

STAFFORDSHIRE MOORLANDS DISTRICT COUNCIL INTERNAL AUDIT – 2018/19 PROGRESS INFORMATION AS AT 31st JANUARY 2019

AUDIT	TOTAL RECOMMENDATIONS		HIGH RISK RECOMMENDATIONS			MEDIUM RISK RECOMMENDATIONS			LOW RISK RECOMMENDATIONS			ASSURANCE OPINION / COMMENTS
	Regulatory	Added value	Agreed / (Not Agreed)	Due to date	Actioned to date	Agreed / (Not Agreed)	Due to date	Actioned to date	Agreed / (Not Agreed)	Due to date	Actioned to date	
Pest Control & Animal Welfare	8	0	0	0	0	1	1	1	7	1	1	Satisfactory
VAT	7	1	0	0	0	1	0	0	7	1	1	Satisfactory
Commercial Properties	10	1	0	0	0	1	0	0	10	1	1	Satisfactory
Media & Communications	5	3	0	0	0	0	0	0	7	1	1	Satisfactory
Leisure Contract Management	6	2	0	0	0	2	0	0	6	1	1	Satisfactory
Transparency Code 2015	2	0	0	0	0	0	0	0	2	1	1	Satisfactory
Markets	8	1	0	0	0	3	0	0	6	0	0	Satisfactory
Community Safety	2	2	0	0	0	2	0	0	2	0	0	Satisfactory
Housing Agency	6	1	0	0	0	1	1	1	6	2	2	Satisfactory
On-line Payment & Misc Income	6	6	0	0	0	1	0	0	11	1	1	Satisfactory
Electoral Registration												Management Response
Building Control												Management Response
Ethics & Culture	4	5	0	0	0	1	0	0	8	0	0	Satisfactory
Enforcement												Quality Control
Risk Management	1	0	0	0	0	0	0	0	1	0	0	Substantial
ICT Asset Management	7	1	0	0	0	1	0	0	7	0	0	Satisfactory
Pollution												Audit in Progress
Capital Accounting												Management Response
Sundry Debtors												Management Response
Budgetary Control												Quality Control
Treasury Management												Audit in Progress
NNDR												Audit in Progress
GDPR / Information Governance												Audit in Progress
Council Tax												Audit in Progress
Creditor Payments												Audit in Progress

TOTAL RECOMMENDATIONS

95

0

15

80

ACTION TAKEN TO DATE

0

0

2

2

9

9

Key:		Class	
Risk		Regulatory	To ensure the integrity of internal controls and/or compliance with Regulations / Policies and Procedures.
High	Significant control weakness / inefficiency exists with a high likelihood of occurring, potentially causing a breach of legislation / legal requirements and/or a substantial loss or damage to Council assets, information and reputation. Considered essential to implement recommendation promptly.	Added Value	Intended as an enhancement to the existing system which may provide a benefit to either the user or the customer.
Medium	Control weakness / inefficiency exists with a moderate likelihood of occurring, potentially causing a breach of organisational policies and procedures, loss or damage to Council assets, information and reputation. Considered essential to implement recommendation to ensure adequate system controls / necessary improvement in service provision.		
Low	Minor control weakness / inefficiency exists with a minimal impact on the Council assets, information and reputation. Considered necessary to implement recommendation to provide management with additional assurance regarding the adequacy of system controls / improvement in service provision.		