

# 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?	<input type="radio"/>	<input type="radio"/>
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> ?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
3. Do we have dedicated counter-fraud staff?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
4. Do counter-fraud staff review all the work of our organisation?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
5. Does a councillor have portfolio responsibility for fighting fraud across the council?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
6. Do we receive regular reports on how well we are tackling fraud risks, carrying out plans and delivering outcomes?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
7. Have we assessed our management of counter-fraud work against good practice?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		

General	Yes	No
<p><b>8. Do we raise awareness of fraud risks with:</b></p> <ul style="list-style-type: none"> <li>■ new staff (including agency staff);</li> <li>■ existing staff;</li> <li>■ elected members; and</li> <li>■ our contractors?</li> </ul>	<input type="radio"/>  <input type="radio"/>  <input type="radio"/>  <input type="radio"/>	<input type="radio"/>  <input type="radio"/>  <input type="radio"/>  <input type="radio"/>
Previous action		
2013 Update		
<p><b>9. Do we work well with national, regional and local networks and partnerships to ensure we know about current fraud risks and issues?</b></p>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<p><b>10. Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters?</b></p>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<p><b>11. Do we identify areas where our internal controls may not be performing as well as intended? How quickly do we then take action?</b></p>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<p><b>12. Do we maximise the benefit of our participation in the Audit Commission National Fraud Initiative and receive reports on our outcomes?</b></p>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<p><b>13. Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?</b></p>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		

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

Current risks and issues	Yes	No
<b>Housing tenancy</b>		
<b>20. Do we take proper action to ensure that we only allocate social housing to those who are eligible?</b>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<b>21. Do we take proper action to ensure that social housing is occupied by those to whom it is allocated?</b>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<b>Procurement</b>		
<b>22. Are we satisfied our procurement controls are working as intended?</b>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<b>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?</b>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
<b>Recruitment</b>		
<b>24. Are we satisfied our recruitment procedures:</b> <ul style="list-style-type: none"> <li data-bbox="272 1368 1225 1447">■ prevent us employing people working under false identities;</li> <li data-bbox="272 1480 1225 1529">■ confirm employment references effectively;</li> <li data-bbox="272 1563 1225 1612">■ ensure applicants are eligible to work in the UK; and</li> <li data-bbox="272 1615 1225 1682">■ require agencies supplying us with staff to undertake the checks that we require?</li> </ul>	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		

Current risks and issues	Yes	No	
<b>Personal budgets</b>			
<b>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?</b>	<input type="radio"/>	<input type="radio"/>	
Previous action			
2013 Update			
<b>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?</b>	<input type="radio"/>	<input type="radio"/>	
Previous action			
2013 Update			
<b>Council tax discount</b>			
<b>27. Do we take proper action to ensure that we only award discounts and allowances to those who are eligible?</b>	<input type="radio"/>	<input type="radio"/>	
Previous action			
2013 Update			
<b>Housing benefit</b>			
<b>28. When we tackle housing benefit fraud do we make full use of:</b> <ul style="list-style-type: none"> <li data-bbox="300 1350 1225 1417">■ National Fraud Initiative;</li> <li data-bbox="300 1440 1225 1507">■ Department for Work and Pensions Housing Benefit matching service;</li> <li data-bbox="300 1529 1225 1597">■ internal data matching; and</li> <li data-bbox="300 1619 1225 1664">■ private sector data matching?</li> </ul>	<input type="radio"/>	<input type="radio"/>	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Previous action			
2013 Update			



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