

- 7.1 Counter Fraud Update  
*Presenter: Matthew Evans*  
SBAR Counter Fraud Update December 2019  
Counter Fraud Review Update December 2019  
NHS Wales Counter Fraud Services in NHS Wales Q2 Report



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

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	19 December 2019
<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>	Matthew Evans, 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 Audit & Risk Assurance Committee the Counter Fraud update on the work completed within Hywel Dda University Health Board (HDdUHB). This ensures compliance with the Welsh Government (WG) Directives for Countering Fraud in the NHS and the NHS Counter Fraud Authority Standards for NHS Bodies (Wales).

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 generic standard areas.

**Cefndir / Background**

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

**Asesiad / Assessment**

The Health Board is compliant with the WG Directives.

**Argymhelliad / Recommendation**

The Audit & Risk Assurance Committee is requested to receive this update for information.

**Amcanion: (rhaid cwblhau)**

**Objectives: (must be completed)**

Committee ToR Reference Cyfeirnod Cylch Gorchwyl y Pwyllgor	5.2 In particular, the Committee will review the adequacy of: 5.2.4 the policies and procedures for all work related to fraud and corruption as set out in National Assembly for Wales Directions and as required by the Counter Fraud and Security Management Service.
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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:	Not Applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Statement</a>	Not Applicable

<b>Gwybodaeth Ychwanegol: Further Information:</b>	
Ar sail tystiolaeth: Evidence Base:	Counter Fraud Workplan 2019/20
Rhestr Termau: Glossary of Terms:	LCFS – Local Counter Fraud Specialist
Partion / 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 2019/20**

**For Presentation 19 December 2019**

The NHS Protect Standards are set in four generic areas:

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

<b>AREA OF ACTIVITY</b>	<b>Resource Allocated (days) 2019/20</b>	<b>Resource Used (as at 30/11/2019) (days) 2019/20</b>
<b>STRATEGIC GOVERNANCE</b>	50	28
<b>INFORM AND INVOLVE</b>	90	45
<b>PREVENT AND DETER</b>	90	58
<b>HOLD TO ACCOUNT</b>	190	149
<b>TOTAL</b>	<b>420</b>	<b>280</b>

Work Area	<i>Summary of work areas completed</i>
<b>Inform and Involve</b>	<ul style="list-style-type: none"> <li>• As of 30 November 2019 a total of 1095 staff have received counter fraud training. This includes 833 new inductees to the Health Board and 262 existing staff during counter fraud presentations.</li> <li>• 10 Global awareness messages surrounding the following topics – <ul style="list-style-type: none"> <li>- Courier Fraud, Bogus Police and Bank Officials Alert</li> <li>- Instagram and Snapchat Security Alert</li> <li>- Online Marketplace Fraud</li> <li>- Disseminate Spring Newsletter</li> <li>- Phishing Warning – Bank Card and PIN Theft</li> <li>- ESR Payroll Scam Advice</li> <li>- Advice on spate of targeted vishing calls seeking Agency Worker information</li> <li>- Advice on Bank scam vishing calls</li> <li>- Disseminate Summer Newsletter</li> <li>- Text message scam around Council Tax Refund</li> </ul> </li> </ul> <p>The LCFS has also been mirroring Global Emails via the Staff Bulletin Board, following advice that this is a high traffic intranet page with greater reach.</p>
<b>Prevent and Deter</b>	<ul style="list-style-type: none"> <li>• 10 NHS Alerts have been disseminated to relevant stakeholders within the Health Board and Departments.</li> <li>• Work on Phase 2 of the NHS Counter Fraud Authority led national procurement fraud detection exercise is continuing. Meetings have been held with relevant parties in Procurement and risk assessments have been carried out in relation to 5 key areas of procurement fraud risk including buying goods and services, contract reviews, contract splitting, due diligence and supplier code of practice adherence. Phase 3 of the exercise is due to commence in the New Year with NHS Counter Fraud Authority following up on any identified issues with submitted data.</li> <li>• The Health Board has taken part in a thematic assessment undertaken by NHS Counter Fraud Authority. The assessment has involved completing a short questionnaire in key areas of Procurement, Finance and Recruitment. Reply has been issued and follow up actions will be received from the NHS Counter Fraud Authority</li> </ul>

	<p>Inspector if needed.</p> <ul style="list-style-type: none"> <li>• The LCFS attended a meeting of the Task and Finish Group established to review and improve the Health Board's current arrangements around overpayment of salary. The Group have established the following proposed actions: <ul style="list-style-type: none"> <li>- The All Wales Overpayment Policy is being led by Aneurin Bevan University Health Board a draft document is being sourced for review. The Group have also identified a requirement for an Underpayments Policy/Procedure as current Policy Framework lack specifics on how underpayments will be processed.</li> <li>- A resource pack will be developed for use by managers to ensure increased accessibility of relevant resources which in turn will increase clarity on employment processes.</li> <li>- The Health Board will move away from use of paper forms for termination and utilise existing electronic forms to be provided by the Payroll Department. Discussions with the Informatics Team are ongoing around possible use of an Excel based form which is designed to guide Managers through all aspects of Payroll is being undertaken.</li> <li>- Overpayments will be examined going forward and departments and/or individual managers held to account in instances of poor performance. Cases will be reviewed via the Directorate Performance Reviews.</li> <li>- Once changes are in place to go live widespread communications will be issued to staff. This will include utilising a mailing list developed from users of ESR Managers Self-Service as a targeted approach.</li> </ul> </li> </ul> <p>These suggested actions meet all recommendations made following LCFS review for investigated cases. The LCFS will remain part of the group to ensure fraud prevention input throughout.</p>
<b>Hold to Account</b>	<ul style="list-style-type: none"> <li>• A separate report has been completed for Hold to Account case updates for discussion during the closed In-Committee session.</li> </ul>
<b>Strategic Governance</b>	<ul style="list-style-type: none"> <li>• Quarterly statistics have been submitted to Counter Fraud Service Wales and in compliance with WG directions. A Quarter 2 report has subsequently been issued which includes data from across NHS Wales. The LCFS has developed a statistical report based on this data which is appended to this report.</li> <li>• The LCFS attended the English Counter Fraud Managers Group Conference. This gave a good opportunity to view firsthand the work being undertaken over the Border. NHS Counter Fraud Service Scotland sent a representative from their prevention and deterrence team who shared good ideas on how to measure savings in</li> </ul>

relation to proactive counter fraud work. This has been shared with Counter Fraud Service Wales who are keen to develop such measurements of success within Wales.

- The LCFS attended an all Wales NHS Counter Fraud Forum run by Counter Fraud Service Wales. Training was provided by NHS Counter Fraud Authority on Warrants and Mental Health Assessments in Interview Under Cautions. A representative from the Home Office also provided information around recruitment, specifically liability when completing pre-employment checks. The LCFS followed up this Home Office input and found that the Recruitment and Resourcing Team had recently taken part in Home Office provided training in this area along with Document Recognition Training.

***Report Provided by:***

***Matthew Evans***  
***Lead Local Counter Fraud Specialist***

For presentation; 19<sup>th</sup> December 2019

***Report agreed by:***

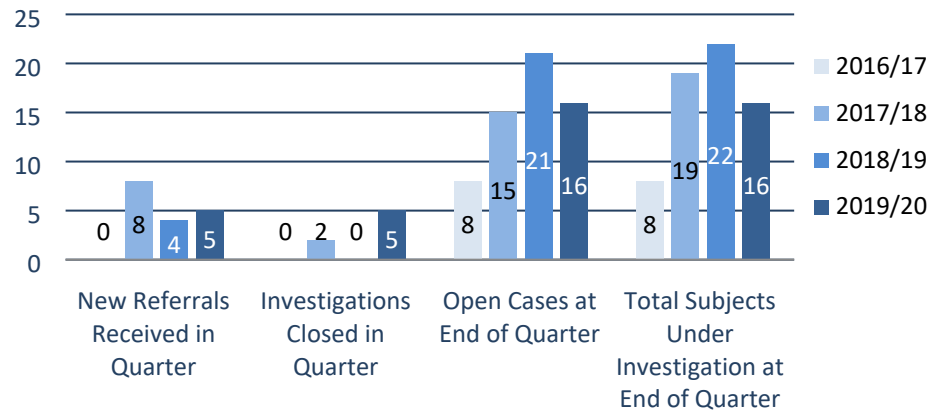
***Huw Thomas, Director of Finance***



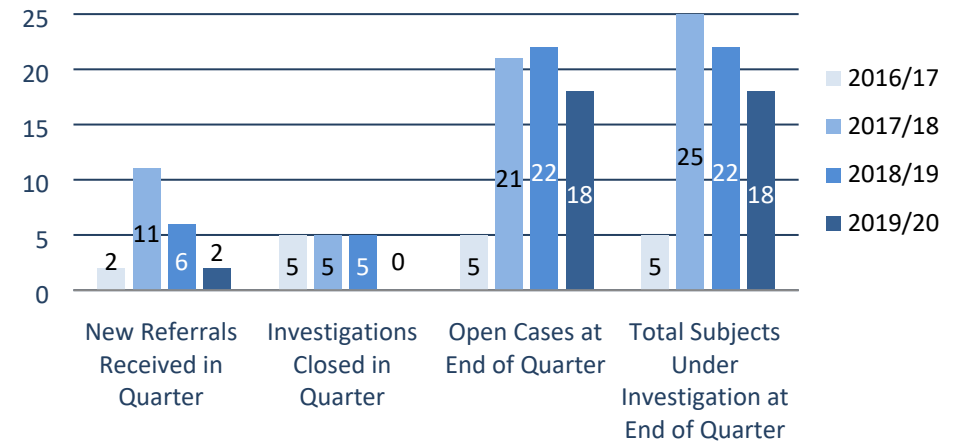
# Appendix

Hywel Dda University Health Board Counter Fraud Performance Statistics, Q1 and Q2

