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**XENTRALL AUDIT PLAN 2011/12 – PROGRESS REPORT FROM STOCKTON  
BOROUGH COUNCIL’S INTERNAL AUDIT SECTION**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To provide Darlington Borough Council’s Audit Committee with a progress report against the 2011/2012 Xentrall Audit Plan as at 30 November 2011.

**Information and Analysis**

1. Stockton Borough Council’s Annual Audit Plan for 2011/12 is risk based and was approved by SBC’s Audit Committee in June 2011. The relevant Xentrall element of the Plan was reported to Darlington Borough Council’s Audit Committee in March 2011.
2. 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.
3. Appendix A identifies the completed audits in this period and the work currently in progress for 2011/2012. In addition to this Appendix A provides details of the work previously reported and the work still to be started in order to give a picture on the plan as a whole.

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**Xentrall Progress Report – November 2011**

**APPENDIX A**

2011/12 Audits Previously Reported

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Income	Full Assurance		

Audits Presented

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Agresso	Substantial Assurance		
	Creditors	Full Assurance		

Audit Work In Progress

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	BACS System (E-Commerce Controls)			
	iWorld			
	Payroll/Absence Management			
	Windows			
	Debtors			

Audit Work to be Started

Department	Audit Assignment	Expected Start Date
<b>Xentrall</b>	Internet Firewalls / Email/ Network Management/ Remote access	January 2012
	Business Continuity	January 2012
	Disaster Recovery	January 2012
	Bank Reconciliation	March 2012

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