

## Counter Fraud Policy

Issue Date	Review Date	Version
July 2019	July 2021	V11

### Purpose

This document is the Trust's policy on dealing with fraud and other illegal acts involving dishonesty or bribery/corruption. It includes a brief statement to all employees setting out the organisation's position on dealing with fraud and what employees should do if they suspect fraud and/or bribery/corruption.

### Who should read this document?

All staff, contractors, consultants, vendors and other internal and external stakeholders

### Key Messages

A basic principle of public sector organisations is the proper use of public funds. This policy is to ensure that all Trust employees are aware of the risk of fraud and bribery/corruption and provides guidance for detected or suspected fraud and corruption.

### Core accountabilities

<b>Owner</b>	Tracy Wheeler, Local Counter Fraud Specialist
<b>Review</b>	July 2019
<b>Ratification</b>	Committee
<b>Dissemination (Raising Awareness)</b>	All staff via Staffnet
<b>Compliance</b>	Audit Committee

### Links to other policies and procedures

Raising Concerns Policy & Speaking up leaflet  
 Performance and Conduct policy  
 Standards of Business Conduct guidance  
 NHS England Conflicts of Interest guidance  
 Fraud Act 2006  
 Bribery Act 2010  
 Theft Act 1968  
 Computer Misuse Act 1990

### Version History

V6	9/12/09	Approved by Audit Committee November 2008
V7	7/3/11	Reviewed by Local Counter Fraud Specialist
V8	15/7/14	Reviewed by Local Counter Fraud Specialist
V9	20/6/16	Reviewed by Local Counter Fraud Specialist
V10	July 2018	Reviewed by Local Counter Fraud Specialist

*The Trust is committed to creating a fully inclusive and accessible service. Making equality and diversity an integral part of the business will enable us to enhance the services we deliver and better meet the needs of patients and staff. We will treat people with dignity and respect, promote equality and diversity and eliminate all forms of discrimination, regardless of (but not limited to) age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage/civil partnership and pregnancy/maternity.*

**An electronic version of this document is available on Trust Documents in Document Library. Larger text, Braille and Audio versions can be made available upon request.**

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## 1 Introduction

One of the basic principles of public sector organisations is the proper use of public funds. It is therefore important that all Trust employees, contractors, consultants, vendors and other internal and external stakeholders are aware of the risk of and means of enforcing the rules against any acts involving dishonesty, such as over claiming of travel expenses/hours worked, bribery/corruption or abuse of position. This document sets out the Trust's policy for detected or suspected fraud and bribery/corruption.

The Board already has procedures in place that reduce the likelihood of fraud occurring. These include Standing Orders, Standing Financial Instructions, a system of internal control and a system of risk assessment.

The Trust's expectation on propriety and accountability is that board members and staff at all levels will lead by example in ensuring adherence to rules. Given that we are handling public resources, all procedures and practices should be above reproach.

Fraud in the NHS can impact on patient care and confidentiality.

It is everyone's responsibility to prevent fraud, bribery and corruption and know how to report concerns.

This document is intended to provide direction and help to all employees who have suspicions or become aware of fraud and/or bribery/corruption.

## 2 Purpose

Service Condition 24 of the NHS Standard Contract details the counter fraud standards for providers of NHS services (which includes University Hospitals Plymouth NHS Trust) must have in place.

Those working for University Hospitals Plymouth NHS Trust need to be aware of the public sector values and the Trust's commitment to maintaining a honest, open and well intentioned culture within the Trust.

**The Trust's Policy** - The Board is absolutely committed to maintaining an honest, open and well-intentioned atmosphere within the Trust. It is therefore also committed to the elimination of any fraud within the Trust, and to the rigorous investigation of any such cases.

The Board wishes to encourage anyone with reasonable suspicions of fraud to report them. The Board will ensure that no employee will suffer in any way as a result of reporting reasonably held suspicions. "Reasonably held suspicions" are any suspicions other than those which are both raised maliciously and also found to be groundless. Malicious allegations may be dealt with as a disciplinary matter.

The Trust's staff are an important element in our stance on fraud and corruption. All staff are positively encouraged to raise any concerns that they may have on these issues where they are associated with the Trust's activity. All such concerns will be treated in confidence, wherever possible, and properly investigated.

The Trust will not tolerate any harassment, victimisation or other disadvantage – including disciplinary action – of employees who raise concerns in good faith which are subsequently shown to be unfounded.