## Case Flow, Quarter 1, Year over Year

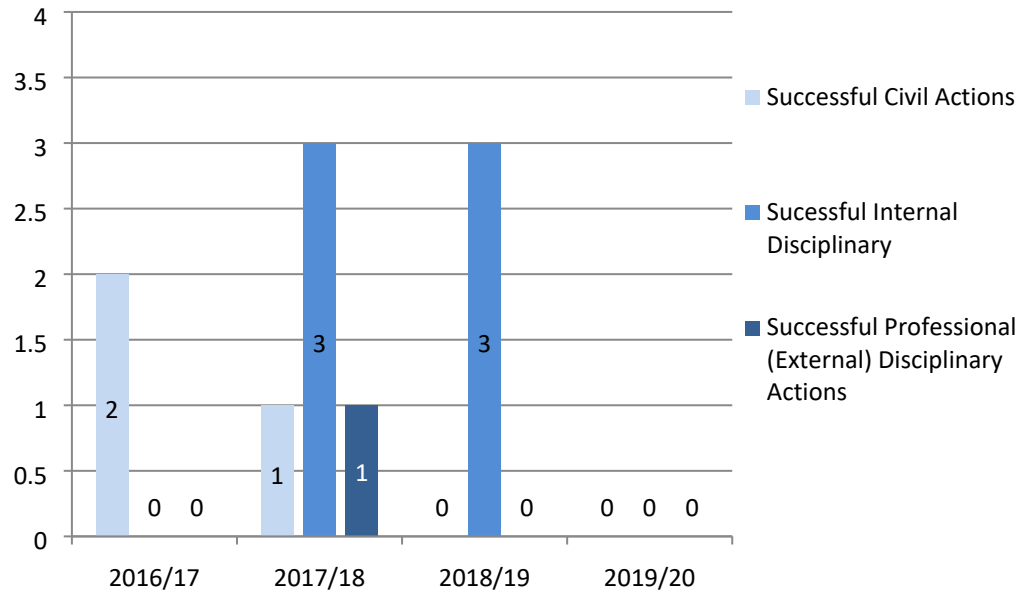


## Case Flow, Quarter 2, Year over Year

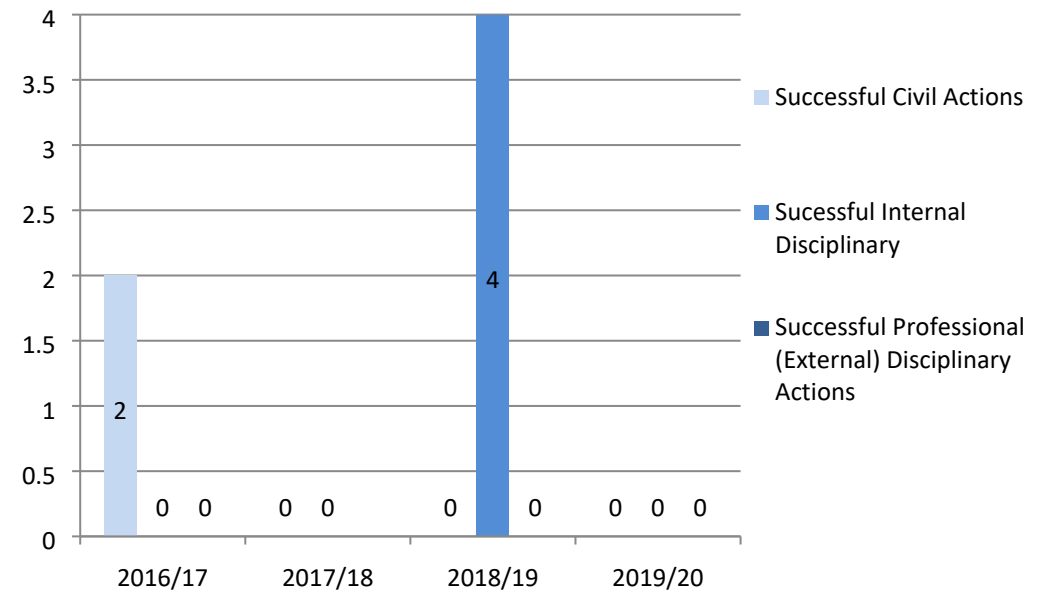


There has been a slight drop in number of referrals received in Q1 and Q2 in 2019/20 when compared to previous year. An increase in Inform and Involve work is currently underway and will continue until year end. Increased awareness raising usually results in an increase in contact with the LCFS and the referral rate will be tracked.

## Sanctions/Outcomes, Quarter 1, Year over Year

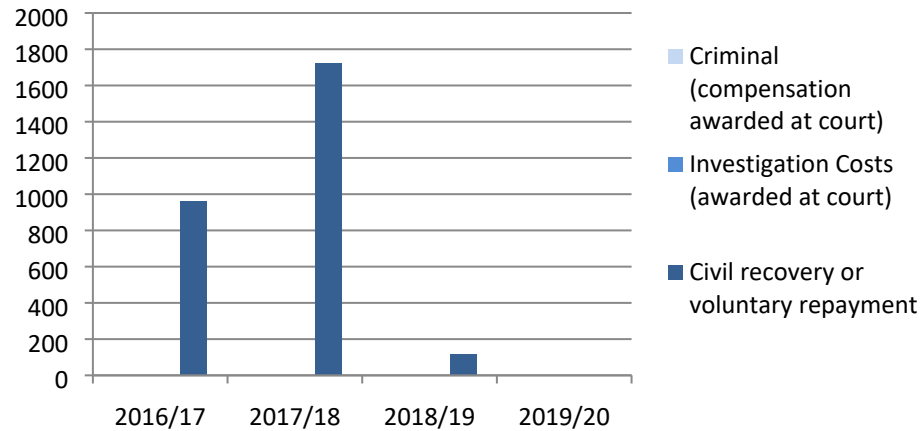


## Sanctions/Outcomes, Quarter 2, Year over Year

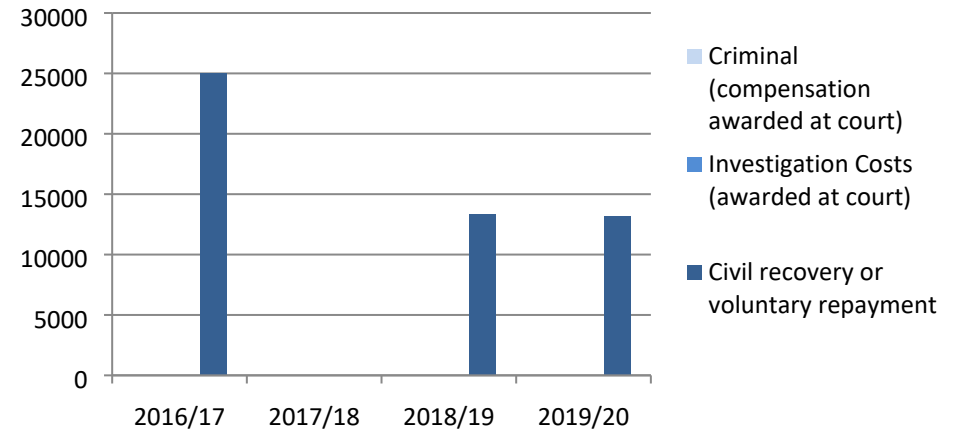


Sanctions and outcomes are very much on a case by case basis and the differences between cases can vary significantly in terms of time to achieve a successful outcome. We should still expect a steady stream of successful sanctions throughout the year however. The zero figure for 2019/20 has been examined and the LCFS has established that the Counter Fraud Team have supported internal investigations to successful outcomes in 2019/20 these however have not been captured in reporting. The LCFS will ensure that these are reported as part of Q3 figures to ensure capture.

