

SWAP Partial Audit Recommendations Tracker Report

Appendix C

	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	SWAP0040	<p>Risk Description: SWAP Partial Assurance Audit Report - Risk of Care Provider Failure</p> <p>Cause: Report issued: 8 March 2018 Date presented to Audit Committee: 19/11/2018 Date of follow-up by SWAP: Q3 2018/19</p> <p>Consequence:</p>	<p>Likelihood :5 Impact :4</p> <p>20</p> <p>Red - V. High Risk</p>	<p>o 1.3a set in place process for completing financial risk assessments of all care providers joining the Framework</p> <p><i>In Progress (95% complete)</i></p>	<p>Niki Shaw 11/02/2019 31/01/2019</p>	<p>Likelihood : Impact :</p> <p>0</p>	<p>Likelihood :3 Impact :3</p> <p>9</p> <p>Yellow - Medium Risk</p>	<p>21/01/2019 Recent meeting with SWAP Auditors to plan and prepare for follow-up review. Due to take place end of January / early Feb with focus primarily on Self-Assessments and Financial assessment aspects</p>
- Swap Partial Audit Reports	SWAP0028	<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>		<p>o 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></p> <p>o 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></p>	<p>Ben Casson</p> <p>Ben Casson 05/06/2019</p>	<p>Likelihood : Impact :</p> <p>0</p>	<p>Likelihood : Impact :</p>	<p>05/11/2018</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	SWAP0049 Risk Owner: Dave Farrow Next Risk Review Date:	Risk Description: SWAP Partial Assurance Audit Report - Use of Part-time Timetables in Schools Cause: Report issued 21 May 2018 Presented to Audit Committee: 20/09/2018 Date of Follow-up audit: TBA Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	18/09/2018 Dave Farrow is attending Audit Committee on Thursday 20th September to update on this report. Actions are complete.
- Swap Partial Audit Reports	SWAP0057 Risk Owner: Dave Farrow Next Risk Review Date:	Risk Description: SWAP Partial Assurance Audit Report - Team Around the School 2018/19 - Final report 1.3 Cases are inappropriately referred to TAS. The effectiveness of TAS cannot be assessed. 1.4 SCC and schools may be unable to provide an adequate defence if accused of sharing personal information inappropriately. Cause: Report Issued 8 August 2018. Date presented to Audit Committee: 01/09/2018 Date of Follow-up by SWAP: 2019/20 Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	18/09/2018 1.3 - We will consider implementing recommended changes to the BVPT template available within the TAS toolkit and made available within Capita SIMS. BVPT training is available to schools if needed and we will promote this training but we expect it will take 3 school terms to reach full compliance. 1.4 - A decision or an approach will be made at the TAS Steering Group meeting on the 24th September based upon the review of information sharing agreements in place. Completion by 31st October 2019. Team Around the School 2018/19 - Final report

	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	SWAP0039	<p>Risk Description: SWAP Partial Assurance Audit Report - Adult Social Care New Operating Model Front Door</p> <p>Risk Owner: Pip Cannons</p> <p>Next Risk Review Date: 31/12/2018</p> <p>Cause: Report issued: 2 May 2018 Date presented to Audit Committee: 26/07/2018 Date of Follow-up by SWAP: Q4 2018/19</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	16/11/2018 We anticipate all actions identified within the SWAP Audit to have concluded/been successfully implemented by Dec 2018 update to Audit Committee. Additionally, an internal Adult Social Care scrutiny session of all SWAP Audits undertaken during the past 12 months will explore progress in this area on 23 November 2018. We have now completed the two key recommendations relating to establishing a standard process for feedback, and for reviewing staff resources within Somerset Direct and establishing a Operating Level Agreement setting out key principles and ways of working.

