

Appendix B - Risk Assessment

Service Name	Audit Type	Transactions Score	Internal Control Score	System Changes Score	Risk Level	Planned Time	Last audited	
Open Revenues	Computer	5	4	4	35	10	NYA	
Catering	Review	4	5	4	35	10	Sep-14	Still being followed up
Events & Attractions	Review	5	5	2	34	15	Dec-14	Still being followed up
Planning System	Computer	3	5	3	30	10	NYA	
Telephones	Review	4	4	3	30	10	NYA	
Waste Contract	Review	4	3	4	29	10	NYA	
Planning	Review	3	4	3	27	10	NYA	
Engineering	Review	3	4	2	25	10	NYA	
Customer Services/Postfield	Computer	1	5	3	24	10	NYA	
Personal Loans	Review	2	4	2	22	10	NYA	
Seafront Services	Review	2	4	2	22	10	NYA	
Conferences & Group Travel	Review	3	3	2	22	10	May-04	ongoing
Homelessness/Temp Accommodations	Review	4	3	3	27	10	Jun-04	Partially ongoing
Software Compliance	Computer	3	3	2	22	5	Dec-05	
Internet Controls	Computer	3	3	3	24	10	Sep-06	
Licenses - Entertainment & Taxi	Review	3	3	2	22	10	Mar-07	
Business Continuity Planning (Incl IT)	Review	3	4	5	31	15	Aug-09	
Capital Programme	Review	5	2	2	25	15	Oct-11	
Procurement (Purchasing and contracts)	Review	5	3	2	28	10	Jan 12	
Economic Development	Review	3	3	2	22	15	Jan-12	
Cafi - Bank Reconciliations	Computer	5	3	4	32	10	Feb-12	
Leasing & Licensing	Review	5	3	2	28	15	Jun-12	
W2	Computer	5	2	4	29	15	Sep 12	
Sports and Community Centres	Review	5	2	2	25	10	Sep-12	ongoing
Asset Management	Review	5	3	4	32	15	Nov-12	
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	
Devolved Budgets	Review	3	2	4	23	10	Mar-13	
Cafi - Creditors	Computer	5	2	4	29	15	Jul-13	
Cafi - Purchasing	Computer	5	1	4	26	25	Jul-13	
Security of Data Movement	Computer	4	1	3	21	5	Aug-13	
Housing (inc EHL contract)	Review	5	2	3	27	15	Oct-13	

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Health & Safety	Review	5	1	3	24	20	Oct-13		
Corporate Complaints	Review	3	3	2	22	4	Oct-13	Still being followed up	
Human Resources (Pers/recruit/training)	Review	5	2	3	27	15	Nov-13	Still being followed up	
Access to Information	Review	3	2	3	21	15	Nov-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	Still being followed up	
Information Governance inc records managem	Review	3	5	3	30	15	Feb-14		
Leaseholders and Recharges	Review	4	2	2	22	10	Feb-14	Still being followed up	
Civil Contingency	Review	3	2	3	21	15	Mar-14		
Redoubt	Review	5	2	2	25	20	May 14		
Civica ICON and KPR	Computer	5	1	2	22	10	Jun-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		
GIS System & LLPG	Computer	3	3	3	24	5	Sep-14		
Car Parking inc. Parking Permits	Review	3	3	3	24	10	Oct-14		
Government Connection	Computer	3	3	3	24	10	Oct-14		
Pest Control and Public Health Burial	Review	4	3	1	23	10	Oct-14		
Members (allowances/Interests/Support/hospit	Review	4	2	2	22	15	Oct-14		
Printing Services	Review	3	3	2	22	5	Oct-14	Still being followed up	
Open Spaces	Review	4	3	2	25	10	Dec-14		
Electoral Computer Sys.	Computer	3	2	1	17	5	Mar-04		
CHRIS Computer System	Computer	3	1	3	18	5	Feb-08		
IT Contract	Computer	3	1	1	14	10	Jul-08		
Change Controls	Computer	3	1	2	16	5	Dec-09		
Performance Management	Review	3	1	3	18	15	May 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		
Imp. Grants (DFG's) & HMO Licencing	Review	3	1	1	14	10	Aug-13		
Cemeteries & Crematorium	Review	5	1	1	20	10	Oct-13		
Destination Management System (DMS)	Computer	3	1	1	14	5	Dec-13		

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Safeguarding	Review	2	1	2	13	10	Mar-14		
Officers Expenses	Review	4	1	2	19	4	Apr-14		
Food Safety & Hygiene	Review	4	2	1	20	1	Jun-14		
Risk Management	Review	3	1	2	16	15	Jul-14		
IT Policies and Strategy	Computer	3	1	3	18	5	Aug-14		
BACAS Crematorium System	Computer	3	1	1	14	5	Sep-14		
Community Enforcement	Review	2	2	3	18	10	Oct-14		
Corporate Equality	Review	3	1	3	18	10	Oct-14		
Tourist Information Centre	Review	4	1	2	19	5	Dec-14		
						853			
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							
		5 - Major issues raised (or unknown)							
Transaction Score									
1 - Under £5k									
2 - £5001-£25000		System Change Score							
3 - £25001 - £200000		1 - Not subject to frequent or major change							
4 - £200001 - £500000		2 - Subject to infrequent or minor change							
5 - Over £500000		3 - Subject to average change							
		4 - Subject to frequent minor/infrequent major changes							
		5 - Subject to frequent/major change							