

Fraud Prevention Arrangement Self-Assessment April 2026

Core Elements of 'reasonable procedures'	Detail	Current Practice	Review of Current Practice and Action required	Date to be implemented
Governance & Top Level Commitment	Senior management and the board of directors must foster a culture where fraud is never acceptable, leading by example and rejecting profit derived from fraudulent activity	<p>The Council has a zero tolerance on fraud and corruption and this is captured in the anti fraud and corruption policy with the Whistleblowing policy and Anti-money Laundering policy collectively supporting the culture at the Council that fraud is unacceptable.</p> <p>Member protocol and Officer code of conduct is included within the Councils Constitution</p> <p>The Council's Audit Committee have a responsibility to maintain an overview of the Council's anti-fraud and corruption approach and policies, any changes to the policies are brought to the Committee for review and approval.</p> <p>The Annual Governance statement provides assurance over the governance framework, which is embedded and maintained.</p>	<p>The Council has a clear zero tolerance on Fraud and Corruption, and expect Members, Officers of Blaby District Council, individuals and organisations who deal with the Council to act fairly and honestly.</p> <p>Amendments and changes to the policies in place are reported to the Audit and Corporate Governance Committee.</p> <p>Increased awareness for staff and Members should be undertaken of the officer/member protocol and officer code of conduct, and the Whistleblowing policy.</p>	September 2026

<p>Fraud Risk Assessment</p>	<p>Organisations must conduct a thorough, tailored assessment of the risks they face, including identifying areas where employees or "associated persons" might commit fraud to benefit the business. The assessment should be undertaken annually as a minimum.</p>	<p>Service Level are reported through Iplan (the Council's Performance Management system). The assessment scoring is reviewed and updated quarterly by Service Managers, taking into account impact and likelihood of the risks they face.</p> <p>The Corporate Risk Group which includes the Chief Executive, 3 x Directors (including S151), the Council Tax Income and Debt Manager, and the Finance Group Manager) meet quarterly to review the Corporate Risks and any Service Risks that have been escalated to a Corporate Risk. This is reported quarterly to the Audit and Corporate Governance Committee with detail of any changes made to the Corporate risks.</p> <p>During Engagement planning by Internal Audit, a risk assessment is undertaken. However it is managements responsibility to develop and maintain sound systems of risk management, internal control and governance for the prevention and detection of irregularities and fraud.</p>	<p>Risk assessments are undertaken at both a Service level and corporate level, with reviews being undertaken on a regular basis.</p> <p>Management have the responsibility to ensure that effective systems of control are in place within their services to prevent and detect fraud, and that those systems operate properly.</p> <p>A Fraud Risk Register should be considered to highlight the key areas of risk, and what mitigating controls are in place. They should be considered for the likelihood and impact and an assessment undertaken each year and reported Audit and Corporate Governance Committee.</p>	<p>September 2026</p>
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<p>Proportionate Procedures</p>	<p>The procedures to prevent fraud must be appropriate to the level of risk the organisation faces, ensuring they are not unnecessarily burdensome but effective.</p>	<p>Anti Fraud and Corruption policy, Whistleblowing policy and Anti-Money Laundering policy are in place and adopted by the Council. The policies are published on the Council website and on the Intranet and are reviewed a minimum of every 3 years.</p> <p>Key financial and procurement policies in place, such as the Financial Procedure Rules and Contract Procedure Rules which set out controls to prevent fraud within the Council's financial systems and processes, including purchasing and contracting. The Council's Contract Procedure Rules are currently being revised and updated.</p> <p>Individual systems and services with risk-based prevention procedures in place. This includes, for example, the separation of duties and access controls in key financial systems and functions as well as the Council's recruitment and management processes which aim to establish the integrity of employees.</p> <p>The Council takes an active part in the National Fraud Initiative (NFI) as organised by the Cabinet Office.</p>	<p>Policies are in place and have been adopted by the Council. They are held in an accessible location via the website and intranet.</p> <p>Increased communication should be undertaken to ensure all employees and members are aware of, and have reviewed the policies in place, and know the location they are saved.</p> <p>A training schedule is currently being implemented to ensure all relevant employees have undertaken NFI training and are aware of their responsibilities. This should then be implemented to be undertaken bi-annually as a minimum, with a procedure held locally.</p>	<p>April 2027 (Training dependant on NFI dates available)</p>
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Due diligence	<p>Organisations must perform due diligence on "associated persons" (agents, subsidiaries, employees) to understand the risks of their actions and mitigate them.</p>	<p>The Councils Constitution sets out processes for proportionate due diligence in procuring contracts. This includes seeking key information from successful bidders, such as insurance certificates, policies, accreditations and DBS checks (where relevant).</p> <p>In awarding grants, the Council conducts due diligence checks on organisations applying for monies.</p>	<p>The Council has engaged Welland Procurement as a Procurement advisor. Due diligence is undertaken prior to contract award and detailed in procedures provided by Welland.</p> <p>Whilst procurement training provided by Welland is undertaken ad hoc by employees, this is not mandatory. The Council are considering additional mandatory training as part of Procurement and Contract Management process improvements and reviewing and revising the documentation accessible on the intranet as part of this process.</p> <p>As part of the recruitment process, due diligence is undertaken prior to employee contracts being issued with pre-employment checks being undertaken including documentary evidence where required.</p>	September 2026

			A thorough due diligence check is undertaken as part of the process for awarding grants to organisations.	
Communication & Training	Prevention policies and procedures must be communicated to all employees and associated persons, along with regular training.	<p>The Council publishes the Anti-Fraud and Corruption Policy, Whistleblowing Policy and Anti-Money Laundering Policy on its website. All policies are accessible to employees and members on the Councils intranet.</p> <p>Fraud awareness training on the Councils e-learning platform is mandatory, and to be undertaken every 3 years.</p>	<p>Policies are held and can be accessed on the website and via the Council intranet.</p> <p>Whilst mandatory training is undertaken via Skillsgate, it may be beneficial for this to be undertaken annually or a minimum of bi-annually, and consideration of a whistleblowing specific mandatory course for all employees.</p>	April 2027
Monitoring & Review	The fraud prevention procedures must be monitored, tested, and reviewed regularly to ensure they remain effective, especially as the organisation's risk profile changes.	<p>Regular review and update of key policies and reporting on this to the Audit and Corporate Governance Committee.</p> <p>Quarterly Corporate Risks report brought to Audit and Corporate Governance committee for</p>	<p>Policies are held and updated a minimum of every 3 years. Should there be any change in guidance or legislation, the policies should continue to be reviewed and revised at an earlier date than scheduled. Any changes are reported to the Committee for review and oversight.</p> <p>The Corporate Risks are reviewed quarterly and reported to the Audit and Corporate Governance Committee.</p>	No action required