### 3 Definitions

#### Public Sector Values:

The three fundamental public service values underpinning the work of the NHS and all public sector work, specified by the NHS Code of Conduct for Boards are:

**Accountability** Everything done by those who work in the organisation must be able to stand the tests of parliamentary scrutiny, public judgments on propriety and professional codes of conduct.

**Probity** Absolute honesty and integrity should be exercised in dealing with NHS patients, assets, staff, suppliers and customers.

**Openness** The organisation's activities should be sufficiently public and transparent to promote confidence between the organisation and its patients, staff and the public.

All those who work in the public sector should be aware of, and act in accordance with, these values. Trust staff are bound by the NHS England Conflicts of Interest in the NHS – Guidance for staff and organisations <https://www.england.nhs.uk/publication/managing-conflicts-of-interest-in-the-nhs-guidance-for-staff-and-organisations/> The core standards of conduct of NHS managers are set out in the Code of Conduct for NHS Managers and for all NHS staff NHS England issued in June 2017 the Managing Conflicts of Interest in the NHS guidance.

#### Fraud Act 2006:

The Act gives a statutory definition of the criminal offence of fraud, defining it in three classes - fraud by false representation, fraud by failing to disclose information, and fraud by abuse of position.

These offences occur when the act or omission is committed dishonestly and with the intention of making a financial gain or causing a financial loss. The gain or loss does not have to succeed, so long as the intent is there.

Some Fraud Act 2006 offences:

- Section 2 – **fraud by false representation** – lying about something using any means eg by words or actions
- Section 3 – **fraud by failing to disclose** – not saying something when you have a legal duty to do so eg failing to declare criminal convictions
- Section 4 – **fraud by abuse of position** – abusing a position where there is an expectation to safeguard the financial interests of another person or organisation

- Section 7 – **making or supplying articles for the use in fraud** eg false references
- Section 11 – **obtaining services dishonestly**

### **Examples of NHS fraud:**

- Abuse of Trust property
- False qualifications and references
- Deception or falsification of records such as fraudulent time or expense claims
- Corruption concerning procurement or tendering
- Incorrectly claiming reimbursement
- Charging for goods and services not actually delivered
- Misuse of sick leave ie working elsewhere
- Falsified cash accounting records ie petty cash vouchers, patients money
- False pharmaceutical/ophthalmic/dental claims

### **Bribery Act 2010:**

Bribery/Corruption is defined as the offering, promising or giving a payment of benefit-in-kind in order to influence others to use their position in an improper way to gain an advantage.

The Bribery Act 2010 makes it an offence to give, promise or offer a bribe, and to request, agree to receive or accept a bribe. The Act also introduces a corporate offence of failing to prevent bribery by an organisation. An organisation may avoid conviction if it can show that it had procedures/protocols in place to prevent bribery. NHS organisations are liable under this Act.

If Trust employees, contractors or temporary staff have any personal or business interest in an organisation which contracts with University Hospitals Plymouth NHS Trust then they are required to declare it at [plh-tr.interests@nhs.net](mailto:plh-tr.interests@nhs.net)

All staff must take great care over offering or accepting gifts, hospitality, entertainment or sponsorship. To ensure protection against any accusation of compromise then a declaration must be made to [plh-tr.hospitality@nhs.net](mailto:plh-tr.hospitality@nhs.net).

Further information on expected conduct of all NHS staff can be found in the Trust's Standards of Business Conduct Guidance.

### **Theft Act 1968**

Theft is defined as dishonestly appropriating property belonging to another with the intention of permanently depriving them of it (ie stealing). Fraud is distinct from

theft because it involves an element of deception – making a false representation. All instances of theft within the Trust should be referred to the Trust’s Security Management.

### **Computer Misuse Act 1990**

The Computer Misuse Act is designed to protect computer users and organisations against intentional misuse, attack and/or theft of information. The Act introduced three main criminal offences:

- Unauthorised access to computer material (Section 1).
- Unauthorised access with intent to commit or facilitate commission of further offences (Section 2).
- Unauthorised modification of computer material (Section 3).

The maximum penalties for computer misuse offences are 10 years’ imprisonment and a fine.

### **NHS Counter Fraud Authority (CFA)**

The NHSCFA has the responsibility for the detection, investigation and prevention of fraud and economic crime within the NHS. Its aim is to lead the fight against fraud affecting the NHS and wider health service, by using intelligence to understand the nature of fraud risks, investigate serious and complex fraud, reduce its impact and drive forward improvements.

