



## PWYLLGOR ARCHWILIO A SICRWYDD RISG AUDIT AND RISK ASSURANCE COMMITTEE

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	18 October 2022
<b>TEITL YR ADRODDIAD: TITLE OF REPORT:</b>	Counter Fraud Update
<b>CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:</b>	Huw Thomas, Director of Finance
<b>SWYDDOG ADRODD: REPORTING OFFICER:</b>	Ben Rees, Head of Counter Fraud

**Pwrpas yr Adroddiad (dewiswch fel yn addas)**

**Purpose of the Report (select as appropriate)**

Er Gwybodaeth/For Information

### ADRODDIAD SCAA SBAR REPORT

#### Sefyllfa / Situation

This report provides to the Audit & Risk Assurance Committee an update on the Counter Fraud work completed within Hywel Dda University Health Board (HDdUHB). This ensures compliance with the Welsh Government Directives for Countering Fraud in the NHS and the NHS Counter Fraud Authority Requirements of the Government Functional Standard GovS 013: Counter Fraud.

The report will present a breakdown as to how resource has been used within Counter Fraud, alongside an overview of key work areas completed against the 4 NHS Counter Fraud Authority standard areas.

#### Cefndir / Background

To evidence the provision of services within a sound governance framework.

#### Asesiad / Assessment

The Health Board is compliant with the Welsh Government Directives.

#### Argymhelliad / Recommendation

The Audit & Risk Assurance Committee is invited to receive for information the Counter Fraud Update Report and appended items.

### **Amcanion: (rhaid cwblhau)**

#### **Objectives: (must be completed)**

Committee ToR Reference: Cyfeirnod Cylch Gorchwyl y Pwyllgor:	3.2 In particular, the Committee will review the adequacy of: 3.2.4 the policies and procedures for all work related to fraud and corruption as set out in National Assembly for
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	Wales Directions and as required by the Counter Fraud and Security Management Service.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Not applicable.
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	Governance, Leadership and Accountability
Amcanion Strategol y BIP: UHB Strategic Objectives:	3. Striving to deliver and develop excellent services 6. Sustainable use of resources
Amcanion Cynllunio Planning Objectives	Not Applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Objectives Annual Report 2018-2019</a>	10. Not Applicable

<b>Gwybodaeth Ychwanegol: Further Information:</b>	
Ar sail tystiolaeth: Evidence Base:	Counter Fraud Workplan 2022/23
Rhestr Termau: Glossary of Terms:	LCFS – Local Counter Fraud Specialist/s CFS Wales – Counter Fraud Services Wales NHS CFA – NHS Counter Fraud Authority
Partïon / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Archwilio a Sicrwydd Risg: Parties / Committees consulted prior to Audit and Risk Assurance Committee:	Not applicable.

<b>Effaith: (rhaid cwblhau) Impact: (must be completed)</b>	
<b>Ariannol / Gwerth am Arian: Financial / Service:</b>	Not applicable.
<b>Ansawdd / Gofal Claf: Quality / Patient Care:</b>	Not applicable.
<b>Gweithlu: Workforce:</b>	Not applicable.
<b>Risg: Risk:</b>	Not applicable.
<b>Cyfreithiol: Legal:</b>	Not applicable.

<b>Enw Da: Reputational:</b>	Not applicable.
<b>Gyfrinachedd: Privacy:</b>	Not applicable.
<b>Cydraddoldeb: Equality:</b>	Not applicable.



## **HYWEL DDA UNIVERSITY HEALTH BOARD**

### **COUNTER FRAUD UPDATE**

**For Presentation 18<sup>th</sup> October 2022**

The NHS Protect Standards are set in four generic areas:

- Strategic Governance
- Inform and Involve
- Prevent and Deter
- Hold to Account


AREA OF ACTIVITY	Resource Allocated (days) 2022/23	Resource Used (days) as at 30/09/2022
STRATEGIC GOVERNANCE	40	17.5
INFORM AND INVOLVE	85	46
PREVENT AND DETER	120	72
HOLD TO ACCOUNT	175	88
TOTAL	420	223.5

