

Monitoring of Partial Assurance Priority Findings - 2018/19 Audit Plan

**compiled: 05/09/2019
Audit Committee - 19/09/2019
Appendix B**

	Risk Ref	Audit Title	History	Follow-up	Owner	JCAD Review Date	Date presented to Audit Committee	Update 2018/19
	SWAP0001	Adults - Direct Payments	Report Issued: 2015/16 Re-Audit: 2019/20	Follow-up: 2016/17 & 2017/18 Follow-up 19/20.	James Sangster	04/12/2019	01/02/2015	
	SWAP0009	SCC Children's Independent placement Financial Controls 16-17 - Audit	Report Issued: 2016/17	Date of audit follow-up: Q1 17/18 & Q1 18/19 - in progress Awaiting final response from SWAP: scheduled for Q4 2019	Julian Wooster	31/03/2020	23/11/2017	
	SWAP0023	Passenger Transport - Audit	Original Report Issued: 2015 Full Re-Audit commencing: 2019/20	Follow-ups: Two completed with work outstanding Follow-up Q1 19/20.	John Perrett	16/10/2019	Oct-15	
	SWAP0026	Education of Children Looked After in Care - Audit	Report issued: 20 March 2017 Audit re-performed in 2017/18 - partial (non opinion previously)	Follow-up: 18/19, not all recommendations in place and referred to Claire Winter.	Claire Winter	30/09/2019		
	SWAP0032	SCC Corporate Debt Management - Audit	Report Issued: 2016/17 September 2018 Re-test of Audit: Q3 2018	Follow-up: 2017 & 2018 - still partial Final report 20/03/2019 Further audit scheduled in 19/20.	Sheila Collins	11/09/2019		
	SWAP0044	Mental Health Social Care 2017-18 - Audit	Report issued: 11 April 2018	Date of Follow-up by SWAP: Q3 2018/19 - deferred until 2019/20 due to system changes	Stephen Chandler	30/09/2019	26/07/2018	
	SWAP0045	Data Subject Access Requests - Audit	Report issued: 25 August 2017 date presented to Audit Committee: 27/06/2017 Date of Follow-up by SWAP: Q1 2018/19 - deferred until 2019/20 by Officer request	Increase in referrals to Information Commissioners Office and further risk of penalties. Reaudit in 19/20	Rebecca Martin	26/09/2019		
JCAD Review Due	SWAP0046	Payment Card Industry Data Security Standard Compliance - Audit	Report issued: 21 December 2017	Date of Follow-Up audit by SWAP: Q2 2018/19 - still not compliant Will be part of the Healthy Organisation follow-up 2019	Andrew Kennell	30/08/2019		1 recommendation overdue review
	SWAP0054	SAP ICT Controls 2017-18 - Audit	Report Issues: 6 June 2018	Date of Follow-up by SWAP: 2019/20	Andrew Kennell	28/06/2019		
	SWAP0058	Children's Direct Payments - Final Report - Audit	Original Audit: 2017 Report Issued 8 March 2018 & 25th March 2019	Date of Follow-up: 2019/20	Claire Winter	30/09/2019	19/11/2018	
	SWAP0060	Role of the Somerset Manager 2018-19 - Audit	Date Report Issued: 14/05/2018	Follow-up: 2019/20	Chris Squire	06/09/2019	20/06/2019	

	Risk Ref	Audit Title	History	Follow-up	Owner	JCAD Review Date	Date presented to Audit Committee	Update 2018/19
	SWAP0061	Contract Management of Children's Independent Placements 2017/18 - Audit	Date Report Issued: 28/09/2018	Follow-up: 2019/20	Louise Palmer	02/11/2019	22/11/2018	
	SWAP0062	Adults - Financial Management of Care Placements 2017/18. At request of service scope then extended: Adults Placements - Financial & Operational Controls 2018/19 - Final report - Audit	Report issued: 30 January 2019. Financial controls only were partial.	Date of follow-up by SWAP: 2019/20 Follow-up: 2018	James Sangster	04/12/2019	03/05/2019	
	SWAP0063	Health and Safety - Premises Management of Corporate Properties 2018/19 - Final report - Audit	Original audit 16/17. Follow-up 17/18 reviewed implementation of corporate recommendations and results were satisfactory. 18/19 reviewed individual establishments and partial opinion again awarded.	Follow-up: 2019/20	Claire Lovett	28/11/2019	28/11/2019	3 recommendations overdue review
	SWAP0064	Better Care Fund - Audit	Report issued: 2016/17 plan Final Report issued: 25/9/2017	Report Follow Up: 2019/20	Tim Baverstock	31/10/2019		
	SWAP0065	Dillington House Financial Controls Review, Final Report - Audit	Issue Date: 27/07/2017. Follow-up 2018/19 - recommendations in progress	Report Follow Up: 2019/20 to focus on Business Planning.	Ian Rowswell	31/03/2020		
JCAD Review Due	SWAP0066	Lone Working Arrangements - Final Audit Report	Report Issued: 28 May 2019 Presented to Audit Committee:	Follow-up report: Q1 2020/21 Report Closed:	Chris Squire	26/08/2019		
	SWAP0067	Corporate Property Maintenance - Schools 2018/19. Final Report	Original Report Issued: 12 June 2015. - Full audit in 2018/19 plan Report issued: 30 May 2019 Presented to Audit Committee: This audit supersedes the 2015 audit - Structural Failure of School Buildings (SWAP0020)	Follow-up: 2015/16 most recommendations still in progress - Further follow-up delayed to allow embedding of contract Date of Follow-up by SWAP:	John Cooper	30/10/2019		
	SWAP0068	Risk Management	Report Issued: 31/07/2019	Follow-up:	Pam Pursley	04/11/2019		
	SWAP0069	Governance of Premises Health & Safety 2018/19 - Final Report	Report issued: 13/08/2019		Graham Holmes	05/12/2019		