

Swap Partial Audit Reports

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
- Swap Partial Audit Reports	SWAP0001	<p>Risk Description: SWAP Partial Assurance Audit Report - Direct Payment</p> <p>Risk Owner: Mel Lock</p> <p>Next Risk Review Date: 18/08/2018</p> <p>Cause:</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	18/05/2018 Direct payments and personal budgets are being further explored as part of a new Personalisation Strategy being developed by commissioners within the service who will ensure any follow-up actions emerging from the audit are taken forward, including any further induction/development needs required to support frontline staff in their practice.
- Swap Partial Audit Reports	SWAP0040	<p>Risk Description: SWAP Partial Assurance Audit Report - Risk of Care Provider Failure</p> <p>Risk Owner: Niki Shaw</p> <p>Next Risk Review Date: 02/07/2018</p> <p>Cause: Report issued: 8 March 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> o 1.3a set in place process for completing financial risk assessments of all care providers joining the Framework <i>In Progress (10% complete)</i> o 1.4a liaise with the Finance Team to develop a target date for commencing the financial assessments of market risk care provide <i>In Progress (10% complete)</i> 	<p>Niki Shaw 02/07/2018 25/06/2018</p> <p>Niki Shaw 02/07/2018</p>	Likelihood : Impact : 0	Likelihood : Impact :	

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				<ul style="list-style-type: none"> 1.5a agree a plan to achieve full compliance with the agreed process for Care Provider Self Assessments. agree a plan to achieve full compliance with the agreed process for Care Provider Self Assessments. A decision should be reached as soon as possible as to whether the service will pursue registering all care providers on the Proactis system in light of available resource, to generate the intended benefits. <i>In Progress</i> (10% complete) 	Niki Shaw 02/07/2018			
- Swap Partial Audit Reports	SWAP0028 Risk Owner: Ben Casson Next Risk Review Date: 05/09/2018	<p>Risk Description: SWAP Partial Assurance Audit Report - Personal Finance Contribution - Income Collection</p> <p>Cause: Report issued: 31 March 2017</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.1a Ensure sufficient guidance in relation to unpaid income from clients including SW involvement & timescales for recovery The new Income CoP is fit for purpose for ASC debt recovery. <i>In Progress</i> 1.3a ensures that there is a single defined process to manage debt recording, recovery and the retention of records A full review of the Income COP has been completed and the new Income CoP is fit for purpose for ASC debt recovery. <i>In Progress</i> 1.5a Develop guidance for Finance Officers on what attempts should be made to recover debt & when they should be referred legal A full review of the Income COP has been completed and the new Income CoP is fit for purpose for ASC debt recovery. <i>In Progress</i> 	Ben Casson 05/06/2018 Ben Casson Ben Casson 05/06/2019	Likelihood : Impact : 0	Likelihood : Impact :	07/06/2018 A full review of the Income COP has been completed and the new Income CoP is fit for purpose for ASC debt recovery. Two posts within Adults Finance team now have responsibility for all debt management reporting and maximising debt recovery. Regular meetings are held between these two staff and the relevant Finance Managers to monitor and assess levels of recovery and processes being used. Details of debt levels within the service have been added to the monthly finance reporting to A&H Director.

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- Swap Partial Audit Reports	SWAP0005	<p>Risk Description: SWAP Partial Assurance Audit Report - Retention of Foster Carers</p> <p>Risk Owner: Jo Manning</p> <p>Next Risk Review Date:</p> <p>Cause:</p> <p>Consequence:</p>		<ul style="list-style-type: none"> ◦ Ref 26746: ensure that training and personal development needs are identified for each new foster carer at the time of approval Jeanette Clarke 23/04/2015. Liaison with the Training Officer to consider how the PDP can be developed to capture this action. <i>In Progress (10% complete)</i> ◦ Ref 26746: Form within LCS/Protocol should be amended to ensure that from the PDP, specific training is identified and monitored <i>In Progress (10% complete)</i> ◦ Ref 26560: Ensure that amendments are made to the supervision record forms within LCS/Protocol <i>In Progress (10% complete)</i> ◦ Ref 27206: Ensure that the records on LCS clearly record the foster carers' annual review. There is a process in place regarding the recording of the foster carers reviews and this has recently been reviewed by the Operations Managers for the service with the LCS team. <i>In Progress (10% complete)</i> 	<p>Jo Manning 31/03/2017 31/03/2017</p> <p>Jo Manning 31/03/2017 31/03/2017</p> <p>Jo Manning 31/03/2017 31/03/2017</p> <p>Jo Manning 31/03/2017 31/03/2017</p>	Likelihood : Impact : 0	Likelihood : Impact :	14/06/2017 SWAP comments: Two follow-ups complete and some work remains outstanding. Schedule full audit in 17/18.

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- Swap Partial Audit Reports	SWAP0049	Risk Description: SWAP Partial Assurance Audit Report - Use of Part-time Timetables in Schools		<ul style="list-style-type: none"> 1.1a Establish procedure to monitor & challenge schools identified as having significant levels of authorised absence Management Response: We are currently developing a mechanism for feeding a range of additional information in to our Schools Causing Concern Process (SCCP) and this will one element of that information. EWS will be using this information in its conversations with schools from June onwards and the SCCP will begin to monitor from September <i>In Progress (10% complete)</i> 	Dave Farrow 02/07/2018	Likelihood : Impact : 0	Likelihood : Impact :	
	Risk Owner: Dave Farrow	Cause: Report issued 21 May 2018		<ul style="list-style-type: none"> 1.2a Revise the Somerset Protocol providing guidance on support needs where these exceed Early Help procedures Management Response: The protocol will be redrafted and presented to the Somerset Education Partnership Board at its July meeting for implementation from September 2018 <i>In Progress (10% complete)</i> 	Dave Farrow 02/07/2018 27/08/2018			
	Next Risk Review Date: 02/07/2018	Consequence:		<ul style="list-style-type: none"> 1.3a Review the Somerset Protocol to clarify whether schools must produce a PSP and in what instance We recommend that the Head of Educational Outcomes reviews the Somerset Protocol to clarify whether schools must produce a PSP in all instances or whether reliance can be placed on existing assessments if they meet the same criteria. If this option is taken, the Somerset Protocol should state that schools must retain a copy of this assessment on the child's file and use it as the basis for regular review. <i>In Progress (10% complete)</i> 	Dave Farrow 02/07/2018 31/08/2018			