	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	SWAP0060 Risk Owner: Chris Squire Next Risk Review Date: 18/02/2019	Risk Description: SWAP Partial Assurance Audit report - Role of the Somerset Manager 2018-19 Cause: Date Report Issued: Date reported to Audit Committee: TBA Date of Follow-up by SWAP: TBA Consequence:		<ul style="list-style-type: none"> Ensures that a Management Leadership Training Framework is written and implemented <p>Agreed. There are several areas that we are already looking at, including:</p> <ul style="list-style-type: none"> A policy for mandatory training (e.g. the forthcoming LGA Budget Training for senior managers) and a project to look at what is covered and how it's tracked; The development of a leadership competencies framework for the whole council, and how this links into other HR tools, such as recruitment, induction, appraisal and performance management; The impact of the new People Strategy; A new management apprenticeship/ILM3, bespoke to SCC and run through SCIL <p><i>In Progress (70% complete)</i></p>	Chris Squire 18/02/2019 29/03/2019	Likelihood : Impact : 0	Likelihood : Impact :	17/12/2018 17122018: update approved Reviewed 17/12. Progress made with Leadership attributes framework, anticipated rollout 1st april with linked training framework. Team manager development programme also being developed.
- Swap Partial Audit Reports	SWAP0026 Risk Owner: Vicky Thomas Next Risk Review Date: 21/08/2017	Risk Description: SWAP Partial Assurance Audit Report - Education of Children Looked After in Care Cause: Report issued: 20 March 2017 Audit re-performed in 17/18 - partial (non opinion previously) Consequence:		<ul style="list-style-type: none"> 34374: social workers in the Child Looked After team complete the Promoting the Education of CLA training course <p>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.</p> <p><i>In Progress (10% complete)</i></p>	Jason Pincott 29/01/2019 28/01/2019	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."

	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	SWAP0058 Risk Owner: Claire Winter Next Risk Review Date: 03/12/2018	<p>Risk Description: SWAP partial Assurance Audit Report - Children's Direct Payments - Final Report</p> <p>Cause: Report Issued 8 March 2018 Date presented to Audit Committee: 19/11/2018 Date of Follow-up audit: Q3 2018/19</p> <p>Consequence:</p>		<ul style="list-style-type: none"> o 1.3a consider approving access to LCS for the Direct Payments Support Team 07012019: it was decided that no access to LCS was required for the Direct Payments Support Team. <i>In Progress (25% complete)</i> o 3.2a ensure that checks for appropriate expenditure paid through a direct payments account are resumed as soon as possible Currently we check anyone on annual returns, those who have a surplus in their DP account, new clients for their first return (RAG) and anyone with financial issues and ongoing non compliance. We do not have capacity to check anything else. As and when we resolve long term issues and free up capacity, I will ensure higher risk packages (large packages or complex packages) are audited and reported to the children's team. <i>In Progress (10% complete)</i> 	<p>Jackie Miles 01/04/2019</p> <p>Bernie Howard 20/02/2019</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
- Swap Partial Audit Reports	SWAP0061	<p>Risk Description: SWAP Partial Audit Recommendations - Contract Management of Children's Independent Placements 2017/18</p> <p>Risk Owner: Louise Palmer</p> <p>Next Risk Review Date: 07/04/2019</p> <p>Cause: Date Report Issued: 28/09/2018 Date presented to Audit Committee: 22nd November 2018 Date of Follow-up by SWAP:</p> <p>Consequence: Audit Opinion: Partial</p>		<p>o 1.1a Cost centres for independent residential and independent fostering are set up and used to record all relevant spend</p> <p><i>In Progress (10% complete)</i></p>	Adele McLean 07/01/2019	Likelihood : Impact : 0	Likelihood : Impact :	07/01/2019 Significant improvements have been made to contract management processes and effectiveness. A provider scorecard shows details of each residential and fostering provider's costs and performance. Residential and fostering providers are met at least annually, to discuss performance and cost. IPA reviews take place with the social worker, where outcomes are checked and refined. Spend in social care placements is now managed and reported from a single function, improving accuracy and providing a full understanding. Further work is required to bring education placements into the social care placements team, and thereby applying contract management improvements. IT solutions are being explored to identify costs per child, and to improve the IPA process. Contract management tools show that resources are not sufficient to provide comprehensive contract management, so capacity is prioritised for areas of high risk.

