

CHECKLIST FOR COUNCILLORS AND OTHERS RESPONSIBLE FOR GOVERNANCE

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
8. Do we raise awareness of fraud risks with: <ul style="list-style-type: none"> ■ new staff (including agency staff); ■ existing staff; ■ elected members; and ■ our contractors? 	<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		
9. Do we work well with national, regional and local networks and partnerships to ensure we know about current fraud risks and issues?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
10. Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
13. Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		

General	Yes	No
14. Do we have effective arrangements for:		
■ reporting fraud?; and	<input type="radio"/>	<input type="radio"/>
■ recording fraud?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
15. Do we have effective whistle-blowing arrangements? In particular are staff:		
■ 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		
16. Do we have effective fidelity insurance arrangements?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
18. Have we amended our counter-fraud action plan as a result?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
19. Have we reallocated staff as a result?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
21. Do we take proper action to ensure that social housing is occupied by those to whom it is allocated?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
Procurement		
22. Are we satisfied our procurement controls are working as intended?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
Previous action		
2013 Update		
Recruitment		
24. Are we satisfied our recruitment procedures: <ul style="list-style-type: none"> <li data-bbox="277 1373 1066 1447">■ prevent us employing people working under false identities; <li data-bbox="277 1491 979 1527">■ confirm employment references effectively; <li data-bbox="277 1572 1102 1608">■ ensure applicants are eligible to work in the UK; and <li data-bbox="277 1615 1150 1686">■ require agencies supplying us with staff to undertake the checks that we require? 	<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		

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: <ul style="list-style-type: none"> <li data-bbox="300 1352 715 1391">■ National Fraud Initiative; <li data-bbox="300 1435 863 1509">■ Department for Work and Pensions Housing Benefit matching service; <li data-bbox="300 1514 756 1552">■ internal data matching; and <li data-bbox="300 1597 791 1635">■ private sector data matching? 	<ul style="list-style-type: none"> <li data-bbox="1251 1375 1283 1413">● <li data-bbox="1251 1458 1283 1496">● <li data-bbox="1251 1536 1283 1574">● <li data-bbox="1251 1615 1283 1653">● 	<ul style="list-style-type: none"> <li data-bbox="1374 1375 1406 1413">● <li data-bbox="1374 1458 1406 1496">● <li data-bbox="1374 1536 1406 1574">● <li data-bbox="1374 1615 1406 1653">●
Previous action		
2013 Update		

Emerging fraud risks	Yes	No
<p>29. Do we have appropriate and proportionate defences against emerging fraud risks:</p> <ul style="list-style-type: none"> ■ business rates; ■ Right to Buy; ■ Social Fund and Local Welfare Assistance; ■ council tax reduction; ■ schools; and ■ grants? 	<p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p>	<p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p> <p><input type="radio"/></p>
<p>Previous action</p>		
<p>2013 Update</p>		