

Appendix B - Risk Assessment

Service Name	Audit Type	Transactions Score	Internal Control Score	System Changes Score	Risk Level	Planned Time	Last audited / followed up		
Buildings (security/fire/asbestos/gas/legionella)	Review	5	5	4	38	8	NYA		
Right To Buy	Review	5	5	4	38	8	NYA	16/17 if not completed	15/16
Open Revenues	Computer	5	4	4	35	10	NYA	Ongoing	
VAT	Review	5	5	2	34	8	NYA		
Procurement (Purchasing and contracts)	Review	5	5	2	34	10	Nov 15		
Private Housing Grants	Review	4	5	2	31	8	NYA		
Rent and Deposit Loans	Review	3	5	3	30	8	NYA		
Planning	Review	3	4	3	27	10	NYA	16/17	
Engineering	Review	3	4	2	25	10	NYA	16/17	
Homelessness/Temp Accommodations	Review	4	3	3	27	10	Jun-04	16/17	
Software Compliance	Computer	3	3	2	22	5	Nov-15		
Box Office Computer System	Computer	5	3	3	30	5	Jul-09		
Access to Information	Review	3	2	3	21	15	Aug-10		
Security of Data Movement	Computer	4	1	3	21	5	Nov-10		
Economic Development	Review	3	3	2	22	15	Jan-12		
Cafi - Bank Reconciliations	Computer	5	3	4	32	10	Feb-12	Ongoing	
Capital Programme	Review	5	1	2	22	15	Mar-12		
W2	Computer	5	2	4	29	15	Sep 12		
Asset Management	Review	5	3	4	32	15	Nov-12	17/18	
Cafi - Debtors	Computer	5	1	4	26	10	Nov-12		
Cafi - General Ledger	Computer	5	1	3	24	4	Nov-12		
Theatres (Box office/FOH/ Marketing)	Review	5	3	2	28	20	Feb-13		
Cafi - Purchasing	Computer	5	1	4	26	25	Jul-13		
Housing (inc EHL contract)	Review	5	2	3	27	15	Oct-13		
Cafi - Creditors	Computer	5	1	4	26	15	Oct-13		
Health & Safety	Review	5	1	3	24	20	Oct-13		
Devolved Budgets	Review	3	2	4	23	10	Oct-13		
Land Charges & Searches	Review	4	2	4	26	5	Dec-13		
Community Grants	Review	4	1	3	21	10	Jan-14		
Tenancy Management	Review	4	5	2	31	10	Feb-14		
Information Governance inc records management	Review	3	5	3	30	15	Feb-14		

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Leaseholders and Recharges	Review	4	2	2	22	10	Feb-14		
Civil Contingency	Review	3	2	3	21	15	Mar-14		
Redoubt	Review	5	2	2	25	20	May 14		
Daily Cash Reconciliations at venues	Review	4	2	2	22	10	Jun-14		
Project Management Control	Review/Comp	3	3	3	24	15	Jul-14		
Human Resources (Pers/recruit/training)	Review	5	2	3	27	15	Sep 14		
Catering	Review	4	3	4	29	10	Jan-15		
Sports and Community Centres	Review	5	2	2	25	10	Mar-15		
Petty Cash	Review	3	3	2	22	10	Mar-15		
GIS System & LLPG	Computer	3	3	3	24	5	Apl 15		
Public Services Network	Computer	3	2	3	21	10	Apl 15		
Conferences & Group Travel	Review	3	3	2	22	10	May-15		
Open Spaces	Review	4	3	2	25	10	Jun-15		
Licenses - Entertainment & Taxi	Review	3	4	2	25	10	Jul-15		
Planning System	Computer	3	3	3	24	10	Jul-15		
Leasing & Licensing	Review	5	3	2	28	15	Aug-15		
Internet Controls	Computer	3	3	3	24	10	Aug-15		
Car Parking inc. Parking Permits	Review	3	2	3	21	10	Aug-15		
Telephones	Review	4	2	3	24	10	Sep-15		
Waste Contract	Review	4	1	4	23	10	Oct-15		
CHRIS Computer System	Computer	3	2	3	21	5	Oct-15		
Events & Attractions	Review	5	4	2	31	15	Nov-15		
Seafront Services	Review	2	4	2	22	10	Nov-15		
Business Continuity Planning (Incl IT)	Review	3	5	3	30	15	Jan-16		
IT Contract	Computer	3	1	1	14	10	Jul-08	16/17 if not	completed 15/16
Change Controls	Computer	3	1	2	16	5	Nov-09	16/17 if not	completed 15/16
Performance Management	Review	3	1	3	18	15	May 10	16/17	
Car Loans/Leasing	Review	3	1	2	16	8	Nov-10		
Internet/intranet/telephone payments/PCIDSS	Computer	5	1	1	20	10	Oct-11		
Insurances	Review	3	1	2	16	10	Feb-12		
Corporate Strategy/Priorities/Plan	Review	3	1	3	18	10	Jun-12		
Development Control & S106	Review	4	1	2	19	20	Nov-12		
Partnerships	Review	4	1	2	19	15	Nov-12		
Elections and Electoral Register	Review	3	1	4	20	10	Dec-12		
Postal Services	Review	3	1	4	20	10	Mar-13		
APP	Computer	3	1	3	18	10	Mar-13		
Covalent	Computer	3	1	2	16	5	Mar-13		