## Financial Recoveries, Quarter 1, Year over Year



## Financial Recoveries, Quarter 2, Year over Year



As with sanctions any financial recoveries are as a case by case basis regarding both value and time to recover. We should still expect some financial recoveries throughout the year however. The recoveries through Q2 are relatively healthy with £13217.97 recovered from 4 investigations; this compares well to previous years.

Year	Induction Sessions	Induction Attendees	LCFS Presentations	Staff Attended	Total Staff
2016/17	10	264	5	70	334
2017/18	8	150	3	37	187
2018/19	0	0	17	314	314
2019/20	24	604	12	293	897

The figures presented on presentations above represent a healthy return at half year 2019/20; this is especially true when taking into the bulk of inform and involve work is planned for Q3 and Q4 in this year with the first two quarters primary focussed on prevent and deter work.

It should be noted that the LCFS does not deliver a face to face presentation at induction but a Hywel Dda specific counter fraud awareness video is played and literature distributed. Face to face learning is still seen as the gold standard of counter fraud learning and targeting this learning at higher risk groups is the most effective approach with available resource.



# Counter Fraud Services in NHS Wales

**Operational Performance Report 2019/20**

**Quarter 2 – 1<sup>st</sup> July 2019 to 30<sup>th</sup> September 2019**

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## Introduction

This quarterly report summarises the operational resources, referrals and performance of the Counter Fraud Service (CFS) Wales National Team and the network of Local Counter Fraud Specialists (LCFS) based at health bodies in NHS Wales during Quarter 2 of 2019/20 (1<sup>st</sup> July 2019 to 30<sup>th</sup> September 2019). The NHS Counter Fraud Authority (NHSCFA) will continue to report to WG via a separate quarterly report document.

### 1 Resources

#### 1.1 NHS Counter Fraud Service (CFS) Wales

The NHS CFS Wales team is hosted by NHS Wales Shared Service Partnership, part of Velindre NHS Trust who employ the team members. The CFS Wales consists of 6.0 wte experienced investigators and 1.0 wte operational support, their primary role is the investigation and prosecution of serious, complex or large-scale economic crimes. This includes offences that may involve more than one organisation, cross border investigations and all corruption and bribery cases in NHS Wales. They also provide support and guidance to the LCFS network in Wales and conduct presentations to key stakeholders in NHS Wales.

The CFS Wales team provide a specialist independent investigation resource to NHS Wales. This is designed to provide an impartial investigation service if senior NHS executives or management may be implicated, as suspects or witnesses, to provide the health bodies with the independent assurance required. The CFS Wales team's employers are listed as a regulatory body under POCA 2002, this enables the accredited financial investigators (2.0 wte) on the CFS Wales team to conduct financial investigations or restrain and recover funds from convicted persons.

#### 1.2 Local Counter Fraud Specialists (LCFS)

The WG Directions require each health body to nominate a qualified LCFS who is accredited by the Counter Fraud Professional Accreditation Board. LCFSs are the primary point of contact for all economic crime concerns within their health body, they have a key proactive role in raising fraud awareness and preventing fraud at their health bodies via proactive work, while also investigating offences reported at a local level in collaboration with CFS Wales.

The LCFS work is closely aligned to the delivery of the Fraud, Bribery and Corruption Standards for NHS bodies (Wales), which are reviewed and updated annually by the NHS Counter Fraud Authority (NHSCFA) under their SLA with WG. The Standards are split into four key principles: Strategic Governance, Inform & Involve, Prevent & Deter and Hold to Account.

The table below summarises the counter fraud resources in NHS Wales during Q2 of 2019/20. This is consolidated from data provided to CFS Wales by the Lead LCFS at each health body. The health board with the most LCFS resources is BCU HB at 3.0 wte. The Trusts and HEIW are smaller organisations with less fraud reported and are considered to be less at risk. Their lower LCFS provision generally reflects the lower level of potential risk although WAST has two full time LCFS. The total LCFS provision plus admin support staff in NHS Wales has increased from **14.3 wte** in April 2014 to **18.8 wte** in June 2019. The table at **Appendix 1** provides details of the LCFS provision in 2014/15 for comparison purposes. The significant increases in LCFS resources at WAST, Powys and HD UHB are noted.

Health Body	LCFS Annual WTE	Admin Support Annual WTE	Latest Annual Planned LCFS days	Q2 LCFS days	YTD LCFS Days	Latest Annual Staffing budget	Salary Costs for Q2	Salary YTD Costs
AB UHB	2.6	0.8	536	134	268	£126,514	£31,628	£63,256
BCU HB	3	0.6	744	186	372	£159,281	£39,820	£79,640
CV UHB *	1.8	0.5	440	115	230	£89,148	£27,217	£54,434
CTM UHB	2.6	0	530	92	184	£136,274	£34,068	£34,068
HEIW *	0.2	0.125	50	15	30	£10,131	£3,550	£7,100
HD UHB	2	0	440	110	220	£74,585	£18,646	£37,292
NWSSP *	0.3	0.125	75	20	40	£15,196	£4,733	£9,466
PtHB	1.2	0	270	67	134	£45,986	£13,075	£13,075
PHW NHST *	0.3	0.125	100	24	48	£20,261	£5,680	£11,360
SB UHB	2.4	0	540	132	264	£123,693	£30,923	£30,923
V NHST*	0.4	0.125	110	15	30	£22,287	£3,550	£7,100
WAST	2	0	440	110	220	£80,232	£20,058	£40,116
<b>TOTAL</b>	<b>18.8</b>	<b>2.4</b>	<b>4275</b>	<b>1020</b>	<b>2040</b>	<b>£903,588</b>	<b>£232,948</b>	<b>£465,896</b>
CFS WALES	6	1	1314	328	656	£376,554	£93,959	£187,918
<b>ALL WALES TOTAL</b>	<b>24.8</b>	<b>3.5</b>	<b>5589</b>	<b>1348</b>	<b>2696</b>	<b>£1,280,142</b>	<b>£326,907</b>	<b>£653,814</b>

\* Annual Staffing Budget includes full year salary for new Admin Support at C&V UHB LCFS service who started work on 1/10/19

\*\* New LCFS (0.6 wte) started at CTM UHB on 19/8/19

C&V UHB LCFSs also service Velindre NHST, PHW, NWSSP and HEIW, Swansea Bay UHB LCFS also service CTM UHB and Powys tHB.



C&V UHB has recently recruited a new admin support post (1.0 wte) who started on 1.10.19, CTM UHB has recently appointed a new LCFS (0.6 wte) who started work on 19.7.19 and AB UHB recruited a new LCFS (1.0 wte) to start on 4.11.19 to replace a LCFS (0.8 wte) who retired in Q1. CFS Wales, AB UHB and BCU HB were the only bodies with admin support resources during Q2.

The C&V UHB LCFS Team currently provide an LCFS service to Velindre NHS Trust, NWSSP, HEIW and PHW via an annual SLA, the Swansea Bay UHB LCFS Team currently provide an LCFS service to CTM UHB and Powys tHB via an annual SLA.

### **1.3 NHS Counter Fraud Authority (NHSCFA)**

The Welsh Government (WG) purchase specialist support services from the NHSCFA for NHS Wales under the terms of an annual Service Level Agreement. The NHSCFA provide separate quarterly and annual reports to WG which account for the specialist services provided to NHS CFS Wales and LCFSs in Wales for an annual cost of £207,000-. The services include Forensic Computing, Dental Advisor, Training, Risk Measurement and Quality Assurance Services which are reviewed and monitored via quarterly reports and 6 monthly meetings between NHSCFA, WG and CFS Wales.

The NHSCFA Risk Measurement Exercise on Procurement Fraud in NHS England and Wales commenced during Q1 of 2019/20. The data for Phase 1 was submitted by NHS Wales health bodies to the NHSCFA and is currently under review. Additional data and information on a total of four procurement contracts in NHS Wales has recently been requested for further analysis by NHSCFA.

## 2 Counter Fraud Awareness - Inductions and Presentations conducted by LCFS during Q2 of 2019/20

The table below summarises the number of counter fraud awareness presentations and induction courses completed at each health body during Quarter 2 of 2019/20.

Cardiff & Vale UHB LCFSs provide an LCFS service to Velindre NHS Trust, Public Health Wales, Health Education & Improvement Wales and NHS Wales Shared Service Partnership, while Swansea UHB LCFSs provide the LCFS service to Cwm Taf Morgannwg UHB and Powys tHB. This service includes induction courses and presentations to NHS staff. HD UHB LCFS conducted 24 inductions to 604 staff and 12 presentations to 293 staff while SB UHB LCFS completed 17 presentations to 704 staff.

