

Appendix 1 – Published Reports

Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R5	Bank Reconciliation (2nd half 2017/18) Head of Finance	Good controls were found to be in place and no recommendations were made. A risk rating of 2 was given as the impact of a systems failure would be significant.	2
R6	Private Item		2
R7	Parking Services 2018 Head of Engineering & Transport	On the whole good controls were found to be in place. Recommendations made related to making better use of the IT system available to the service.	2
R8	Settlement Agreements Chief Executive	13 settlement agreements were tested. The issues identified were in relation to documentation storage and the timing of a business case approval in relation to 1 agreement.	2
R9	Private Item		N/A
R10	Private Item		N/A
R11	St Joseph's Catholic Primary	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to	2

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	School Head of Participation	Governors. Generally good controls were found to be in place in other areas.	
R12	Melin Primary School Head of Participation	The school was found to not be complying fully with DBS guidance as in one instance an emergency employment form had not been completed when an employee commenced duties (Access Managed Services employee). Generally good controls were found to be in place in other areas.	2
R13	Baglan Primary School Head of Participation	For the sample of employees tested the school is complying with DBS guidance and generally good controls were found to be in place.	2
R14	Sandfields Primary School Head of Participation	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to Governors. Generally good controls were found to be in place in other areas.	2
R15	YGG Castell Nedd Head of Participation	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to Governors. Generally good controls were found to be in place in other areas.	2
R16	Private Item		

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R17	Officers' Interests Chief Executive	A small number of returns had not been completed by the time of the audit. Other than this good controls were found to be in place and implementation of the recommendations will address any issues identified.	2
R18	Primary School Meal Income Check Head of Participation	All school meal income collected during the period 02/10/2017 – 17/11/2017 could be accounted for and was banked intact.	1
R19	Private Item		
R20	Abbey View Complex Needs Service Head of Commissioning, Support & Direct Services	Generally good controls were found to be in place and the recommendations made related to care plan monitoring and completion of driver declaration forms.	2

Risk Categories

Category 1 – testing found good controls to be in place

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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