
**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 31 May 2013.

Information and Analysis

2. 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.
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

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		
	Agresso	Full Assurance		
	Recruitment	Full Assurance		
	Civica Icon Income Management System	Full Assurance		
	Debtors	Full Assurance		
	Xentrall Governance	Full Assurance		

Audits Presented – 2012/2013

Department	Audit Assignment	Assurance Opinion	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Payroll & Absence Management	Full Assurance		
	Creditors	Full Assurance		
	Virtualisation	Substantial Assurance		
	ICT Environmental Controls	Substantial Assurance		
	ICT Hardware Controls	Full Assurance		
	PS Enterprise	Full Assurance		
	Bank Reconciliation	Full Assurance		

On-going

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Business Continuity & Disaster Recovery	Work carried over into 2013/2014 plan		

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