	Inductions Q2		Presentations Q2		Total Staff Q2	Total Staff 01/04/19 - 30/09/19	Health Body Employees (as at Aug 2019)
	No Conducted	No Staff	No Conducted	No Staff			
Aneurin Bevan UHB	7	119	2	34	153	386	13382
Betsi Cadwaladr UHB	13	332	2	15	347	731	18098
Cardiff & Vale UHB	2	83	4	620	703	788	14754
Cwm Taf Morgannwg	0	0	1	9	9	62	11810
HEIW	0	0	2	30	30	30	348
Hywel Dda UHB	24	604	12	293	897	1224	9732
NWSSP	3	45	3	40	85	145	2234
Powys tHB	0	0	2	42	42	10	2215
Public Health Wales	0	0	2	40	40	40	1849
Swansea Bay UHB	0	0	17	704	704	1409	12801
Velindre NHST	0	0	0	0	0	0	2126
Welsh Ambulance NHST	0	0	1	10	10	50	3488
<b>TOTAL</b>	<b>49</b>	<b>1,183</b>	<b>48</b>	<b>1,837</b>	<b>3,020</b>	<b>4965</b>	<b>92,837</b>

The LCFS induction and presentations data for the 2018/19 financial year is available at Appendix 2 for comparison purposes.

### 3 Counter Fraud Awareness E-Learning Staff Completion Figures 1<sup>st</sup> July 2019 to 30<sup>th</sup> September 2019

The NWSSP data below provides details of staff at each health body that have completed the NHS Wales Counter Fraud E Learning Module during Quarter 2 of 2019/20. The table also provides a cumulative figure for each health body since the learning module was placed on-line in March 2015. The best performing health boards are AB UHB with 30.60 % and SB UHB with 27.24% of staff having completed the e-learning training while 57.92% of PHW NHS Trust staff have completed the training.

	Staff Completion 1 <sup>st</sup> July 2019 to 30 <sup>th</sup> September 2019	Cumulative from March 2015 to 30 <sup>th</sup> September 2019	Health Body Employees (Aug 2019)
Aneurin Bevan UHB	125	4,095	13,382
Betsi Cadwaladr UHB	1	1,029	18,098
Cardiff & Vale UHB	1	327	14,754
Cwm Taf Morgannwg UHB	40	402	11,810
Hywel Dda UHB	0	333	9,732
Powys tHB	0	278	2,215
Public Health Wales Trust	2	1,071	1,849
Swansea Bay UHB	2	3,487	12,801
Velindre / NWSSP / NWIS / HEIW	0	797	4,708
Welsh Ambulance NHS Trust	0	383	3,488
<b>TOTAL</b>	<b>171</b>	<b>12,077</b>	<b>92,837</b>

## 4 NHS CFS Wales Statistics / Operational Outcomes – 1<sup>st</sup> July 2019 to 30<sup>th</sup> September 2019

The table below summarises the CFS Wales operational data and sanctions secured in Quarter 2.

The CFS Wales team were investigating 28 cases at the start of the quarter and were dealing with 30 active cases at the end of the quarter, with 2 new referrals received - no cases were closed during the reporting period. The CFS Wales team had secured a total of £7,108- in recoveries during the quarter and a total of £127,288 during the current financial year.

The sanitised list of active CFS Wales investigations is at Appendix 3.

NHS Organisation	NHS CFS Wales Team (CFS Wales) – Q2								
	No of open cases as at 1/07/19	No of referrals received	No of cases closed	No of open cases at 30/09/19	Recoveries (£)	Sanctions			
						Court Case	Police Caution	Disciplinary	Civil
Aneurin Bevan UHB	4	0	0	4	0	0	0	0	0
Betsi Cadwaladr UHB	3	0	0	3	£5,099	0	0	0	1
Cardiff & Vale UHB	8	1	0	9	£1,119	0	0	0	1
Cwm Taf Morgannwg UHB	7	0	0	7	£890	0	0	0	1
Hywel Dda UHB	2	0	0	2	0	0	0	0	0
HEIW	0	0	0	0	0	0	0	0	0
NHS Wales SSP	0	0	0	0	0	0	0	0	0
Powys tLHB	1	0	0	1	0	0	0	0	0
Public Health Wales Trust	0	0	0	0	0	0	0	0	0
Swansea Bay UHB	2	0	0	2	0	0	0	0	0
Velindre NHS Trust	0	0	0	0	0	0	0	0	0
Welsh Ambulance NHS Trust	1	0	0	1	0	0	0	0	0
All-Wales / Multi Organisations	0	1	0	1	0	0	0	0	0
<b>TOTAL</b>	<b>28</b>	<b>2</b>	<b>0</b>	<b>30</b>	<b>£7,108</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>

NHS CFS Wales Team (CFS Wales) - Cumulative									
NHS Organisation	No of open cases as at 1/4/19	No of referrals received	No of cases closed	No of open cases at 30/09/19	Recoveries (£)	Sanctions			
						Criminal		Disciplinary	Civil
						Court Case	Police Caution		
Aneurin Bevan UHB	5	0	1	4	£0	0	0	0	0
Betsi Cadwaladr UHB	4	0	1	3	£8,924	0	0	0	2
Cardiff & Vale UHB	9	1	1	9	£40,249	0	0	1	2
Cwm Taf Morgannwg UHB	7	0	0	7	£78,115	0	0	0	3
Hywel Dda UHB	3	0	1	2	£0	0	0	0	0
HEIW	0	0	0	0	£0	0	0	0	0
NHS Wales SSP	0	0	0	0	£0	0	0	0	0
Powys tLHB	2	0	1	1	£0	0	0	0	0
Public Health Wales Trust	0	0	0	0	£0	0	0	0	0
Swansea Bay UHB	2	0	0	2	£0	0	0	0	0
Velindre NHS Trust	0	0	0	0	£0	0	0	0	0
Welsh Ambulance NHS Trust	0	1	0	1	£0	0	0	0	0
All-Wales / Multi Organisations	0	1	0	1	£0	0	0	0	0
<b>TOTAL</b>	<b>32</b>	<b>3</b>	<b>5</b>	<b>30</b>	<b>£127,288</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>7</b>

## 5 LCFS Statistics / Operational Outcomes – 1<sup>st</sup> July 2019 to 30<sup>th</sup> September 2019

The table below summarises the **NHS Wales LCFS** operational data and sanctions secured in Quarter 2 of 2019/20. The LCFSs were investigating a total of 175 cases at the start of the quarter, 25 cases were closed during the period under review with 44 new referrals reported for investigation, with 194 cases under investigation on the 30<sup>th</sup> September 2019.

The LCFS investigations secured 5 criminal sanctions, 5 disciplinary outcomes and 11 civil recoveries which recovered £309,208 for NHS Wales. Swansea Bay UHB had the most open cases with 53 active cases at the end of Q2 while BCU HB (30) and WAST (25) had the next highest number of active investigations. C&V UHB opened the highest number of new referrals (12) during the quarter, closely followed by Swansea bay (11), AB UHB (11) and WAST (10), while AB UHB (19 cases closed) and WAST (13 cases closed ) closed the most cases on the Case Management System.

The largest LCFS recoveries recorded in the quarter are BCU HB (£283,014) and Swansea Bay (£26,771). The BCU HB recoveries are mainly due to a negotiated civil settlement without prejudice for £250,000- with a retired pharmacist and the recovery of a salary paid in error. LCFS criminal prosecutions in the quarter included the conviction on 26.7.19 of a SB UHB Advanced Nurse Practitioner for the Theft of drugs from four GP practices, the conviction of a SB UHB Mental Health Nurse for Fraud Offences on 13.9.19 regarding working privately while on NHS sick leave and prescription offences, a member of the public who had used AB UHB documents to defraud a cancer charity was convicted on 16.8.19 of Fraud offences and a former IT employee at BCU HB was convicted on 24.7.19 of the Theft of multiple NHS laptops in a joint investigation with North Wales Police,

There is a sanitised list of **active LCFS investigations** at NHS Wales health bodies at **Appendix 5**. A sanitised list of LCFS investigations closed during Q2 2019/20 is included at **Appendix 6**. CFS Wales did not close any cases during Q2.

