

## HIGH PEAK BOROUGH COUNCIL INTERNAL AUDIT – YEAR END INFORMATION FOR 2019/20

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	
Assets & Facilities	9	1	0	0	0	4	2	2	6	5	5	Satisfactory
Housing Rents	0	0	0	0	0	0	0	0	0	0	0	Substantial
Civica Shared Services Data Breaches	7	0	0	0	0	4	4	4	3	3	3	Limited
Health & Safety	7	2	0	0	0	1	1	1	8	8	8	Satisfactory
BACS Transmissions	5	0	0	0	0	2	2	2	3	3	1	Satisfactory
Sickness & Time Management	10	2	0	0	0	1	0	0	11	7	7	Satisfactory
Bank Contract	2	0	0	0	0	0	0	0	2	2	2	Substantial
Housing Right to Buy	10	2	0	0	0	1	1	1	11	11	11	Satisfactory
Housing Tenancy Allocation	7	0	0	0	0	3	3	3	4	4	4	Satisfactory
Taxi Licensing	5	2	0	0	0	1	1	1	6	5	5	Satisfactory
Safeguarding	7	2	0	0	0	2	2	2	7	7	7	Satisfactory
Procurement	12	3	0	0	0	2	1	1	13	12	12	Satisfactory
Insurance	4	2	0	0	0	1	1	0	5	5	1	Satisfactory
Member Services	5	2	0	0	0	0	0	0	7	7	4	Satisfactory
Parking	10	1	0	0	0	3	1	1	8	5	5	Satisfactory
Tourism	3	0	0	0	0	0	0	0	3	2	1	Satisfactory
Pavilion Gardens Contract Mngmt	7	1	0	0	0	3	2	2	5	3	3	Satisfactory
Environmental Health Licensing	2	2	0	0	0	1	1	1	3	3	3	Satisfactory
Food Safety	2	0	0	0	0	0	0	0	2	2	2	Substantial
Hybrid Mail	4	5	0	0	0	2	2	2	7	7	7	Satisfactory
Carelink	14	9	0	0	0	4	2	2	19	14	14	Limited
AES Governance	2	0	0	0	0	0	0	0	2	1	1	Substantial
AES Contract Management	4	0	0	0	0	2	0	0	2	2	2	Satisfactory
Housing Planned Maintenance	6	0	0	0	0	3	3	3	3	2	2	Satisfactory
Sundry Debtors	4	0	0	0	0	0	0	0	4	4	4	Satisfactory
Treasury Management	3	0	0	0	0	1	1	1	2	2	2	Satisfactory
Development Control	3	2	0	0	0	1	1	1	4	4	0	Satisfactory
Recovery	3	1	0	0	0	0	0	0	4	4	4	Satisfactory
Council Tax	4	0	0	0	0	2	2	2	2	2	2	Satisfactory
Creditor Payments	1	0	0	0	0	0	0	0	1	1	1	Substantial
Payroll	7	0	0	0	0	0	0	0	7	7	7	Satisfactory
NNDR	3	0	0	0	0	2	2	2	1	1	1	Satisfactory
General Ledger	2	0	0	0	0	0	0	0	2	2	2	Substantial
Budgetary Control	0	0	0	0	0	0	0	0	0	0	0	Substantial
Housing Benefits	14	3	0	0	0	3	3	3	14	13	13	Satisfactory
<b>TOTAL RECOMMENDATIONS</b>	<b>230</b>		<b>0</b>			<b>49</b>			<b>181</b>			
<b>ACTION TAKEN TO DATE</b>				<b>0</b>	<b>0</b>		<b>38</b>	<b>37</b>		<b>160</b>	<b>146</b>	

Key:		Class	
<b>Risk</b>		<b>Regulatory</b>	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.	<b>Added Value</b>	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.		