medium
10850	Cleaning (Buildings, Schools, Voids)	Medium
11620	Community Equipment and Loans Store	Medium
11120	Special Educational Needs	Medium
11430	Children's Residential and Respite Accommodation	Medium
11380	Family Support	Medium
11650	Commissioning & Bought in Services	Medium
10410	Property Income and Lease Management	Medium
11190	Libraries	Medium
19170	Mobile Working	Medium
10550	City Development	Medium
10970	Legal Services and Coroner	Medium
11170	Adult and Community Education	Medium
19518	Education Access Service	Medium

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Ref	Audit Area	Risk Rating
10760	Economic Development Unit	Medium
11320	Education Development Service	Medium
10480	National Land and Property Gazetteer	Medium
10220	IS-IT Strategy	Medium
10640	Staff Park and Ride and Staff Parking	Low
10170	Invest to Save Schemes	Low
11200	Open Spaces, Park and Play Areas	Low
11230	Performance Arts / Arts and Entertainment	Low
11270	Recoupment	Low
11410	Children with Disabilities	Low
10490	Local Land Charges	Low
11720	Grants & Adaptations (Private Sector Housing Renewal & DFGs)	Low
10360	Registrars	Low
10980	Electoral Services, Member Support and Democracy Support	Low
11000	Marketing & Communications	Low
10840	External Trading	Low
10900	Street Environment Service	Low
11530	Homelessness - Travellers	Low
10520	Heritage Properties	Low
10990	Lord Mayoralty	Low
10740	Pool Cars	Low
11500	Delayed Discharges	Low
11540	Pooled Budgets	Low

Note

The risk assessment above is based on the position at the beginning of 2010/11.
It should be noted that the annual plan will also contain allocations to cover a number of mandatory and contingency areas including support and advice, special investigations, follow up audits, and the National Fraud Initiative.