

**2009 Audit Commission report – Protecting the public purse: Local government fighting fraud.
Checklist for those responsible for governance.**

Assessment Question	Yes	No	Action	Further action	Response
<p>7. Do we raise awareness of fraud risks with:</p> <ul style="list-style-type: none"> - new staff (including agency staff)? - existing staff? - Members? 	✓	✓	<p>An online fraud awareness exercise was recently made available on the Intranet. Guidance for staff and managers was prepared by Internal Audit for use in the induction process. Notices are posted on the Intranet as required.</p>	<p>Examine how fraud awareness and roles and responsibilities are communicated to agency staff.</p> <p>Consider the merits of raising awareness of fraud risks with Members.</p>	<p>There is no formal induction process for agency staff so it is left to each manager to deal with as they think fit. As an interim measure senior managers have been requested to refer agency staff to the Anti Fraud and Corruption Strategy, the Whistleblowing Policy and the staff instructions regarding money laundering. HR will be considering the introduction of an induction checklist for agency staff.</p> <p>Members have received a presentation on fraud and corruption in the past and information is distributed when considered appropriate. Another presentation is planned for September and the content will be distributed to all members.</p>

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<p>19. Are we satisfied that our recruitment procedures are:</p> <ul style="list-style-type: none"> - preventing employment of people working under false identities? - validating employment references effectively? - ensuring applicants are eligible to work in the UK? 	√		<p>All candidates invited for interview are required to provide documentation that validates their right to live and work within the UK.</p> <p>Only original versions of specific documents are eligible.</p> <p>Documents are copied, checked and retained. Named referees are contacted directly. One must be the applicant's current employer. The engagement of agency staff is an area that poses certain threats depending on their access to information and systems.</p>	<p>Examine the arrangements for the engagement of agency staff and in particular if any background checks are carried out by the agency or by the Council.</p>	<p>All agency staff are engaged through Comensura who ensure that all candidates are validated using similar procedures to those of the Council. They would do this by spot audits on each agency and recommend actions if procedures were not to the required standard. HR can provide samples of these cases and are satisfied that appropriate checks are in place for agency staff.</p>

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23. Do we have a reporting mechanism that encourages our staff to raise their concerns of money laundering?	√		The council has an approved Money Laundering Policy and the Money Laundering Reporting Officer is the Head of Finance. It includes instructions for staff who may have concerns about accepting large cash payments. Concerns could also be raised under the Whistleblowing Policy. As the policy was approved a few years ago it may be appropriate to issue a reminder to staff.	Prepare a reminder notice on money laundering for the Intranet and for senior managers.	An announcement for staff was prepared and posted on the Intranet. An e mail was sent to senior managers with supporting information attached.