

<b>TITLE</b>	<b>SFIS Transfer update</b>
<b>FOR CONSIDERATION BY</b>	Audit Committee on 9 December 2014
<b>WARD</b>	None Specific
<b>DIRECTOR</b>	Andrew Moulton, Head of Governance and Improvement Services

**OUTCOME**

This report outlines the process for transferring Housing and Council Tax Benefit fraud data for live cases and referrals to the DWP Single Fraud Investigation Service. This was requested by Audit Committee in September 2014 to provide assurance that the data transfer would follow the Council's strict information security protocol.

**RECOMMENDATION**

The Audit Committee is asked to:

- 1) Note that the process outlined has been approved by the Council's Information Security Officer.
- 2) Note that following the request from the Audit Committee additional audit checks and safeguards were put in place.

**SUPPORTING INFORMATION****1. Introduction**

- 1.1 The process of investigating Housing and Council Tax Benefit was transferred to the DWP Single Fraud Investigation Service on 1 November 2014.
- 1.2 In September 2014 the Audit Committee asked for assurance that the data transfer would follow the Council's strict information security protocol.
- 1.3 Following confirmation of the details of the transfer, Andrew Moulton, Head of Governance and Improvement in his capacity as responsible officer for signing off the transfer and Sally Watkins, Service Manager, Customer Service Operations and Ivan Ayres, Information Security Officer from an Information Security perspective approved the route of transfer.

**2. Details of transfer and checks undertaken**

- 2.1 DWP's prescribed method of transfer is to:
  - Transfer electronic data using an encrypted portable pen drive or external hard drive.
  - Manual transfer of clerical material and supporting case documentation.

- 2.2 Transfer of data via email was tested during Phase 1 rollout, however this was found to be too problematic due to the size and number of emails
- 2.3 The data, both pen drive and clerical files, are transferred from the LA to DWP using a fully tracked special secure delivery service through the DWP contract with a reputable courier company.
- 2.4 The DWP confirmed that at the point where the data is collected by the courier company, DWP becomes the data owner.
- 2.5 The following measures were undertaken by the Investigations Team to ensure the secure transfer of data to the DWP:
- All information relevant to the active fraud case or referral was imported onto the Civica AFD fraud software. The team do not operate by using clerical files therefore all data transferred was on the pen drive.
  - A management audit check was undertaken, which entailed opening each individual document to ensure the correct and relevant data had been imported for each case. Over 3,500 documents were reviewed and any discrepancies found were corrected and checked again.
- 2.6 Andrew Moulton signed off the transfer as Senior Responsible Officer based on all of the above measures being in place. On 5 November, the data was transferred to the DWP.

### Analysis of Issues

See above

### FINANCIAL IMPLICATIONS OF THE RECOMMENDATION

***The Council faces severe financial challenges over the coming years as a result of the austerity measures implemented by the Government and subsequent reductions to public sector funding. It is estimated that Wokingham Borough Council will be required to make budget reductions in excess of £20m over the next three years and all Executive decisions should be made in this context.***

	How much will it Cost/ (Save)	Is there sufficient funding – if not quantify the Shortfall	Revenue or Capital?
Current Financial Year (Year 1)	N/A	N/A	N/A
Next Financial Year (Year 2)	N/A	N/A	N/A
Following Financial Year (Year 3)	N/A	N/A	N/A

### Reasons for considering the report in Part 2

N/A

### List of Background Papers

None.

<b>Contact</b> Andrew Moulton	<b>Service</b> Governance and Improvement Services
<b>Telephone No</b> 07747 777298	<b>Email</b> Andrew.Moulton@wokingham.gov.uk
<b>Date</b> 26 November 2014	<b>Version No.</b> V2