

Appendix 1 – Published Reports

Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R22	Blaengwrach Primary School – Head of Transformation	Two members of staff did not have a DBS portability form completed in relation to additional duties being undertaken at the school. Other recommendations made were in relation to official orders and the school unofficial fund.	2
R23	St Joseph’s Catholic Infants – Head of Transformation	Good internal controls were found to be in place.	1
R24	Central Primary School – Head of Transformation	Generally good controls were found to be in place and recommendations were made in relation to travel & subsistence, payment of invoices and the school’s unofficial fund.	2
R25	Petty Cash Regular Checks – Cross Directorate	Good controls were found to be in place for the accounts sampled.	1
R26	Special Investigation	Private Item (Exempt Under Paragraph 14)	N/A
R27	Road Safety – Head of Engineering & Transport	Good controls were found to be in place in relation to all areas administered by the Road Safety Team.	1

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R28	Vision Impaired West Glamorgan – Director of Finance & Corporate Services	The accounts presented provided a true and fair view of the financial position of the charity.	N/A
R29	Special Investigation	Private Item (Exempt Under Paragraph 14)	N/A
R30	YGG Pontardawe – Head of Transformation	Recommendations were made in relation to the timeliness of updating the HR system, reclaiming of VAT and school dinner money debt.	2
R31	Cwmafan Primary School – Head of Transformation	A DBS portability form had not been completed in relation to one staff member who had changed posts within the school, recommendations were made in relation to school dinner money debt and driver declarations.	2
R32	Gnoll Primary School – Head of Transformation	A DBS portability form had not been completed in respect of additional duties being undertaken by a member of staff. Recommendations were made in relation to Declarations of Interest Forms being completed by Governors and the information which should be retained in employee files.	2
R33	Escalating Concerns Protocol – Head of Adult	Generally good controls were found to be in place, however it is the way in which information is stored which could lead to issues at a future date if the Council was to be challenged	2

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	Services	over decisions taken.	
R34	Subscription Services – Cross Directorate	A number of service areas were found to have subscribed to services from which they would appear to receive little value.	2
R35	Safeguarding – DBS Checks Taxi Drivers & Escorts	All of the taxi drivers and escorts sampled had the appropriate level of DBS disclosure and robust procedures are in place for the control of DBS expiry dates.	2
R36	Dyffryn School	Generally good controls were found to be in place with recommendation's made in relation to driver declaration forms, travel & subsistence claims and purchasing cards	2
R38	Corporate Risk Register	The Council's Risk Management Policy is being complied with and the mitigating actions for the risks review are being undertaken.	2

**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

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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