



## **Item 4.1 - Appendix**

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

**24 October 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

16

#### Cases Pending 3rd Party Outcome

1

#### Cases Closed 2022/23

13

### Case Rates

#### Referrals Received 2022/03

20

#### 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 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. This has caused issues however with Bank not releasing information. Transaction data will be gathered Health Board side and included in a submission file to CPS.</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. A hearing date has been set for mid-October.</p>
INV/22/00563	19/05/2022	Overpayment of Salary	<p>The subject has been overpaid in error for an extensive period following their employment on a temporary contract on the CTM UHB Covid vaccination program. Information collated suggests 2 posts were being paid for the same role, 1 fixed term contract and 1 bank. An interview has been undertaken and account gained from subject. A case file is being prepared for CPS submission.</p>
INV/22/00706	21/06/2022	Timesheet Fraud	<p>Timesheets submitted for payment containing signature of a Manager on sick leave from role. Investigations are ongoing with Computer Network logs being gathered to ascertain accesses and subsequent sign off.</p>

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/00707	21/06/2022	Leave Fraud	False information given in order to gain Special Leave. Investigation have established evidence corroborating allegation. This was shared with managers and parallel disciplinary and fraud investigations ongoing. An interview is being planned to gain account from subject.
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. Initial enquiries have established no NHS financial loss with items not dispensed. Fraud enquiry awaits outcome of disciplinary action to assess proportionate response.
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 has corroborated that Med3 certificate have been altered. Further analysis of previous Med3 is being undertaken and an interview is planned.

Open Cases			
Reference Number	Date Opened	Allegation	Status
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.
INV/22/01135	18/08/2022	Agency worker sent family member to cover shift	Enquiries have established that shift was not undertaken as identity challenged at ward upon arrival. Both family members were registered with agency. Subject's have provided account to agency that originally booked worker had covid so could not attend. No financial loss to HB. Both persons removed from HB approved agency staff list. Both persons subsequently removed from agency. An exercise is underway to assess risk around this incident.
INV/22/01137	18/08/2022	Patient selling prescribed medication	Joint investigation being undertaken with South Wales Police. Reported by member of public known to subject. Intelligence established that there is a long running dispute between the parties. Enquiries seeking to corroborate information.
INV/22/01138	18/08/2022	Non-completion of contracted hours and leave fraud	Evidence has been established of working patterns via digital and locally held records these are being assessed against timesheets and leave records.
INV/22/01232	06/09/2022	Overpayment of salary	Evidence being assessed of entitlement to leave which may influence entitlement to payments.

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/01233	06/09/2022	Overpayment of salary	Enquires have established that subject had a fixed term contract related to Covid recruitment. This should have ended and subject continued to work for Bank. However fixed term pay continued alongside Bank payments. Enquiries ongoing to establish loss.
INV/22/01317	16/09/2022	Inappropriate allocation of contracts	Allegation received regarding possible collusion or malpractice on the allocation of NHS contracts to a firm linked to a family member. Initial enquires have established that family member to be sub-contractor of contract awardee and family member has no direct influence in procurement processes. Documentation is being verified to corroborate.

Pending Closure			
Reference Number	Date Opened	Allegation	Status
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. It has been established that the subject has funds in bank account. Civil recovery is underway and no criminal action required in this instance.



Closed Cases			
Reference Number	Date Opened	Allegation	Outcome
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>Discussions with CFS Wales around planned closure of case management system prompt closure whilst NMC action ongoing. Record will be held locally and outcome to be captured once complete.</p>
INV/22/00056	13/01/2022	Working Whilst Sick	Investigation established that no work had been completed for secondary employer whilst sick from substantive Health Board post.
INV/22/01136	18/08/2022	Agency worker sent friend to cover shift	<p>Enquiries established that agency worker provided account that they had sent friend as they lived closer to the hospital. The shift booked was not undertaken following challenge on ward upon arrival therefore there has been no financial loss to the Health Board as a result of this action. This particular agency worker has been removed from CTM UHB agency staff record list and will no longer be engaged by CTM UHB.</p> <p>This is a distinct case to INV/22/01135 but core risk is the same. Risk exercise to assess is being undertaken.</p>

INV/22/01139	18/08/2022	Forged Med3 Fitness for work certificate	Initial enquiries established that Med3 certificate was genuine.
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