

Survey results

Counter Fraud Section – total number of respondents 86

Fraud awareness training

	Is fraud awareness training mandatory at your authority?	Percentage
Not mandatory	47	55%
Not answered	1	1%
Yes - for staff and members	16	19%
Yes - for staff only	22	26%
Grand Total	86	86

	Does the fraud awareness training cover procurement fraud and corruption specifically?	Percentage
No	16	19%
Not answered	8	9%
Yes	62	72%
Grand Total	86	86

	Does the fraud awareness training specifically cover Bribery and Corruption?	Percentage
No	8	9%
Not answered	6	7%
Separate training to cover bribery and corruption	6	7%
Yes	66	77%
Grand Total	86	86

	Is a record maintained of who has completed fraud awareness training?	Percentage
No	14	16%
Not answered	4	5%
Only for members	2	2%
Only for staff	33	38%
Unknown	3	3%
Yes - for staff and members	30	35%
Grand Total	86	86

Case recording:

	Is there a centralised system for reporting cases within your organisation?	Percentage
No	8	9%
Yes	77	90%
Blank	1	1%
Grand Total	86	86

	Is there a centralised system for recording enquiries that do not become formal cases?	Percentage
No	19	22%
Yes	65	76%
Blank	2	2%
Grand Total	84	86

	Is there a whistleblowing and/or fraud reporting scheme in place?	Percentage
Yes	85	99%
Blank	1	1%
Grand Total	85	

Cases reported in 2017/18:

	Have there been any cases of fraud, bribery or corruption reported in the 2017/18 financial year relating to procurement?	Percentage
No	61	71%
Unknown	4	5%
Yes	20	23%
Blank	1	1%
Grand Total	85	86

Types of cases reported by the 20 Councils:

How many cases were reported in 2017/18 relating to:	
Procurement Fraud	36
Bribery within the procurement process	1
Corruption within the procurement process	15
Total	52

Prosecutions from these cases	6
Funds recovered, whether criminally prosecuted or not	£554,961

Perpetrators of these cases – internal, external or internal and external acting together:

Out of those providing this detail:	
Majority Internal	25%
Majority External	37.5%
Majority involved internal and external together	25%
Even split between internal only and internal/external together	12.5%

Cases to do with grant funding:

	In relation to grant funding paid out by the authority, have there been any cases of fraud, bribery, or corruption in the 2017/18 financial year?	
No	71	83%
Unknown	7	8%
Yes	5	6%
Blank	3	3%
Grand Total	86	

Of these cases related to grant funding, how many were reported in 2017/18 relating to:	
Fraud	11
Bribery	0
Corruption	1
Total	12

Prosecutions from these cases	0
Recovered, whether criminally prosecuted or not	£307,884

Working with law enforcement and agencies:

	Does your local authority have structured relationship with other agencies in relation to fraud, bribery and corruption (i.e. HMRC)?	
No	45	52%
Unknown	7	8%
Yes	30	35%
Blank	4	5%
Grand Total	86	86

	Does your authority have a structured working relationship with the police in relation to fraud, bribery and corruption?	
No	47	55%
Unknown	7	8%
Yes	27	31%
Blank	5	6%
Grand Total	86	

Fraud Risk Assessments: [comments received suggest that the concept of fraud risk assessments needs clarity and capacity building]

	Do the risks of fraud and corruption in procurement feature on the corporate risk register?	
No	44	51%
Unknown	6	7%
Yes	28	33%
Blank	8	9%
Grand Total	86	

	Do the risks of fraud and corruption in procurement feature on the fraud risk register?	
No	17	20%
Unknown	6	7%
Yes	56	65%
Blank	7	8%
Grand Total	86	

	Is a fraud risk assessment conducted for the procurement process/function?	
No	23	27%
Unknown	13	15%
Yes	42	49%
Blank	8	9%

Grand Total	86
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	Has your authority completed the Home Office's Serious and Organised Crime Audit or Checklist (as per the December 2016 Home Office Organised Crime Procurement Pilots report) ?	
No	25	29%
Unknown	21	24%
Yes - audit	1	1%
Yes - both	11	13%
Yes - checklist	21	24%
Blank	7	8%
Grand Total	86	86