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Swap Partial Audit Reports	SWAP0026	<p>Risk Description: SWAP Partial Assurance Audit Report - Education of Children Looked After in Care</p> <p>Risk Owner: Julia Ridge</p> <p>Next Risk Review Date: 21/08/2017</p> <p>Cause: Report issued: 20 March 2017</p> <p>Consequence:</p>		<ul style="list-style-type: none"> ◦ 34374: social workers in the Child Looked After team complete the Promoting the Education of CLA training course Reviewed Ops Manager CLA: I will discuss this with the Team Managers and put Promoting the Education of CLA as a standard item on the induction programme. <i>In Progress (10% complete)</i> ◦ 34380: Foster carers to read the Foster Carer Handbook and sign to certify that they will comply with the FCH expectations Reviewed Ops Manager Resources: Agreed <i>In Progress (10% complete)</i> ◦ 34382: Ensure that a method for supplying guidance and Virtual School communications to agency foster carers is introduced in progress <i>In Progress (50% complete)</i> ◦ 34372: Promote the Education of Children Looked After training course to designated teachers and school governors dates have been confirmed - admin are currently booking venues for termly designated teacher network meetings which include updates on VS and more in depth information than in the promoting education course.. one DT network will include a further session for governors and new DT's on 'what makes a good DT' <i>In Progress (50% complete)</i> 	<p>Jason Pincott 30/06/2017 18/12/2017</p> <p>Jo Manning 05/03/2018 05/03/2018</p> <p>Zoe Heywood 05/03/2018 05/03/2018</p> <p>Zoe Heywood 21/11/2017 18/12/2017</p>	Likelihood : Impact : 0	Likelihood : Impact :	16/06/2017 "The majority of activities recommended have already been completed by Zoe Heywood, only three part actions remains, one for social care, one for fostering and one to raise awareness of Children looked after in Education which is underway."

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Swap Partial Audit Reports	SWAP0042	<p>Risk Description: SWAP Partial Assurance Audit Report - Medium Term Financial Plan - Commissioning Driven Approach</p> <p>Risk Owner: Kevin Nacey</p> <p>Next Risk Review Date: 02/07/2018</p> <p>Cause: Report issued: 30 April 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.1a Ensure that standard requirements are put in place relating to the production of MTFP business cases. We recommend the Director of Finance, Legal and Governance ensures that standard requirements are put in place relating to the production of MTFP business cases. This should include but is not restricted to: - All costs related to the achievement of savings should be acknowledged. - A proportionate level of detail should be included as to how the savings will be achieved and apportioned across activities. - All business cases should be considered 'live' and should, in all instances provide information that corresponds with stated and Council approved MTFP savings. <i>In Progress (10% complete)</i> 1.3a ensures that all savings stated as 'red' or 'amber' are reported to the relevant 'theme' board We recommend the Director of Finance, Legal and Governance ensures that all savings stated as 'red' or 'amber' are reported to the relevant 'theme' board who should then be required to ensure relevant operational officers provide documented explanations for the current position and, critically actions being taken to reduce the risk of failing to meet said savings targets. <i>In Progress (10% complete)</i> 	Kevin Nacey 02/07/2018	Likelihood : Impact : 0	Likelihood : Impact :	

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				<ul style="list-style-type: none"> <p>◦ 2.2a Ensure that all Boards with responsibility for MTFP theme savings have explicit terms of reference We recommend the Director of Finance, Legal and Governance ensures that all Boards with responsibility for MTFP theme savings have explicit terms of reference to this effect. This should relate to 3.6a. below so that there is one single view of savings targets and achievement against these targets. <i>In Progress (10% complete)</i></p> <p>◦ 2.3a Ensure theme board terms of reference include a requirement for a substitute to be made available where a board member We recommend the Director of Finance, Legal and Governance ensures that theme board terms of reference include a requirement for a substitute to be made available where a board member is not able to attend a theme board. <i>In Progress (10% complete)</i></p> <p>◦ 2.4a Ensure all MTFP savings are allocated to themes to ensure a consistent approach regarding ownership, reporting & delivery We recommend the Director of Finance, Legal and Governance ensures that all MTFP savings are allocated to themes to ensure a consistent approach regarding ownership, reporting and delivery. <i>In Progress (10% complete)</i></p> 	<p>Kevin Nacey 02/07/2018</p> <p>Kevin Nacey 02/07/2018</p> <p>Kevin Nacey 02/07/2018</p>			

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				<p>o 3.3a Revise MTFP reporting arrangements to ensure that savings are clearly evidencable & are not based on RAG ratings We recommend that the Director of Finance, Legal and Governance revises MTFP reporting arrangements to ensure that savings are clearly evidencable and are not based on RAG ratings. Further to this there is a need for demand side pressures to be better forecast in approved budgets so that suitable controls can be operated to ensure that spending is within budget rather than simply attributed to increased demand <i>In Progress (10% complete)</i></p>	<p>Kevin Nacey 02/07/2018</p>			

