



Item 4.1 – Appendix 3

Counter Fraud Investigations Update Report

12 December 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**

15

**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

0

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

4
£38,496

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 is being undertaken by CPS.</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/22/00706	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>

Open Cases

Reference Number	Date Opened	Allegation	Status
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/22/00842	08/07/2022	Amendment of Fitness for Work Certificate	<p>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 to include long covid but that the other condition mentioned on the Med3 is genuine. It would be difficult to establish financial loss in this case due to the genuine sickness. Information has been shared with WOD and management for consideration of disciplinary in this case.</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 arranged to gain account from subject.
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 arranged to gain account from subject.
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.
INV/22/01528	20/10/2022	Recruitment Fraud	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 are ongoing to establish the legitimacy of the reference and the party who potentially amended this.

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/22/01582	01/11/2022	Sickness Fraud	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.

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
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>Information was shared with Health Board which resulted in dismissal.</p>
INV/22/00840	08/07/2022	Private Work in NHS Time	<p>Relates to abuse of agile/homeworking by working for own business during NHS hours along with potential dual working with overlapping substantive and bank shifts.</p> <p>Investigation established no evidence of working elsewhere whilst working from home. Analysis of bank shifts against substantive shifts established a cross over of one bank shift which amounted to 3 hours. It would be disproportionate to pursue this low level potential offence criminally and information was therefore shared with management. It transpired that management had knowledge of this working</p>

			arrangement. Advice was provide to management around tightening of time recording.
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. This will be addressed without formal disciplinary proceedings via subject's management.
INV/22/00843	08/07/2022	Timesheet Fraud - Agency	<p>The subject submitted claims for four consecutive overlapping 12 hour shifts at different locations in the Health Board during a 48 hour period. No evidence could be established that shifts hadn't been completed although risks arising from this case are clear.</p> <p>Possible weakness in shift booking processes being explored in local proactive exercise and risk assessment work being taken forward separately from investigation.</p>
INV/22/01135	18/08/2022	Agency worker sent family member to cover shift	<p>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.</p> <p>A local proactive exercise is underway to assess risk around this incident.</p>

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. Enquiries established that named subject had no influence in the procurement of services from the business in question which is part of an All-Wales contract. Further management had knowledge of the link between staff member and contractor. No fraud or corruption was established.
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