

HIGH PEAK BOROUGH COUNCIL INTERNAL AUDIT – 2021/22 PROGRESS INFORMATION AS AT 31<sup>st</sup> OCTOBER 2021

| 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 |                              |
| Housing Rents                 | 2                     | 0           | 0                         | 0           | 0                | 0                           | 0           | 0                | 2                        | 1           | 1                | Substantial                  |
| Housing Agency                | 6                     | 1           | 0                         | 0           | 0                | 2                           | 0           | 0                | 5                        | 1           | 1                | Satisfactory                 |
| Safeguarding                  | 4                     | 0           | 0                         | 0           | 0                | 0                           | 0           | 0                | 4                        | 0           | 0                | Satisfactory                 |
| AES Contract Management       | 3                     | 0           | 0                         | 0           | 0                | 2                           | 0           | 0                | 1                        | 0           | 0                | Satisfactory                 |
| Commercial Property           |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Data Protection/GDPR          | 16                    | 0           | 0                         | 0           | 0                | 3                           | 0           | 0                | 13                       | 0           | 0                | Satisfactory                 |
| Land Charges                  |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Human Resources               |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Cemeteries                    |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Housing Repairs & Maintenance |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Licensing                     |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| ICT Asset Management          |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| Markets                       |                       |             |                           |             |                  |                             |             |                  |                          |             |                  | Audit in Progress            |
| TOTAL RECOMMENDATIONS         | 32                    | 0           |                           |             |                  | 7                           |             |                  | 25                       |             |                  |                              |
| ACTION TAKEN TO DATE          |                       |             |                           | 0           | 0                |                             | 0           | 0                |                          | 2           | 2                |                              |

| 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.  | 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.  |                   |   |