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				<p>o 3.5a Programme Office benefits inventory is revised an updated to include all MTFP savings. We recommend the Director of Finance, Legal and Governance ensures that Programme Office benefits inventory is revised an updated to include all MTFP savings. The following points should also be noted: - The Benefits inventory should use consistent naming of savings to enable alignment with other financial reports and information. - MTFP areas that fall outside of the Core Council Programme should be captured in the Benefits Inventory and be available to the CCPB but should be identified as separate to the core programme. - Reports from the benefits tracker should be made available to the commissioning board to 'complete the circle' with regards to strategic commissioning plans such as CIPs (Commissioning Intention Plans) - The benefits tracker should be readily and easily reconcilable against other financial information and, wherever possible should be used as a single source of financial information, in particularly for themed boards. <i>In Progress (10% complete)</i></p>	<p>Kevin Nacey 02/07/2018</p>			

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Swap Partial Audit Reports	SWAP0039 Risk Owner: Pip Cannons Next Risk Review Date: 05/10/2018	<p>Risk Description: SWAP Partial Assurance Audit Report - Adult Social Care New Operating Model Front Door</p> <p>Cause: Report issued: 2 May 2018</p> <p>Consequence:</p>		<p>o 2.6a Complete review of Somerset Direct Adult Social Care staff resources and update Operating level agreement to reflect outcome We recommend that the Service Manager - Customer Service, with the Strategic Manager Commissioning, Adult Social Care, completes a full examination of Somerset Direct Adult Social Care staff resources and agrees a way forward. The aspiration for the level of queries resolved at first point of contact should be included in this, see paragraph 2.5. The operating level agreement should be updated to reflect the outcome. <i>In Progress (50% complete)</i></p>	Sharon Passmore 08/07/2018 01/10/2018	Likelihood : Impact : 0	Likelihood : Impact :	<p>08/06/2018 As of the beginning of April we re-established link workers at both ends (Localities and SD) and established a consistent process of feedback between the teams. Key themes will be fed into Management Meetings from May in order to effect consistent improvement. From May we have included the Strategic Manager for Localities in the monthly meetings which will monitor and track performance as well as the effectiveness of operational processes e.g. for feedback. We will formally review this at our 6-monthly review meeting in September. (target date 30th Sept 2018)</p> <p>Resilience is recognised as an issue and is discussed at our monthly management meetings. We had already identified the need to conduct a resource review following a review of performance data in Jan and Feb 2018. This is something that the contact centre management team does on a regular basis and as a result of the performance dip in Jan / Feb we made some small changes to improve resilience:</p> <ul style="list-style-type: none"> • We implemented an online referral form and targeted messaging to providers/ professionals to manage this

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				<p>o 3.1a Establish a standard process for how the feedback system should be operated is performed.</p> <p>We had in place a system of feedback with link workers and Somerset Direct which has needed to evolve and change during the last year where we have had a practice of test and learn operating to enable the contact centre to innovate. We recognise that this was not working effectively at the time of the audit and had already put in place actions to address this. As of the beginning of April we have re-established link workers at both ends (Localities and SD) and established a consistent process of feedback between the teams. Key themes will be fed into Management Meetings from May in order to effect consistent improvement.</p> <p>From May we have included the Strategic Manager for Localities in the monthly meetings which will monitor and track performance as well as the effectiveness of operational processes e.g. for feedback.</p> <p>We will formally review this at our 6-monthly review meeting in September. (target date 30th Sept 2018)</p> <p><i>In Progress (50% complete)</i></p>	<p>Pip Cannons 08/07/2018 01/10/2018</p>			<p>demand more efficiently,</p> <ul style="list-style-type: none"> • We have redefined a role to support with managing email demand. <p>Resilience will continue to be reviewed on an ongoing basis but will be formally reviewed again at the 6-monthly review (target completion date 30/9/18)</p>

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Swap Partial Audit Reports	SWAP0047 Risk Owner: Chris Squire Next Risk Review Date: 18/06/2018	<p>Risk Description: SWAP Partial Assurance Audit Report - Payroll Key Controls and IR35 2017-18</p> <p>Cause: report issued: 17 May 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.1a Identify a suitable method to limit the risk posed by existing vendors We recommend that the Service Manager – Chief Accountant and Strategic Manager – HR Admin & Payroll identify a suitable method to limit the risk posed by existing vendors. This could include blocking of vendors that have not been used since the IR35 legislation was updated to prevent payments being made to them without a tax status assessment. <i>In Progress (10% complete)</i> 	Lizzie Watkin 18/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	
				<ul style="list-style-type: none"> 1.7a Contact relevant officers in the Commercial & Procurement & Exchequer teams to establish agreed and documented processes We recommend that the Strategic Manager - HR Admin & Payroll Services contacts relevant officers within the Commercial & Procurement and Exchequer teams to establish agreed and documented processes for referring new suppliers for assessment. <i>In Progress (10% complete)</i> 	Rachel Ellins 18/06/2018			

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Swap Partial Audit Reports	SWAP0029 Risk Owner: Jon Padfield Next Risk Review Date: 17/08/2018	<p>Risk Description: SWAP Partial Assurance Audit Report - SCC Financial Management of Care Provision 1617 Final Report</p> <p>Cause: Report Issued: 31 March 2017</p> <p>Consequence:</p>		<p>o 1.4a Implement a quality control process within the Care Coordination team Following restructuring across the Adult Social Care service, the Care Coordination function now sits under the Strategic Manager for Quality & Performance, Niki Shaw and under the remit of the Quality Assurance Service Manager, Paul Coles. Significant work has taken place to enhance the staffing levels within the function to ensure efficiency over recent months. The team is now close to being fully staffed and performance has improved consequently - backlogs have been addressed, leads have been identified for key areas of responsibility, the name has been changed to 'Sourcing Care Service' and a new IT Sourcing tool system has been commissioned to improve data quality, recording practice and monitor performance. This launched 14 May 2018 and enables Power BI reports to be issued live to monitor quality and performance. <i>In Progress (85% complete)</i></p>	Jon Padfield 17/08/2018 30/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	17/05/2018 Following restructuring across the Adult Social Care service, the Care Coordination function now sits under the Strategic Manager for Quality & Performance, Niki Shaw and under the remit of the Quality Assurance Service Manager, Paul Coles. Significant work has taken place to enhance the staffing levels within the function to ensure efficiency over recent months. The team is now close to being fully staffed and performance has improved consequently - inputting backlogs have significantly reduced and are monitored routinely, leads have been identified for key areas of responsibility, the name has been changed to 'Sourcing Care Service' and a new IT Sourcing tool system has been commissioned to improve data quality, recording practice and monitor performance. This launched 14 May 2018 and enables Power BI reports to be issued live to monitor quality and performance. The additional staffing resource in the team and new reporting functionality will enable dip sampling/auditing to be taken forward from June 2018 NB Finance actions picked up via Ben Casson elsewhere

