

Risk Ref	Audit Title	History	Follow-up	Owner	JCAD Review Date	Date presented to Audit Committee	Comments/additional information
SWAP0001*	Adults - Direct Payments	Report Issued: 2015/16 Re-Audit: 2019/20	Follow-up: 2016/17 & 2017/18 Follow-up 19/20.	James Sangster	13/05/2019	01/02/2015	Audit committee may like to request a verbal update at a future committee meeting
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 - Complete 29/5/19: Most recommendations still in progress Full audit scheduled for 2019/20	Julian Wooster	03/07/2019	23/11/2017	Audit committee may like to request a verbal update at a future committee meeting
SWAP0014*	Software Asset Management - Audit	Date of Issue: 2014/15	Follow-up: 2016/17 & 2017/18 & Healthy Organisation 2018/19 Q1 2019/20 plan	Andrew Kennell	28/06/2019		Audit committee may like to request a verbal update at a future committee meeting
SWAP0015*	Hardware Asset Management - Audit	Report issued: 30 November 2015	Follow-up: 2016/17 & 2017/18 & Healthy Organisation 2018/19 Follow-up: Q1 2019/20	Andrew Kennell	13/09/2019		Audit committee may like to request a verbal update at a future committee meeting
SWAP0018	Benefits Realisation Management (ICT) - Audit	Report issued:	Follow-up: Q3 17/18. Issues wider than ICT, aim to cover as part of non core projects audit. Identification of appropriate audits proved difficult during 18/19. Follow-up 19/20.	Simon Clifford 2	25/05/2019		
SWAP0020*	Structural Failure of School Buildings - Audit	Report issued: 12 June 2015	1. Follow-up: 2015/16 most recommendations still in progress 2. Further follow-up delayed to allow embedding of new contract. Full audit in 2018/19 plan and partial assurance given	Claire Lovett	16/07/2019		Audit committee may like to request a verbal update at a future committee meeting
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	13/05/2019	00/10/2015	Audit committee may like to request a verbal update at a future committee meeting
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	31/05/2019		Audit committee may like to request a verbal update at a future committee meeting
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	11/06/2019		Audit committee may like to request a verbal update at a future committee meeting
SWAP0040	Risk of Care Provider Failure - Audit	Report issued: 8 March 2018 Date of follow-up by SWAP: Q3 2018/19 Draft issued: awaiting reply		Niki Shaw	15/05/2019	19/11/2018	
SWAP0042	Medium Term Financial Plan - Commissioning Driven Approach - Audit	Report issued: 30 April 2018 Full Audit 2018/19 as processes have changed:	Up-dated audit report issued in June 2019 reviewing the changed processes. Reasonable assurance given	Sheila Collins	31/07/2019		Likely not relevant in view of recent 'reasonable assurance' judgement.
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	29/06/2019	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. Re-audit in 19/20	Rebecca Martin	13/05/2019		
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	30/04/2019		Audit committee may like to request a verbal update at a future committee meeting
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		
SWAP0056	Active Directory & User Administration 2017/18 - Audit	Report Issued 13 July 2018	Date of Follow-up by SWAP: 2019/20	Simon Clifford 2	11/08/2019		1 recommendation overdue review by Andrew Kennell
SWAP0057	Team Around the School 2018/19 - Final report - Audit	Report Issued 8 August 2018.	Date of Follow-up: 2019/20	Dave Farrow		01/09/2018	

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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	1 recommendation overdue review by Bernie Howard
SWAP0059	Strategic Asset Management. Final report - Audit	Report Issues: 02 May 2018	Date of Follow-up audit: Q3 2018/19 Follow-up as part of the Healthy Organisation Review 2019	Claire Lovett	14/05/2019	Jan-19	
SWAP0060	Role of the Somerset Manager 2018-19 - Audit	Date Report Issued: 14/05/2018	Follow-up: 2019/20	Chris Squire	24/06/2019	20/06/2019	
SWAP0061	Contract Management of Children's Independent Placements 2017/18 - Audit	Date Report Issued: 28/09/2018	Follow-up: 2019/20	Louise Palmer	08/07/2019	22/11/2018	
SWAP 0029 then 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	06/05/2019	21/09/2017	4 recommendation overdue review by Ben Casson & James Sangster
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	31/07/2019	20/06/2019	
SWAP0064	Better Care Fund - Audit	Report issued: 2016/17 plan Final Report issued: 25/9/2017	Report Follow Up: 2019/20	Tim Baverstock	20/05/2019		4 recommendations overdue review by James Sangster, Sheila Collins, Tim Baverstock
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	20/05/2019		
SWAP0066 - NEW	Lone Working Arrangements - final Report	Report Issued: 28 May 2019	Report Follow-up: Q1 2020/21	Chris Squire	26/08/2019		