Work Area	Summary of work areas completed
Inform and Involve	<ul style="list-style-type: none"> <li>• All new inductees have completed the Health Board's induction programme and the Counter Fraud mandatory training programme.</li> <li>• Counter Fraud content on the Health Board's Medicines Safety learning days has again been delivered to Nurses by way of virtual sessions.</li> <li>• Counter Fraud presentations continue to be delivered to the Overseas Nurses Cohort. Raising awareness of Fraud, Bribery and Corruption, in addition to raising awareness of recent scams involving immigration and rental properties.</li> <li>• The Autumn Newsletter has been prepared and circulated via the global messaging system to all staff. A link to the document will be shared during the CF section of the ARAC meeting. This document will focus on the effect of the current economic climate and the impact this may have on Fraud both within the NHS and society.</li> <li>• A Counter Fraud Awareness questionnaire was issued to all staff via global and the responses have been collated, analysed and a report has been appended to this report (Appendix 1). A summary of the highlights are: <ol style="list-style-type: none"> <li>1. 90% of respondents were aware that the HB employs an LCFS.</li> <li>2. 65% were aware that the Counter Fraud Department had an intranet page.</li> <li>3. 75% were aware that a Counter Fraud, Bribery and Corruption Policy was in existence and over 80% know how to access Health Board policies.</li> <li>4. 60% of staff know how to contact us, 40% did not and 15% did not know how to report fraud, although almost 100% of staff agreed that any concerns of Fraud, Bribery or Corruption should be reported to the LCFS.</li> <li>5. 100% of staff understood that we all pay for fraud in the NHS.</li> </ol> <p>In response to the questionnaire, further work will be undertaken to raise Counter Fraud awareness,</p> </li> </ul>

	<p>objectives and reporting mechanisms. International Fraud Awareness Week is due to take place in November and efforts will be made to physically promote awareness amongst front line staff across the Health Board area.</p> <ul style="list-style-type: none"> <li>• Since the last report, a total of 3 Global awareness messages / alerts have been issued, raising awareness of fraud in the NHS.</li> </ul>
<p><b>Prevent and Deter</b></p>	<ul style="list-style-type: none"> <li>• The Counter Fraud Bribery and Corruption Policy is now live and available via the intranet.</li> <li>• Further Local Proactive exercises have been identified following the receipt of intelligence. This exercise will involve working with the Rostering Department to identify fraud patterns / trends in connection with the new roster system. Analysis undertaken thus far has identified potential pieces of work that can be undertaken on a monthly / quarterly basis by the department. This work is currently taking priority over other exercises and will be completed in the coming weeks with assistance from a graduate scheme employee and the results will be fed back to future in-committee sessions. Due to the nature of the intelligence and ongoing work, questions on this topic will be welcomed in the in-committee session.</li> <li>• As mentioned at the last meeting a pro-active exercise into overpayments of salary was commenced. Although results have returned, we are not in possession of all of the required data, however, what has returned has indicated that processes are being followed and no overpayments have been identified thus far, but errors associated with budget codes were highlighted. These have since been rectified and ESR updated. A final paper, which will include the findings, will be presented at the next meeting.</li> <li>• Following a Risk Assessment into Purchase / Credit Card usage pro-active exercise has been commenced, looking into purchases made and whether relevant policies were followed, which will include identifying why the transaction was completed by card rather than other methods, such as the Catalogue system or Multiquote.</li> </ul>