	Does the counter fraud function within your authority carry out any proactive work in relation to procurement fraud and corruption? For example, spend analysis, contract review, process review, sampling	
No	27	31%
Unknown	2	2%
Yes	50	58%
Blank	7	8%
Grand Total	86	

	Does your authority conduct measurement exercises in procurement to estimate potential losses?	
No	59	69%
Unknown	15	17%
Yes	5	6%
Blank	7	8%
Grand Total	86	

Data sharing:

Data sharing within authority for the following purpose:			
To identify red flags	Not shared	To assist in investigations	Unknown
33	18	52	4

Data sharing with other authorities for the following purpose:			
To identify red flags	To assist in investigations	Not shared	Unknown

27	48	21	4
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Data sharing with agencies for the following purpose:			
To identify red flags	To assist in investigations	Not shared	Unknown
23	52	18	6

Use of software:

	Does your authority use software packages to analyse data either to identify red flags or to conduct investigations?	
No	40	47%
Unknown	4	5%
Yes - both investigations and red flags	16	19%
Yes - identify red flags	8	9%
Yes - investigations	11	13%
Blank	7	8%
Grand Total	86	

Procurement Section – total number of respondents 92

Which of the following best describes the structure of the procurement function within your organisation:	Type of Authority							Grand Total	Percentage
	Combined Response	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council			
No separate procurement function			2				2	2	
Outsourced Procurement						1	1	1	
Procurement service shared with other authorities	1	2	9	2	3		17	19	
Procurement staff embedded within services			1	1		1	3	3	
Separate internal team	1	11	21	7	12	8	60	65	
Other (please specify)		1	5			3	9	10	
Total	2	14	38	10	15	13	92		

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Average number of FTE procurement staff:						
Combined Response	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	
3.75	17	0.84	17	22.7	7.4	

Average number: Approximately how many full-time equivalent staff (FTE) work on contract management in the authority?

County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council
4	6.375	3	4	6.5

Are these contract management staff part of a central team or do they sit within services? (put N/A if unknown)							
Type of Council	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
A mixture of the two	1	4	10	4	3	7	29
Central team		2	1		1	1	5
Within services	1	7	24	6	8	5	51
Blank		1	3		3		7
Grand Total	2	13	35	10	12	13	92

Does your authority carry out procurement training for staff outside of the procurement function?							
Authority Type	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
It depends		3	3	1	2	2	11
No			1	1	1	1	4
Unknown	1			1			2
Yes	1	10	34	7	10	10	72
Blank		1			2		3
Grand Total	2	14	38	10	15	13	92

Does your authority carry out contract management training for staff?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No	1	3	9	1	5	7	26
Other (please specify)		5	10	1	1	2	19
Unknown			3	3	4	1	11
Yes	1	5	16	5	2	3	32
Blank		1			3		4
Grand Total	2	14	38	10	15	13	92

Is the procurement function involved in the needs assessment stage of a procurement?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
It depends on contract size	1	7	18	5	4	9	44
No	1		9		2	2	14
Unknown		2		1	1		4
Yes		4	11	4	5	2	26
Blank		1			3		4
Grand Total	2	14	38	10	15	13	92

Is the procurement function involved in the decision whether to 'make or buy' within a procurement?							
Type of authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
It depends on contract size	1	7	18	4	2	8	40
No	1		14	1	3	2	21
Unknown		1	1	2	1	2	7

Yes		5	5	3	6	1	20
Blank		1			3		4
Grand Total	2	14	38	10	15	13	92

Is the procurement function involved in grants that are made by the authority?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No		4	24	6	7	7	48
Sometimes	1	6	10	1	3	4	25
Unknown	1		3	2	1	1	8
Yes		3		1	1	1	6
Blank		1	1		3		5
Grand Total	2	14	38	10	15	13	92

Does the authority have a centralised contracts register?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No						1	1
Unknown					1		1
Yes	2	13	38	10	11	12	86
Blank		1			3		4
Grand Total	2	14	38	10	15	13	92

If the authority does have a centralised contracts register, which team or job function is responsible for the upkeep of this central register?

Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
Individual services			5	2	1	1	9
Other (please specify)		3	12	2	1	1	19
Procurement	2	10	21	6	9	10	58
Blank		1			4	1	6
Grand Total	2	14	38	10	15	13	92

Is the centralised register updated to include details of contract variations and amendments?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No		1	10		2	4	17
Sometimes	1	3	14	5	5	6	34
Unknown	1			1	2		4
Yes		9	14	3	2	3	31
Blank		1		1	4		6
Grand Total	2	14	38	10	15	13	92

Is a centralised electronic system used to manage the procurement process within the authority?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No		1	5			3	9
Yes	2	12	33	10	11	9	77
Blank		1			4	1	6
Grand Total	2	14	38	10	15	13	92

Is routine spend analysis carried out to monitor levels of spending on contracts and/or projects?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
Always		4	8	4	4	2	22
Only on high-value contracts		2	7	1		1	11
Sometimes	2	7	21	5	6	9	50
Blank		1	2		5	1	9
Grand Total	2	14	38	10	15	13	92

Is any team responsible for identifying spend that takes place without a contract in place or 'off-contract' within the local authority?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No	1	1	5	1	1		9
Other - in the process of being put in place				1			1
Other (please specify)		2	7				9
Yes - it depends on contract type		1	4		3	2	10
Yes - procurement	1	9	19	8	6	9	52
Yes - services			2		1	1	4
Blank		1	1		4	1	7
Grand Total	2	14	38	10	15	13	92

Are standardised contract templates used within the authority?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No			1				1

Sometimes	1	2	10		2	3	18
Unknown	1			1			2
Yes		11	26	9	9	9	64
Blank		1	1		4	1	7
Grand Total	2	14	38	10	15	13	92

Do contracts routinely include clauses about responsibilities relating to fraud, corruption and bribery?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No			1	1			2
Sometimes			1				1
Unknown	1		1	1			3
Yes	1	13	34	8	11	12	79
Blank		1	1		4	1	7
Grand Total	2	14	38	10	15	13	92

Are provisions for open book accounting included in contracts with suppliers?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No		2	4				6
Sometimes	1	7	19	5	9	10	51
Unknown	1	1	8	3		1	14
Yes		3	6	1	2	1	13
Blank		1	1	1	4	1	8
Grand Total	2	14	38	10	15	13	92

Are provisions for the 'right to audit' included in contracts?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No			5				5
Sometimes		2	16	4	9	6	37
Unknown	1	1	6	1		2	11
Yes	1	10	10	5	2	4	32
Blank		1	1		4	1	7
Grand Total	2	14	38	10	15	13	92

Risk Registers

Are the risks of fraud and corruption included in the risk register for procurement?							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
No		4	8	3	3	1	19
No risk register in place		3	8		2	3	16
Unknown		2	5	2	1	2	12
Yes	2	4	16	4	5	6	37
Blank		1	1	1	4	1	8
Grand Total	2	14	38	10	15	13	92

Conflicts of Interest Registers

Conflict of interest registers							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total

There is a register in place for Members	2	18	42	14	25	24	125
The register of Members' interests is published	1	11	30	8	18	17	85
There is a register in place for officers	1	16	37	11	24	23	112
The register of officers' interests is published		3	3			3	9
There is no register in place		1	2				3

Gifts and Hospitality Registers

Gifts and Hospitality Registers							
Type of Authority	Combined Authority	County Council	District Council	London Borough Council	Metropolitan Borough Council	Unitary Council	Grand Total
There is a register in place for Members	2	16	41	14	25	23	121
There is a register in place for officers	2	17	40	13	24	25	121
The register of Members' interests is published	1	8	17	8	11	12	57
The register of officers' interests is published		3	2	1	2	7	15
There is no register in place		1					1