Local Counter Fraud Specialists in NHS Wales Q2									
NHS Organisation	No of open cases as at 1/07/19	No of referrals received	No of cases closed	No of open cases at 30/09/19	Recoveries (£)	Sanctions			
						Criminal		Disciplinary	Civil
						Court Case	Police Caution		
Aneurin Bevan	17	4	3	18	£565	2	0	1	1
Betsi Cadwaladr	30	4	4	30	£274,823	1	0	1	3
Cardiff & Vale	15	10	5	20	£4,806	0	0	0	1
Cwm Taf Morgannwg	12	5	3	14	0	0	0	1	0
HEIW	0	0	0	0	0	0	0	0	0
Hywel Dda UHB	14	3	0	17	£13,218	0	0	0	4
NHS Wales Shared Services	5	0	2	3	0	0	0	0	0
Powys	9	5	0	14	0	0	0	0	0
Public Health Wales	0	1	1	0	0	0	0	0	0
Swansea Bay	44	9	0	53	£15,796	2	0	1	2
Velindre	0	0	0	0	0	0	0	0	0
Welsh Ambulance	29	3	7	25	0	0	0	1	0
<b>TOTAL</b>	<b>175</b>	<b>44</b>	<b>25</b>	<b>194</b>	<b>£309,208</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>11</b>

Local Counter Fraud Specialists in NHS Wales - Cumulative									
NHS Organisation	No of open cases as at 1/4/19	No of referrals received	No of cases closed	No of open cases at 30/9/19	Recoveries (£)	Sanctions			
						Criminal		Disciplinary	Civil
						Court Case	Police Caution		
Aneurin Bevan	26	11	19	18	650	3	0	7	2
Betsi Cadwaladr	27	8	5	30	283,014	1	0	1	4
Cardiff & Vale	14	12	6	20	4,806	0	0	1	1
Cwm Taf Morgannwg	11	9	6	14	0	0	0	1	1
HEIW	0	0	0	0	0	0	0	0	0
Hywel Dda UHB	12	8	3	17	13,218	0	0	0	4
NHS Wales Shared Services	4	2	3	3	0	0	0	0	0
Powys	9	5	0	14	0	0	0	0	0
Public Health Wales	0	1	1	0	0	0	0	0	0
Swansea Bay	43	11	1	53	26,771	3	0	3	4
Velindre	0	0	0	0	0	0	0	0	0
Welsh Ambulance	28	10	13	25	1,210	0	0	4	3
<b>TOTAL</b>	<b>174</b>	<b>77</b>	<b>57</b>	<b>194</b>	<b>335,402</b>	<b>7</b>	<b>0</b>	<b>17</b>	<b>19</b>

## 6 Working in Partnership

During Quarter 2 CFS Wales staff met with the WAO to provide evidence to support phase 2 of the WAO ongoing review of counter fraud resources in the public sector in Wales and continued to co-ordinate the response to the ongoing NHSCFA Risk Measurement Exercise on Procurement Fraud.

CFS Wales staff also attended various meetings with WG, NHSCFA, NWSSP PPV, Lead LCFSs, BMA and CPS Cardiff during the quarter and conducted induction training and presentations including a NWSSP Finance training day and induction courses for trainee nurses in South and North Wales.

The total funds recovered by CFS Wales and LCFSs for NHS Wales since the counter fraud service was set up in NHS Wales in August 2001 to 30<sup>th</sup> September 2019 totals £8,436,723 with 208 criminal sanctions, 429 civil recoveries and 408 disciplinary sanctions.

The following table indicates the operational outcomes combined for CFS Wales and LCFS for the 5 year period 1<sup>st</sup> April 2014 to 31<sup>st</sup> March 2019.

NHS CFS Wales and LCFS 2014 to 2019					
	Referrals	Recoveries	Sanctions		
			Criminal	Civil	Disciplinary
2014/2015	154	£941,697	13	41	37
2015/2016	120	£307,561	13	32	17
2016/2017	140	£335,127	7	35	20
2017/2018	191	£225,499	15	33	42
2018/2019	152	£522,030	16	36	31
<b>TOTAL</b>	<b>757</b>	<b>£2,331,914</b>	<b>64</b>	<b>177</b>	<b>147</b>



## NHS Wales Counter Fraud Resources 2014/15

NHS Wales Local Counter Fraud Provision 2014/15				
Health Body	Resource Allocation (LCFS days)	LCFS WTE	Admin Support WTE	Salary Cost
Abertawe Bro Morgannwg	559	2.6	0.10	£110,096
Aneurin Bevan	602	2.8	1.00	£122,902
Betsi Cadwaladr	645	3	0.50	£156,822
Cardiff & Vale	387	1.8	0.25	£83,512
Cwm Taf	215	1.0	0.50	£61,977
Hywel Dda	201	0.9	0.00	£57,900
Powys	92	0.4	0.00	£23,704
Public Health Wales	107.5	0.5	0.00	£25,000
Velindre / NWSSP	150.5	0.7	0.25	£47,600
Welsh Ambulance	125	0.6	0.00	£25,968
<b>TOTAL</b>	<b>3084</b>	<b>14.3</b>	<b>2.60</b>	<b>£715,481</b>
NHS CFS Wales Regional Team	1032	4.8	1	£234,996
<b>ALL WALES TOTAL</b>	<b>4116</b>	<b>19.1</b>	<b>3.6</b>	<b>£950,477</b>

### NHS Wales Local Counter Fraud Specialists Fraud Awareness Presentations and Staff Induction Sessions 2018/19 - 1st April 2018 to 31st March 2019

	Staff Induction Sessions	No of Staff	Presentations	No of Staff	Total Staff	Staff Headcount (2019)	%
Abertawe Bro Morgannwg UHB	0	0	79	2516	2516	13382	18.80
Aneurin Bevan UHB	37	897	15	895	1792	18098	9.90
Betsi Cadwaladr UHB	49	1491	24	667	2158	14754	14.63
Cardiff & Vale UHB *	12	421	4	35	456	11810	3.86
Cwm Taf UHB	3	150	8	97	247	9732	2.54
Hywel Dda UHB	32	1055	21	398	1453	2215	66.00
Powys tHB	6	123	19	255	378	1849	20.44
Public Health Wales *	0	0	1	43	43	12801	0.34
Velindre / NWSSP / HEIW *	3	32	2	22	54	4708	1.15
Welsh Ambulance NHST	8	128	15	164	292	3844	7.59
<b>TOTALS</b>	<b>150</b>	<b>4297</b>	<b>188</b>	<b>5092</b>	<b>9389</b>	<b>92837</b>	<b>1.01</b>

\* low staff/resource issue October 2018 to March 2019

Case No	Health Body	Start Date	Subject Category	Fraud Type
WARO/19/00088	Cardiff & Vale	08.08.19	Pharmacy Business	False Claims
WARO/19/00084	Cardiff & Vale	29.07.19	Nurse (ex-employee)	Payroll / Salary Overpayment
WARO/19/00027	Cwm Taf Bro Morgannwg	08.03.19	Healthcare Support Worker	Payroll / Salary Overpayment
WARO/19/00025	Cwm Taf Bro Morgannwg	07.03.19	Nurse	Payroll / Salary Overpayment
WARO/19/00021	Cardiff & Vale	20.02.19	Specialist Registrar	Payroll / Salary Overpayment
WARO 19/00016	Aneurin Bevan/Swansea Bay/Cardiff & Vale/Powys/Hywel Dda/WAST	08.02.19	Patient	Member of the public feigning illness to gain hospital admission (hospital hopper)
WARO/19/00014	Cwm Taf Bro Morgannwg	08.02.19	Doctor	Payroll / Salary Overpayment
WARO/19/00010	Welsh Ambulance NHS Trust	26.06.19	Private Company	Corruption - Procurement/Contract For disposal of vehicles
WARO/19/00004	Cardiff & Vale	08.01.19	Consultants	Payroll / Timesheet Fraud - enhanced overtime payments
WARO/18/00171	Betsi Cadwaladr	28.11.18	Works & Estates Officer	Bribery / Corruption - Contract/Procurement Fraud
WARO/18/00164	Aneurin Bevan	15.11.18	Dentist	False claims for payment
WARO/18/00140	Swansea Bay	10.10.18	Credit to Incorrect Bank Account	Bribery / Corruption
WARO 18/00099	Betsi Cadwaladr	13.07.18	Consultant	Payroll / Salary Overpayment
WARO 18/00094	Cwm Taf Bro Morgannwg	04.07.18	Nurse	Payroll / Salary Overpayment
WARO/18/00082	Aneurin Bevan	01.06.18	Optical Contractor	False claims for payment
WARO/18/00077	Cardiff & Vale	15.10.18	Pharmacist	False claims for payment
WARO/18/00062	Cardiff & Vale	15.10.18	Pharmacist	False claims for payment
WARO/18/00049	Cardiff & Vale	15.10.18	Nurse	Payroll / Salary Overpayment
WARO/18/00023	Cardiff & Vale	15.10.18	Healthcare Support Worker	False information on NHS application for employment
WARO/17/00155	Cardiff & Vale	04.12.17	Dentist	False claims for payment
WARO/17/00154	Hywel Dda	01.12.17	Healthcare Support Worker	Payroll / Salary Overpayment
WARO/17/00093	Hywel Dda	14.08.17	Ex-Employee	Payroll / Salary Overpayment
WARO/17/00038	Aneurin Bevan	17.07.17	Dentist(s)	False claims for payment
WARO/16/00107	Cwm Taf Bro Morgannwg	06.11.17	Pharmacist	False claims for payment
WARO/16/00070	Cwm Taf Bro Morgannwg	08.07.16	GP Practice Manager	Prescription Fraud / Self Prescribing
WARO/16/00050	Cwm Taf Bro Morgannwg	31.05.16	GP Practice Manager/GP	Conspiracy / Falsifying information for QOF payments
WARO/15/00060	Cardiff & Vale	29.06.15	Dentist	False claims for payment
WARO/15/00058	Powys	16.06.15	NHS Estates Staff	Corruption / Procurement/contract fraud
WARO/14/00068	Swansea Bay	28.05.14	Dentists	False claims for payment
WARO/14/00062	Betsi Cadwaladr	09.05.14	Senior Managers / Contractors	Misconduct in Public Office / Conspiracy Capital Finance Project

