

Serious and Organised Crime Checklist – Action Plan

Checklist Reference	Action	Responsible Officers	Implementation date	Progress to date
Awareness, strategy, guidance and training (1)	Counter Fraud Unit (CFU) to provide further awareness training tailored to relevant officers e.g. enforcement, visiting, frontline officers.	Counter Fraud Unit	March 2019 TBC	<p>In progress</p> <p>Mandatory briefings provided to all staff 21 November 2019 and 5 December 2019. Mop-up sessions were booked for 11 March 2020 until COVID-19 prevented this. The Counter Fraud Unit 2020/21 work programme is to be reviewed and adjusted in light of COVID-19 to determine if, when and how this training is undertaken.</p> <p>Targeted training has also taken place for relevant officers. This has early successes with the Counter Fraud Unit supporting enforcement cases.</p>
Awareness, strategy, guidance and training (1)	Review of Anti-Fraud and Corruption Strategy to ensure it remains relevant and effective.	Internal Audit/Corporate Governance Group	June 2019	<p>Complete</p> <p>The Anti-Fraud and Corruption Policy was reviewed, presented at Audit and Governance Committee on 18 September 2019 and approved by Executive Committee on 16 October 2019. Fraud awareness training was provided to staff by the Counter Fraud Unit during 2019/20.</p>

Appendix 2

Checklist Reference	Action	Responsible Officers	Implementation date	Progress to date
Awareness, strategy, guidance and training (1)	Counter Fraud Unit to continue to develop partnership working with related agencies, in particular the Police. Updates on effectiveness of joint working and general serious crime activities to be included in standard six monthly report to Audit Committee.	CFU/Head of Community (TBC lead for new Community Safety Partnership)	June 2019 TBC	<p>Not yet commenced</p> <p>Serious and Organised Crime Partnership Board has been disbanded. The meetings were not utilising time as efficiently as had been hoped due to a lack of resultant operational delivery. The Counter Fraud Unit will look to develop more local contacts.</p>
Risk Management (2)	Review of cyber security arrangements.	Head of Corporate Services/ICT Operations Manager	March 2019	<p>Complete</p> <p>Actions undertaken during 2019/20 include the deployment of a new firewall, the acquirement of cyber security insurance, attendance at all South West Warning, Advice and Reporting Point (WARP) etc.</p> <p>The Local Government Association produced a cyber security self-assessment tool that has been used to assess arrangements. These have been assessed as amber/green and are subject to quarterly review by management team.</p> <p>The new ICT Strategy also has actions to further strengthen the Council's arrangements e.g. cyber essentials plus certification, new phishing awareness campaign for staff and Members.</p> <p>Arrangements are under continual review.</p>

Appendix 2

Checklist Reference	Action	Responsible Officers	Implementation date	Progress to date
Whistleblowing (4)	Review the whistleblowing policy and effectiveness of whistleblowing arrangements.	Internal Audit/Corporate Governance Group	June 2019	<p>Complete</p> <p>Staff awareness sessions were held in November and December 2019 on Whistleblowing and Serious Crime. The sessions were facilitated by the Counter Fraud Unit. An updated Whistleblowing Policy was considered by Audit and Governance Committee and then approved by Executive Committee on 5 February 2020.</p>
Assurance – operational controls (procurement) (5)	Tailored training to be provided to those staff responsible for purchasing responsibilities.	Counter Fraud Unit/Head of Finance and Asset Management	<p>March 2019</p> <p>TBC</p>	<p>Not yet commenced</p> <p>A joint session focussing on the fraud aspects of procurement, updated contract management processes and the roll out of the new procurement system needs to be planned. The priority of this training will need to be considered alongside competing COVID-19 recovery work.</p>

Appendix 2

Checklist Reference	Action	Responsible Officers	Implementation date	Progress to date
Assurance – operational controls (general) (5)	Days to be allocated within 2019/20 Internal Audit Plan and Counter Fraud Unit work programme to review operational internal control environment e.g. HR vetting, procurement, gifts and hospitality.	Internal Audit/Counter Fraud Unit	March 2020 December 2020	<p>In progress</p> <p>Days were allocated in both team’s plans. The outcome of internal audit work on the Human Resources section of the Serious and Organised Crime framework was reported to Audit and Governance Committee on 28 March 2019. This determined a satisfactory level of control – recommendations made are subject to follow-up.</p> <p>Licensing arrangements were reviewed by internal audit and reported to Audit and Governance Committee on 18 September 2019. This determined a satisfactory level of control – recommendations made are subject to follow-up.</p> <p>All remaining work is in progress and the findings will be reported to Audit and Governance Committee by the end of the calendar year.</p>