

Checklist for those responsible for governance

	Yes	No	Comments
General			
1. Do we have a zero-tolerance policy towards fraud?	✓		
2. Do we have the right approach, and effective counter-fraud strategies, policies and plans? Have we aligned our strategy with Fighting Fraud Locally?	✓		
3. Do we have dedicated counter-fraud staff?		✓	There is no single dedicated team for Counter Fraud – but we do have resources spread across the Council
4. Do counter-fraud staff review all the work of our organisation?			Not Applicable
5. Does a councillor have portfolio responsibility for fighting fraud across the Council?		✓	No defined responsibility at present. It is suggested that the role is included within the remit of the Chair of Audit and Accounts Committee.
6. Do we receive regular reports on how well we are tackling fraud risks, carrying out plans and delivering outcomes?	✓		
7. Have we assessed our management of counter-fraud work against good practice?	✓		
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? 	✓ ✓ ✓	✓ ✓	Fraud awareness is not specifically targeted towards new starters or contractors. We will extend our current fraud awareness processes to cover new starters and contractors.
9. Do we work well with national, regional and local networks and partnerships to ensure we know about current fraud risks and issues?	✓		
10. Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters?	✓		
11. Do we identify areas where our internal controls may not be performing as intended? How quickly do we take action?	✓		
12. Do we maximise the benefit of our participation in the Audit Commission NFI and receive reports on the matches investigated?	✓		

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13. Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?	✓		
14. Do we have effective arrangements for: <ul style="list-style-type: none"> • Reporting fraud; and • Recording fraud? 	✓ ✓		
15. Do we have effective whistle-blowing arrangements? In particular are staff: <ul style="list-style-type: none"> • Aware of our whistle-blowing arrangements? • Have confidence in the confidentiality of those arrangements? • Confident that any concerns raised will be addressed? 	✓ ✓ ✓		
16. Do we have effective fidelity insurance arrangements?	✓		
Fighting fraud with reduced resources			
17. Have we reassessed our fraud risks since the change in the financial climate?	✓		.
18. Have we amended our counter-fraud action plan as a result?	✓		
19. Have we reallocated staffing as a result?			Not Applicable as we do not have a dedicated resource
Current risks and issues			
Housing Tenancy			
20. Do we take proper action to ensure that we only allocate social housing to those who are eligible?	✓		
21. Do we ensure that social housing is occupied by those to whom it is allocated?	✓		
Procurement			
22. Are we satisfied our procurement controls are working as intended?	✓		
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?	✓		
Recruitment			
24. Are we satisfied our recruitment procedures <ul style="list-style-type: none"> • prevent us employing people working under false identities; • confirm employment references effectively; 	✓ ✓		

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<ul style="list-style-type: none"> ensure applicants are eligible to work in the UK; and require agencies supplying us with staff to undertake the checks that we require? 	✓		
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?	✓		
26. Have we updated our whistleblowing arrangements for staff and citizens, so that they may raise concerns about the financial abuse of personal budgets?	✓		
Council Tax			
27. Do we take proper action to ensure that we only award discounts and allowances to those who are eligible?	✓		
Housing and Council Tax benefits			
28. When we tackle housing and council tax benefit fraud do we make full use: a) National Fraud Initiative b) Department for Work and Pensions Housing Benefit matching service? c) Internal data matching? d) private sector data matching?	<ul style="list-style-type: none"> ✓ ✓ ✓ 	✓	We have tried to make use of private sector data matching in the past, but there was a considerable delay in receiving the information.
Emerging fraud risks			
29. Do we have appropriate and proportionate defences against emerging fraud risks: <ul style="list-style-type: none"> business rates: Right to Buy: Social Fund and Local Welfare Assistance: Council Tax reduction: Schools; and Grants? 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ ✓ 		