

**AUDIT COMMISSION – “PROTECTING THE PUBLIC PURSE”
CHECKLIST FOR THOSE RESPONSIBLE FOR GOVERNANCE**

	Y/N	Comments
General		
Do we have a zero tolerance policy towards fraud?	Y	.
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> ?	P	Additional work to be completed to ensure aligned with <i>Fighting Fraud Locally</i> – need to complete NAFN Resilience toolkit
Do we have dedicated counter-fraud staff?	Y	Benefits fraud –yes. Internal Audit for other frauds
Do counter-fraud staff review all the work of our organisation?	Y	Internal Audit will cover all other activities apart from benefits fraud
Do we receive regular reports on fraud risks, plans and outcomes?	Y	Regular updates on fraud areas presented to the Audit & Governance Committee .
Have we assessed our management of counter-fraud resources against good practice?	Y	As detailed in various documents
Do we raise awareness of fraud risks with: <ul style="list-style-type: none"> • New staff (including agency staff)? • Existing staff? • Elected Members? • Contractors? 	Y	Counter Fraud Policy part of the induction checklist process. Policies available on intranet and website. 2012/13 more detailed awareness through Internal Audit presence at team meetings/e learning solution
Do we work well with national, regional and local networks and partnerships to ensure we are up to date with current fraud risks and issues?	Y	Take part in the National Fraud Initiative Member of National Anti Fraud Network, Midlands Fraud Forum and take part in Staffordshire and Midland networks

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General	Y/N	Action
Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters?	Y	Take part in the National Fraud Initiative Member of National Anti Fraud Network, Midlands Fraud Forum and take part in Staffordshire and Midland networks
Do we identify areas where our internal controls may not be performed as intended? How quickly do we take action?	Y	Completed through Internal Audit plan and agreed management actions. Agreed managements actions followed up within 6 months to ensure implemented.
Do we maximise the benefit of our participation in the Audit Commission NFI and receive reports on the matches investigated?	Y	Progress to date reported to the Audit & Governance Committee
Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?	Y	Money Laundering Policy in place.
Do we have effective Whistleblowing arrangements?	Y	Whistleblowing policy regularly reviewed and update and available on the intranet and website.
Do we have effective fidelity insurance arrangements?	Y	Adequate insurance arrangement in place.
Fighting Fraud in the Recession		
Have we reassessed our fraud risks since the change in the financial climate?	Y	Fraud risks assessed quarterly.
Have we amended our counter-fraud action plan as a result?	N/A	Awareness of new and emerging risks identified and will change action plan as required.
Have we reallocated staffing as result?	N	

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Current Risks and Issues		
<p>Housing Tenancy</p> <p>Do we take proper action to ensure that we only allocate social housing to those who are eligible?</p>	Y	<p>Allocations Policy Internal Audit of systems</p>
<p>Do we ensure that social housing is occupied by those to whom it is allocated?</p>	Y	<p>Tenancy checks completed Illegal subletting initiative completed</p>
<p>Are we satisfied that payment controls are working as intended?</p>	Y	<p>Regular audits completed</p>
<p>Procurement</p> <p>Have we reviewed our contract letting procedures since the investigations by the Office of Fair trading into cartels and compared them to best practice.?</p>		
<p>Recruitment</p> <p>Are we satisfied that our recruitment procedures achieve the following?</p> <ul style="list-style-type: none"> • Do they prevent us employing people working under false identities? • Do they confirm employment references effectively? • Do they ensure applicants are eligible to work in the UK? • Do they require agencies supplying us with staff to undertake the checks that we require?? 	Y	<p>Recruitment procedures in place and subject to regular audit</p>

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<p>Personal budgets</p> <p>Where we are expanding the use of personal budgeted for adult social care, in particular direct payments, have we introduced proper safeguarding proportionate to risk and in line with recommended good practice?</p>	N/A	
<p>Have we updated our Whistleblowing arrangements, for both staff and citizens, so that they may raise concerns about the financial abuse of personal budgets?</p>	N/A	
<p>Council Tax</p> <p>Are we effectively controlling the discounts and allowances we give to council taxpayers.</p>	Y	Work being completed on NFI SPD review as well as county initiative
<p>Housing and council tax benefit</p> <p>When we tackle housing and council tax benefit fraud do we make full use of the following?</p> <ul style="list-style-type: none"> ● National Fraud Initiative? ● DWP Housing Benefit matching Service? ● Internal data matching? ● Private sector data matching? 	Y	