## **Protecting the Public Purse 2011**

Appendix 1: Checklist for those responsible for governance

## Checklist

General	Yes	No
1 Do we have a zero-tolerance policy towards fraud?	0	0
Comments		
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> ?	0	0
Comments		
3 Do we have dedicated counter-fraud staff?	0	0
Comments		
4 Do counter-fraud staff review all the work of our organisation?	0	0
Comments		
5 Do we receive regular reports on how well we are tackling fraud risks, carrying out plans and delivering outcomes?	0	0
Comments		
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General	Yes	No
6 Have we assessed our management of counter-fraud work against good practice?	0	0
Comments		
7 Do we raise awareness of fraud risks?		
a. With new staff (including agency staff)?	$\odot$	$\bigcirc$
b. With existing staff?	0	0
c. With elected members?	$\odot$	0
d. With our contractors?	$\odot$	0
8 Do we work well with national, regional and local networks and partnerships to ensure we know about current fraud risks and issues?	$\circ$	0
Comments		
9 Do we work well with other organisations to ensure we effectively share knowledge and data about fraud and fraudsters?	$\odot$	$\odot$
Comments		

General	Yes	No
<b>10</b> Do we identify areas where our internal controls may not be performing as well as intended? How quickly do we then take action?	$\odot$	$\odot$
Comments		
11 Do we maximise the benefit of our participation in the Audit Commission National Fraud Initiative and receive reports on the matches investigated?	0	$\odot$
Comments		
12 Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?	$\bigcirc$	$\odot$
Comments		
13 Do we have effective whistleblowing arrangements?	$\bigcirc$	$\bigcirc$
Comments		
14 Do we have effective fidelity insurance arrangements?	$\odot$	$\circ$
Comments		

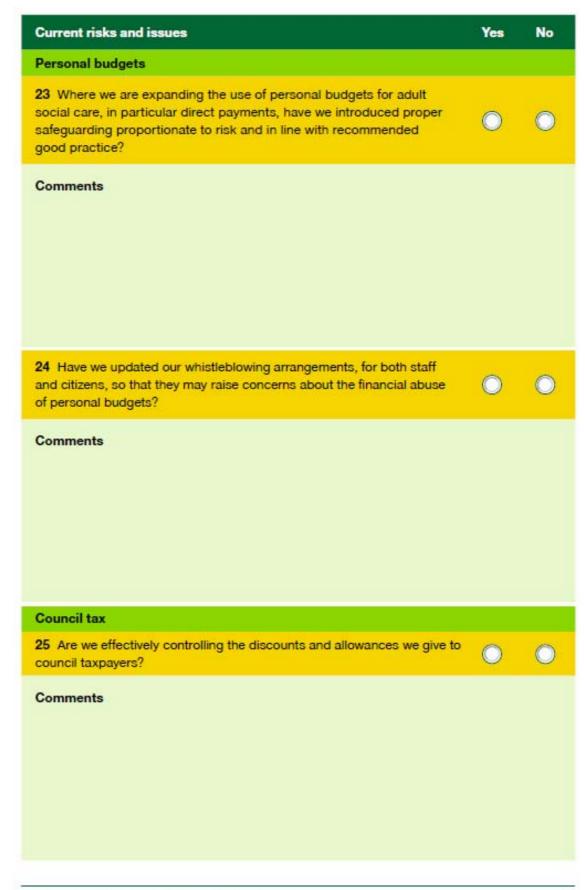
Fighting fraud with reduced resources	Yes	No
15 Have we reassessed our fraud risks since the change in the financial climate?	0	0
Comments		
16 Have we amended our counter-fraud action plan as a result?	$\bigcirc$	$\bigcirc$
Comments		
17 Have we reallocated staff as a result?	0	$\bigcirc$
Comments		
		_
Current risks and issues	Yes	No
Housing tenancy		
18 Do we take proper action to ensure that we only allocate social housing to those who are eligible?	0	0
Comments		

Comments

 19 Do we ensure that social housing is occupied by those to whom it is allocated?
 Image: Comments

 Comments
 Image: Comments

Current risks and issues	Yes	No
Procurement		
20 Are we satisfied our procurement controls are working as intended?	0	0
Comments		
21 Have we reviewed our contract-letting procedures since the investigations by the Office of Fair Trading into cartels and compared them with best practice?	0	0
Comments		
Recruitment		
22 Are we satisfied our recruitment procedures achieve the following?		
a. Do they prevent us employing people working under false identities?	$\bigcirc$	0
b. Do they confirm employment references effectively?	$\bigcirc$	0
c. Do they ensure applicants are eligible to work in the UK?	$\bigcirc$	0
d. Do they require agencies supplying us with staff to undertake the checks that we require?	0	0
Comments		



Current risks and issues	Yes	No
Housing and council tax benefits		
26 When we tackle housing and council tax benefit fraud do we make full the following?	use of	
a. National Fraud Initiative?	$\odot$	$\odot$
b. Department for Work and Pensions Housing Benefit matching service?	$\odot$	$\bigcirc$
c. Internal data matching?	$\odot$	$\odot$
d. Private sector data matching?	$\odot$	$\odot$
Comments		