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				<ul style="list-style-type: none"> o 1.5a Ensure system of periodic quality checks is introduced to ensure that the accuracy of data entered into AIS is monitored <p>Following restructuring across the Adult Social Care service, the Care Coordination function now sits under the Strategic Manager for Quality & Performance, Niki Shaw and under the remit of the Quality Assurance Service Manager, Paul Coles. Significant work has taken place to enhance the staffing levels within the function to ensure efficiency over recent months. The team is now close to being fully staffed and performance has improved consequently - backlogs have been addressed, leads have been identified for key areas of responsibility, the name has been changed to 'Sourcing Care Service' and a new IT Sourcing tool system has been commissioned to improve data quality, recording practice and monitor performance. This launched 14 May 2018 and enables Power BI reports to be issued live to monitor quality and performance.</p> <p>The additional staffing resource in the team and new reporting functionality will enable dip sampling/auditing to be taken forward from June 2018</p> <p><i>In Progress (85% complete)</i></p>	<p>Jon Padfield 17/08/2018 30/06/2018</p>			

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- Swap Partial Audit Reports	SWAP0034	<p>Risk Description: SWAP Partial Assurance Audit Report - Readiness for New EU-General Data Protection Regulations (GDPR) - Final report</p> <p>Risk Owner: Peter Grogan</p> <p>Next Risk Review Date: 30/08/2018</p> <p>Cause: Report issued: 19 July 2017</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	08/05/2018 Progress with implementation continues with actions related to the ICO 12 point plan. DSARs remain the critical issue

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- Swap Partial Audit Reports	SWAP0017	<p>Risk Description: SWAP Partial Assurance Audit Report - ICT Healthcheck</p> <p>Cause:</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	04/06/2018 1.1a Management Information is not useful for reporting system availability or quality to customers. New monthly dashboard delivered when service returned from SWOne and used for SLT monthly reports 2.1a Significant content of current IS Strategy (2013 - 2016) is out of date. ICT cloud first strategy was adopted at return of contract from SWOne and strategy and ICT transformation programmes are now aligned and included within new corporate business plan 3.1a Quantitative evidence of benefits realisation cannot be found. All ICT projects are now aligned to corporate programmes, these are governed through Core Council Programme and all benefits are tracked through this process. 3.2a Levels of authority for the Strategic ICT Management Team are not recorded.

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								<p>These are recorded in SAP and in line with 10 point plan.</p> <p>3.3a Disposal records are incomplete.</p> <p>All disposal records received from SWOne and has been accepted as part of exit plan.</p> <p>3.3b Licensing and usage position of all software is not known.</p> <p>Implementation of scalable software asset management tool now records both installed software and associated usage stats.</p>

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- Swap Partial Audit Reports	SWAP0046	<p>Risk Description: SWAP Partial Assurance Audit Report - Payment Card Industry Data Security Standard Compliance</p> <p>Risk Owner: Andrew Kennell</p> <p>Next Risk Review Date: 12/07/2018</p> <p>Cause: Report issued: 21 December 2017</p> <p>Consequence:</p>		<p>o 1.1.3a Project plan is written & followed to ensure that an attestation date is set and achieved</p> <p>It has been agreed the Strategic Manager for ICT Operations will ensure that a project plan that covers time, resources, dependencies, contingencies and critical pathway is written and followed to ensure that an attestation date is set and achieved.</p> <p><i>In Progress (10% complete)</i></p>	Andrew Kennell 18/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	<p>12/06/2018 We are still combining the list of all Customer and Merchant IDs. (Currently around 140)</p> <p>Based on a proposal to be considered by the SOB Board, we plan to upgrade the current Adelante payment service and as part of the move to cloud, we will move the payment system to be hosted completely externally to SCC.</p> <p>This will significantly reduce the network rework required for the current SAQ Level D, and allow us to more easily attest our compliance under a lower level SAQ (Self Assessment Questionnaire)</p> <p>SWAP Partial Assurance Report - Payment Card Industry Data Security Standard Compliance</p>

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Swap Partial Audit Reports	SWAP0052	<p>Risk Description: SWAP Partial Assurance Audit Report - Hardware and Software Asset Management - Follow Up 1718</p> <p>Risk Owner: Andrew Kennell</p> <p>Next Risk Review Date: 02/07/2018</p> <p>Cause: Report issued: 25 May 2018</p> <p>Consequence:</p>		<p>◦ 4.1a Ensure that there is an understanding of all the ICT assets that the current description of a significant asset excludes The Strategic Manager for ICT (Operations) has agreed to ensure that there is an understanding of all the ICT assets that the current description of a significant asset excludes from Asset Management and that risk analysis of these exclusions has taken place as well as the appropriate risk treatment where needed.</p> <p>Progress against agreed outcomes: As reported above the Asset Management Policy is still in Draft and the most recent version provided still shows a significant asset as being defined by money. Key decisions relating to the service still have to be formalised and distributed to all officers. There is not currently an understanding or implemented process for the responsibility of staff to look after their own deployed items. There is no signing and acceptance of responsibility for devices entrusted to an individual. This means the Council has limited redress if an officer causes damage to equipment and there may also be a lessened feeling of ownership/responsibility which may lead to more losses.</p> <p>We recommended that the original Agreed Outcome is implemented. <i>In Progress (10% complete)</i></p>	Andrew Kennell 02/07/2018	Likelihood : Impact : 0	Likelihood : Impact :	