LCFS Summary of Open Cases as 30<sup>th</sup> September 2019 (175 open investigations)

	Case No	NHS Organisation	Case Start Date	Subject	Potential Offences
1	WARO/17/00141	Aneurin Bevan	08/11/2017	Admin Staff	Fraud False Rep -timesheet
2	WARO/18/00048	Aneurin Bevan	14/03/2018	Community Pharmacy	Fraud False Rep
3	WARO/18/00073	Aneurin Bevan	23/05/2018	Consultant	Fraud Fail to disclose
4	WARO/18/00084	Aneurin Bevan	08/06/2018	Consultant	Fraud Fail to disclose
5	WARO/18/00106	Aneurin Bevan	27/07/2018	Nurse	Fraud Fail to disclose - working on sick
6	WARO/18/00122	Aneurin Bevan	22/08/2018	Doctor	Fraud Fail to disclose -working on sick
7	WARO/18/00136	Aneurin Bevan	08/10/2018	Admin Staff	Fraud False Rep - timesheet
8	WARO/18/00154	Aneurin Bevan	05/11/2018	GP staff	Abuse of Position - prescription fraud
9	WARO/18/00169	Aneurin Bevan	20/11/2018	Member of public	Fraud False Rep - charity fraud
10	WARO/19/00034	Aneurin Bevan	03/04/2019	HCA	Abuse of Position
11	WARO/19/00046	Aneurin Bevan	01/05/2019	Nurse	Fraud Fail to disclose - working on sick
12	WARO/19/00056	Aneurin Bevan	31/05/2019	Mortuary Technician	Fraud Fail to disclose - working on sick
13	WARO/19/00057	Aneurin Bevan	31/05/2019	Member of public	Prescription fraud
14	WARO/19/00061	Aneurin Bevan	17/06/2019	Radiographer	Fraud Fail to disclose - working on sick
15	WARO/19/00068	Aneurin Bevan	04/07/2019	Med Secretary	Fraud False Rep
16	WARO/19/00107	Aneurin Bevan	23/09/2019	Senior NHS Manager	Abuse of Position - Time
17	WARO/19/00110	Aneurin Bevan	23/09/2019	GP staff	Abuse of position - Theft of monies
18	WARO/19/00111	Aneurin Bevan	23/09/2019	HCA	Fraud by False Rep - timesheet
	Case No	NHS Organisation	Case Start Date	Subject	Potential Offences
1	WARO/13/00071	Betsi Cadwaladr	08/07/2013	Pharmacist (Community)	Miscellaneous/other
2	WARO/11/00099	Betsi Cadwaladr	18/07/2011	Nurse (NHS)	Miscellaneous/other
3	WARO/16/00051	Betsi Cadwaladr	03/06/2016	Miscellaneous (IM&T)	Theft
4	WARO/16/00052	Betsi Cadwaladr	03/06/2016	Miscellaneous	Timesheet Fraud
5	WARO/16/00115	Betsi Cadwaladr	26/10/2016	Administrative & Clerical	Working while sick
6	WARO/17/00003	Betsi Cadwaladr	10/01/2017	Speech & Language Therapist	Working while sick
7	WARO/17/00074	Betsi Cadwaladr	05/07/2017	General Practitioner with Special Interest	Miscellaneous/other
8	WARO/17/00167	Betsi Cadwaladr	20/12/2017	Dentist	Submission of fraudulent claims
9	WARO/18/00010	Betsi Cadwaladr	15/01/2018	Consultant / Surgeon (NHS)	Working elsewhere whilst contracted and sick
10	WARO/18/00014	Betsi Cadwaladr	17/01/2018	Health Care Support Worker	Payroll Fraud / Salary Overpayment

11	WARO/18/00037	Betsi Cadwaladr	13/02/2018	Voluntary Driver	Overcharging of transport charges
12	WARO/18/00042	Betsi Cadwaladr	21/02/2018	Nurse Practitioner/Independent Prescriber	Prescription fraud
13	WARO/18/00058	Betsi Cadwaladr	20/04/2018	Independent Board Member	Tendering process
14	WARO/18/00101	Betsi Cadwaladr	20/07/2018	Patient	Compensation Claim
15	WARO/18/00116	Betsi Cadwaladr	14/08/2018	Health Care Support Worker	Timesheet Fraud
16	WARO/18/00134	Betsi Cadwaladr	02/10/2018	Senior Management	Miscellaneous/other
17	WARO/18/00147	Betsi Cadwaladr	18/10/2018	Miscellaneous	Timesheet Fraud
18	WARO/18/00151	Betsi Cadwaladr	31/10/2018	General Practitioner	False claims for reimbursement
19	WARO/18/00156	Betsi Cadwaladr	07/11/2018	Works & Estates / Health & Safety staff	Payroll Fraud / Salary Overpayment
20	WARO/18/00163	Betsi Cadwaladr	15/11/2018	General Practitioner	Prescription fraud
21	WARO/18/00168	Betsi Cadwaladr	20/11/2018	Nurse (NHS)	Miscellaneous/other
22	WARO/18/00172	Betsi Cadwaladr	29/11/2018	Consultant / Surgeon (NHS)	Dual employment/failure to complete contracted NHS hours
23	WARO/19/00017	Betsi Cadwaladr	29/11/2018	Radiographer	Working while sick
24	WARO/19/00037	Betsi Cadwaladr	05/04/2019	Consultant / Surgeon (NHS)	Payroll Fraud / Salary Overpayment
25	WARO/19/00039	Betsi Cadwaladr	12/04/2019	Consultant / Surgeon (NHS)	Timesheet Fraud
26	WARO/19/00040	Betsi Cadwaladr	12/04/2019	Patient (GMS)	Selling on of NHS prescribed medication
27	WARO/19/00041	Betsi Cadwaladr	17/04/2019	General Practitioner	Miscellaneous/other
28	WARO/19/00092	Betsi Cadwaladr	08/08/2019	General Practitioner	False claims for reimbursement
29	WARO/19/00097	Betsi Cadwaladr	23/08/2019	Patient (optical)	Evasion of NHS charges
30	WARO/19/00098	Betsi Cadwaladr	23/08/2019	GP Surgery - Reception/Admin	Prescription fraud
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/15/00115	Cardiff & Vale	21/09/2015	General Practitioner	Theft and False Prescriptions
2	WARO/16/00037	Cardiff & Vale	11/04/2016	NHS Paramedic	Private Work
3	WARO/16/00076	Cardiff & Vale	28/07/2016	Job Applicant	False Job Applications
4	WARO/16/00127	Cardiff & Vale	28/11/2016	Consultant	False ADH and WLI Claims, Perverting the Course of Justice and Conspiracy with another Computer Misuse.
5	WARO/17/00029	Cardiff & Vale	27/03/2017	Consultant	Computer Misuse and Pervertig the Course of Justice
6	WARO/17/00067	Cardiff & Vale	28/06/2017	Radiologist	Failure to Disclose Information
7	WARO/17/00083	Cardiff & Vale	21/07/2017	General Practitioner	False Representation
8	WARO/18/00007	Cardiff & Vale	10/01/2018	Nurse (NHS)	False Representation
9	WARO/18/00030	Cardiff & Vale	09/02/2018	Nurse (NHS)	Abuse of Position, False Representation, Forgery and Counterfeiting
10	WARO/18/00120	Cardiff & Vale	20/08/2018	Medical Secretary	False Representation, Forgery and Counterfeiting
11	WARO/19/00032	Cardiff & Vale	20/03/2019	Patient (GMS)	Overseas Visitor
12	WARO/19/00074	Cardiff & Vale	20/03/2019	Qualified Nurse	Failure to Disclose Information
13	WARO/19/00075	Cardiff & Vale	20/03/2019	Nurse (NHS)	Theft and Money Laundering

