

Fighting Fraud Checklist for Governance

Protecting the public purse 2013

November 2013

| General | Yes | No |
|---|-----|----|
| 1. Do we have a zero tolerance policy towards fraud? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 2. Do we have the right approach, and effective counter-fraud strategies, policies and plans? Have we aligned our strategy with <i>Fighting Fraud Locally</i> ? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 3. Do we have dedicated counter-fraud staff? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 4. Do counter-fraud staff review all the work of our organisation? | | ✓ |
| Previous action | | |
| 2013 Update | | |
| 5. Does a councillor have portfolio responsibility for fighting fraud across the council? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 6. Do we receive regular reports on how well we are tackling fraud risks, carrying out plans and delivering outcomes? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 7. Have we assessed our management of counter-fraud work against good practice? | ✓ | |
| Previous action | | |
| 2013 Update | | |

| General | Yes | No |
|--|-----|----|
| 8. Do we raise awareness of fraud risks with: | | |
| ■ new staff (including agency staff); | ✓ | |
| ■ existing staff; | ✓ | |
| ■ elected members; and | ✓ | |
| ■ our contractors? | | ✓ |
| Previous action | | |
| 2013 Update | | |
| 9. Do we work well with national, regional and local networks and partnerships to ensure we know about current fraud risks and issues? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 10. Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 11. Do we identify areas where our internal controls may not be performing as well as intended? How quickly do we then take action? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 12. Do we maximise the benefit of our participation in the Audit Commission National Fraud Initiative and receive reports on our outcomes? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 13. Do we have arrangements in place that encourage our staff to raise their concerns about money laundering? | ✓ | |
| Previous action | | |
| 2013 Update | | |

| General | | Yes | No |
|--|--|-----|----|
| 14. Do we have effective arrangements for: | | | |
| ■ reporting fraud?; and | | ✓ | |
| ■ recording fraud? | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |
| 15. Do we have effective whistle-blowing arrangements? In particular are staff: | | | |
| ■ aware of our whistle-blowing arrangements? | | ✓ | |
| ■ have confidence in the confidentiality of those arrangements? | | ✓ | |
| ■ confident that any concerns raised will be addressed? | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |
| 16. Do we have effective fidelity insurance arrangements? | | | |
| | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |
| Fighting fraud with reduced resources | | Yes | No |
| 17. Have we reassessed our fraud risks since the change in the financial climate? | | | |
| | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |
| 18. Have we amended our counter-fraud action plan as a result? | | | |
| | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |
| 19. Have we reallocated staff as a result? | | | |
| | | ✓ | |
| Previous action | | | |
| 2013 Update | | | |

| Current risks and issues | Yes | No |
|---|-----|----|
| Housing tenancy | | |
| 20. Do we take proper action to ensure that we only allocate social housing to those who are eligible? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 21. Do we take proper action to ensure that social housing is occupied by those to whom it is allocated? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| Procurement | | |
| 22. Are we satisfied our procurement controls are working as intended? | ✓ | |
| Previous action | | |
| 2013 Update | | |
| 23. Have we reviewed our contract letting procedures since the investigations by the Office of Fair Trading into cartels, and compared them with best practice? | | ✓ |
| Previous action | | |
| 2013 Update | | |
| Recruitment | | |
| 24. Are we satisfied our recruitment procedures: | | |
| ■ prevent us employing people working under false identities; | ✓ | |
| ■ confirm employment references effectively; | ✓ | |
| ■ ensure applicants are eligible to work in the UK; and | ✓ | |
| ■ require agencies supplying us with staff to undertake the checks that we require? | ✓ | |
| Previous action | | |
| 2013 Update | | |

Current risks and issues

Yes No

Personal budgets

25. Where we are expanding the use of personal budgets for adult social care, in particular direct payments, have we introduced proper safeguarding proportionate to risk and in line with recommended good practice?



Previous action

2013 Update

26. Have we updated our whistle-blowing arrangements, for both staff and citizens, so that they may raise concerns about the financial abuse of personal budgets?



Previous action

2013 Update

Council tax discount

27. Do we take proper action to ensure that we only award discounts and allowances to those who are eligible?



Previous action

2013 Update

Housing benefit

28. When we tackle housing benefit fraud do we make full use of:

- National Fraud Initiative;
- Department for Work and Pensions Housing Benefit matching service;
- internal data matching; and
- private sector data matching?



Previous action

2013 Update

| Emerging fraud risks | Yes | No |
|---|-----|----|
| 29. Do we have appropriate and proportionate defences against emerging fraud risks: | | |
| ■ business rates; | ✓ | |
| ■ Right to Buy; | ✓ | |
| ■ Social Fund and Local Welfare Assistance; | ✓ | |
| ■ council tax reduction; | ✓ | |
| ■ schools; and | ✓ | |
| ■ grants? | ✓ | |
| Previous action | | |
| 2013 Update | | |

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