



Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



<b>Meeting Date</b>	<b>09 March 2023</b>	<b>Agenda Item</b>	<b>6.1</b>
<b>Report Title</b>	<b>Counter Fraud Update Report</b>		
<b>Report Author</b>	Matthew Evans – Head of Counter Fraud Services		
<b>Report Sponsor</b>	Darren Griffiths – Director of Finance and Performance		
<b>Presented by</b>	Matthew Evans – Head of Counter Fraud Services		
<b>Freedom of Information</b>	Open		
<b>Purpose of the Report</b>	The purpose of this report is to provide update to the Audit Committee on progress of counter fraud work against the Counter Fraud Work Plan.		
<b>Key Issues</b>	<p>The report covers activity undertaken in line with the Counter Fraud Work Plan and highlights key achievement or issues in relation to delivery of the Work Plan.</p> <p>Following recent feedback on reporting arrangements this report is provided in public session for the first time with more detailed case information is covered in the In Committee session.</p>		
<b>Specific Action Required</b> <i>(please choose one only)</i>	<b>Information</b>	<b>Discussion</b>	<b>Assurance</b>
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Recommendations</b>	<p>Members are asked to:</p> <ul style="list-style-type: none"> <li><b>Note</b> the Counter Fraud Update Report</li> </ul>		



# **Swansea Bay University Health Board**

**Audit & Risk Committee – 9<sup>th</sup> March 2023**

**Counter Fraud Progress Report**

**Matthew Evans**  
**Head of Local Counter Fraud Services**

## **1. INTRODUCTION**

The purpose of this report is to update the Audit Committee on key areas of work undertaken by the Health Board Local Counter Fraud Specialists (LCFS) since the last meeting.

## **2. BACKGROUND**

The following sets out activity under the Key Principles specified within the Fraud, Bribery and Corruption Standards for NHS Bodies (Wales).

## **3. STRATEGIC GOVERNANCE**

The Counter Fraud Team have attended a 2-day training and development session delivered by the NHS Counter Fraud Authority. The training covered the areas of Criminal Procedure in Investigations Act particularly around evidential disclosure, the function and application of diversionary cautions which are a new out of court disposal introduced by the Police Crime Sentencing and Courts Act replacing conditional cautions this year, and refresher training on investigation skills and the Fraud Investigation Model.

A benchmarking report of key performance indicators has been produced and is attached at Appendix 1 to this report. The report measures Health Board performance against an all-Wales benchmark average to provide greater context to the information. The report is based on Q1 – Q3 year on year data to allow comparisons to previous performance.

The NHS Counter Fraud Authority Quality Assurance Inspector (QA Inspector) has issued a final report in relation to Thematic Assessment of the former Standards 3.4,3.5 and 3.6 commenced in March 2020. The assessment sought to provide assurance that appropriate measures to prevent fraud, bribery and corruption in the areas of pre-employment, procurement and invoice payment are in place. Where they are not in place, to reinforce recommendations made to address any system weaknesses. Actions set within the assessment exercise have been accepted as complete by the QA Inspector and an extract from the report is attached at Appendix 2 for information.

## **4. INFORM AND INVOLVE**

A programme of awareness is now being offered to GP Practices. This extends the existing awareness programme at the Health Board and seeks to harden response to frauds and scams targeted at GP Practices as well as covering learning from a recent prosecution of a Practice Manager in the Swansea area as well as further referrals received relating to alleged fraud within GP Practices.

The Counter Fraud Team have reinstated counter fraud training for student nurses in liaison with Swansea University. Fraud training will be delivered as part of classroom-based learning for the nursing students who will be then on placement with the Health Board.

