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
HIGH										
Redoubt	Review	5	5	2		34	20	Feb-12		
Catering	Review	4	5	4		35	10	Sep-13		
MEDIUM										
Planning System	Computer	3	5	3		30	10	NYA		
Customer Services/Postfield	Computer	1	5	3		24	10	NYA		
GIS System & LLPG	Computer	3	3	3		24	5	Apr-02	to be completed in 13/14	
Pest Control and Public Health Burial	Review	4	3	1		23	10	Jul-03		
Parks and Gardens	Review	5	3	1		26	10	Mar-04	Put together with downland as Open spaces	
Conferences & Group Travel	Review	3	3	2		22	10	May-04		
Homelessness/Temp Accommodations	Review	4	3	3		27	10	Jun-04		
Printing Services	Review	3	3	2		22	5	Aug-04		
Network Controls and Firewalls	Computer	3	3	3		24	15	Nov-05	Put with PC controls and File Controls as Government Connect	
Software Compliance	Computer	3	3	2		22	5	Dec-05		
Members (allowances/Interests/Support/hospit	Review	4	2	2		22	15	May-06		
Downland, Trees and Woodland	Review	3	2	3		21	10	Jun-06	Put together with downland as Open spaces	
Internet Controls	Computer	3	3	3		24	10	Sep-06		
Tourist Information Centre	Review	4	2	2		22	5	Nov-06		
Licenses - Entertainment & Taxi	Review	3	3	2		22	10	Mar-07		
PC Controls and File Controls	Computer	3	3	3		24	15	Oct-07	Put with Network controls and Firewalls as Government Connect	
CHRIS Computer System	Computer	3	2	3		21	5	Feb-08		
Events & Attractions	Review	5	3	2		28	15	Feb-09	Draft Jan 14	
Access to Information	Review	3	2	3		21	15	Aug-10		
Security of Data Movement	Computer	4	1	3		21	10	Nov-10		
Risk Management	Review	3	3	2		22	15	Dec-10		
Sports and Community Centres	Review	5	2	2		25	15	Jan-11		
Leasing & Licensing	Review	5	4	2		31	15	Mar-11		
Partnerships	Review	4	2	2		22	15	Aug-11		
Corporate Strategy/Priorities/Plan	Review	3	2	3		21	15	Aug-11		

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Insurances	Review	3	3	2	22	10	Sep-11				
Capital Programme	Review	5	2	2	25	10	Oct-11				
Procurement (Purchasing and contracts)	Review	5	3	2	28	20	Jan-12				
Development Control & S106	Review	4	3	2	25	15	Jan-12				
Cafi - General Ledger	Computer	5	1	3	24	4	Jan-12				
W2	Computer	5	3	4	32	10	Feb-12				
Cafi - Bank Reconciliations	Computer	5	3	4	32	1	Feb-12				
Housing (inc EHL contract)	Review	5	3	3	30	25	Apl-12				
Health & Safety	Review	5	2	3	27	15	Jul-12				
Devolved Budgets	Review	3	2	4	23	5	Jul-12				
SX3 - Northgate	Computer	5	1	4	26	10	Sep-12				
Theatres (Box office/FOH/ Marketing)	Review	5	2	2	25	15	Oct-12				
Officers Expenses	Review	4	2	2	22	20	Oct-12				
Asset Management	Review	5	3	4	32	20	Nov-12				
Cafi - Debtors	Computer	5	1	4	26	4	Nov-12				
Civil Contingency	Review	3	2	3	21	15	Nov-12				
Food Safety & Hygiene	Review	4	4	1	26	10	Feb-13				
Towner	Review	5	3	2	28	10	Mar-13				
Information Governance inc records managem	Review	3	5	3	30	15	Apl-13				
Project Management Control	view/Comp	3	3	3	24	15	May-13				
Cafi - Purchasing	Computer	5	1	4	26	4	Jul-13				
Cafi - Creditors	Computer	5	1	4	26	4	Jul-13				
Community Grants	Review	4	2	3	24	10	Jul-13				
Land Charges & Searches	Review	4	2	4	26	5	Aug-13				
Corporate Complaints	Review	3	3	2	22	10	Oct-13				
Civica ICON and KPR	Computer	5	3	2	28	15	Nov-13				
Human Resources (Pers/recruit/training)	Review	5	2	3	27	15	Nov-13				
Business Continuity Planning (Incl IT)	Review	3	2	3	21	15	Nov 13				
LOW											
Electoral Computer Sys.	Computer	3	2	1	17	5	Mar-04				
BACAS Crematorium System	Computer	3	3	1	20	5	Jun-04				
Fraud	Review	3	2	1	17	5	Mar-06				
ITFM Contract	Computer	3	1	1	14	10	Jul-08				
Car Parking inc. Parking Permits	Review	3	1	3	18	10	Sep-09				
Change Controls	Computer	3	2	2	19	5	Dec-09				
Performance Management	Review	3	1	3	18	15	May 10				
Economic Development	Review	3	2	2	19	15	Aug-11				

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Internet/intranet/telephone payments/PCIDSS	Computer	5	1	1	20	10	Oct-11				
Imp. Grants (DFG's) & HMO Licencing	Review	3	2	1	17	10	Jan-12				
Postal Services	Review	3	1	4	20	10	Aug-12				
Covalent	Computer	3	2	2	19	5	Aug-12				
Elections and Electoral Register	Review	3	1	3	18	10	Dec-12				
APP	Computer	3	1	3	18	10	Mar-13				
IT Policies and Strategy	Computer	3	1	3	18	5	Mar-13				
Cemeteries & Crematorium	Review	5	1	1	20	10	Jun-13				
Safeguarding	Review	2	1	2	13	10	Jul-13				
Destination Management System (DMS)	Computer	3	1	1	14	5	Aug-13				
Corporate Equality	Review	3	1	3	18	10	Oct-13				
Community Enforcement	Review	2	2	3	18	10	Dec-13				
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Risk		**Internal Control Score**	
8 - 20 Low		1 - Excellent internal controls	
21 - 32 Medium		2 - Good controls	
33 - 40 High		3 - Adequate controls	
		4 - Unsatisfactory controls	
Transaction Score		5 - Major issues raised (or unknown)	
1 - Under £5k			
2 - £5001-£25000		**System Change Score**	
3 - £25001 - £200000		1 - Not subject to frequent of major change	
4 - £200001 - £500000		2 - Subject to infrequent or minor change	
5 - 0ver £500000		3 - Subject to average change	
		4 - Subject to frequent minor/infrequent major changes	
		5 - Subject to frequent/major change	