The NHSCFA strategy: Leading the fight against NHS fraud: Organisational strategy 2017-2020 is available at <https://cfa.nhs.uk/about-nhscfa/corporate-publications>

NHSCFA is a special health authority which is independent from NHS bodies and is directly accountable to the Department of Health & Social Care (DHSC)..

Crimes against the NHS seriously undermine its effectiveness and ability to deliver the best quality of healthcare and patient experience. By tackling crime across the health service, it helps to achieve the best use of NHS resources.

### **Counter fraud standards<sup>1</sup>**

A requirement in the NHS standard contract is that providers of NHS services (that hold a Monitor’s Licence or is an NHS Trust) must take the necessary action to comply with the NHSCFA’s counter fraud standards. Other’s should have due regard to the standards. The contract places a requirement on providers to have policies, procedures and processes in place to combat fraud, corruption and bribery to ensure compliance with the standards. The NHSCFA carries out regular assessments of health organisations in line with the counter fraud standards.

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<sup>1</sup> <https://cfa.nhs.uk/counter-fraud-standards>

## **The Chief Executive**

The Chief Executive as the Trust's accountable officer, has the overall responsibility for funds entrusted to it. This includes instances of fraud, bribery and corruption. The Chief Executive must ensure adequate policies and procedures are in place to protect the organisation and funds it receives. They will keep the Board informed of the progress of any investigation as necessary.

## **Role of the Board**

The Board is responsible for:

- Providing clear, demonstrable support and strategic direction for counter fraud, bribery and corruption work.
- Proactively managing, controlling and evaluating counter fraud, bribery and corruption work.
- Scrutinising NHSCFA assessment reports and where applicable ensures recommendations are actioned.

## **Director of Finance**

The Director of Finance has responsibility for::

- Approving financial transactions initiated by directorates across the organisation.
- Preparation and maintenance of detailed financial procedures and systems applying principles of segregation of duties and internal checks
- Reporting to the Board on the adequacy of internal financial controls and risk management as part of the Board's overall responsibility to prepare a statement of internal controls for the annual report.
- Ensuring that the Trust complies with the requirements of Service Condition 24 of the NHS Standard Contract
- Overseeing the Trust's counter fraud arrangements
- Informing third parties such as External Auditors of any significant cases when appropriate

## **Audit Committee**

The Audit Committee is responsible for reviewing, approving and monitoring counter fraud workplan, receiving regular updates on counter fraud activity and providing direct access and liaison with those responsible for counter fraud and discussing NHSCFA quality assessment reports. They should ensure that the organisation has adequate arrangements in place for countering fraud and review



the outcomes of counter fraud work. The NHS Audit Committee Handbook 2018 (published by the HFMA) details the responsibilities of the Audit Committee and how counter fraud activity supports the Audit Committee's work (section 5.6).

## **Director of People**

The Director of People will be responsible for ensuring that employment law and the Trust's policies and procedures are complied with throughout the investigation. Their role impacts on the application of parallel sanctions at the start of an investigation.

## **Human Resources**

Human Resources (HR) role plays in relation to suspected cases of fraud, bribery and corruption, including liaison with the LCFS and the conduct of any investigation, and instigating the necessary disciplinary action against those who fail to comply with the policies, procedures and processes.

## **Local Counter Fraud Specialist (LCFS)**

The LCFS can be approached confidentially and anonymously by any Trust employee or member of the public who has suspicions of fraud within the Trust.

The LCFS conducts their work in four areas:

- **Strategic governance** – ensuring that the Trust complies with its obligations under the NHS Standard contract and NHS CFA.
- **Inform and involve** – developing an anti-fraud culture.
- **Prevent and deter** – conducting proactive exercises to test the strength of systems and procedures against fraud.
- **Hold to account** – commence investigations where there is a suspicion of fraud and seeking sanctions where fraud is proved.

The LCFS will work with key colleagues and stakeholders to promote counter fraud work, apply effective preventative measures and investigate allegations of fraud and/or corruption. The LCFS reports to the Director of Finance and the Audit Committee. They are responsible for ensuring all local counter fraud work is conducted in a professional comprehensive and ethical manner following guidance in the NHS Anti Fraud Manual and any other guidance issued by NHS Counter Fraud Authority.

## **Internal and external audit**

The role of internal and external audit includes reviewing controls and systems and ensuring compliance with financial instructions. They have a duty to pass on any suspicions of fraud, bribery or corruption to the LCFS.