	<ul style="list-style-type: none"> <li>• A review of the risks linked to Mortuary Services has been undertaken with the directorate, culminating with the completion of a Risk Assessment, which is due for a final review week commencing 17<sup>th</sup> October 2022. Following sign off, the department will be asked to record the risk on Datix and manage locally. The risk level is anticipated to be low, however any recommendation will need to be monitored via Datix at a local level.</li> <li>• Work on the committee's request to undertake a Fraud Risk Assessment into the impact of the current economic crisis on fraud in the NHS has commenced and Workforce have been contacted to offer support on mitigating the risks identified. Initial observations are that the HB, has in existence a number of adequate controls to mitigate the risk of Fraud, Bribery and Corruption, but there will be a greater need to ensure staff are aware of these and utilise them to their full effect. There will be a need to provide staff with sufficient information on Fraud related issued and controls, empowering them to adequately identify and report concerns in a timely manner. In addition to the above, there will need to support those who are experiencing difficulties and encourage dialogue, which will help reduce the risk of an employee committing an offence. Collaborative working will be key to mitigating the economic impact on fraud within the NHS.</li> <li>• The CF team continues to engage with Internal Audit, with future meetings planned throughout the year.</li> </ul>
<b>Hold to Account</b>	<ul style="list-style-type: none"> <li>• A number of new referrals have been received into the department over the last two months, with significant work being undertaken around these, including interviews under caution. These are noted within a separate report, for discussion during the closed In-Committee session.</li> </ul>
<b>Strategic Governance</b>	<ul style="list-style-type: none"> <li>• Quarterly statistics (Q2 2022/23) have been submitted to Counter Fraud Service (CFS) Wales and in compliance with WG directions and we are awaiting their report.</li> <li>• The LCFS attended a quarterly PPV meeting, during which issues relating to current error trends were raised and discussed, with a view to identifying potential risk areas. These meetings will continue throughout the year.</li> </ul>



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- The Lead LCFS and Fraud Champion continue to meet on a bi-monthly basis, offering both parties the opportunity to raise and discuss areas of concern.

***Report Provided by:***  
***Ben Rees***  
***Lead Local Counter Fraud Specialist***

***Report agreed by:***  
***Huw Thomas***  
***Director of Finance***

For presentation; 18<sup>th</sup> October 2022

# Counter Fraud Awareness Questionnaire.

70  
Responses

04:52  
Average time to complete

Active  
Status

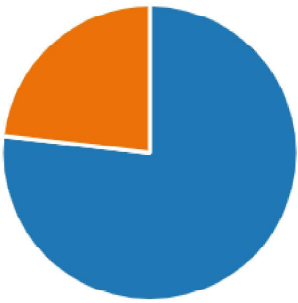
1. Are you aware that the Health Board employs Local Counter Fraud Specialists ( LCFS ), specially trained to address all matters of Fraud and Corruption (aka Counter Fraud Department)?



2. Do you know that the Counter Fraud Department have an intranet page, dedicated to Counter Fraud?  
You can access the site via the following path:  
Home Page - Directorate - Finance and Procurement - Counter Fraud



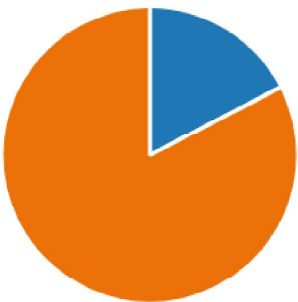
3. Did you know that the Health Board has a Counter Fraud, Bribery and Corruption Policy to support all staff in dealing with matters of fraud / corruption?



4. Do you know how to access the Counter Fraud and other Health Board Policies?



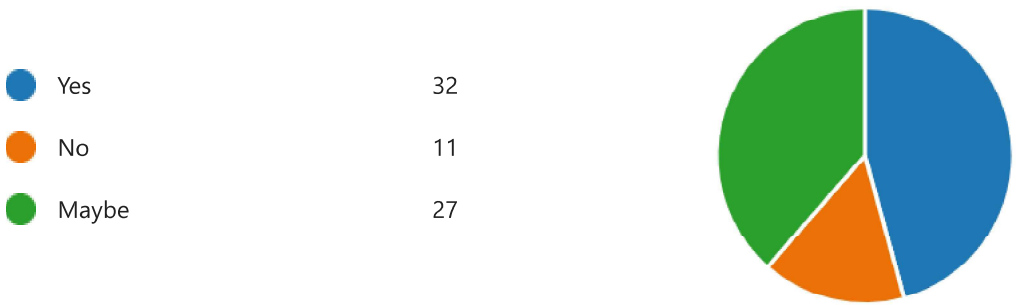
5. Have you ever needed to consult the Health Boards Counter Fraud, Bribery and Corruption Policy?