14	WARO/19/00076	Cardiff & Vale	20/03/2019	Nurse (NHS)	Theft and Money Laundering
15	WARO/19/00077	Cardiff & Vale	20/03/2019	Nurse (NHS)	Theft and Money Laundering
16	WARO/19/00078	Cardiff & Vale	20/03/2019	Nurse (NHS)	Working whilst on Sick Leave
17	WARO/19/00079	Cardiff & Vale	20/03/2019	Registrar	Theft and Money Laundering
18	WARO/19/00094	Cardiff & Vale	20/03/2019	Applicant	False Application Form and Qualification Certificate
19	WARO/19/00106	Cardiff & Vale	20/03/2019	Patient (GMS)	Overseas Visitor
20	WARO/19/00108	Cardiff & Vale	20/03/2019	Nurse (NHS)	Working whilst on Sick Leave
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/17/00027	Cwm Taf	15/02/2013	Ex GP Practice Manager	Fraud by Abuse of Position
2	WARO/14/00055	Cwm Taf	14/02/2014	Health and Safety Advisor	Fraud by False Representation
3	WARO/17/00162	Cwm Taf	19/10/2017	Advanced Nurse Practitioner	Fraud by False Representation
4	WARO/17/00114	Cwm Taf	08/06/2017	Ward Manager	Fraud by False Representation/Abuse of Position
5	WARO/18/00055	Cwm Taf	06/12/2017	Speciality Mental Health Doctor	Fraud by Abuse of Position
6	WARO/18/00054	Cwm Taf	25/01/2018	A+E Staff Nurse	Fraud by False Representation
7	WARO/18/00165	Cwm Taf	19/11/2018	Estates Officer	Fraud by False Representation
8	WARO/19/00036	Cwm Taf	16/08/2018	HCSW	Fraud by False Representation
9	WARO/19/00050	Cwm Taf	02/05/2019	Receptionist	Fraud by Abuse of Position
10	WARO/19/00065	Cwm Taf	23/05/2019	Member of the public	Fraud by False Representation
11	WARO/19/00091	Cwm Taf	16/05/2019	Member of the public	Fraud by False Representation
12	WARO/19/00090	Cwm Taf	24/07/2019	Job applicant	Fraud by False Representation
13	WARO/19/00093	Cwm Taf	12/08/2019	Admin Assistant	Fraud by False Representation
14	WARO/19/00112	Cwm Taf	10/01/2019	Nurse	Fraud by False Representation
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/16/00078	Hywel Dda	01/06/2016	Employee	False Representation
2	WARO/17/00007	Hywel Dda	19/01/2017	Contractor	Invoicing
3	WARO/18/00046	Hywel Dda	21/02/2018	Employee	Failure to disclose information
4	WARO/18/00090	Hywel Dda	06/06/2018	Employee	False Representation
5	WARO/18/00112	Hywel Dda	08/08/2018	Patients	Overseas visitor
6	WARO/18/00125	Hywel Dda	30/08/2018	Employee	Timesheet
7	WARO/19/00001	Hywel Dda	04/01/2019	Employee	Payroll
8	WARO/19/00013	Hywel Dda	05/02/2019	Employee	False Representation
9	WARO/19/00018	Hywel Dda	14/02/2019	Contractor	False representation
10	WARO/19/00020	Hywel Dda	18/02/2019	Employee	Timesheet
11	WARO/19/00019	Hywel Dda	18/02/2019	Other	False Representation
12	WARO/19/00045	Hywel Dda	30/04/2019	Employee	Working whilst sick

13	WARO/19/00052	Hywel Dda	12/04/2019	Employee	Payroll
14	WARO/19/00058	Hywel Dda	10/06/2019	Employee	Making/supplying articles for use in frauds
15	WARO/19/00060	Hywel Dda	12/06/2019	Contractor	Invoicing
16	WARO/19/00070	Hywel Dda	04/07/2019	Employee	Payroll
17	WARO/19/00096	Hywel Dda	20/08/2019	Employee	Payroll
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/14/00032	NWSSP	21/02/2014	Administrative & Clerical	Theft
2	WARO/18/00179	NWSSP	19/12/2018	Nurse (student)	False claims for reimbursement
3	WARO/19/00047	NWSSP	03/05/2019	Nurse (student)	False claims for reimbursement
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/14/00053	Swansea Bay	30/04/2014	Dentist (community dental surgery)	False claims for reimbursement
2	WARO/14/00064	Swansea Bay	14/05/2014	Dentist (community dental surgery)	False claims for reimbursement
3	WARO/14/00101	Swansea Bay	30/07/2014	Dentist (community dental surgery)	False claims for reimbursement
4	WARO/15/00042	Swansea Bay	11/05/2015	Dentist (community dental surgery)	False claims for reimbursement
5	WARO/15/00091	Swansea Bay	21/09/2015	Dentist	Failure to disclose information
6	WARO/16/00001	Swansea Bay	05/01/2016	Patient	Hospital Travel Costs
7	WARO/16/00014	Swansea Bay	01/03/2016	Patient	Overseas Patient
8	WARO/16/00031	Swansea Bay	08/04/2016	Specialist Registrar	Payroll Fraud / Salary Overpayment
9	WARO/16/00036	Swansea Bay	11/04/2016	Patient	Prescription
10	WARO/16/00087	Swansea Bay	17/08/2016	Senior House Officer	Salary Overpayment
11	WARO/16/00092	Swansea Bay	15/09/2016	Consultant / Surgeon (NHS)	Private work during NHS time
12	WARO/16/00110	Swansea Bay	19/10/2016	Pharmacist (Community)	Prescription
13	WARO/16/00112	Swansea Bay	24/10/2016	Consultant / Surgeon (NHS)	Private work during NHS time
14	WARO/16/00126	Swansea Bay	23/11/2016	Administrative & Clerical	Working whilst sick
15	WARO/17/00014	Swansea Bay	07/02/2017	Nurse (NHS)	Working whilst sick
16	WARO/17/00052	Swansea Bay	05/06/2017	Community Mental Health Nurse	Working whilst sick
17	WARO/17/00057	Swansea Bay	15/06/2017	Contracts	Procurement
18	WARO/17/00069	Swansea Bay	29/06/2017	Nurse	Working whilst sick
19	WARO/17/00081	Swansea Bay	09/07/2017	Nurse	Working whilst sick
20	WARO/17/00089	Swansea Bay	04/08/2017	Advanced Paramedic Practitioner	Working whilst sick
21	WARO/17/00105	Swansea Bay	31/08/2017	Administrative & Clerical	Working whilst sick
22	WARO/17/00113	Swansea Bay	26/09/2017	Bank HCSW (Applicant)	Working whilst sick
23	WARO/17/00128	Swansea Bay	18/10/2017	Consultant	Private work during NHS time
24	WARO/17/00129	Swansea Bay	18/10/2017	Consultant	Private work during NHS time
25	WARO/17/00132	Swansea Bay	23/10/2017	Administrative & Clerical	Timesheet Fraud

26	WARO/17/00144	Swansea Bay	17/11/2017	Psychiatrist	Working whilst sick
27	WARO/17/00147	Swansea Bay	23/11/2017	Nurse (NHS)	Prescription
28	WARO/17/00169	Swansea Bay	21/12/2017	HCSW	Working whilst sick
29	WARO/18/00003	Swansea Bay	03/01/2018	Domestic Assistant	Theft
30	WARO/18/00019	Swansea Bay	29/01/2018	Consultant	Private work during NHS time
31	WARO/18/00021	Swansea Bay	29/01/2018	HCSW	False Sickness
32	WARO/18/00051	Swansea Bay	27/03/2018	Patient	Overseas Patient
33	WARO/18/00068	Swansea Bay	10/05/2018	Cardiac Profusionist	Timesheet Fraud
34	WARO/18/00075	Swansea Bay	23/05/2018	Agency Nurse	Invoicing
35	WARO/18/00096	Swansea Bay	11/07/2018	Administrative & Clerical	Travel Expenses
36	WARO/18/00107	Swansea Bay	31/07/2018	Patient	Hospital Travel Costs
37	WARO/18/00129	Swansea Bay	12/09/2018	Nurse	Working whilst sick
38	WARO/18/00135	Swansea Bay	03/10/2018	Medical Secretary	Used HB Bank account own use
39	WARO/18/00149	Swansea Bay	31/10/2018	Orthopaedic Technician	Timesheet Fraud
40	WARO/18/00152	Swansea Bay	31/10/2018	Nurse	Working whilst sick
41	WARO/18/00158	Swansea Bay	07/11/2018	Pharmacist (hospital)	Bribery / Corruption
42	WARO/18/00160	Swansea Bay	09/11/2018	Practice Staff	Abuse of Position
43	WARO/19/00049	Swansea Bay	03/05/2019	Patient	Hospital Travel Costs
44	WARO/19/00063	Swansea Bay	24/06/2019	Agency Nurse	Failure to disclose information
45	WARO/19/00069	Swansea Bay	04/07/2019	Nurse	Working whilst sick
46	WARO/19/00071	Swansea Bay	08/07/2019	Agency Nurse	Timesheet Fraud
47	WARO/19/00080	Swansea Bay	17/07/2019	Nurse	Working whilst sick
48	WARO/19/00082	Swansea Bay	23/07/2019	Manager	Conspiracy to defraud
49	WARO/19/00082	Swansea Bay	25/07/2019		Failure to disclose information
50	WARO/19/00087	Swansea Bay	05/08/2019	HCSW	Working whilst sick
51	WARO/19/00103	Swansea Bay	05/09/2019	Applicant - HCSW	Failure to disclose information
52	WARO/19/00104	Swansea Bay	05/09/2019	Student Nurse	Working whilst sick
53	WARO/19/00105	Swansea Bay	13/09/2019	Agency Nurse	Timesheet Fraud
	<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Subject</b>	<b>Potential Offences</b>
1	WARO/17/00121	Welsh Ambulance	06/10/2017	Advanced paramedic practitioner	Timehseet Fraud and expenses fraud
2	WARO/17/00157	Welsh Ambulance	07/12/2017	Ambulance care assistant / PTS driver	False representation / Fuel theft
3	WARO/18/00011	Welsh Ambulance	16/01/2018	NEPTS Operations team leader	Timesheet and expenses fraud
4	WARO/18/00012	Welsh Ambulance	16/01/2018	Service provider - Taxi company	Invoice fraud



