

XENTRALL AUDIT PLAN 2014/15 – 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 2014/2015 Xentrall Audit Plan as at 31 May 2015.

Information and Analysis

2. Stockton Borough Council’s Annual Audit Plan for 2014/15 is risk based and was approved by SBC’s Audit Committee in February 2014. The relevant Xentrall element of the Plan was reported to DBC’s Audit Committee in March 2014.
3. 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.
4. Appendix A identifies the previously reported audits, the completed audits in this period and those currently classed as on-going.

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APPENDIX A

2014/15 Audits previously reported

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall				
	Remote Access	Full Assurance		
	ICT Environmental Controls	Full Assurance		
	Transactional HR - Recruitment / Employee Contracts	Full Assurance		
	Network Management	Substantial Assurance		
	Civica Icon Income Management System	Full Assurance		
	Agresso	Full Assurance		
	Income	Full Assurance		
	Debtors	Substantial Assurance		
	PS Enterprise	Full Assurance		

Audits Presented

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Pension Payments/Early Retirement	Full Assurance		
	Bank Reconciliation	Full Assurance		
	Hardware Controls	Full Assurance		
	ICT Project Management	Substantial Assurance		
	Governance	Full Assurance		
	Virtualisation	Substantial Assurance		
	Creditors	Substantial Assurance		
	Payroll & Absence Recording	Full Assurance		

On-going

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Back-up & Disaster Recovery	Draft		
	Website/Intranet	On-Going		

Opinion Scoring Methodology

Level	Definition
FULL ASSURANCE	A sound system of internal controls is being applied consistently, although there may be scope for these controls to be improved in some areas.
SUBSTANTIAL ASSURANCE	Overall, there is a reasonably sound system of internal controls; however, there are areas where internal controls need to be improved.
MODERATE ASSURANCE	A system of internal controls is being applied; however, there are weaknesses which may put some of the system objectives at risk.
LIMITED ASSURANCE	There is either a limited system of internal controls being applied, or there are significant weaknesses in the controls in place, which are posing a substantial risk to the achievement of system objectives.
NO ASSURANCE	The system of controls is failing and in need of urgent management attention.