

# AUDIT BOARD

## Appendix 1

15th December 2011

---

### Checklist

General	Yes	No
1 Do we have a zero-tolerance policy towards fraud?	<input type="radio"/>	<input type="radio"/>
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> ?	<input type="radio"/>	<input type="radio"/>
Comments		
3 Do we have dedicated counter-fraud staff?	<input type="radio"/>	<input type="radio"/>
Comments		
4 Do counter-fraud staff review all the work of our organisation?	<input type="radio"/>	<input type="radio"/>
Comments		
5 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"/>
Comments		

**BROMSGROVE DISTRICT COUNCIL**

**AUDIT BOARD**

**Appendix 1**

15th December 2011

---

<b>General</b>	<b>Yes</b>	<b>No</b>
<b>6</b> Have we assessed our management of counter-fraud work against good practice?	<input type="radio"/>	<input type="radio"/>
<b>Comments</b>		
<b>7</b> Do we raise awareness of fraud risks?		
a. With new staff (including agency staff)?	<input type="radio"/>	<input type="radio"/>
b. With existing staff?	<input type="radio"/>	<input type="radio"/>
c. With elected members?	<input type="radio"/>	<input type="radio"/>
d. With our contractors?	<input type="radio"/>	<input type="radio"/>
<b>Comments</b>		
<b>8</b> 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"/>
<b>Comments</b>		
<b>9</b> 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"/>
<b>Comments</b>		

BROMSGROVE DISTRICT COUNCIL

**AUDIT BOARD**

**Appendix 1**

15th December 2011

---

General	Yes	No
10 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"/>
Comments		
11 Do we maximise the benefit of our participation in the Audit Commission National Fraud Initiative and receive reports on the matches investigated?	<input type="radio"/>	<input type="radio"/>
Comments		
12 Do we have arrangements in place that encourage our staff to raise their concerns about money laundering?	<input type="radio"/>	<input type="radio"/>
Comments		
13 Do we have effective whistleblowing arrangements?	<input type="radio"/>	<input type="radio"/>
Comments		
14 Do we have effective fidelity insurance arrangements?	<input type="radio"/>	<input type="radio"/>
Comments		

BROMSGROVE DISTRICT COUNCIL

**AUDIT BOARD**

**Appendix 1**

15th December 2011

<b>Fighting fraud with reduced resources</b>	<b>Yes</b>	<b>No</b>
15 Have we reassessed our fraud risks since the change in the financial climate?	<input type="radio"/>	<input type="radio"/>
Comments		
16 Have we amended our counter-fraud action plan as a result?	<input type="radio"/>	<input type="radio"/>
Comments		
17 Have we reallocated staff as a result?	<input type="radio"/>	<input type="radio"/>
Comments		

<b>Current risks and issues</b>	<b>Yes</b>	<b>No</b>
<b>Housing tenancy</b>		
18 Do we take proper action to ensure that we only allocate social housing to those who are eligible?	<input type="radio"/>	<input type="radio"/>
Comments		
19 Do we ensure that social housing is occupied by those to whom it is allocated?	<input type="radio"/>	<input type="radio"/>
Comments		

BROMSGROVE DISTRICT COUNCIL

**AUDIT BOARD**

**Appendix 1**

15th December 2011

Current risks and issues	Yes	No
<b>Procurement</b>		
20 Are we satisfied our procurement controls are working as intended?	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>
Comments		
<b>Recruitment</b>		
22 Are we satisfied our recruitment procedures achieve the following?		
a. Do they prevent us employing people working under false identities?	<input type="radio"/>	<input type="radio"/>
b. Do they confirm employment references effectively?	<input type="radio"/>	<input type="radio"/>
c. Do they ensure applicants are eligible to work in the UK?	<input type="radio"/>	<input type="radio"/>
d. Do they require agencies supplying us with staff to undertake the checks that we require?	<input type="radio"/>	<input type="radio"/>
Comments		

BROMSGROVE DISTRICT COUNCIL

**AUDIT BOARD**

**Appendix 1**

15th December 2011

Current risks and issues	Yes	No
<b>Personal budgets</b>		
23 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?	<input type="radio"/>	<input type="radio"/>
Comments		
24 Have we updated our whistleblowing arrangements, for both staff and citizens, so that they may raise concerns about the financial abuse of personal budgets?	<input type="radio"/>	<input type="radio"/>
Comments		
<b>Council tax</b>		
25 Are we effectively controlling the discounts and allowances we give to council taxpayers?	<input type="radio"/>	<input type="radio"/>
Comments		

