



## **Item 4.1 - Appendix**

### **Counter Fraud Investigations Update Report**

**22 August 2022**

## 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

11

#### Cases Pending 3rd Party Outcome

1

#### Cases Closed 2022/23

8

### Case Rates

#### Referrals Received 2022/03

7

#### Cases Under Investigation for Over 12 Months

2

### Sanctions/Outcomes

#### Criminal Sanctions

1

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

1

#### Disciplinary Sanctions

0

Open Cases			
Reference Number	Date Opened	Allegation	Status
WARO/20/00032	24/01/2020	Alleged theft of petty cash/False representation of employment history and qualifications	<p>A full committal file has been submitted to CPS for consideration for prosecution. Based on assessment of evidence charges are anticipated. Review of file by CPS Prosecutor should be complete in September 2022.</p> <p>The subject resigned their Health Board position whilst disciplinary proceedings were underway.</p> <p>NMC are investigating potential criminal fraud offences committed against that organisation and also assessing professional registration concerns.</p>
INV/21/00041	12/04/2021	Overpayment of Salary	<p>After termination date was entered incorrectly by inputting 2020 instead of 2019 resulting in error in inputting termination information on the system. The subject continued to be paid for 12 months as a result with overpayment totalling Net £8336.70.</p> <p>Subject has failed to attend interview. Subject has denied receiving payments and has given bank mandate authority for Financial Investigator to access account information to assess.</p>

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/21/00449	23/12/2021	Computer Misuse	<p>Allegation that a staff member has downloaded TOR software onto Health Board laptop. TOR is used to access 'dark web' sites. Cyber Security have dealt with immediate risk. Investigation centred around Computer Misuse Act offences.</p> <p>An invite to interview letter was hand delivered to the subject and arrangements made to undertake interview. However interview did not go ahead and concerns raised around fitness for interview after disclosure that subject is self-medicating.</p> <p>Evidence established that subject was in court for a separate drugs offence matter and failed to appear.</p> <p>This has been shared with disciplinary investigation which the LCFS is supporting on.</p>
INV/22/00056	13/01/2022	Working Whilst Sick	Allegation that staff member working privately whilst on sick leave. Enquiries ongoing to establish extent of work and assess requirement for interview.
INV/22/00563	19/05/2022	Overpayment of Salary	The subject has been over paid in error for an extensive period following their employment on a temporary contract on the CTM UHB Covid vaccination program. Information collated so far suggests 2 posts were being paid for the same role, 1 fixed term contract and 1 bank.
INV/22/00664	10/06/2022	Overpayment of Salary	The subject has been over paid in error for an extensive period following their termination from employment; value of concern £27k. Incident has been referred to Financial Investigators who are supporting investigation.

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/00707	21/06/2022	Timesheet Fraud	Timesheets submitted for payment containing signature of a Manager on sick leave from role. Investigations are ongoing.
INV/22/00840	08/07/2022	Private Work in NHS Time	Relates to abuse of agile/homeworking by working for own business during NHS hours. Enquiries ongoing to ascertain extent of potential private work and impact on NHS time.
INV/22/00841	08/07/2022	Prescription Fraud	Health Board employee alleged to have amended genuine prescription in attempt to obtain an additional quantity of controlled drugs. Joint investigation being undertaken to ensure safeguarding of individual.
INV/22/00842	08/07/2022	Amendment of Fitness for Work Certificate	A genuine Med3 Fitness for Work Certificate was presented by staff member which appears to have been altered to state condition of long covid. Investigation seeking to confirm veracity of Med3 Certificate presented.
INV/22/00843	08/07/2022	Timesheet Fraud - Agency	The subject submitted claims for four consecutive overlapping 12 hour shifts at different locations in the Health Board during a 48 hour period. Investigation gathering information from Agencies and ID verification. Possible weakness in shift booking processes being explored which may result in local proactive exercise and risk assessment work being taken forward separately from investigation.

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>The subject was dismissed from employment with the Health Board following internal process.</p> <p>NMC investigations remain ongoing. The LCFS continue to support this process as required.</p> <p>This case will remain open until the NMC investigation has been concluded.</p>

Closed Cases			
Reference Number	Date Opened	Allegation	Outcome
INV/22/00705	21/06/2022	Working elsewhere whilst in receipt of occupational sick pay	The LCFS investigation identified that there was circumstantial evidence that the subject was undertaking work for a band whilst on sick leave, however, the Manager was fully aware of this fact and the subject was open and honest in sickness review interviews. There would therefore be a lack of dishonesty in this case and no realistic prospect of conviction
INV/22/00665	10/06/2022	Overpayment of salary due to reducing working hours but continuing to receive full pay for 18 months	A review of pay information found that the pay received by this individual fluctuated month to month via payment of enhancements. Additionally the period of concern converged with a pay award commencing. Dishonesty in this case would be difficult to demonstrate to the required threshold. Financial investigators at CFS Wales also found the case unsuitable for investigation. The matter was returned to Payroll/Finance for normal recovery mechanisms to continue.