

XENTRALL AUDIT PLAN 2016/17 – 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 2016/2017 Xentrall Audit Plan at the completion of the 2016/2017 planned audit work.

Information and Analysis

2. Stockton Borough Council’s Annual Audit Plan for 2016/17 is risk based and was approved by SBC’s Audit Committee in February 2016. The relevant Xentrall element of the Plan was reported to DBC’s Audit Committee in March 2016.
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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2016/2017 Audits Presented

Department	Audit Assignment	Status	Where Assurance Opinion Less Than Substantial	
			Audit Comment	Management Response
Xentrall	Active Directory	Full Assurance		
	Civica Icon Income Management System	Full Assurance		
	Recruitment Services	Substantial Assurance		
	Debtors	Substantial Assurance		
	Creditors	Substantial Assurance		
	Desktop Management	On-Going		
	Payroll & Absence Reporting	Full Assurance		
	Pension Payments/Early Retirement	Substantial Assurance		
	Bank Reconciliation	Full Assurance		
	Governance	Full Assurance		
	DBC Income	Full Assurance		
	Virtualisation	Full Assurance		

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.