

Summary

The information presented covers the current caseload of the Counter Fraud Team.

Cases being actively investigated by the Counter Fraud Team are listed in the [Open Cases](#) table.

Cases in which Counter Fraud Team have concluded their investigation but have third party involvement, such as ongoing internal investigation or investigation by professional body, are listed within the [Pending Cases](#) table. These cases remain open on the Counter Fraud Case Management system only for the purposes of recording these outcomes for intelligence purposes.

As cases are closed on the Counter Fraud Case Management system a separate table for [Closed Cases](#) will be presented to the Committee to allow review of final outcome of cases.

Case Status

**Cases Under
Investigation**

3

**Cases Pending 3rd
Party Outcome**

9

Cases Closed 2020/21

14

Case Rates

**Referrals Received
2020/21**

9

**Cases Under Investigation for
Over 12 Months**

2

Sanctions/Outcomes

Criminal Sanctions

2

**Civil Sanctions (Inc.
Financial Recovery)**

2

Disciplinary Sanctions

2

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Year	No of open cases at start of Year	No of referrals received	No of cases closed	No of open cases at close of Quarter	Recoveries £	Sanctions			
						Court Case	Police Caution	Disciplinary	Civil
2019/20	11	13	8	16	£0	0	1	1	1
2020/21	17	9	14	12	£25,468	0	2	2	3

The above table compares cumulative data from 2019/20 up to end of Quarter 3 with 2020/21 data accurate up to end of January 2021.

The number of referrals received in this financial year has decreased when compared to 2019/20. This is thought to be as consequence of Covid-19 leading to a shift of focus amongst staff compounded by a reduced amount of awareness work undertaken by the Counter Fraud Team.

Despite fewer referrals being received the amount of cases closed in period with increased numbers of sanctions alongside an increase in financial recoveries should be seen as a positive. Reduction in case backlog is a result of increased efficiency when undertaking investigations and achieving sanctions within those cases demonstrates the professional approach to investigating cases.

The Counter Fraud Team expect referral rate to increase moving into 2021/22 with an increase in awareness work anticipated, a return to more normal roles amongst staff giving rise to concerns being reported alongside the Team cementing a closer working relationship with WOD colleagues who are a key partner in referrals for counter fraud consideration.

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Open Cases			
Reference Number	Date Opened	Allegation	Status
WARO/19/00050	25/04/2019	Alleged false representations made in respect of the completion and presentation of prescriptions	<p>Case originally investigated by South Wales Police, but subsequently passed to the LCFS to progress.</p> <p>Investigation currently ongoing, with input and support from CFS Wales. Interviews have been held with one subject, the other subject in case however has suffered from poor health delaying enquiry. Following advice, a questionnaire will be presented to the subject in poor health which will be used in lieu of formal interview as part of file submitted to CPS.</p>
WARO/20/00032	24/01/2020	Alleged theft of petty cash	<p>Initial allegation was investigated by South Wales Police who deemed insufficient evidence to proceed with any criminal action.</p> <p>An internal investigation was ongoing relating to disciplinary matters. Further information has come to light relating to false representations relating to employment application including potential falsification of employment history and qualifications. LCFS now investigating new allegations relating to this.</p>
WARO/20/00084	11/09/2020	Alleged overpayment of salary	<p>Overpayment of £8879.31. Financial Investigative support has resulted in money being unable to be located in bank accounts. Interview under caution to be arranged.</p>

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Pending Closure			
Reference Number	Date Opened	Allegation	Status
WARO/17/00114	08/06/2017	Alleged submission of false or misleading overtime claims	<p>Criminal investigations into this matter concluded in August 2019. The CPS concluded that there was insufficient evidence of the required standard to progress to prosecution.</p> <p>Internal disciplinary and NMC investigations remain ongoing. The LCFS continue to support both of these processes as required.</p> <p>This case will remain open until the above investigations have been concluded.</p>
WARO/17/00162	19/10/2017	Alleged to be undertaking alternative employment whilst on sick leave without appropriate authority	<p>Criminal investigations into this matter concluded in November 2019. There was insufficient evidence of the required standard to progress to prosecution.</p> <p>Following a Nursing & Midwifery Council Fitness to Practice Committee meeting, the subject's Interim Suspension Order remains in place.</p> <p>In addition, the matter has been referred for consideration under the Health Board's Disciplinary Policy. The LCFS continue to support these processes as required.</p>