	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	SWAP0032 Risk Owner: Peter J Lewis Next Risk Review Date: 26/02/2019	Risk Description: SWAP Partial Assurance Audit Report - SCC Corporate Debt Management Cause: Consequence:				Likelihood : Impact : 0	Likelihood : Impact : 	26/11/2018 Follow Up audit in progress. Update of Income Code of Practice and report to Audit Committee agreed to follow this audit.
- Swap Partial Audit Reports	SWAP0047 Risk Owner: Rachel Ellins Next Risk Review Date: 07/02/2019	Risk Description: SWAP Partial Assurance Audit Report - Payroll Key Controls and IR35 2017-18 Cause: report issued: 17 May 2018 Date presented to Audit committee: 20/09/2018 Date of Follow-up by SWAP: Q3 2018/19 Consequence:				Likelihood : Impact : 0	Likelihood : Impact : 	21/01/2019 New action added following email confirmation that 5 of the 6 recommendations are signed off as complete by SWAP.

	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	<p>Risk Description: SWAP Partial Assurance Audit Report - Hardware Asset Management</p> <p>Risk Owner: Andrew Kennell</p> <p>Next Risk Review Date:</p> <p>Cause: Report issued: 30 November 2015 Date presented to Audit committee:</p> <p>Consequence:</p>		<p>o 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 (70% complete)</i></p>	<p>Andrew Kennell 01/05/2019 29/03/2019</p>	<p>Likelihood : Impact : 0</p>	<p>Likelihood : Impact :</p>	<p>26/11/2018 reassigned to Andrew Kennell</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	SWAP0017	<p>Risk Description: SWAP Partial Assurance Audit Report - ICT Healthcheck</p> <p>Cause:</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	<p>05/09/2018 1.1.1a - No progress, Head of ICT has left the organisation without a new strategy being put in place, work will continue during September to review our current strategy in line with impact of Financial Imperative proposals.</p> <p>1.1.2a - Software asset policy has been agreed, draft hardware policy will be reviewed by ICT management team and then presented to SLT by early October</p> <p>1.1.3a - Work in progress but anticipated that the deadline of Jan 19 will be achieved for complete of software licence review</p> <p>1.1.5a - this is part of a separate SWAP audit SWAP0046</p> <p>1.1.6 - Part of network resilience project which is ongoing during 18/19</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	SWAP0046 Risk Owner: Andrew Kennell Next Risk Review Date: 28/02/2019	Risk Description: SWAP Partial Assurance Audit Report - Payment Card Industry Data Security Standard Compliance Cause: Report issued: 21 December 2017 Date presented to Audit Committee: 28/02/2019 Date of Follow-Up audit by SWAP: Q2 2018/19 Consequence:		<ul style="list-style-type: none"> 1.1.3a Project plan is written & followed to ensure that an attestation date is set and achieved <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>14/01/2019: Strategic Commissioning Group have approved purchase of Adelante upgrade and move to cloud service. This provides cost avoidance for changes that would be need to make the County Hall on premises infrastructure. Once funding source is identified from a budget, order will be placed. Looking for implementation starting in April 2019 <i>In Progress (30% complete)</i></p>	Dave Littlewood 28/02/2019 30/04/2019	Likelihood : Impact : 0	Likelihood : Impact :	07/01/2019 Procurement approved at SCG, meeting scheduled for 10/1 to agree funding for ongoing revenue costs. Project will start Feb 19
- Swap Partial Audit Reports	SWAP0054 Risk Owner: Andrew Kennell Next Risk Review Date: 31/01/2019	Risk Description: SWAP Partial Assurance Audit report - SAP ICT Controls 2017-18 Cause: Report Issues: 6 June 2018 Date presented to Audit Committee: 31/01/2019 Date of Follow-up by SWAP: Q3 2018/19 Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	02/11/2018 New measures have been introduced around leavers and dormant accounts, I will review in the new year to check the issues have been resolved