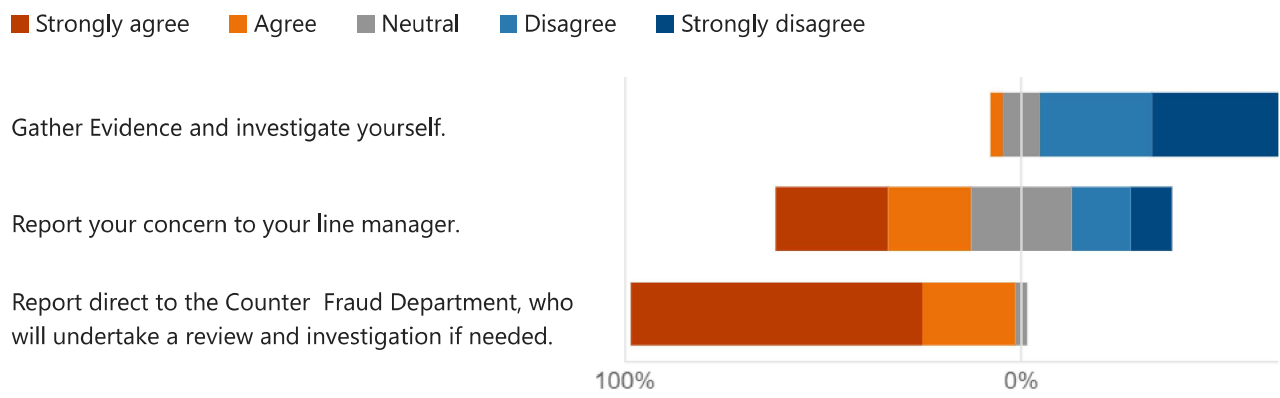
6. Do you know how to contact your Local Counter Fraud Specialist?



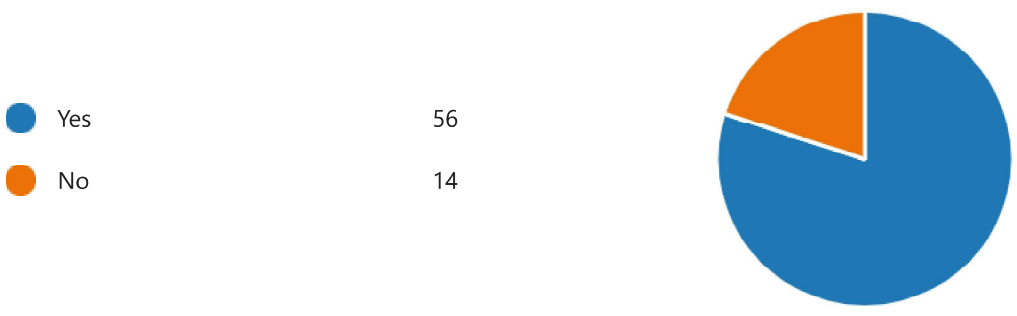
7. Do you know how to report allegations of Fraud, Bribery or Corruption?



8. If you suspect a concern of fraud or corruption, then what action should you take?

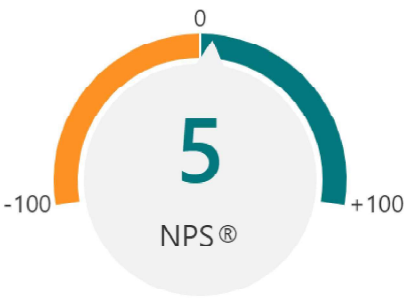


9. Have you completed the Counter Fraud e-learning package?



10. Having completed the training would you say that your level of fraud awareness has increased?

Promoters	19
Passives	23
Detractors	16



11. Please watch the following video and proceed to the next question when finished.

# YouTube Video

12. Having watched the above video, who pays for NHS Fraud?

- No one, its just government mo... 0
- The NHS is somehow reimbursed. 0
- The cost of Fraud in the NHS im... 70

