

Appendix 1 – Published Reports

Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R37	Private Item		4
R39	School Passenger Transport DBS Procedures Head of Engineering & Transport	All taxi drivers and escorts sampled had the appropriate DBS disclosure in place. Recommendations were made which will enhance the ad hoc inspections undertaken.	2
R40	Registrars Service Head of Legal Services	Generally good controls were in place and recommendations were made in relation to income reconciliation and compliance with the Authority's Driving at Work Policy	2
R41	Private Item		
R42	Ysgol Bae Baglan – DBS Sample Check Head of Transformation	All staff in the sample tested had the appropriate DBS disclosure in place.	1
R43	St Joseph's Catholic Juniors Head of Transformation	Two members of staff did not have the appropriate DBS portability form in place (this has now been done). Recommendations were made in relation to ordering and payment of goods and services and school meal debt.	2

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R44	Creunant Primary School Head of Transformation	All staff tested had the required DBS disclosure on file. Recommendations were made in relation to reclaiming VAT on purchases and ICT agreements.	2
R45	Alltwen Primary School Head of Transformation	All staff tested had the required DBS disclosure on file. Recommendations were made in relation to compliance with the Authority's Driving at Work Policy and the ordering and payment of goods.	1
R46	Purchasing Cards – Environment Director of Environment	Robust controls are in place.	1
R47	Private Item		3
R48	Blaenbaglan Primary School Head of Transformation	All staff tested had the required DBS disclosure on file. Recommendations were made in relation to school meal debt and operation of the mini-bus. All recommendations were implemented immediately.	2
R49	DBS Sample Checks 2016/17 Cross Directorate	All new starters tested had the required DBS disclosure on file.	1

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R50	Llansawel Primary School Head of Transformation	All staff tested had the required DBS disclosure in place. Recommendations were made in relation to school dinner money debt, ICT agreements and health & safety.	2
R51	Hillside Secure Centre Director of Social Services, Health & Housing	Excellent controls were found to be in place in relation to the financial management of the centre	1
R52	Private Item		

**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

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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