

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
Commercial properties (rent, lease, licence)	Review	5	5	40	10	NYA	Being carried out as part of Estates audit 17/18
Arrears collection (across authority)	Review	5	5	40	10	NYA	
Ventures (EHIC, Asperation etc)	Review	5	5	38	10	NYA	Lewes looking at joint ventures in 17/18
Estates Management (buildings)	Review	5	5	38	10	NYA	
Corporate Credit Card Usage	Review	4	5	37	10	NYA	
Contract Managing and Monitoring	Review	5	5	34	9	Mar-11	Being carried out in 17/18
Open Revenues	Computer	5	3	32	10	May-16	
Right To Buy	Review	5	3	32	8	Oct-16	
Buildings (security/fire/asbestos/gas/legionella)	Review	5	3	32	8	Aug-17	
Private Housing Grants	Review	4	5	31	8	NYA	In 17/18 plan and included DFGs
Events & Attractions	Review	5	4	31	15	Nov-15	
Information Governance inc records management	Review	3	5	30	15	Feb-14	
Business Continuity Planning (Incl IT)	Review	3	5	30	15	Jan-16	
HEDP	Review	3	5	30	10	Dec-16	
W360	Computer	5	2	29	15	Sep 12	
Catering	Review	4	3	29	10	Jan-15	
Internet/intranet/telephone payments/PCIDSS	Computer	5	4	29	10	Nov-16	
Theatres (Box office/FOH/ Marketing)	Review	5	3	28	20	Feb-13	
Leasing & Licensing	Review	5	3	28	15	Aug-15	
Procurement (Purchasing and contracts)	Review	5	3	28	10	Nov 15	
Housing (inc EHL contract)	Review	5	2	27	15	Oct-13	
Security of Data Movement	Computer	4	3	27	5	May-17	Still subject to follow ups
Human Resources (Pers/recruit/training)	Review	5	2	27	15	Sep 14	
Planning	Review	3	4	27	10	May-16	
Homelessness/Temp Accommodations	Review	4	3	27	10	Jul-16	
Land Charges & Searches	Review	4	2	26	7	Dec-13	
Redoubt	Review	5	2	25	20	May 14	

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Sports and Community Centres	Review	5	2	2	25	10	Mar-15
Open Spaces	Review	4	3	2	25	10	Jun-15
Licenses - Entertainment & Taxi	Review	3	4	2	25	10	Jul-15
Health & Safety	Review	5	1	3	24	20	Oct-13
Project Management Control	Review/Comp	3	3	3	24	15	Jul-14
GIS System & LLPG	Computer	3	3	3	24	5	Apl 15
Planning System	Computer	3	3	3	24	10	Jul-15
Internet Controls	Computer	3	3	3	24	10	Aug-15
Telephones	Review	4	2	3	24	10	Sep-15
Rent and Deposit Loans	Review	3	3	3	24	8	Aug-16
Box Office Computer System	Computer	5	1	3	24	5	Sep-17
Devolved Budgets	Review	3	2	4	23	10	Oct-13
Waste Contract	Review	4	1	4	23	10	Oct-15
Cafi - Purchasing	Computer	5	1	2	22	10	Jul-13
Cafi - Creditors	Computer	5	1	2	22	15	Oct-13
Daily Cash Reconciliations at venues	Review	4	2	2	22	10	Jun-14
Petty Cash	Review	3	3	2	22	10	Mar-15
Conferences & Group Travel	Review	3	3	2	22	10	May-15
Seafront Services	Review	2	4	2	22	10	Nov-15
Software Compliance	Computer	3	3	2	22	5	Nov-15
Cafi - Bank Reconciliations	Computer	5	1	2	22	10	Jan-16
Capital Programme	Review	5	1	2	22	15	Nov-16
Cafi - Debtors	Computer	5	1	2	22	10	May-17
VAT	Review	5	1	2	22	8	Jun-17
Cafi - General Ledger	Computer	5	1	2	22	4	Dec-17
Community Grants	Review	4	1	3	21	10	Jan-14
Civil Contingency	Review	3	2	3	21	15	Mar-14
Public Services Network	Computer	3	2	3	21	10	Apl 15
Car Parking inc. Parking Permits	Review	3	2	3	21	10	Aug-15
CHRIS Computer System	Computer	3	2	3	21	5	Oct-15
Access to Information	Review	3	2	3	21	15	Aug-16
Performance Management	Review	3	2	3	21	15	Dec 16
Elections and Electoral Register	Review	3	1	4	20	10	Dec-12
Postal Services	Review	3	1	4	20	10	Mar-13