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Pending Closure			
Reference Number	Date Opened	Allegation	Status
WARO/18/00055	06/12/2017	Alleged false representations made in respect of the completion and presentation of prescriptions	<p>Criminal investigations into this matter concluded in February 2020, whereupon the subject entered a guilty plea to a charge of fraud by abuse of position and received a suspended sentence and unpaid work order.</p> <p>All financial losses to the Health Board have been recovered.</p> <p>GMC investigations remain ongoing. Interim conditions have been put in place. The LCFS continue to support this process as required.</p>
WARO/19/00090	24/07/2019	Alleged submission of false or misleading information on a job application form	<p>Investigation concluded. Due to the subject's mental health issues and the lack of available evidence for continuity purposes CPS deemed the case not fit for prosecution and advised civil recovery only. Invoice raised recovery of salary obtained by use of false documentation during application process. Gross £2442.21, Net £2015.60 to be recovered. Case to be closed once repayment agreed.</p>
WARO/19/00091	16/05/2019	Alleged submission of false or misleading information in respect of hospital travel cost claims	<p>Enquiries have established that provable loss is £105. Police National Computer checks showed warning markers for subject of suffering mental health issues including suicidal. Assessed as not in public interest to proceed with criminal case and loss to be pursued as civil recovery only. Process of recovery underway.</p>

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Pending Closure			
Reference Number	Date Opened	Allegation	Status
WARO/19/00138	23/10/2019	Alleged false representations made in respect of the completion and presentation of prescriptions	Facts of case relate to 2 subjects alleged to have stolen blank prescriptions and patient details during a consultation and subsequently presenting false scripts to access drugs. 1 subject has pleaded guilty presenting scripts and received sanction of 150 hours community service, £310 court costs and £90 victim surcharge. Both subjects have been charged with theft of blank prescriptions and entered not guilty pleas. trial date set for February 2021 alongside other unconnected charges.
WARO/19/00093	12/08/2019	Alleged theft of a salary overpayment	<p>Criminal investigations into this matter concluded in November 2019. There was insufficient evidence of the required standard to progress to prosecution, or to be considered for disciplinary action.</p> <p>The above notwithstanding, overpayments have been identified in respect of salary received after termination.</p> <p>Finance Department colleagues are currently liaising with the subject in order to agree a repayment plan.</p> <p>This case will remain open until the above recoveries have been completed.</p>

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Pending Closure			
Reference Number	Date Opened	Allegation	Status
WARO/20/00033	02/10/2019	Alleged to be undertaking alternative employment whilst on sick leave without appropriate authority	Investigations found insufficient evidence of the required standard to pursue criminal action in respect of this matter. Intended that overpaid amount to be pursued on civil basis. The LCFS has had difficulty in obtaining an overpayment calculation from Payroll with enquiries, including escalation, proving fruitless since June 2020. Calculation required to raise invoice for matter to proceed to recovery.
WARO/20/00082	02/09/2020	Alleged overpayment of salary	Overpayment related to continuation of payment for full time hours when contracted hours reduced. Interview under caution has been undertaken. Subject stated that overpayment commenced at time when pay award was given which gave subject an uplift in pay. Subject produced evidence that they had taken efforts to seek to rectify matter when the overpayment was pointed out by manager but has spent the overpayment. Evidentially theft offence is proven but case assessed as lacking dishonest element due to lack of clarity on subject's part relating to overpayment commencing at time of salary uplift. Civil recovery underway of overpayment.

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Closed Cases			
Reference Number	Date Opened	Allegation	Outcome
WARO/20/00021	03/02/2020	Alleged theft of a salary overpayment	Interview under caution has been undertaken. Subject presented evidence of delayed attempts to enquire about overpayment with Health Board. Subject offered full repayment of the overpaid amount at interview and gave bank authority to verify ability to repay amount. Investigations established that money was available to repay and this payment was made by the subject.
WARO/20/00038	24/03/2020	Alleged to be undertaking alternative employment whilst on sick leave without appropriate authority	Unable to corroborate allegation via alleged secondary business. Subject left employment with Health Board in mid-2020.
WARO/20/00041	02/04/2020	Alleged submission of false or misleading information relating to the completion of attendance and time keeping records	Investigations have found this to be an isolated incident which resulted in no loss to the Health Board. A letter was issued to the subject to remind of importance of completing timesheets and paperwork accurately. Nurse Bank Office have been updated to balance the invoice with Agency and no loss was incurred by the Health Board.
WARO/20/00100	14/10/2020	Alleged overpayment of salary	Subject ceased employment but continued to receive wages for 30hrs/week for a period of 7 months total overpaid amount is £13,194.29. LCFS has established that subject contacted Payroll in July. Financial investigation support has shown money was in bank account. The LCFS spoke to the subject and an

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			agreement has been reached to recover full amount in one payment which was subsequently made by the subject.
WARO/20/00106	11/11/2020	Prescription fraud	Intelligence received that patient is obtaining controlled drugs via NHS prescriptions and selling those drugs to others. Potential prescription fraud apparent but supply of drugs took precedence and Police referral was made. Police visited property and found no evidence of wrongdoing; the report was believed by Police to be malicious.