

Appendix B - Risk Assessment

Service Name	Audit Type	Transactions Score	Weighting x 3	Internal Control Score	Weighting x 3	System Changes Score	Weighting x 2	Risk Level	Planned Time	Last audited / followed up
Buildings (security/fire/asbestos/gas/legionella)	Review	5	5	4	38	8	NYA	Ongoing 16/17		
VAT	Review	5	5	2	34	8	NYA			
Contract Managing and Monitoring	Review	5	5	2	34	9	Mar-11			
Private Housing Grants	Review	4	5	2	31	8	NYA	In 16/17 will c/f if not completed		
Engineering	Review	3	4	2	25	10	NYA	In 16/17 will c/f if not completed		
Box Office Computer System	Computer	5	3	3	30	5	Jul-09	postponed to 17/18		
Security of Data Movement	Computer	4	1	3	21	5	Nov-10	In 16/17 will c/f if not completed		
W360	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			
Leaseholder Management 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			

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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			
Procurement (Purchasing and contracts)	Review	5	3	2	28	10	Nov 15			
Software Compliance	Computer	3	3	2	22	5	Nov-15			
Business Continuity Planning (Incl IT)	Review	3	5	3	30	15	Jan-16			
Cafi - Bank Reconciliations	Computer	5	1	4	26	10	Jan-16			
Open Revenues	Computer	5	3	4	32	10	May-16			
Planning	Review	3	4	3	27	10	May-16			
Homelessness/Temp Accommodations	Review	4	3	3	27	10	Jul-16			
Rent and Deposit Loans	Review	3	3	3	24	8	Aug-16			
Access to Information	Review	3	2	3	21	15	Aug-16			
Right To Buy	Review	5	3	4	32	8	Oct-16			
Internet/intranet/telephone payments/PCIDSS	Computer	5	4	1	29	10	Nov-16			
Capital Programme	Review	5	1	2	22	15	Nov-16			
HEDP	Review	3	5	3	30	10	Dec-16			
Performance Management	Review	3	2	3	21	15	Dec 16			
IT Contract	Computer	3	1	1	14	10	Jul-08	In 16/17 will c/f to 17/18 if not completed		
Change Controls	Computer	3	1	2	16	5	Nov-09	In 16/17 will c/f to 17/18 if not completed		
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			
Cemeteries & Crematorium	Review	5	1	1	20	10	Jun-13			
Imp. Grants (DFG's) & HMO Licencing	Review	3	1	1	14	10	Aug-13			
Safeguarding	Review	2	1	2	13	10	Mar-14			

