

National Fraud Initiative in Scotland- 2012/13

Instructions for participants



Prepared for participants
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Audit Scotland is a statutory body set up in April 2000 under the Public Finance and Accountability (Scotland) Act 2000. It provides services to the Auditor General for Scotland and the Accounts Commission. Together they ensure that the Scottish Government and public sector bodies in Scotland are held to account for the proper, efficient and effective use of public funds.

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National Fraud Initiative

Introduction

1. The National Fraud Initiative (NFI) is a data matching exercise which matches electronic data within and between participating bodies to prevent and detect fraud. Audit Scotland's report on [NFI 2010/11](#) explains the exercise in more detail, including the governance arrangements. The [Code of Data Matching Practice](#) sets out further guidance on data governance which all bodies involved in data matching must have regard to.
2. Audit Scotland carries out data matching under 26A of the Public Finance and Accountability (Scotland) Act 2000 which provides that Audit Scotland may carry out data matching exercises, or arrange for them to be carried out on its behalf. The Audit Commission's NFI team carries out the matching work on our behalf.

The Audit Commission

3. The Audit Commission processes the data for NFI in Scotland on behalf of Audit Scotland, and provides its secure website and NFI application for bodies and auditors to use in Scotland.
4. The Audit Commission prepares instructions for participants which are available on its website: <http://www.audit-commission.gov.uk/fraud/nfi/public-sector/pages/default.aspx>
5. Scottish participants should refer to the instructions on the Audit Commission website. Where arrangements in Scotland differ, or where the Audit Commission's instructions do not adequately address Scottish arrangements, further guidance is provided here. In all other cases, the guidance on the Audit Commission website applies to Scottish participants.
6. The Audit Commission website includes a section on fees for NFI participants. Scottish bodies do not have to pay separate fees for the NFI; the costs are met through the annual audit fee agreed with your appointed auditor.

This guidance

7. This guidance document will be updated as required. When changes are made, key contacts will be informed.

Timetable

8. The key dates for NFI 2012/13 are set out in the table below:

Date	Event
Friday 28 September 2012	Participants will submit fair processing compliance returns
Monday 8 October 2012	Participants will extract the data from the systems in accordance with the data specifications
Monday 8 October 2012	Participants will upload the live data to the NFI web application
Monday 15 October 2012 onwards	The Audit Commission NFI team will send automatically generated reminders to participants who have not submitted expected datasets
January 2013	Audit Scotland will provide training for participants
Tuesday 29 January 2013	The Audit Commission NFI team will make the 2012/13 exercise matches available
Monday 31 March 2014	Audit Scotland will use the outcomes as at this date for the national report
May 2014	Audit Scotland will publish the 2014 NFI report

Data requirements

Dataset	Councils	Police/Fire/ SPT/TC	Central Gov	NHS
Payroll	Mandatory	Mandatory	Mandatory	Mandatory
Pensions	Mandatory		SPPA Mandatory	
HB/CTB	Mandatory			
Current tenants	Mandatory			
Right to buy	Mandatory			
Blue badges	Mandatory			
Residents parking permits	Mandatory			
Private supported care home residents	Mandatory			
Taxi license holders	Mandatory			
Market traders licenses	Mandatory			
Personal licenses for the supply of alcohol	Mandatory			
Trade Creditors -payments history	Mandatory	Mandatory	Mandatory	Mandatory
Trade creditors - standing data	Mandatory	Mandatory	Mandatory	Mandatory
Personal injury insurance claims	Risk based			
Student Loans			SAAS Mandatory	
Electoral Register	Mandatory Dec 2013			

9. The Audit Commission site sets out the data requirements by sector. The terms used in England do not in all cases apply in Scotland, for example the [NHS Data requirements page](#) lists Strategic Health Authorities, Primary Care Trusts, NHS Trusts, Foundation Trusts and Special Health Authorities. All Scottish participants should refer to the table above which summarises the data request issued to Directors of Finance in July 2012 and supersedes the lists on the Audit Commission website.

Scottish interpretations

10. The following areas of the Audit Commission's guidance require additional guidance:

- Payroll
- Blue Badges
- Concessionary travel
- Insurance

Privacy Notices

11. The Audit Commission uses the term "Fair Processing Notices" to refer to informing individuals that their data is being shared. The Information Commissioner's Office now promotes the use of the term 'privacy notice' to describe the provision of this information, and this is the terminology that we use.
12. Audit Scotland's has a [full text privacy notice](#), and the [Code of Data Matching Practice](#) includes guidance on level 1 and level 2 privacy notices.

Creditors

Revised guidance about trade creditors and privacy notices states that sole traders should receive privacy notices because the data specifications include personal data. This guidance was issued too late to permit privacy notices to be issued prior to the data extraction.

Audit Scotland's [Code of Data Matching Practice](#) explains retrospective privacy notices at paragraph 2.8.17. It is participants' responsibility to determine how to provide retrospective privacy notices, and Audit Scotland cannot provide legal advice. Where notices are provided retrospectively, records should be kept of whether to and how to provide such notices.

Payroll

13. The following additional fields to this data specification have been confirmed as; 'telephone number' (home and mobile), 'passport number' and 'email address'. The Audit Commission recommends updating the level 1 privacy notice (there referred to as a "fair processing notice") for payroll, and the fair processing compliance returns refer to updating the privacy notice.
14. The content of privacy notices is for you to determine. In Audit Scotland's view, this additional data is payroll data, so the specimen payroll level 1 privacy notice in the Code of Data Matching Practice remains adequate.

Blue Badges

15. The administration of Blue Badges in Scotland is migrating to a central system, the Blue Badge Improvement Service (BBIS). The migration is not yet complete, so the data for blue badges is likely to be on two different systems.
16. The BBIS allows downloads by local authorities of their data. Authorities will need to obtain a download from BBIS and their own local system and combine the two files prior to uploading them.

Concessionary travel

17. Concessionary travel passes in Scotland are coordinated by the Improvement Service. The scheme carries out regular matching to General Registers of Scotland records of deceased individuals to cancel concessionary travel cards. This addresses the same risk that the NFI matching aims to address.
18. The data request for concessionary travel has been withdrawn from all local authorities (including SPT) because equivalent local arrangements are in place.

Insurance

19. Providers of insurance services are submitting the insurance data in place of councils, so councils do not need to upload this data.