

STAFFORDSHIRE MOORLANDS DISTRICT COUNCIL INTERNAL AUDIT – 2017/18 AUDIT RECOMMENDATIONS IMPLEMENTATION

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	
Procurement	6	1	0	0	0	3	3	3	4	4	4	Satisfactory
Cemeteries	13	1	0	0	0	2	1	1	12	12	12	Satisfactory
Payroll Expenses	9	0	0	0	0	2	2	2	7	7	7	Satisfactory
Corporate Project Management	8	2	0	0	0	0	0	0	10	10	10	Satisfactory
Disabled Facilities Grants Assurance												N/A
Land Charges	3	3	0	0	0	0	0	0	6	5	5	Satisfactory
Conservation Grants	6	0	0	0	0	0	0	0	6	6	6	Satisfactory
Horticulture	10	1	0	0	0	4	3	3	7	5	5	Satisfactory
Capital Contract Management	6	1	0	0	0	1	1	1	6	6	6	Satisfactory
Safeguarding Children & V A	11	3	0	0	0	3	3	3	11	10	10	Satisfactory
Elections	12	3	0	0	0	3	3	3	12	12	12	Satisfactory
Planning Policy	3	1	0	0	0	0	0	0	4	1	1	Substantial
Housing Advice	10	1	0	0	0	2	2	2	9	5	5	Satisfactory
Emergency Planning / BCP	15	1	0	0	0	1	1	0	15	15	12	Satisfactory
Development Control Section 106	3	4	0	0	0	2	0	0	5	1	1	Satisfactory
Data Protection & Info Governance	15	0	0	0	0	4	4	4	11	11	11	Satisfactory
Licensing	18	1	0	0	0	5	5	5	14	13	13	Limited
Freedom of Information	5	0	0	0	0	0	0	0	5	4	4	Satisfactory
Regeneration	3	0	0	0	0	1	1	1	2	2	2	Satisfactory
Treasury Management	1	0	0	0	0	0	0	0	1	0	0	Substantial
Sundry Debtors	3	1	0	0	0	0	0	0	4	4	4	Satisfactory
NNDR	4	0	0	0	0	0	0	0	4	2	2	Satisfactory
Council Tax	8	0	0	0	0	2	0	0	6	2	2	Satisfactory
Legal Services	6	2	0	0	0	1	1	1	7	5	5	Satisfactory
Housing Strategy	3	0	0	0	0	0	0	0	3	2	2	Satisfactory
Creditor Payments	7	0	0	0	0	1	1	1	6	5	5	Satisfactory
General Ledger	1	0	0	0	0	0	0	0	1	1	1	Substantial
Strategic Partnerships	9	0	0	0	0	2	0	0	7	1	1	Satisfactory
Budgetary Control	0	1	0	0	0	0	0	0	1	1	1	Substantial
Payroll	11	3	0	0	0	4	3	3	10	8	4	Satisfactory
Recovery	7	1	0	0	0	0	0	0	8	2	2	Satisfactory
Housing Benefits	10	1	0	0	0	3	3	3	8	0	0	Satisfactory

TOTAL RECOMMENDATIONS

258

0

46

212

ACTION TAKEN TO DATE

0

0

37

36

162

155

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.		