A new Counter Fraud app has been developed by NWSSP and launched for staff

across NHS Wales available via Desktop, iOS and Android. The app is intended to raise awareness through delivering latest NHS fraud news, successful cases and information as well as offering a reporting route with integrated contact details of Local Counter Fraud Teams. The app is available via Desktop by following this link - [Counter Fraud Service Wales app \(sharepoint.com\)](#)

## **5. PREVENT AND DETER**

The Counter Fraud Team are undertaking a comprehensive risk assessment around recruitment pre-employment checks processes. This is a follow up to a proactive exercise undertaken in 2021 and will focus on internal pre-employment checks which have recently been adjusted. A report will be brought to Audit Committee upon completion of this piece of work.

A risk measurement exercise is being undertaken in relation to the offering of free Health Sector conferences/networking events to NHS staff. This follows receipt of local intelligence via the Director of Finance at Cwm Taf Morgannwg UHB regarding NHS Wales employees attending such events with negative experiences. The measurement exercise will seek to inform the wider NHS via CFS Wales and the NHS Counter Fraud Authority of a so far unknown/unseen risk.

## **6. HOLD TO ACCOUNT**

The ability for Counter Fraud Services in NHS Wales to carry out Police National Computer (PNC) checks remains unresolved. PNC checks are required to be undertaken on suspects and witnesses to verify pre-convictions as part of prosecution case file submissions. The Crown Prosecution Service will not accept case files without these checks. The inability to undertake PNC checks represents a risk to case progression and there is a lack of clarity around when this issue will be resolved.

The Counter Fraud Team have arranged a refresher course for Open Source Intelligence (OSINT). OSINT is the collection and analysis of data gathered from open sources to produce actionable intelligence. This area has evolved over recent years and the Team's training level has become outdated. The course is comprehensive and will bring capability up to date to enable LCFSSs to utilise this resource to the maximum potential in investigations.

<b>Governance and Assurance</b>		
<b>Link to Enabling Objectives</b> <i>(please choose)</i>	<b>Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities</b>	
	Partnerships for Improving Health and Wellbeing	<input type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	<b>Deliver better care through excellent health and care services achieving the outcomes that matter most to people</b>	
	Best Value Outcomes and High Quality Care	<input type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
<b>Health and Care Standards</b>		
<i>(please choose)</i>	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input type="checkbox"/>
	Effective Care	<input type="checkbox"/>
	Dignified Care	<input type="checkbox"/>
	Timely Care	<input type="checkbox"/>
	Individual Care	<input type="checkbox"/>
	Staff and Resources	<input type="checkbox"/>
<b>Quality, Safety and Patient Experience</b>		
The Counter Fraud activity outlined whilst primarily aimed at fraud risk to the Health Boards links to potential parallel risks relating to quality, safety and patient experience where identified.		
<b>Financial Implications</b>		
The Counter Fraud resource is fully budgeted.		
<b>Legal Implications (including equality and diversity assessment)</b>		
The report sets out progression in cases which can result in legal action being undertaken both criminally and civilly in line with working practices set out in the Health Board's Counter Fraud Policy and Response Plan.		
<b>Staffing Implications</b>		
The resource required to deliver the Counter Fraud work is already in place.		
<b>Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)</b>		
Briefly identify how the paper will have an impact of the "The Well-being of Future Generations (Wales) Act 2015, 5 ways of working.		
<ul style="list-style-type: none"> <li>○ <b>Long Term</b> – reduction of fraud risk faced by the Health Board and reduction of losses to fraudulent activity.</li> <li>○ <b>Prevention</b> – fraud risk management to reduce, prevent and deter exposure to fraud.</li> </ul>		

<ul style="list-style-type: none"> <li>○ <b>Integration</b> – counter fraud activity aligns to requirements set out by Welsh Government on counter fraud measures for NHS Bodies and is aligned to work across NHS Wales.</li> <li>○ <b>Collaboration</b> – counter fraud activity involves collaboration with internal and external stakeholders throughout.</li> <li>○ <b>Involvement</b> – key stakeholders are identified and engaged in counter fraud work to meet and achieve aims and objectives.</li> </ul>	
<b>Report History</b>	None
<b>Appendices</b>	<b>Appendix 1</b> – Thematic Assessments <b>Appendix 2</b> – Benchmark Report