## **Managers**

All managers are responsible for:

- ensuring that policies, procedures and processes within their local area are adhered to and kept under constant review
- That staff are aware of fraud, bribery and corruption and understand the importance of protecting the organisation from it.
- Be responsible for the enforcement of disciplinary action for staff who do not comply with policies, procedures and processes.
- Be alert to the possibility that unusual events or transactions could be indications of fraud,
- Seeking advice from the Director of Finance of the Local Counter Fraud Specialist if they have suspicions of fraud.
- Reporting all incidents or suspicions immediately to the Director of Finance or the Local Counter Fraud Specialist and to not investigate the matter themselves.

## **All Employees**

All employees are responsible for:

- Complying with the Trust's policies, procedures and processes and apply best practice in order to prevent fraud, bribery and corruption.
- Being aware of the Trust's Standards of Business Conduct guidance and acting in accordance with it. Thus, protecting the organisation and themselves from these crimes.
- Protecting the assets of the Trust, including information and goodwill as well as property
- Acting in accordance with the standards laid down by their professional bodies where applicable
- Reporting all incidents or suspicions to the Director of Operational Finance, the Local Counter Fraud Specialist or the NHS Counter Fraud Authority (NHSCFA).
- Managing internal control systems (if applicable) and should receive adequate training and support in order to carry out their responsibilities.

## **Fraud, Bribery and Corruption**

All fraud, bribery and corruption (collectively referred to as economic crime) in the NHS is unacceptable and should not be tolerated. It affects the ability of the NHS to improve health outcomes for people in England, as resources are wrongfully diverted and cannot be used for their intended purpose. In addition, the Trust's reputation can also be damaged, especially when its staff are involved in economic crime.

The Trust conducts risk assessments in line with Ministry of Justice guidance to assess how bribery and corruption may affect the organisation. Where risks are identified, they are mitigated with proportionate procedures.

All staff must be aware of the Standards of Business Conduct guidance and comply with the conditions, in particular the following areas:

- Declarations of interests
- Gifts
- Hospitality

Any declarations of interests, gifts or hospitality offered or received must be declared, if staff are in any doubt they should seek guidance from the Trust's Company Secretary.

## **REPORTING FRAUD AND GUIDANCE**

### **Reporting Fraud**

If you have reason to suspect a colleague, patient, contractor or other person of fraud or an offence against the Trust or a serious infringement of Trust or NHS rules, you have a responsibility to report this.

Contact your LCFS if you have any suspicions or concerns. All referrals will be treated in the strictest of confidence.

Your Local Counter Fraud Specialist is:

- Tracy Wheeler – 01752 431378 / 0778 986 8568 – [tracy.wheeler2@nhs.net](mailto:tracy.wheeler2@nhs.net)
- First Floor, Bircham House, William Prance Road, Derriford, Plymouth PL6 5WR

Alternatively you can inform the Director of Finance:

- Sarah Brampton – 01752 439085 – [s.brampton@nhs.net](mailto:s.brampton@nhs.net)

If staff wish to report any suspicions or concerns and feel that it cannot be done

internally they can contact the NHS Fraud and Corruption reporting line on 0800 028 40 60 (Freephone 24hours a day 7 days a week) or via the online fraud reporting form at <https://cfa.nhs.uk/reportfraud>. Please remember to give as much information as possible.

Once contacted the LCFS will ensure that the DoF is notified and based on the information provided agree the best course of action to be taken.

The DoF will liaise with the Director of People to ensure that good practice is adhered to. The following guidance will be followed

- NHS Anti-Fraud Manual
- Performance & Conduct Policy
- Raising Concerns Policy

Once fraud is suspected it is critical that any investigation is conducted in a professional manner aimed at ensuring that the current and future interests of both the Trust and the suspected individual(s) are protected. It is important to note that suspicion should not be seen as evidence of guilt. An investigation may be instigated purely to establish the facts.

At no stage should any member of staff speak or write to representatives of the media or any third party about a suspected fraud without the express authority of the Chief Executive

Any individual raising a genuine concern can request support from the Trust as detailed in the Raising Concerns Policy. Staff should also be aware of the guidance provided by NHS Improvement and NHS England: Freedom to speak up: raising concern's (whistleblowing) policy for the NHS, April 2016

## **Disciplinary Action**

Any staff member involved in a fraudulent or illegal act will have disciplinary procedures (insert hyperlink for policy) initiated as described in the Sanctions and Redress section.

Where staff have acted negligently and the negligent action subsequently leads to a fraud being perpetrated, they may also face disciplinary action.