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Swap Partial Audit Reports	SWAP0054	<p>Risk Description: SWAP Partial Assurance Audit report - SAP ICT Controls 2017-18</p> <p>Risk Owner: Andrew Kennell</p> <p>Next Risk Review Date: 08/10/2018</p> <p>Cause: Report Issues: 6 June 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.2a Establish a process for regular review of dormant user accounts management Response: A policy to be established to review dormant accounts on a quarterly basis with a view of deleting user accounts that have not been used in a month period (excluding those off on long-term absence). This will need to be run past HR for approval as it will involve removing of roles from positions <i>In Progress (10% complete)</i> 1.3a Review access & agrees this with the Head of IT who will be responsible at service level for managing & completing. Management Response: User access review is in progress with Finance. Review of user access to be added as a standing agenda item at the SAP Steering Group with a view to a review being done every 12 months. <i>In Progress (10% complete)</i> 1.4 Review password policy for non-single sign on SAP users & bring this requirement in line with the SCC password policy Management Response: Password convention, matching that of the network rules, went into SAP Production system on 12th May 2018. This forced all non-single sign on users to change their passwords. Evidence provided to SWAP 21.5.18. <i>In Progress (10% complete)</i> 	<p>mark Phillpott 08/10/2018</p> <p>mark Phillpott 08/10/2018</p> <p>mark Phillpott 08/10/2018</p>	Likelihood : Impact : 0	Likelihood : Impact :	

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				<ul style="list-style-type: none"> 1.5a Ensure current centralised automated leaver controls are functioning correctly in relation to AD Management Response: This is an operational issue that is wider than SAP. Procedure to be put in place to look at creating automatic triggers from SAP to inform AD of leavers and vice versa and acting upon those triggers <i>In Progress (10% complete)</i> 	Andrew Kennell 08/10/2018			
- Swap Partial Audit Reports	SWAP0055	<p>Risk Description: SWAP Partial Assurance Audit Report - Business Application Review: Capita One 2017-18</p> <p>Cause: Report Issued: 5 June 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.5a Ensure current level of backup restoration/testing functionality & residual risk is understood by all using Capita One Management Response: This issue has now been resolved and individual servers for all critical applications are now regularly restored as part of the Infrastructure Systems maintenance schedule now that the restoration environments have been created. <i>In Progress (10% complete)</i> 	Andrew Kennell 08/10/2018	Likelihood : Impact : 0	Likelihood : Impact :	

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- Swap Partial Audit Reports	SWAP0032 Risk Owner: Martin Gerrish Next Risk Review Date: 15/08/2018	Risk Description: SWAP Partial Assurance Audit Report - SCC Corporate Debt Management Cause: Consequence:		<ul style="list-style-type: none"> 1.3a Circulate the audit findings on compliance with Code timetable requirements to all Debt Chasers <p>Whilst we accept the findings, this is not agreed, but an alternative action that will be more service-specific will be put in place after the training roll-out has been completed. It became clear during the training that there was a lack of knowledge in a number of services about the need to comply with the timetable in the new Income Code of Practice. From the previous audit from SWAP, which served to start the work towards the new Income Code of Practice, this was largely expected.</p> <p>The Accounts Receivable Team will continue to highlight where services are not complying with the timetable and are not handing debts for legal debt recovery in accordance with the Code. Officers believe that there will be more success with returning to services with individual failures to comply with the Code timetable than with a wider audit. It is also felt that there is a need to give services a chance to embed the Code and that more current information can be provided to them at a later date.</p> <p><i>In Progress (10% complete)</i></p>	Martin Gerrish 31/08/2018	Likelihood : Impact : 0	Likelihood : Impact :	15/05/2018 End of year debt figures well below 15% over 90 days target (3 good months in a row). Need to embed ICOP more widely across the services. Additional LDRO resource from June will be critical in this.

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<ul style="list-style-type: none"> <p>◦ 1.6a Circulate audit of referrals to LDRO to all Debt Chasers Whilst we accept the findings, this is not agreed, and is similar to 1.3a above. Officers believe that using more service-specific examples are more likely to get Debt Chasers encouraged to be more compliant with the requirements of the Code, including referral to the Legal Debt Recovery Officer within the timescale set out in the Income Code of Practice. 31/05/2018 Additional Legal Debt Recovery officers in place from 12th June - exercise to review recent performance on referrals scheduled for late June. <i>In Progress (10% complete)</i></p> <p>◦ 1.11a Circulate the audit findings on timeliness of write-offs to all Debt Chasers Whilst we accept the findings, this is not agreed, and is similar to 1.3a and 1.6a above. Officers believe that using more service-specific examples are more likely to get Debt Chasers encouraged to be more compliant with the requirements of the Code. <i>In Progress (10% complete)</i></p> 	<p>Martin Gerrish 31/08/2018</p> <p>Martin Gerrish 31/08/2018</p>			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
Swap Partial Audit Reports	SWAP0051	<p>Risk Description: SWAP Partial Assurance Audit Report - Follow-Up Audit Healthy Organisation (ICT) 1718 - SCC</p> <p>Risk Owner: Mike Kenworthy</p> <p>Next Risk Review Date: 02/07/2018</p> <p>Cause: Report issued 25 May 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> ◦ 1.1.1a Consult with Senior Leadership Team to confirm the suit of policies that are going to make up the ICT Strategy Progress on Recommendation: A new ICT Strategy has not yet been produced. Before this happens, decisions need to be made by ICT and SLT regarding what documents (and respective content) are going to make up the Strategy Suite for ICT. These then can be written, approved at SLT level and distributed to all strategic managers throughout the Council. <i>In Progress (10% complete)</i> ◦ 1.1.2a Ensure the outstanding aspects of how the asset management service will be performed are agreed, Management Response: This policy is still in draft and will aim to have a completed policy by August 2018. <i>In Progress (10% complete)</i> ◦ 1.1.3a Ensure current software license review is completed with additional requirement for proof of entitlement to be understood management response: We will be working on this during the win 10 rollout, but as this will not complete until November 18, it is anticipated that this will not complete until Jan 19 <i>In Progress (10% complete)</i> 	<p>Mike Kenworthy 02/07/2018 03/12/2018</p> <p>Mike Kenworthy 02/07/2018 31/08/2018</p> <p>Mike Kenworthy 02/07/2018 31/01/2019</p>	Likelihood : Impact : 0	Likelihood : Impact :	

