

APPENDIX B - PARTIAL ASSURANCE INTERNAL AUDIT REPORTS

Risk Ref	Risk Sponsor	Risk Description	Business Unit	Latest Review Date	Status	Corporate Director	Date of Follow-up audit	Status of Follow-up	Comments from Audit
SWAP0001	Mel Lock	SWAP Partial Assurance Audit Report - Direct Payment	Adults & Health Operations (MLock)	13/09/16	Open	Stephen Chandler	Q2 2016/17 and Q3 2017/18	In Progress	First follow-up completed but some further work required. Second follow-up delayed to allow finance restructure to embed.
SWAP0002	Stephen Chandler	SWAP Partial Assurance Audit Report - Deprivation of Liberty	Adults & Health Operations (MLock)	31/05/17	Open	Stephen Chandler	Q3 2016/17 and Q1 2017/18	In Progress	Further follow-up work required in 2017/18
SWAP0003	Mel Lock	SWAP Partial Assurance Audit Report - Personal Budgets	Adults & Health Operations (MLock)	13/09/16	Open	Stephen Chandler	Q3 2016/17	In Progress	Completion delayed to allow sufficient time for improvements to be put in place.
SWAP0004	Sue Rogers	SWAP Partial Assurance Audit report - Early Years Entitlement Claims	Education Commissioning (SRogers)	07/12/16	Open	Julian Wooster	Q3 2016/17 and Q2 17/18	In Progress	Further follow-up work required in 2017/18
SWAP0005	Becky Hopkins	SWAP Partial Assurance Audit Report - Retention of Foster Carers	Children & Families Operations (CWinter)	07/12/16	Open	Julian Wooster	Q2 2016/17 and Q1 2017/18.	Complete	Two follow-ups complete and some work remains outstanding. Schedule full audit in 17/18.
SWAP0007	Claire Winter	SWAP Partial Assurance Audit Report Homefinders - Foster Care Information System	Children & Families Operations (CWinter)		Open	Julian Wooster	Q1 2017/18	In Progress	
SWAP0009	Philippa Granthier	SWAP Partial Assurance Audit Report - CLA and Educational Independent Placements - Financial Controls	Childrens services	26/04/17	Open	Julian Wooster	Q1 2017/18	Not started	Follow-up action has taken longer than planned and audit delayed to Q2.
SWAP0010	Sue Rogers	SWAP Partial Assurance Audit Report - Home to School - Special Educational Needs and High Needs Funding	Education Commissioning (SRogers)	13/09/17	Open	Julian Wooster	Q3 2016/17 and Q4 2017/18	In Progress	Further follow-up work required in 2017/18
SWAP0012	Dave Farrow	SWAP Partial Assurance Audit Report - Planned Use of School Balances	Education Commissioning (SRogers)	31/03/17	Open	Julian Wooster	Q1 2017/18	Not started	Follow-up action has taken longer than planned and audit delayed to Q2.
SWAP00013	Graham Holmes	SWAP Partial Assurance Audit Report - Premises Health and Safety in Schools	Health and Safety	15/05/17	Open	Claire Lovett	Q4 2016/17 and Q3 2017/18.	In Progress	Further follow-up work required in 2017/18
SWAP0014	Darren Cole	SWAP partial Assurance Audit Report - Software Asset Management	Commercial & Business Services (RWilliams)	23/08/16	Open	Richard Williams	Q1 2016/17	In Progress	First follow-up completed but some further work required. Second follow-up delayed to give time for to embed and scheduled for Q4 2017/18.
SWAP0015	Darren Cole	SWAP Partial Assurance Audit Report - Hardware Asset Management	Commercial & Business Services (RWilliams)	13/09/16	Open	Richard Williams	Q1 2016/17	In Progress	First follow-up completed but some further work required. Second follow-up delayed to give time for to embed and scheduled for Q4 2017/18.
SWAP0016	Richard Williams	SWAP Partial Assurance Audit Report - Contract Management	Commercial & Business Services (RWilliams)	03/08/16	Open	Richard Williams	Q4 2016/17 and Q3 2017/18.	In Progress	First follow-up completed but some further work required.

SWAP0017	Andy Kennell	SWAP Partial Assurance Audit Report - ICT Healthcheck	Commercial & Business Services (RWilliams)			Richard Williams	Q4 2017/18	Not started	
SWAP0018	Darren Cole	SWAP Partial Assurance Audit Report - ICT Benefits Management	Commercial & Business Services (RWilliams)			Richard Williams	Q3 2017/18	Not started	
SWAP00019	Graham Holmes	SWAP Partial Assurance Audit Report - Corporate Health and Safety - Premises Management	Health and Safety	15/05/17		Claire Lovett	Q1 2017/18	In Progress	
SWAP0020	Joanna Mickens	SWAP partial Assurance Audit Report - Structural Failure of School Buildings	Property Services (CLovett)	02/05/17	Open	Richard Williams	Q1 2015/16	In Progress	Original Audit was followed up in 15/16 however most of the recommendations were still in progress. Further follow-up delayed to allow embedding of the SKANSKA contract. Second follow-up scheduled for Q4 2017/18.
SWAP0022	Jane Newell	SWAP Partial Assurance Audit Report - Concessionary Fares	Economic & Community Infrastructure	13/09/16	Open	Paula Hewitt	Q3 2016/17 and Q4 2017/18	In Progress	First follow-up completed but further work required.
SWAP0023	Oliver Woodhams	SWAP Partial Assurance Audit Report - Passenger Transport. Complete awaiting follow-up with SWAP	Transporting Somerset	16/12/16	Open	Paula Hewitt	Q3 2016/17 and Q3 2016/17	Complete	Two follow-ups undertaken and not all recommendations fully implemented. Recommend a full audit in 2018/19.
SWAP0024	Phil Lowndes	SWAP Partial Assurance Audit Report - Section 106 Agreements	Traffic & Transport Development	13/09/17	Open	Paula Hewitt	Q4 2016/17 and Q4 2017/18	Not started	New system being implemented, second follow-up needed to review improvements once this is operational.
SWAP0025	Scott Wooldridge	SWAP Partial Assurance Audit Report - Impact Assessments Post Decision Making	Finance & Performance (KNacey)	22/05/17	Open	Kevin Nacey	Q4 2015/16	Complete	One risk has been accepted because of resource limitations.
SWAP0027	Jon Padfield	SWAP Partial Assurance Audit Report - AIS Data Quality	Adults & Health Operations (MLock)		Open	Stephen Chandler	Q2 2016/17 and Q2 2017/18	In Progress	Follow-up focusing on data quality undertaken in 2016/17. Further work scheduled for 2017/18.
SWAP0028	Janet Johnston	SWAP Partial Assurance Audit Report - Personal Finance Contribution - Income Collection	Adults & Health Operations (MLock)		Open	Stephen Chandler	Q4 2017/18	Not started	
SWAP0029	Jon Padfield	SWAP Partial Assurance Audit Report - SCC Financial Management of Care Provision	Adults & Health Operations (MLock)		Open	Stephen Chandler	Q3 2017/18	Not started	
	Martin Gerrish	SWAP Partial Assurance Audit Report - SCC Corporate Debt Management	Finance & Performance (KNacey)			Kevin Nacey	Q3 2017/18	Not started	