

## PROTECTING THE PUBLIC PURSE 2013

**FIGHTING FRAUD CHECKLIST FOR GOVERNANCE**

GENERAL	YES	NO
<p><b>1. Do we have a zero tolerance policy towards fraud?</b></p> <p>Counter Fraud Strategy approved by Governance Committee in March 2013.</p>	√	
<p><b>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>?</b></p> <p>Counter Fraud Strategy approved by Governance Committee in March 2013 which brings together our policies, plans and aligns to the <i>Fighting Fraud Locally</i>.</p>	√	
<p><b>3. Do we have dedicated counter-fraud staff?</b></p> <p>We have our dedicated Benefit Fraud Team and Internal Audit include in all aspects of their work.</p>	√	
<p><b>4. Do counter-fraud staff review all the work of our organisation?</b></p> <p>The Internal Audit Plan is produced on a risk analysis and Benefit Fraud covers Housing Benefit, Local Council Tax Support scheme.</p>	√	
<p><b>5. Does a councillor have portfolio responsibility for fighting fraud across the Council?</b></p> <p>Comes within the remit of the Cabinet Member for Performance and Efficiency.</p>	√	
<p><b>6. Do we receive regular reports on how well we are tackling fraud risks, carrying out plans and delivering outcomes?</b></p> <p>Included in Audit Assignment reports, Internal Audit Annual Report and other ad-hoc reports as required.</p>	√	
<p><b>7. Have we assessed our management of counter-fraud work against good practice?</b></p> <p>Various checklists and control measures documents from a number of sources have been reviewed in line with our available resources.</p>	√	

<p><b>8. Do we raise awareness of fraud risks with:</b></p> <ul style="list-style-type: none"> <li>• <b>New staff (including agency staff)</b> – covered within staff Induction by Manager</li> <li>• <b>Existing staff</b> – periodic leaflets issued, fraud alerts to relevant staff and general fraud alerts to all staff, policies and procedures on Intranet</li> <li>• <b>Elected members</b> – policies on Members Portal, periodic leaflets issued and general fraud alerts if applicable</li> <li>• <b>Our contractors</b> – specific anti-collusion clauses in tender documents issued by Procurement</li> </ul>	<p>√</p> <p>√</p> <p>√</p> <p>√</p>	
<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> <p>National Anti-Fraud Network, DWP Fraud Investigation Service, Essex Audit Group, Cambridge Audit Group, Essex &amp; Hertfordshire Investigators Group, Local Authority Investigators Group, Essex Insurance &amp; Risk Group, Essex Insurance Officers Group, External Audit Commission.</p>	<p>√</p>	
<p><b>10. Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters</b></p> <p>National Fraud Initiative, DWP Fraud Investigation Service, National Anti-Fraud Network, Essex Audit Group.</p>	<p>√</p>	
<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> <p>From the Internal Audit assignments any control found not to be performing effectively is remedied with a time factor relevant to the level of risk.</p>	<p>√</p>	
<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> <p>All matches, whether High, Medium or Low are reviewed with a report to the Governance Committee as appropriate. Results will also be include in the Internal Audit Annual Report for 2013/2014.</p>	<p>√</p>	
<p><b>13. Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?</b></p> <p>Prevention of Money Laundering procedure available to staff on the Intranet.</p>	<p>√</p>	
<p><b>14. Do we have effective arrangements for:</b></p> <ul style="list-style-type: none"> <li>• <b>Reporting fraud</b> – guidance within the Counter Fraud Strategy including Fraud, Corruption and Dishonesty Policy and Whistleblowing Policy.</li> <li>• <b>Recording fraud</b> – Fraud is recorded by the Audit, Insurance &amp; Risk Manager.</li> </ul>	<p>√</p> <p>√</p>	

<p><b>15. Do we have effective Whistleblowing arrangements? In particular, are staff:</b></p> <ul style="list-style-type: none"> <li><b>aware of our whistleblowing arrangements?</b> – Whistleblowing Policy is available to staff on the Intranet. Awareness also included in the Corporate Quality and Compliance reviews. Whistleblowing Policy is also available on the Council's website</li> <li><b>have confidence in the confidentiality of those arrangements?</b> We have not been made aware that staff do not have confidence.</li> <li><b>confident that any concerns raised will be addressed?</b> We have not been made aware that staff have concerns</li> </ul> <p><b>16. Do we have effective fidelity insurance arrangements?</b></p> <p>Policy in place which covers all staff but increased cover for specific senior posts.</p>	<p>√</p> <p>√</p> <p>√</p> <p>√</p>	
<p><b>FIGHTING FRAUD WITH REDUCED RESOURCES</b></p>		
<p><b>17. Have we reassessed our fraud risks since the change in the financial climate?</b></p> <p>We continually assess fraud risks in all areas of work.</p> <p><b>18. Have we amended our counter-fraud action plan as a result?</b></p> <p>We are awaiting further details and timings of the transfer of our Housing Benefit Fraud Investigators to the DWP under the Single Fraud Investigation Service. Consideration will then be given to re-assessed fraud risks in relation to the LCTS and resource availability.</p> <p><b>19. Have we reallocated staff as a result?</b></p> <p>See 18 above.</p>	<p>√</p> <p>√</p>	
<p><b>CURRENT RISKS AND ISSUES</b></p>		
<p><b>20. Do we take proper action to ensure that we only allocate social housing to those who are eligible?</b></p> <p>Choice Based lettings covered as per the Audit Plan.</p>	<p>√</p>	