

XENTRALL AUDIT PLAN 2009/10 – 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 2009/2010 Xentrall Audit Plan as at 30th November 2009.

Information and Analysis

2. Stockton Borough Council’s Annual Audit Plan for 2009/10 is risk based and was approved by SBC’s Audit Committee in May 2009. The relevant Xentrall element of the Plan was reported to Darlington Borough Council’s Audit Committee in March 2009.
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.

**Ian Jones
Chief Internal Auditor
Stockton Borough Council**

Ian Jones (01642) 526362

APPENDIX A

2009/10 Audits previously reported

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	New systems implementation – PSE migration	Full		
	Income	Substantial		

Audits Presented

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Transactional HR Absence management	Substantial		
	Network Management	Substantial		
	Transactional HR Recruitment/ Employee contracts.	Full Assurance	This was a follow-up on the previous audit recommendations and all have been implemented.	
	Design & Print	Full Assurance		

On-going

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Debtors	On-going		
	Windows	On-going		
	Payroll	On-going		
	E-Commerce	On-going		
	Creditors	On-going		

Opinion Scoring Methodology

Assurance	Definition
FULL ASSURANCE	A sound system of controls is being applied consistently 91 -100% assurance on testing results
SUBSTANTIAL ASSURANCE	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
LIMITED ASSURANCE	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
NO ASSURANCE	The system of controls is failing and in need of urgent management attention. 0 – 40% assurance on testing results