

# **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 30 November 2012.

## **Information and Analysis**

2. Stockton Borough Council's Annual Audit Plan for 2012/13 is risk based and was approved by Stockton Borough Council's Audit Committee on 27<sup>th</sup> February 2012. The relevant Xentrall element of the Plan was reported to Darlington Borough Council's Audit Committee in March 2012.
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 and the completed audits in this period for 2012/2013.

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2012/13 Audits previously reported

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

Audits Presented

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Agresso	Full Assurance		
	Recruitment	Full Assurance		
	Civica Icon Income Management System	Full Assurance		

Audit Work In Progress

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Debtors			
	Creditors			
	Xentrall Governance			
	ICT Environmental Controls			
	ICT Hardware Controls			

**Opinion Scoring Methodology**

<b>Assurance</b>	<b>Definition</b>
<b>FULL ASSURANCE</b>	A sound system of internal controls is being applied consistently, although there may be scope for these controls to be improved in some areas 91 -100% assurance on testing results.
<b>SUBSTANTIAL ASSURANCE</b>	Overall, there is a reasonably sound system of internal controls; however, there are areas where internal controls need to be improved 71 – 90% assurance on testing results.
<b>LIMITED ASSURANCE</b>	A system of internal controls is being applied; however, there are significant weaknesses in the controls in place, which are posing a substantial risk to the achievement of system objectives 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.