5	WARO/18/00074	Welsh Ambulance	24/05/2018	Service area manager	Bribery Act 2010
6	WARO/18/00087	Welsh Ambulance	15/06/2018	Volunteer driver	Expenses fraud ( mileage )
7	WARO/18/00114	Welsh Ambulance	13/08/2018	Control dispatcher	working while sick - section 2 Fraud Act
8	WARO/18/00145	Welsh Ambulance	17/10/2018	CTL	Sickness fraud - section 2
9	WARO/18/00148	Welsh Ambulance	30/10/2018	Service manager	Bribery Act 2010 / corruption
10	WARO/18/00175	Welsh Ambulance	03/12/2018	NEPTS driver	Sickness fraud - section 2
11	WARO/18/00177	Welsh Ambulance	11/12/2018	NEPTS driver	Timesheet fraud - section 2
12	WARO/19/00006	Welsh Ambulance	16/01/2019	NEPTS Manager	Sickness fraud - section 2
13	WARO/19/00015	Welsh Ambulance	08/02/2019	Paramedic	Sickness fraud - section 2
14	WARO/19/00026	Welsh Ambulance	07/03/2019	NEPTS call handler	Sickness fraud - section 2
15	WARO/19/00028	Welsh Ambulance	08/03/2019	Service manager	Abuse of position / false representations
16	WARO/19/00029	Welsh Ambulance	08/03/2019	IT service area	Expenses fraud
17	WARO/19/00038	Welsh Ambulance	09/04/2019	NEPTS Driver	Sickness fraud - section 2
18	WARO/19/00044	Welsh Ambulance	30/04/2019	Paramedic	Sickness fraud - section 2
19	WARO/19/00043	Welsh Ambulance	30/04/2019	EMT	Sickness fraud - section 2
20	WARO/19/00054	Welsh Ambulance	23/05/2019	Paramedic	Abuse of Position - working whilst suspended
21	WARO/19/00055	Welsh Ambulance	23/05/2019	EMT	Sickness fraud - section 2
22	WARO/19/00067	Welsh Ambulance	26/06/2019	NEPTS	Timesheet fraud - section 2
23	WARO/19/00064	Welsh Ambulance	26/06/2019	CFR	Expenses and funds allocation - False representations
24	WARO/19/00086	Welsh Ambulance	02/08/2019	CTL	Timesheet fraud - section 2
25	WARO/19/00113	Welsh Ambulance	26/09/2019	CFR	Fraud - abuse of position / Theft Act

### Summary of Cases Closed During Quarter 1 (1<sup>st</sup> April 2019 to 30<sup>th</sup> September 2019)

Case No	NHS Organisation	Case Start Date	Case Closure Date	Subject	Fraud Type	Outcome
WARO/16/00043	Aneurin Bevan	26/04/2016	12/08/2019	Nurse	Timesheet	Dismissed /guilty plea at court recovered £12,963.34, struck off by NMC following 9 mth suspension order
WARO/17/00053	Aneurin Bevan	05/06/2017	28/08/2019	Radiographer	Timesheet	NFA criminal dismissed rec £828.41
WARO/18/00040	Aneurin Bevan	19/02/2018	22/08/2019	GP Staff	Prescriptions	18-weeks imprisonment suspended for 12-months. Complete 150-hours Unpaid Community Work, complete 10-days Rehabilitation Activity Requirement compensation £565
Case No	NHS Organisation	Case Start Date	Case Closure Date	Subject	Fraud Type	Outcome
WARO/16/00120	Betsi Cadwaladr	10/11/2016	12/08/2019	GP	Working while sick	CPS discontinued case. Subject repaid £4,577.85 sick pay.
WARO/18/00097	Betsi Cadwaladr	12/07/2018	19/08/2019	Nurse (NHS)	Timesheet Fraud	No evidence to support the allegation of fraud
WARO/19/00081	Betsi Cadwaladr	19/07/2019	20/08/2019	Pharmacist	Over-dispensing	Error made at GP Practice, confirmed with Practice Manager. Last two NHS Prescriptions (which covers the period of the GP Practice error) have not been submitted for payment to the NHS Wales Prescription Pricing Office. No Fraud Found
WARO/18/00047	Betsi Cadwaladr	06/03/2018	23/09/2019	Patient (GMS)	Prescriptions	Patient suspected of selling a prescribed drug on e-Bay. Anonymous letter and photographic evidence collected from Subject's GP Surgery, but witnesses declined to make statements. No evidence of any further sales being made and patient's medication reviewed. Case closed.
Case No	NHS Organisation	Case Start Date	Case Closure Date	Subject	Fraud Type	Outcome
WARO/17/00066	Cardiff & Vale	28/06/2017	30/07/2019	Consultant	False Claims	CPS advice to close "not in public interest to prosecute"
WARO/19/00031	Cardiff & Vale	15/03/2019	12/07/2019	Nurse (NHS)	False Representation	Management issue
WARO/19/00062	Cardiff & Vale	24/06/2019	26/07/2019	Health & Safety	Payroll Overpayment	No Fraud identified - £4,805.60 repaid
WARO/19/00066	Cardiff & Vale	26/06/2019	26/07/2019	Patient (GMS)	Overseas Visitor	No fraud identified

WARO/19/00089	Cardiff & Vale	08/08/2019	25/09/2019	Patient (GMS)	Forgery and Counterfeiting	Fraud not proven
<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Case Closure Date</b>	<b>Subject</b>	<b>Fraud Type</b>	<b>Outcome</b>
WARO/18/00053	Cwm Taf	24/01/2018	27/09/2018	Medical Secretary	False Representation	CPS advised case not strong enough to prosecute
WARO/19/00095	Cwm Taf	04/07/2019	30/09/2019	Member of the public	False Representation	One prescription altered, warning letter sent
WARO/19/00035	Cwm Taf	09/07/2018	20/09/2019	Consultant	Failing to disclose information	Overpayment of salary repaid in full £5,733.42
<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Case Closure Date</b>	<b>Subject</b>	<b>Fraud Type</b>	<b>Outcome</b>
WARO/19/00033	NWSSP	02/04/2019	18/07/2019	Student Nurse	False Claims for Reimbursement	No fraud
WARO/19/00059	NWSSP	12/06/2019	04/07/2019	Student Nurse	False Claims for Reimbursement	No fraud
<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Case Closure Date</b>	<b>Subject</b>	<b>Fraud Type</b>	<b>Outcome</b>
WARO/19/00085	PHW NHS Trust	31/07/2019	19/08/2019	Administrator	False Representation / Abuse of Position	Case Closed - Disciplinary Hearing held and Written Warning Issued
<b>Case No</b>	<b>NHS Organisation</b>	<b>Case Start Date</b>	<b>Case Closure Date</b>	<b>Subject</b>	<b>Fraud Type</b>	<b>Outcome</b>
WARO/18/00138	WAST	10/10/2018	10/07/2019	Emergency care assistant	Timesheet	Disciplinary warning and recovery of £304.01
WARO/18/00155	WAST	05/11/2018	12/07/2019	Ambulance technician	Sickness	No evidence of activity gained / internal warning would be considered although since left employment.
WARO/17/00133	WAST	30/10/2017	24/07/2019	NEPTS Driver	Timesheet	Weaknesses identified and management change of practice and enhanced monitoring around shift swaps.

WARO/18/00083	WAST	04/06/2018	12/08/2019	Paramedic	Theft	No evidence of wrongdoing, internal warnings offered around conduct on social media
WARO/18/00086	WAST	12/06/2018	10/09/2019	NEPTS Driver	Timesheet	No evidence of fraud, although guidance and warning issued over round ups
WARO/18/00170	WAST	26/11/2018	25/09/2019	Call handler	Sickness	No evidence of working elsewhere following confirmations from alleged third party
WARO/19/00072	WAST	08/07/2019	16/09/2019	Paramedic	Timesheet	Entitlements claimed appear valid, no fraud committed.

*Some sanctions listed for closed cases may have been recorded in previous quarterly reports; the cases have now been formally closed on the FIRST Case Management System following the conclusion of all reasonable lines of enquiry and the completion of all criminal, civil or disciplinary (internal or external) sanctions.*