

**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.

<b>Case Status</b>		
<b>Cases Under Investigation</b>	<b>Cases Pending 3rd Party Outcome</b>	<b>Cases Closed 2021/22</b>
16	4	10

  

<b>Case Rates</b>	
<b>Referrals Received 2021/22</b>	<b>Cases Under Investigation for Over 12 Months</b>
17	3

  

<b>Sanctions/Outcomes</b>		
<b>Criminal Sanctions</b>	<b>Civil Sanctions (Inc. Financial Recovery)</b>	<b>Disciplinary Sanctions</b>
1	6	0

## Item 4.1 Appendix 2

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	An MG3 report to Crown Prosecutor has been sent to CPS for advice.
WARO/20/00032	24/01/2020	Alleged theft of petty cash/False representation of employment history and qualifications	<p>Initial allegation of theft of petty cash 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 came to light relating to false representations relating to employment application including potential falsification of employment history and qualifications. A disciplinary hearing has been arranged.</p> <p>A meeting was held with CPS for advice. An action plan has been agreed with full committal file now being produced for consideration.</p>

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Open Cases			
Reference Number	Date Opened	Allegation	Status
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. A file of evidence was sent to CPS for consideration for prosecution. A conditional caution was authorised by CPS, this was conditional on repayment of the overpayment.</p> <p>Repayment has been received from the subject. Approach to Police to apply caution has resulted in advice that operational strategy for Police forces is to move away from applying cautions and seek restorative justice via engagement pathways. This is being offered to the subject.</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 been invited for interview under caution. Subject was assessed as unfit for interview at that time due to health complications.</p> <p>Subject has denied receiving payments but this has been confirmed via FI intelligence. Investigation is held pending fitness considerations.</p>
INV/21/00232	20/09/2021	Prescription Fraud	<p>Allegation that relating to the collusion of prescription fraud.</p> <p>Investigation continuing with input from the Health Board's Clinical Governance Lead.</p>

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Reference Number	Date Opened	Allegation	Status
INV/21/00311	31/10/2021	Overpayment of Salary	Student Nurse Case. The subject has been paid a salary in error of £16,000 gross after leaving the Health Board. To be investigated by LCFS at the Health Board with early consultation with FI at CFS Wales.
INV/21/00312	01/11/2021	Overpayment of Salary	Student Nurse Case. The subject has been overpaid almost £15,000 in error after leaving the Health Board, referral to be investigated by the Health Board LCFS with early consultation with FI at CFS Wales.
INV/21/00313	01/11/2021	Overpayment of Salary	The subject has been paid £8397.39 in error after leaving their post at the Health Board and has made no effort to contact the Health Board, issue to be investigated by LCFS with early consultation with FI at CFS Wales.
INV/21/00321	03/11/2021	Overpayment of Salary	The subject has been overpaid in error for several months after reducing their hours from 24 hours to 12 hours per week and has made no effort to contact the Health Board or Payroll. issue to be investigated by LCFS at the Health Board with early consultation with FI at CFS Wales.

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Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/21/00337	08/11/2021	Overpayment of Salary	Student Nurse Case. The subject has been overpaid around £14,000 after leaving their employment at the Health Board. Issue to be investigated by LCFS at the Health Board with early consultation with FI at CFS Wales.
INV/21/00339	09/11/2021	Overpayment of Salary	Student Nurse Case. The subject has been paid a salary for a period of several months after leaving a fixed term NHS contract. Issue to be investigated by LCFS at CTM UHB with early consultation with FI at CFS Wales.
INV/21/00371	25/11/2021	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/21/00420	14/12/2021	Working Whilst Sick	Subject alleged to have been working whilst on sick leave. The LCFS was unable to identify the business that the subject was alleged to have worked at however and could not pursue further enquiries.
INV/21/00449	23/12/2021	Computer Misuse	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.

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Open Cases			
Reference Number	Date Opened	Allegation	Status
INV/22/00010	05/01/2022	Working Whilst Sick	Allegation that staff member working for own business whilst on sick leave. Enquiries ongoing to establish extent of work and assess requirement for interview.
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.

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Pending Closure			
Reference Number	Date Opened	Allegation	Status
INV/21/00231	20/09/2021	<p>Allegation of inappropriate use of donations made to a Ward by one of the Ward Managers.</p> <p>Investigation has gathered evidence of financial records linked to the Charitable Funds and donations made to the Ward.</p> <p>Assessment of records resulted in no criminal concerns of personal use of charitable funds. Evidence was established of failure to follow any procedure in use of funds however and this has been referred to Managers for consideration.</p>	<p>No evidence to support a criminal investigation established.</p> <p>Findings fed back to Managers to consider any potential disciplinary action.</p>
WARO/17/00114	08/06/2017	<p>Alleged submission of false or misleading overtime claims</p>	<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>

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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/19/00138	23/10/2019	Alleged false representations made in respect of the completion and presentation of prescriptions	<p>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. Information from Police was that theft was to be charged and dealt with at Court in February 2021 – it transpired that this had actually been dealt with at the earlier hearing and a subjects convicted of theft and fraud offences at that time.</p>

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Closed Cases			
Reference Number	Date Opened	Allegation	Outcome
WARO/19/00091	16/05/2019	Alleged submission of false or misleading information in respect of hospital travel cost claims	Enquiries have established that the 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 has been recovered on a civil basis.
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.
INV/21/00233	20/09/2021	<p>Allegation that members of staff Health Board Service across The Health Board are receiving cash payment for duties.</p> <p>An external investigation established practices known to managers of small gifts of cash left for staff. This feeds back to previous outdated practices in this area.</p>	<p>The LCFS has reviewed the situation and was able to evidence to criminal standard one incident of cash payment. This case does not give rise to a realistic prospect of conviction.</p> <p>Alongside an internal investigation a local proactive exercise was undertaken. This included a comprehensive counter fraud risk assessment in this area with an action plan agreed with Managers to address risks established. Gifts and hospitality policy was reviewed and adjusted to overtly prohibit acceptance of cash gifts.</p>

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INV/21/00234	20/09/2021	<p>Allegation was received that a CAMHS Doctor was self-prescribing and prescribing to family members medications not associated with their role.</p>	<p>Enquiries established that the subject was a recent arrival into the UK and that this practice was normal in country of origin. A criminal investigation would not establish dishonesty in these circumstances.</p> <p>The subject self-referred to GMC and has been reprimanded internally.</p>
INV/21/00307	28/10/2021	<p>Anonymous letter received alleging that false information provided regarding employment history during recruitment process including prior experience.</p> <p>Enquiries have established that previous employment history provided within the application form by subject is truthful. The investigation has been unable to corroborate allegations made. This case is unlikely to result in realistic prospect of conviction.</p> <p>Findings will be shared with Workforce colleagues who also received a copy of the anonymous letter.</p>	<p>No evidence of providing false information established.</p>