	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	SWAP0020 Risk Owner: Claire Lovett Next Risk Review Date: 11/04/2019	<p>Risk Description: SWAP partial Assurance Audit Report - Structural Failure of School Buildings</p> <p>Cause: Report issued: 12 June 2015</p> <p>Consequence:</p>		<p>o 25724: Ensure that condition survey updates are performed annually at all schools.</p> <p>11/09/2017: School Condition surveys are undertaken by SSE for those Schools buying back services from SSE. Corporate Property are monitoring those Schools not buying back services from SSE and will request copies of up to date Condition Surveys.</p> <p>11/01/2019: We now have in place a system of annual reminders and follow-ups to ensure all schools provide a condition survey. Property officers wrote to schools at the end of October 2018 reminding them of the need to carry out a survey and send it in so we could include any high priority works under this year's schools condition programme. The letter went to the 10 schools who had not asked Support Services for Education to carry out a survey for them and we await confirmation of how many surveys remain outstanding. <i>In Progress (90% complete)</i></p>	Claire Lovett 07/04/2019 28/02/2019	Likelihood : Impact : 0	Likelihood : Impact :	<p>11/01/2019 We now have in place a system of annual reminders and follow-ups to ensure all schools provide a condition survey. Property officers wrote to schools at the end of October 2018 reminding them of the need to carry out a survey and send it in so we could include any high priority works under this year's schools condition programme. The letter went to the 10 schools who had not asked Support Services for Education to carry out a survey for them and we await confirmation of how many surveys remain outstanding.</p> <p>In addition, we are establishing a risk based approach to reviewing schools compliance which will be implemented in full following appointment to our corporate surveyor post and closer involvement with schools where particular risk factors are identified (such as Orlit-type construction) is also in place.</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	SWAP0059 Risk Owner: Claire Lovett Next Risk Review Date: 11/02/2019	Risk Description: SWAP Partial Assurance Audit Report - Strategic Asset Management. Final report Cause: Report Issues: 02 May 2018 Date presented to Audit Committee: date of Follow-up audit: Q3 2018/19 Consequence:		<ul style="list-style-type: none"> 2.1 Ensure review of project milestones & staff resources, take outcome to ASG/AMG & any corrective actions taken We recommend that the Head of Corporate Property ensures that a review of project milestones and staff resources is performed, the outcome taken to ASG / AMG; and any corrective actions are taken. <i>In Progress (90% complete)</i> 	Claire Lovett 30/04/2019 <i>30/04/2019</i>	Likelihood : Impact : 0	Likelihood : Impact :	11/01/2019 Follow up audit has now taken place and positive progress is noted with all actions either complete or in progress, save one where circumstances have moved on the action is not to be taken forward. The high risk items have been downgraded to medium risk. SWAP Partial Audit Report - Strategic Asset Management. Final report
- Swap Partial Audit Reports	SWAP0022 Risk Owner: Oliver Woodhams Next Risk Review Date: 04/02/2019	Risk Description: SWAP Partial Assurance Audit Report - Concessionary Fares Cause: Report Issued November 2015 Date presented to Audit Committee: 19/11/2018 Date of Follow-up by SWAP: Q4 2018/19 Consequence:		<ul style="list-style-type: none"> 30241: ensure that submissions made by bus operators are analysed on a periodic basis to ensure that any significant variances c Udate from email, 13/12/2018: 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. <i>In Progress (85% complete)</i> 	Oliver Woodhams 04/02/2019 <i>31/12/2018</i>	Likelihood : Impact : 0	Likelihood : Impact :	23/10/2018 Reviewed by Oliver Woodhams on 23/10/18 - actions are in train, discussions on quality of data for First Bus continue and the fixed concessionary deal is on hold until the data quality issues have been resolved.

