

STAFFORDSHIRE MOORLANDS DISTRICT COUNCIL INTERNAL AUDIT – YEAR END INFORMATION FOR 2021/22

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 Agency	8	1	0	0	0	5	5	5	4	4	4	Satisfactory
Safeguarding	4	0	0	0	0	0	0	0	4	4	4	Satisfactory
AES Contract Management	3	0	0	0	0	2	2	2	1	1	1	Satisfactory
Commercial Properties	12	0	0	0	0	1	1	1	11	9	9	Satisfactory
Data Protection/GDPR	16	0	0	0	0	3	2	2	13	11	11	Satisfactory
Land Charges	3	0	0	0	0	0	0	0	3	2	0	Satisfactory
Human Resources	13	3	0	0	0	1	1	1	15	14	14	Satisfactory
Cemeteries	9	0	0	0	0	1	1	0	8	7	6	Satisfactory
Licensing	5	0	0	0	0	0	0	0	5	4	4	Satisfactory
ICT Asset Management	10	0	0	0	0	3	3	3	7	7	6	Satisfactory
Strategic Partnerships	8	1	0	0	0	3	0	0	6	0	0	Satisfactory
Building Control Partnership	12	0	0	0	0	6	6	4	6	6	2	Limited
CivicaPay	2	2	0	0	0	1	1	1	3	3	3	Satisfactory
Sundry Debtors	1	0	0	0	0	0	0	0	1	1	1	Substantial
Budgetary Control	0	0	0	0	0	0	0	0	0	0	0	Substantial
Treasury Management	2	0	0	0	0	1	1	1	1	1	1	Satisfactory
Council Tax	3	0	0	0	0	2	2	2	1	1	1	Satisfactory
NNDR	5	1	0	0	0	1	1	1	5	5	5	Satisfactory
Creditor Payments	8	1	0	0	0	3	3	3	6	6	6	Satisfactory
Housing Benefits	13	0	0	0	0	2	2	2	11	11	11	Satisfactory
General Ledger	1	0	0	0	0	0	0	0	1	1	1	Substantial
Recovery	4	0	0	0	0	1	1	1	3	3	3	Satisfactory
Payroll	4	0	0	0	0	1	1	1	3	3	3	Satisfactory
TOTAL RECOMMENDATIONS	155	0				37			118			
ACTION TAKEN TO DATE				0	0		33	30		104	96	

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.		