

Prevention, detection and management of fraud within the procurement cycle.

The following controls are in place at the various stages of the procurement cycle:

Set up of suppliers

- All requests to set up a new supplier are made via a supplier request form submitted to the Procurement team
- Companies House checks are undertaken prior to approving a new supplier
- Bank details and registered office must be provided on letter headed paper
- Suppliers are automatically deleted from the system if no payments are made in previous 12 months

Procurement process

- Any requisition >£5k is automatically referred to the Procurement team for approval
- Any requisition >£10k is subject to a contract risk assessment to determine whether a formal contract is required and 3 written quotes are required
- Any requisition >£25k is subject to a formal tender process via the Procurement team using the e-tendering system. This requires the following:
 - Completion of Procurement Engagement Form that requires budget holder and legal sign off
 - Pre and post tender sign off by procurement officer, service manager and procurement manager. This also incorporates a finance and legal check
 - No sight of bids until after the deadline
 - Procurement team moderate all tender evaluations

Waiver and Record of Non-Compliance (WARN)

- A form must be completed for all waivers or non-compliance above £10k.
- Signoff required from legal, finance, procurement and both section 151 officer and monitoring officer
- All WARN forms are reported to Audit & Governance Committee for information

Additional controls

- Tender evaluation training rolled out to commissioners and contract managers
- Commissioning handbook provides guidance on all stages of the process including contract management
- Contract register is linked to service business plans and procurement pipeline to ensure re-procurement is timely and minimises the need for extensions
- Contract management framework identifies platinum/gold/silver/bronze level contracts and sets out roles and responsibilities for managers
- Commissioning framework sets out 5 questions to guide managers through the management of contracts

- Additional contract management training is planned which will include negotiation and quality management.