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<ul style="list-style-type: none"> <li data-bbox="947 338 1388 497"> <p>◦ 1.1.5a Ensure that all attestations for PCI-DSS are completed We recommend that the Head of ICT ensures that all attestations for PCI-DSS are completed, plus ensures the correct visibility and actions for the risk regarding the non-centralised governance of PCI-DSS while it remains in ICT.</p> <p>Management Response: Management Response: Not completed work in progress with third party supplier to reduce number of merchant IDs and simplify attestation process. <i>In Progress (10% complete)</i></p> <li data-bbox="947 759 1388 1078"> <p>◦ 1.1.6a Ensure current network improvement project continues to deliver its goals & critical services have BC Plans Management Response: Ongoing part of network resilience programme. This has been reported in the network resiliency audit with a completion date to be confirmed following issues with core network upgrade. A recommendation has been agreed to ensure transparent risk management takes place and services are aware of risks and have updated their Business Continuity Plan BCP in line with this. <i>In Progress (10% complete)</i></p> 	<p data-bbox="1406 338 1559 405">Mike Kenworthy 02/07/2018 03/12/2018</p> <p data-bbox="1406 759 1559 804">Mike Kenworthy 02/07/2018</p>			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
Swap Partial Audit Reports	SWAP0022 Risk Owner: Oliver Woodhams Next Risk Review Date: 24/08/2018	Risk Description: SWAP Partial Assurance Audit Report - Concessionary Fares Cause: Consequence:		<ul style="list-style-type: none"> 29923: establish a process to periodically request source data from operators to support claims. Spot checks to verify data <p>We have spend some time reviewing the best way to improve the auditing of operator data. New analytics reports are now available through South West Smart Applications Ltd who manage the back office data. We can now obtain monthly reports by operator by route which lists the number of concessionary journeys undertaken using a smart ENCT card. We have agreed a tolerance needs to be set on this of 5% which is the National average for non smart transactions (when something is wrong with the machine or cars) if the difference is higher than 5% the operator will be challenged and asked to provide supporting data before payment is made. A review of the staffing levels is being undertaken in operations to ensure this can be managed. Additionally we propose to change the scheme policy again next year for 2017/18 to encompass a clause which will allow us to ask for operators commercial data to check the average fare is correct. The survey team will be asked to undertake regular bus surveys to ensure passenger numbers and fare prices are correct Review: Adam Williams 02/11/2015</p> <p>Management response - Jane Newell "A process will be put in place to conduct spot-checks on operator data to verify the accuracy of their concessionary fare submissions." Reviewed by Oliver Woodhams on 24/05/18</p>	Oliver Woodhams 24/08/2018 30/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	24/05/2018 Reviewed by Oliver Woodhams on 24/05/18 - good progress is being made implementing a range of controls as recommended by SWAP. First Bus have implemented new ticket machines and we are now able to monitor concessionary patronage through the HOPS system as with other somerset operators. A regime of spot check controls is in place, and claims are being reconciled back to HOPS data for the vast majority of operators. This work has been implemented by a new concessionary fares officer post within the Transporting Somerset operational structure. The major outstanding issue to resolve is the quality and timeliness of data submissions from First Bus (both Buses of Somerset and First Avon and Somerset). We have raised this issue with the operators concerned informally and now through a formal notice, giving both operators 30 days to remedy deficiencies in the reporting of data.

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				- staffing resources in place, spot checks are being carried out and reconciliations within tolerance levels are happening for most operators. <i>In Progress (75% complete)</i>				

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<p>o 30241: ensure that submissions made by bus operators are analysed on a periodic basis to ensure that any significant variances c 02/06/16 - Jane Newell We have spend some time reviewing the best way to improve the auditing of operator data. New analytics reports are now available through South West Smart Applications Ltd who manage the back office data. We can now obtain monthly reports by operator by route which lists the number of concessionary journeys undertaken using a smart ENCT card. We have agreed a tolerance needs to be set on this of 5% which is the National average for non smart transactions (when something is wrong with the machine or cars) if the difference is higher than 5% the operator will be challenged and asked to provide supporting data before payment is made. A review of the staffing levels is being undertaken in operations to ensure this can be managed. Additionally we propose to change the scheme policy again next year for 2017/18 to encompass a clause which will allow us to ask for operators commercial data to check the average fare is correct. The survey team will be asked to undertake regular bus surveys to ensure passenger numbers and fare prices are correct Review: Adam Williams 02/11/2015 Jane Newell - "SCC are currently working with SWSAL to implement a new analytical system that will help identify and analyse trends with operator data and provide the Council with data to verify submissions. Ticketing data has been requested ad-hoc</p>	<p>Oliver Woodhams 24/06/2018 30/06/2018</p>			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<p>previously; however an auditable formal process needs to be introduced and data to be requested on a routine basis."</p> <p>Reviewed by Oliver Woodhams on 24/05/18 - staffing resources in place, spot checks are being carried out and reconciliations within tolerance levels are happening for most operators. Scheme has been updated to introduce requirement to submit data. <i>In Progress (75% complete)</i></p>				
- Swap Partial Audit Reports	<p>SWAP0014</p> <p>Risk Owner: Richard Williams</p> <p>Next Risk Review Date: 21/08/2017</p>	<p>Risk Description: SWAP partial Assurance Audit Report - Software Asset Management</p> <p>Cause:</p> <p>Consequence:</p>				<p>Likelihood : Impact :</p> <p>0</p>	<p>Likelihood : Impact :</p>	<p>14/06/2017 SWAP Comment: 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.</p>