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Cemeteries & Crematorium	Review	5	1	1	20	10	Jun-13
Food Safety & Hygiene	Review	4	2	1	20	1	Jun-14
Partnerships	Review	4	1	2	19	15	Nov-12
Officers Expenses	Review	4	1	2	19	4	Apr-14
Tourist Information Centre	Review	4	1	2	19	5	Dec-14
Members (allowances/Interests/Support/hospitality)	Review	4	1	2	19	15	Feb-15
Corporate Complaints	Review	3	2	2	19	4	Mar-15
Engineering	Review	3	2	2	19	10	Sep-17
Change Controls	Computer	3	2	2	19	5	Jun-17
Insurances	Review	3	2	2	19	10	Sep-17
APP	Computer	3	1	3	18	10	Mar-13
IT Policies and Strategy	Computer	3	1	3	18	5	Aug-14
Corporate Equality	Review	3	1	3	18	10	Oct-14
Customer Contact Centre	Computer	1	3	3	18	10	Dec-15
Corporate Strategy/Priorities/Plan	Review	3	1	3	18	10	Dec-17
Pest Control and Public Health Burial	Review	4	1	1	17	10	May-15
IT Contract	Computer	3	2	1	17	10	May-17
Risk Management	Review	3	1	2	16	15	Jul-14
Personal Loans	Review	2	2	2	16	10	Aug-15
Printing Services	Review	3	1	2	16	5	Nov-15
Economic Development	Review	3	1	2	16	15	Sep-16
Car Loans/Leasing	Review	3	1	2	16	8	Oct-16
Community Enforcement	Review	2	1	3	15	10	May-15
HMO Licencing	Review	3	1	1	14	10	Aug-13
Destination Management System (DMS)	Computer	3	1	1	14	5	Apl 14
BACAS Crematorium System	Computer	3	1	1	14	5	Sep-14
Electoral Computer Sys.	Computer	3	1	1	14	5	Jul-15
Safeguarding	Review	2	1	2	13	10	Mar-14

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EHL

Housing Software		5	5	5	40		NYA
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H & S compliance		5	5	3	36	2016
Tenancy Management (inc succession)	Review	4	5	2	31	2014
Leaseholder Management and Recharges	Review	4	2	2	22	2014
Estates management		4	2	3	24	2010
Void Management		5	2	3	27	2011
Cyclical maintenance		5	1	3	24	2011
Aids and Adaptations		4	2	3	24	2011
Allocations		4	2	3	24	2012
Rechargeable Repairs		5	3	3	30	2015
Sheltered Housing		5	2	5	31	2017
Resident participation/involvement		2	2	3	18	2011
Older persons strategy		3	1	3	18	2012

Risk

8 - 20 Low

21 - 32 Medium

33 - 40 High

Transaction Score

1 - Under £5k

2 - £5001-£25000

3 - £25001 - £200000

4 - £200001 - £500000

5 - Over £500000

Internal Control Score

1 - Excellent internal controls

2 - Good controls

3 - Adequate controls

4 - Unsatisfactory controls

5 - Major issues raised (or unknown)

System Change Score

1 - Not subject to frequent of major change

2 - Subject to infrequent or minor change

3 - Subject to average change

4 - Subject to frequent minor/infrequent major changes

5 - Subject to frequent/major change