	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	SWAP0025	Risk Description: SWAP Partial Assurance Audit Report - Impact Assessments Post Decision Making Cause: Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	22/05/2017 still having challenges with services not complying with finance team's quarterly reporting
- Swap Partial Audit Reports	SWAP0014	Risk Description: SWAP partial Assurance Audit Report - Software Asset Management Cause: Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	26/11/2018 26/11/2018: All actions complete. Await sign-off from SWAP

	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	SWAP0018 Risk Owner: Simon Clifford 2 Next Risk Review Date: 26/02/2019	Risk Description: SWAP Partial Assurance Audit Report - Benefits Realisation Management (ICT) Cause: Date of SWAP Follow-up: Q3 17/18 Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	26/11/2018 benefits realisation process reviewed and now accepted through senior management in ICT. New approach to budgeting has also improved understanding of benefits and support from C&P helping to deliver necessary savings.
- Swap Partial Audit Reports	SWAP0051 Risk Owner: Simon Clifford 2 Next Risk Review Date: 31/01/2019	Risk Description: SWAP Partial Assurance Audit Report - Follow-Up Audit Healthy Organisation (ICT) 1718 - SCC Cause: Report issued 25 May 2018 Consequence:		<ul style="list-style-type: none"> o 1.1.1a Consult with Senior Leadership Team to confirm the suit of policies that are going to make up the ICT Strategy 05092018 - All ICT policies have been reviewed and updated where necessary, results are published on the SCC Intranet. Discussions with new Director to take place with reference to the format of the Strategy. <p>14/01/2019: Policy suite reviewed and found to still meets the needs of the organisation. Policies reviewed and where required, responsibility handed over to the IG team for updates and review. DBS and GCSX policy documents updated in light of termination of PSN email service, HR are taking the policy to the Unions for sign off. <i>In Progress (80% complete)</i></p>	Dave Littlewood 28/02/2019 31/01/2019	Likelihood : Impact : 0	Likelihood : Impact :	17/12/2018 Latest report due to be released this week. I have gone through this with Lisa from SWAP and she is happy things are progressing. Will create a plan to close off the outstanding items once the report is released

	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"> ◦ 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 (60% complete)</i> ◦ 1.1.3a Ensure current software license review is completed with additional requirement for proof of entitlement to be understood 05092018 - as part of migration to WIN 10 software licenses have been reviewed. Corporate license purchased, allocated and monitored (use of) by Central ICT <i>In Progress (90% complete)</i> ◦ 1.1.5a Ensure that all attestations for PCI-DSS are completed 05092018 - there is a review to look at customer & merchant IDs, looking to consolidate this number and will then seek to provide attestation <i>In Progress (10% complete)</i> 	<p>Andrew Kennell 17/01/2019 29/03/2019</p> <p>Andrew Kennell 31/01/2019 31/01/2019</p> <p>Dave Littlewood 07/02/2019 05/04/2019</p>			
- Swap Partial Audit Reports	SWAP0056	<p>Risk Description: SWAP Partial Assurance Audit Report - Active Directory & User Administration 2017/18</p> <p>Cause: Report Issued 13 July 2018</p> <p>Consequence:</p>		<ul style="list-style-type: none"> ◦ 1.1 ICT (Ops) ensures Active Directory controls are in place to automatically disable account not used for 60 days <i>In Progress</i> 	<p>Andrew Kennell 17/03/2019</p>	<p>Likelihood : Impact :</p> <p style="text-align: center;">0</p>	<p>Likelihood : Impact :</p>	<p>08/10/2018 following audit significant change in approach brought in by managers including new resource. This has flagged there are difficulties but confidence is high these can be met and mitigated.</p> <p>SWAP Internal Partial Audit Recommendation</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
				<ul style="list-style-type: none"> <p>◦ 1.2 Instruct AD SME to reconcile all current staff/Council employees against Active Directory accounts. Once the previous control has been instigated, we recommend the Strategic Manager for ICT (Operations) instructs the AD SME to reconcile all current staff/Council employees against Active Directory accounts. All accounts that are not allied to a current staff member should be investigated and deleted. Any that are needing to be kept for operational purposes, should have relevant risk analysis performed and the mitigating controls that have been implemented recorded in a Privacy Impact assessment or appropriate other area. <i>In Progress</i></p> <p>◦ 1.2 All accounts that are not allied to a current staff member should be investigated and deleted. <i>In Progress (50% complete)</i></p> <p>◦ 1.2 Retained accounts need risk analysis, mitigating controls recorded in Privacy Impact Assessment or appropriate other area Management Response: Work has begun on this and a significant amount of dormant manually, now got an SME in place who will be delivering this. <i>In Progress (10% complete)</i></p> 	<p>Andrew Kennell 17/01/2019 31/01/2019</p> <p>Andrew Kennell 17/01/2019 31/01/2019</p> <p>Andrew Kennell 05/04/2019 05/04/2019</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
				<ul style="list-style-type: none"> o 1.4 Ensure all officers have had their AD & application access privileges reviewed & updated as necessary against current role Once the previous control has been instigated, we recommend the Strategic Manager for ICT (Operations) engages with all application owners/team managers to ensure that all officers have had their AD and application access privileges reviewed and updated as necessary against their current roles. <i>In Progress (40% complete)</i> 	Andrew Kennell 17/01/2019 31/01/2019			
- Swap Partial Audit Reports	SWAP0044 Risk Owner: Stephen Chandler Next Risk Review Date:	Risk Description: SWAP Partial Assurance Audit Report - Mental Health Social Care 2017-18 Cause: Report issued: 11 April 2018 Presented to Audit Committee: 26/07/2018 Date of Follow-up by SWAP: Q3 2018/19 Consequence:				Likelihood : Impact : 0	Likelihood : Impact :	05/09/2018 The service now records all MH reviews on our AIS system; these are monitored by Locality Managers through the ASC score card and at a strategic level through local teams, our monthly PIMs meetings and the review board SWAP Partial Assurance report - Mental Health Social Care 2017-18

