

## **XENTRALL AUDIT PLAN 2012/13 – PROGRESS REPORT FROM STOCKTON BOROUGH COUNCIL’S INTERNAL AUDIT SECTION**

### **Purpose of Report**

1. To provide Darlington Borough Council’s Audit Committee with a progress report against the 2012/2013 Xentrall Audit Plan as at 28 February 2013.
2. To notify Members of the proposed plan for 2013/14.

### **Information and Analysis**

3. Stockton Borough Council’s Annual Audit Plan for 2012/13 is risk based and was approved by SBC’s Audit Committee in February 2012. The relevant Xentrall element of the Plan was reported to DBC’s Audit Committee in March 2012.
4. The range of audit work to be carried out on the partnership was developed following consultation with the Xentrall Management Board, Audit Services at Darlington Borough Council and the External Auditors of both councils. The detailed scope of each audit assignment is agreed by Stockton Borough Council Internal Audit and Xentrall management prior to the commencement of audit work.
5. Appendix A identifies the previously reported audits, the completed audits in this period and those currently classed as on-going.
6. Appendix B is the proposed Audit Plan for 2013/14. We have made an amendment to how we record audit assignments which will not have any impact on the amount of work we will undertake but it will impact on how the plan is presented specifically the number of days for each audit as it will include the time to be spent looking at SBC samples.

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**APPENDIX A**

2012/13 Audits previously reported

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
<b>Xentrall</b>	ICT Change Control	Full Assurance		
	Income	Full Assurance		
	Agresso	Full Assurance		
	Recruitment	Full Assurance		
	Civica Icon Income Management System	Full Assurance		

Audits Presented

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
<b>Xentrall</b>	Debtors	Full Assurance		
	Xentrall Governance	Full Assurance		

On-going

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
<b>Xentrall</b>	Payroll & Absence Management			
	Creditors			
	Virtualisation			
	ICT Environmental Controls			
	ICT Hardware Controls			
	Business Continuity & Disaster Recovery			
	PS Enterprise			
	Bank Reconciliation			

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response

### **Opinion Scoring Methodology**

Assurance	Definition
<b>FULL ASSURANCE</b>	A sound system of controls is being applied consistently 91 -100% assurance on testing results
<b>SUBSTANTIAL ASSURANCE</b>	Overall, there is a sound system of internal controls, however, the implementation of the agreed recommendations would further strengthen these controls 71 – 90% assurance on testing results
<b>LIMITED ASSURANCE</b>	The system of controls is weak and (either) is not being complied with in some significant areas, or does not cover all areas. 41 – 70% assurance on testing results
<b>NO ASSURANCE</b>	The system of controls is failing and in need of urgent management attention. 0 – 40% assurance on testing results

**2013/14 PROPOSED ANNUAL AUDIT PLAN**

**Appendix B**

		2011/12	2012/13	2013/14	2014/15	2015/16
<b>Core Systems</b>						
	Bank Reconciliation	5	10	10	10	10
	Business continuity (Covered under ICT Disaster Recovery Below)	5	15			
	Creditors	15	30	30	30	30
	Debtors	10	25	25	25	25
	Design & Print				5	
	Governance		4		4	
	Income	7	7	7	7	7
	Payroll & Absence Management	25	55	55	55	55
	Transactional HR - Recruitment / Employee Contracts		15		15	
<b>ICT Infrastructure &amp; Systems</b>						
	Agresso	15	20	20	20	20
	Disaster Recovery	5	15		15	
	Paybase	5				5
	Northgate Revenues & Benefits	10		5		5
	ICT Environmental Controls		10		10	
	IS/IT Strategy				10	
	Active Directory			15		
	Firewalls			10		
	Remote Access	10			10	
	New systems management		5	5	5	5
	PS Enterprise		15		10	
	Virtualisation	15	15		15	
	Change Control		10	10		
	Desktop Management					10
	Hardware Controls		10			10
	ICT Project Management				15	
	Internet			10		
	Network Management			15		

	Outlook/Email			10		
	Website/Intranet				10	
	Server Operating Systems					20
	Software Controls					10
	Civica Icon Income Management System		5			5
<b>Totals</b>		127	266	227	271	217