

Appendix 1 – Published Reports

<b>Report Ref</b>	<b>Report Subject</b>	<b>Report Conclusion</b>	<b>Risk Category</b>
R60	Ynysmaerdy Primary School	Generally good controls were found to be in place and the school is complying with the current DBS guidance. Recommendations were made in relation to completion of official orders, fire warden training and emergency lighting checks.	2
R61	Bank Reconciliation	Good controls were found to be in place and no recommendations were made. The risk rating of 2 is applied as a system failure would pose a significant risk to the Authority.	2
R62	Cefn Saeson Comprehensive School	Generally good controls were found to be in place with recommendations made in relation to pre-employment checks, driver declaration forms, petty cash and school meals income.	2
R63	Deprivation of Liberty Safeguards	A verbal report will be provided at the meeting.	4
R64	NNDR (National Non-Domestic Rates) 15/16	Good controls were found to be in place in all areas and no recommendations were made.	1
R65	Tywyn Primary School	Generally good controls were found to be in place and the school is complying with current DBS guidance. Recommendations were made in relation to timeliness of recording personnel changes, ICT agreement forms and completion of official orders.	2

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R66	Unofficial Funds – Schools merging to form Ysgol Bae Baglan	The schools had all considered what they intended to use the unofficial funds for prior to closing the accounts. Advice was given in relation to timescales and any surplus balances.	1
R67	Ysgol Gyfun Ystalyfera	A verbal report will be given at the meeting.	3
R68	Housing Benefits – Key Controls 15/16	Good controls were in place in the majority of areas and recommendations were made in relation to the recovery of housing benefit overpayments.	2
<b>16/17</b>			
R1	Payroll Key Controls 15/16	Good controls were found to be in place and the recommendations made related to the HR function.	2
R2	Council Tax 15/16	Good controls were found to be in place in all areas and no recommendations were made.	1
R3	YGG Blaendulais	Generally good controls were found to be in place. A recommendation was made in relation to DBS portability forms as the school received unclear advice from HR.	2
R4	Support & Resettlement Service	A verbal report will be provided at the meeting.	3

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Report Ref	Report Subject	Report Conclusion	Risk Category
R5	POVA (Protection of Vulnerable Adults)	Welsh Government guidance is being complied with. The issues raised during the audit were as a result of capacity issues and recommendations were made to address this issue.	2
R6	Wauanceirch Primary School	Generally good controls were found to be in place. The school is not complying with DBS guidance in relation to portability forms being completed when staff take on an additional role within the school or change jobs within the school.	2
R7	DBS Sample Checks	All employees sampled had the correct DBS	1
R8	Officers' Interests	All Chief Officers had completed the required declaration of interest and had completed the required returns in relation to offers of gifts and hospitality. Only 1 Accountable Manager had not completed the required declaration of interest, this has now been done, and all had completed the required returns in relation to offers of gifts and hospitality.	2

**Key:**

Category 1 – Service risk assessed as low.

Category 2 – Service risk will be assessed as low when the recommendations are implemented.

Category 3 – There are significant risks that Audit Committee needs to be aware of.

Category 4 – Immediate action is required to reduce the level of risk

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### **2016/17 Risk Categories**

Category 1 – testing found good controls to be in place

Category 2 – testing found some controls that need enhancing which will be achieved by the implementation of the recommendations

Category 3 – testing revealed a number of areas where improvements in controls are required. A verbal update will be provided

Category 4 – testing revealed areas of concern, the Head of Service will provide a written response to the audit report for consideration by Members of Audit Committee

Category 5 – testing revealed areas of significant concern. The Head of Service and/or Service Manager will attend audit committee