



## **Item 4.1 – Appendix 2**

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

**13 February 2023**

## 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

12

#### Cases Pending 3rd Party Outcome

0

#### Cases Closed 2022/23

22

### Case Rates

#### Referrals Received 2022/23

26

#### Cases Under Investigation for Over 12 Months

2

### Sanctions/Outcomes

#### Criminal Sanctions

1

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

4

#### 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. A first review of prosecution file has been completed by CPS Prosecutor, an action plan was set and returned the same week. Further review has been undertaken by CPS and LCFS investigators will meet with Prosecutors in February to discuss strategy.</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/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.</p> <p>A case file is being prepared for CPS submission.</p>
INV/22/00707	21/06/2022	Leave Fraud	<p>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.</p> <p>An interview is being planned to gain account from subject. Given the low level of criminal fraud and the swift advancement of the disciplinary case that process is taking precedence at this time.</p>
INV/22/01137	18/08/2022	Patient selling prescribed medication	<p>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.</p>
INV/22/01138	18/08/2022	Non-completion of contracted hours and leave fraud	<p>Evidence has been established of working patterns via digital and locally held records these are being assessed against timesheets and leave records.</p>

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/01232	06/09/2022	Overpayment of salary	Enquiries have established an overpayment with gross value of £7628.47 following leaving Health Board employment. An interview has been undertaken to gain account from subject. The subject attended interview and gave full admission of having knowledge of payments and spending money when not entitled to. The subject has provided mitigation of conduct and bank account activity is being reviewed to corroborate.
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. Enquiries have established an overpayment with gross value of £7766.33. An interview has been undertaken and account gained from subject. Follow up enquiries are being pursued.
INV/22/01512	18/10/2022	Falsification of qualifications amongst care home staff	Anonymous allegation received via the NHS fraud and corruption reporting line. Enquiries have established that the care home in allegation has closed down. Information has been sought from Health Board regarding potential impact on any NHS funded services. Information has also been shared with RCT Council for their consideration.
INV/22/01513	18/10/2022	Timesheet Fraud	Allegation that staff have been accessing their work rosters to add in additional hours. Enquiries ongoing to establish evidence to review.

Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/01535	21/10/2022	Timesheet Fraud	Allegation received via the NHS fraud and corruption reporting line. Staff member alleged to using SPA time to complete additional shifts. Investigation ongoing.
INV/23/00117	16/01/2023	Prescription Fraud	Patient presented falsified prescription for controlled drugs at a community pharmacy. Prescription found to be a genuine blank NHS script which was stolen from an independent prescriber at another pharmacy believed to have been handwritten by the person presenting. Police are investigating, LCFS is supporting via the drugs liaison officer and reviewing risk.

Closed Cases			
Reference Number	Date Opened	Allegation	Outcome
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 has been completed and funds recovered.
INV/22/00706	21/06/2022	Timesheet Fraud	<p>Timesheets submitted for payment containing signature of a Manager on sick leave from role.</p> <p>Investigation sought to corroborate work completed via Computer Network logs. This proved to be unreliable with data gained unsuitable for use in investigation. The subject's Outlook account was examined but again this is only an indication of work completed and unsuitable for use as primary evidence.</p> <p>Witnesses have been approached and have given account of no concerns relating to work completed by subject.</p> <p>The investigation is inconclusive and has established no evidence of overclaim but equally no evidence giving assurance that work was completed. No reasonable lines of enquiry remain and investigation will conclude on that basis.</p>
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

			<p>been altered to state condition of long covid. Investigation has corroborated that Med3 certificate have been altered to include long covid but that the other condition mentioned on the Med3 is genuine. A further Med3 Fitness for Work Certificate was issued by the subject's doctor stating long covid. The doctor subsequently confirmed that the terms were referring to the same condition. Although a certificate has been altered there is no loss to the Health Board and therefore no fraud offence established.</p>
INV/22/01528	20/10/2022	Recruitment Fraud	<p>Employment reference from another Health Board is alleged to have been falsified or amended. The reference is for an agency worker and was supplied by the recruitment agency. Enquiries established that an amended reference has been supplied to another organisation but original unamended reference was received by the Health Board.</p>
INV/22/01582	01/11/2022	Sickness Fraud	<p>Submission of 3 different self-certification notes with differing dates covering absence from Bank Post. Investigation has established that subject submitted a self-certification note in error and was advised this was incorrect. A further note was produced which was believed to be incorrect again upon submission prompting a further note. It transpired no note was ever required as no shifts were booked. No fraud has been established.</p>