	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	SWAP0024	<p>Risk Description: SWAP Partial Assurance Audit Report - Section 106 Agreements</p> <p>Cause: Audit: 2015/16 Date presented to Audit Committee: 04/2015 Date of Follow-up audit: Q2 2016/17 & Q3 2017/18</p> <p>Consequence:</p>		<p>◦ Recommendation 1.3. Guidance and standards for recording key decisions. 14/01/2019-A Jones: There is functionality to ensure that each file on the database has a Documents section to add electronic images and an Agreements section in which all agreement documents can be uploaded. Furthermore, there is a section where Planning Officers can record details of enquiries received into the team. A protocol for standardisation of document description names uploaded to the system has now been prepared and SWAP were satisfied that the Mastergov system has greatly enhanced functionality compared to the previous system. However, due to the bespoke nature of each legal agreement and development, it is not possible to make these fields mandatory for completion. Document Storage Protocols note written and issued to all MasterGov database users. Service Managers are responsible for ensuring that their team members abide by the document storage protocols. Reviews of data integrity using the Audit function in MasterGov now occur monthly to confirm quality of data entry (missing information, inaccurate entry and/or non-compliance with guidance). <i>In Progress (90% complete)</i></p>	<p>Alyn Jones 29/03/2019 29/03/2019</p>	<p>Likelihood : Impact : 0</p>	<p>Likelihood : Impact :</p>	<p>07/01/2019 Comprehensive CIL review paper presented to SLT and agreed in Dec 2018 with associated action plan. Update to Audit Committee is currently being prepared by Alyn Jones.</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>o Recommendation 1.5. Guidance and standards for recording highways and transport payment triggers, due dates and invoice dates.</p> <p>14/01/2019 - A Jones: Mastergov identified a series of fields in which the following information can be recorded:</p> <ul style="list-style-type: none"> • Original estimated payment triggers and due dates • Revised estimated payment trigger dates (and a comments field to explain the delay) • Actual invoice date <p>However, it has not been possible to make these fields mandatory for completion because not all legal agreements will require time-based triggers. By introducing further control, it could prevent details from being saved onto the database unless the fields hold information. If there is no information to be applied in these fields, it could encourage irrelevant information being input to allow the data to be saved, so having further mandatory fields could make the database ineffectual. A supplementary management instruction has therefore been sent by the Service Manager, Development Engineering to all relevant staff communicating that:</p> <ul style="list-style-type: none"> • All Clauses/Obligations within the Legal Agreement must be accurately entered into the Clauses and Obligations tabs within the Legal Agreements Module once the Agreement has been signed and sealed. • Trigger dates will be estimated if they are occupation based. Monthly reports will indicate what Obligations are due within the following month and if the trigger dates need to be revised then this must be done 	<p>Alyn Jones 29/03/2019 29/03/2019</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>before the Trigger Date is passed and the reason for the change will be recorded in the Comments field. For example, the Trigger date may need to be extended due to a slowdown on site of construction/sales.</p> <p>SWAP were satisfied that the Mastergov system has greatly enhanced functionality compared to Atrium. However, because of the bespoke nature of each legal agreement and development, it is not possible to make these fields mandatory for completion. Guidance documents and management instruction issued to all Database users on what must be recorded and how. Monthly meetings now take place with ECI Operations Director the purpose of which is to review the contributions schedule and monitor data quality. <i>In Progress (90% complete)</i></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>◦ Recommendation 1.12. Invoicing for highway and transport contributions. 14/01/2019 Review A Jones: A management instruction was issued to the team following the previous audit, that all S106 contributions should be formally requested from developers through a raised invoice on SAP. The Principal Development Liaison Officer confirmed that as this applies to a small group of officers and this is now standard procedure and is being complied with. The Mastergov system includes sufficient fields within the Cash screen to ensure that invoice numbers can be recorded in the system for audit trail purposes. However, it has not been possible to make these fields mandatory for completion because not all legal agreements will require invoices to be raised. A supplementary management instruction has therefore been sent by the Service Manager, Development Engineering to all relevant staff communicating that:</p> <ul style="list-style-type: none"> • Invoices will be raised for all financial elements within the Agreement. i.e. Superintendence fees, commuted sums and Contributions. • Copies of all invoices will be stored in the Agreements Tab of the Legal Agreement Module and the Invoice number will be recorded on the Cash Details record. <p>SWAP are satisfied that positive action has been taken but have assessed the recommendation as being in progress, to make provision for further audit sample testing to fully verify the effectiveness of these actions. This will include a review of whether invoices conform to an agreed</p>	<p>Alyn Jones 29/03/2019 29/03/2019</p>			

	Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date <i>Target Date</i>	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
				format for description details, to ensure that payments can be identified through SAP. All financial elements of Legal Agreements are now invoiced for. Copies of the invoices are kept on the database file and the invoice number recorded against the payment <i>In Progress (90% 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 Recommendation 1.13. Periodic reports of development schemes with commenced S106 contributions 14/01/2019 review A Jones: Mastergov is now implemented and has a manager's dashboard bolt-on, which will allow managers to quickly and accurately review up to date information on standard reports without having to access the full system. Periodic reports can also be created and produced automatically in the new system. An action was agreed for the Principal Development Infrastructure Officer to establish what data will be required in preparation for Mastergov implementation, as specifications for the reports needed to be written so that they can be created within the report builder. The ECI Operations Director has instructed that reports are to be prepared and issued at a monthly meeting whereby contributions, data quality and exceptions are reviewed and signed off. The report will contain the following information;</p> <ul style="list-style-type: none"> • Contributions expected within the next month and any changes to expected due dates. • Expiry dates that fall within the next 6 to 12 months for contributions received • Review of mandatory and non-mandatory field information • Exceptions reports (to consider those contributions likely to be out of tolerance within the Agreements) and to record any decisions made. These decisions will be recorded within the Mastergov software. • We have therefore assessed the recommendation for Infrastructure Programmes as in progress. 	<p>Alyn Jones 29/03/2019 29/03/2019</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
				<i>In Progress (90% complete)</i>				
- Swap Partial Audit Reports	SWAP0009	<p>Risk Description: SWAP Partial Assurance Audit Report - SCC placement Financial Controls 16-17</p> <p>Risk Owner: Philippa Granthier</p> <p>Next Risk Review Date: 31/01/2019</p> <p>Cause: Date presented to Audit Committee: 23/11/2017 Date of audit follow-up: Q1 17/18 & Q1 18/19</p> <p>Consequence:</p>				Likelihood : Impact : 0	Likelihood : Impact :	21/08/2018 21/8/18: SWAP to carry out follow-up audit. Scope has been agreed, awaiting start date.

Report Selection Criteria

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