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
- Swap Partial Audit Reports	SWAP0015 Risk Owner: Richard Williams Next Risk Review Date: 21/08/2017	Risk Description: SWAP Partial Assurance Audit Report - Hardware Asset Management Cause: Report issued: 30 November 2015 Consequence:		<ul style="list-style-type: none"> 30286: extending Assyst to report on the categories of information currently not recorded. Management Response: Agreed. This information has been captured since September 2015. A combination of tools are being used for this purpose: Snow, Sharepoint & spreadsheets. <i>In Progress</i> (10% complete) 	Richard Williams 31/03/2017 05/03/2018	Likelihood : Impact : 0	Likelihood : Impact :	14/06/2017 SWAP Comment: 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.
- Swap Partial Audit Reports	SWAP0018 Risk Owner: Richard Williams Next Risk Review Date: 21/08/2017	Risk Description: SWAP Partial Assurance Audit Report - Benefits Realisation Management (ICT) Cause: Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	14/06/2017 Not started

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
Swap Partial Audit Reports	SWAP0041	<p>Risk Description: SWAP Partial Assurance Audit Report - Procurement - The Monitoring and Control of Savings Made Procurement savings are not realised through contract life cycle.</p> <p>Cause: Report issued: 18 April 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> 1.1a ensures that benefit tracker pro-forma are fully completed for every relevant procurement exercise We recommend the Head of Commercial & Procurement ensures that benefit tracker pro-forma are fully completed for every relevant procurement exercise i.e. those within which a saving can be identified and are subject to an appropriate level of approval. The pro-forma should be amended to confirm the type of saving being achieved (i.e. cost avoidance, cash saving) so this can be monitored. All procurement activities should be recorded in the tracker. <i>In Progress (10% complete)</i> 1.2a Commissioning officers meet with finance & procurement officers, identify & monitor savings We recommend that commissioning officers and contract managers who hold responsibility for contract performance meet with relevant finance and procurement officers to determine anticipated savings and how these savings will be monitored. This should take place at the point of the service being procured. The Director – Commercial & Business Services should confirm this process with the Senior Leadership Team. This process should be proportionate to the level of savings expected and should be instigated by the appropriate officers in the services managing the procured contract. <i>In Progress (10% complete)</i> 	<p>Donna Fitzgerald 18/06/2018</p> <p>Richard Williams 18/06/2018 02/07/2018</p>	Likelihood : Impact : 0	Likelihood : Impact :	

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<ul style="list-style-type: none"> <p>◦ 1.3a Evidence of calculations noted in reports to senior managers or members should be retained in all instances We recommend that evidence of calculations noted in reports to senior managers or members should be retained in all instances. The Director – Commercial & Business Services should confirm this process with the Senior Leadership Team. <i>In Progress (10% complete)</i></p> <p>◦ 1.7a All contract managers to assess contracts using the contract Tiering Tool We recommend the Director – Commercial & Business Services advises all contract managers to assess contracts using the contract Tiering Tool so consistent arrangements for contract governance can be introduced across the organisation. A formal process through which the handover in responsibility for contract management and achieving savings to the service area is clearly recorded should also be introduced. <i>In Progress (10% complete)</i></p> 	<p>Richard Williams 18/06/2018</p> <p>Richard Williams 18/06/2018</p>			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
- Swap Partial Audit Reports	SWAP0045 Risk Owner: Richard Williams Next Risk Review Date: 18/06/2018	Risk Description: SWAP Partial Assurance Audit Report - Data Subject Access Requests Cause: Report issued: 25 August 2017 Consequence:		<ul style="list-style-type: none"> ◦ 1.2a Single central system on which all DSARs should be promptly logged and subject to ongoing central monitoring The Information Governance Manager should implement a single central system on which all DSARs should be promptly logged and subject to ongoing central monitoring. This will need to be supplemented by a process to ensure that a record is created on both LCS and AIS to log that a DSAR has been received from the customer where applicable. <i>In Progress (10% complete)</i> ◦ 1.8a The Information Governance Manager should introduce a centralised monitoring system for all DSARs to ensure there is a comp The Information Governance Manager should introduce a centralised monitoring system for all DSARs to ensure there is a complete audit trail for all DSARs being processed. <i>In Progress (10% complete)</i> 	Peter Grogan 18/06/2018 Peter Grogan 18/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	
- Swap Partial Audit Reports	SWAP0048 Risk Owner: Richard Williams Next Risk Review Date: 02/07/2018	Risk Description: SWAP Partial Assurance Audit Report - Network Resilience and Authentication 2017/18 Cause: Report Issued: 23 May 2018 Consequence:		<ul style="list-style-type: none"> ◦ 1.1.2a/1.1.3a - Record risk in JCAD assign ownership of risk and mitigations We recommend the risk be appropriately managed in JCAD to ensure appropriate levels of visibility across the Council and that business continuity plans for a loss of networked ICT are checked by all services. <i>In Progress (10% complete)</i> 	Mike Kenworthy 02/07/2018 02/07/2018	Likelihood : Impact : 0	Likelihood : Impact :	

