

Appendix 1 – Published Reports

Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R23	Travel & Subsistence Claims Social Services Health & Housing. Head of Social Work Services & Head of Commissioning & Support Services	This report was issued a best practice guide for accountable managers in Social Services, Health & Housing .	N/A Issued as best practice guide
R24	IR35 Legislation & Employment Status Assessments Head of Financial Services	This report was issued as guidance for accountable managers following work undertaken by Internal Audit.	Issued as guidance
R25	Private Item		
R26	Private Item		

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R27	School Clothing Grant	This audit was undertaken to ensure compliance with Welsh Government grant conditions and covered the three preceding financial years. All grant conditions were fully met and the grant administration was of a high standard. A copy of the Audit Report has been forwarded to Welsh Government.	1
R28	Tonnau Primary Community School Head of Transformation & Head of Participation	Generally good controls were found to be in place. However a DBS portability form had not been completed when a teaching assistant took on additional duties as a supervisory assistant from 1 st September 16.	2
R29	Travel & Subsistence Claims Finance & Corporate Services Head of Financial Services	Good controls were found to be in place and recommendations were made in relation to the need for fuel receipts to be provided with claims and the retention of driver documentation.	2
R30	Trade Waste	Good controls were found to be in place and recommendations made related to the need for a system to be put in place in relation to periodic medicals for driver and income maximisation.	2

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R31	Procurement Cards Social Services, Health & Housing Head of Social Work Services & Head of Commissioning & Support Services	Goods purchased via procurement cards were found to be appropriate for the service involved and good controls were in place with regard to the purchase card limits and control and secure storage of the cards. Recommendations made related to the timeliness of authorisation of purchases made.	2
R32	Coed Hirwaun Primary School Head of Participation & Head of Transformation	Generally good controls were found to be in place. However a DBS portability form had not been completed when a teaching assistant (level 3) took on additional duties as a supervisory assistant from 8 th May 17.	2
R33	Subsistence Payments – Cross Directorate	Generally good controls were found to be in place in most instances and the recommendations made were in relation to staff making individual claims rather than an amalgamated claim if the same event was attended, rates in excess of the policy being approved and the need for parking tickets to be retained to ensure compliance with VAT regulations.	2
R34	Skills & Training Unit	Good controls were found to be in place and only minor recommendations made which were implemented during the	1

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	Head of Participation	course of the audit.	

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