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<ul style="list-style-type: none"> o 1.1.2a/1.1.3a - Business continuity plans for a loss of networked ICT are to be checked by all services. <p>We recommend the risk be appropriately managed in JCAD to ensure appropriate levels of visibility across the Council and that business continuity plans for a loss of networked ICT are checked by all services.</p> <p><i>In Progress (10% complete)</i></p>	Mike Kenworthy 02/07/2018			
- Swap Partial Audit Reports	SWAP0025	<p>Risk Description: SWAP Partial Assurance Audit Report - Impact Assessments Post Decision Making</p> <p>Cause:</p> <p>Consequence:</p>				<p>Likelihood : Impact :</p> <p>0</p>	<p>Likelihood : Impact :</p>	22/05/2017 still having challenges with services not complying with finance team's quarterly reporting

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
Swap Partial Audit Reports	SWAP0038	<p>Risk Description: SWAP Partial Assurance Audit Report - Risk of Care Provider Failure The business failure of a care provider results in vulnerable adults being left without a means of having their care and support needs met</p> <p>Cause: Report issued: 8 March 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> ◦ 1.3a Ensure a process is set in place for completing financial risk assessments of all care providers joining framework Agreed and we have since determined that this will be covered through spot-checking of a specific number of Framework providers per year. This will not be restricted to market risk providers only. <i>In Progress (70% complete)</i> ◦ 1.4a liaise with Finance Team to develop target date for commencing financial assessments of market risk care provider Agree to co-ordinate the approach with the Finance Team and as per 1.3a, this will be covered through spot-checking of a specific number of providers per year. It will not be restricted to market risk providers only. <i>In Progress (60% complete)</i> ◦ 1.5a Achieve full compliance with the agreed process for Care Provider Self Assessments Since the audit we have refined the information required from providers, and Business Support arrangements have improved. We will be moving to an annual review process but with quarterly reporting, hence the target date which will coincide with the next round of reviews. <i>In Progress (10% complete)</i> 	<p>Niki Shaw 05/12/2018 05/10/2018</p> <p>Niki Shaw 05/07/2018 05/10/2018</p> <p>Niki Shaw 02/11/2018 05/11/2018</p>	Likelihood : Impact : 0	Likelihood : Impact :	<p>05/06/2018 Action plan drawn up and being actively monitored</p> <p>SWAP Partial Assurance Audit Report - Risk of Care Provider Failure - Draft report</p>

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
Swap Partial Audit Reports	SWAP0044	<p>Risk Description: SWAP Partial Assurance Audit Report - Mental Health Social Care 2017-18</p> <p>Cause: Report issued: 11 April 2018</p> <p>Consequence:</p>		<p>◦ 2.1a Develop Care Planning practice guidance to support the Operational Procedure We recommend that the Strategic Manager - Mental Health and Safeguarding develops Care Planning practice guidance to support the Operational Procedure and provide Mental Health Social Workers with a clear and consistent approach to the production of Care Plans. This should include confirming the appropriate Care Plan format that should be provided to people receiving care, how the Care Plan should be recorded on RiO as well as timescales for care plan completion (2.2) and further guidance on the completion of reviews (2.3). Monitoring arrangements should also be considered to ensure these practices become embedded. <i>In Progress (10% complete)</i></p>	Carolyn Smith 18/06/2018	Likelihood : Impact : 0	Likelihood : Impact :	
				<p>◦ 2.2b Agree a timescale for the completion of Care Plans and where this is exceeded a justification is recorded. We recommend that the Strategic Manager – Mental Health and Safeguarding agrees a timescale for the completion of Care Plans and where this is exceeded a justification is recorded. This should form part of the planning guidance. <i>In Progress (10% complete)</i></p>	Carolyn Smith 18/06/2018 07/07/2018			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				<ul style="list-style-type: none"> o 2.3a Decide how SC reviews will be recorded on systems so they can be monitored separately from the reviews undertaken by SPT <p>I recommend that the Strategic Manager - Mental Health and Safeguarding decides how Social Care reviews should be recorded on systems so that they can be monitored separately from the reviews undertaken by Somerset Partnership Trust. The recording of all review information on AIS should be considered rather than just reviews for funded care. This should include the recording of the reason of why a review is not required, where appropriate. Once these decisions have been made the Operational Procedure should be updated with the new process and added to the checklist we have recommended to assist Mental Health Social Workers with the recording of information on RiO. <i>In Progress (10% complete)</i></p>	Carolyn Smith 18/06/2018			
- Swap Partial Audit Reports	<p>SWAP0024</p> <p>Risk Owner: Mike O'Dowd-Jones</p> <p>Next Risk Review Date: 29/08/2018</p>	<p>Risk Description: SWAP Partial Assurance Audit Report - Section 106 Agreements</p> <p>Cause:</p> <p>Consequence:</p>				<p>Likelihood : Impact :</p> <p>0</p>	<p>Likelihood : Impact :</p>	<p>29/05/2018 S106 policy still to be finalised and published Draft policies published on website for commuted sums Mastergov IT system implemented to provide better monitoring of s106 agreements, triggers and expiry dates. Effectiveness to be reviewed. Invoicing practice to be checked and reviewed.</p>

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
- Swap Partial Audit Reports	SWAP0009	<p>Risk Description: SWAP Partial Assurance Audit Report - SCC placement Financial Controls 16-17</p> <p>Cause:</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	23/10/2017 Reviewed 23/10/2017: CAHiscock: Amended placement processes and guidance documents in place, monthly placement meetings between commissioning and operations now taking place. Detailed update on progress going to Audit Committee on 23rd Nov.

Report Selection Criteria

Status Flag=ACTIVE - Business Unit Code=SWAP - ISNULL(Project Code)