## **Sanctions and Redress**

The Trust is committed to pursuing all appropriate sanctions against those that have committed fraud against the organisation. Where the Trust have incurred a loss they will seek financial redress whenever possible to recover those losses to fraud, bribery and corruption...The redress can take the form of confiscation and compensation orders, a civil order for repayment, or a local agreement between the organisation and the offender to repay monies lost.

There are three main types of sanction the Trust may pursue (more than one sanction may be applied):

- **Criminal** The LCFS works in partnership with the NHSCFA, the police and/or the Crown Prosecution Service to bring a case to court against an alleged offender. Outcomes can range from a criminal conviction to fines and imprisonment.
- **Disciplinary** If an employee is suspected of being involved in a fraudulent or illegal act disciplinary action will be initiated as per the Disciplinary & Appeals Policy
- **Civil** Sanctions that can be taken against those who commit fraud, bribery and/or corruption. They are used to recover money and/or assets which have been fraudulently obtained, including interest and costs.
- **Professional body disciplinary** If warranted, staff may be reported to their professional body (if applicable) as a result of a successful investigation/prosecution.

What should you do if you suspect a fraud?

- **Make an immediate note of your concerns.**

Note all relevant details, such as what was said in telephone or other conversations, the date, time and the names of any parties involved.

- **Convey your suspicions to someone with the appropriate authority and experience.**

Tell the LCFS or the Director of Finance or contact the NHS Fraud & Corruption reporting line 0800 028 40 60 or <https://cfa.nhs.uk/reportfraud>

- **Deal with the matter promptly.**

Any delay could cost the Trust money.  
If in doubt, report your suspicions anyway.

- **Do not be afraid of raising your concerns.**

Your concerns will be dealt with in confidence. You will not be ridiculed and will not suffer any recriminations as a result of voicing a reasonably held suspicion. The Trust will treat any matter you raise sensitively and confidentially.

- **Do not accuse any individuals directly.**

- **Do not try to investigate the matter yourself.**

There are special rules surrounding the gathering of evidence for use in criminal cases. Any attempt to gather evidence by people who are unfamiliar with these rules may destroy the case.

- **Do not tell anyone about your suspicions other than those with the proper authority.**

*All reported frauds will be investigated and if appropriate the police maybe involved.*

## Guidance to Managers

- **Be responsive to staff concerns**

The Trust needs to encourage staff to voice any reasonably held suspicion as part of developing an anti-fraud culture. As a manager you should treat all staff concerns seriously and sensitively.

- **Note details**

Note all relevant details. Get as much information as possible from the reporting member of staff. If the staff member has made any notes obtain these also. In addition, note any documentary evidence that may exist to support the allegations made. But do not interfere with this evidence in any way.

- **Evaluate the allegation objectively**

Before you take the matter further, you need to determine whether any suspicions appear to be justified. Be objective when evaluating the issue. Consider the facts as they appear, based on the information you have to hand. Even if in doubt you must report your suspicions immediately.

- **Advise the appropriate person**

Director of Finance – Sarah Brampton (01752) 439085

Local Counter Fraud Specialist – Tracy Wheeler (01752) 431378 or [tracy.wheeler2@nhs.net](mailto:tracy.wheeler2@nhs.net)

NHS Fraud & Corruption Reporting Line - **0800 028 40 60** or <https://cfa.nhs.uk/reportfraud>

- **Deal with the matter promptly**

Any delay may cause the Trust to suffer further financial loss.

- **Do not ridicule suspicions raised by staff**

The Trust cannot operate effective anti-fraud and whistle blowing policies if staff are reluctant to pass on their concerns to management.

- **Do not approach or accuse any individuals directly**

- **Do not convey your suspicions to anyone other than those with the proper authority**

- **Do not try to investigate the matter yourself**

There are special rules surrounding the gathering of evidence for use in criminal cases. Any attempt to gather evidence by people who are unfamiliar with these rules may destroy the case.

## **6 Overall Responsibility for the Document**

Director of Finance, Local Counter Fraud Specialist and Audit Committee

## **7 Consultation and Ratification**

The design and process of review and revision of this policy will comply with The Development and Management of Formal Documents.

The review period for this document is set as default of one year from the date it was last ratified, or earlier if developments within or external to the Trust indicate the need for a significant revision to the procedures described.

This document will be reviewed by the LCFS and ratified by the Director of Finance.

Non-significant amendments to this document may be made, under delegated authority from the Director of Finance, by the nominated owner. These must be ratified by the Director and/or the Audit Committee

Significant reviews and revisions to this document will include a consultation with named groups, or grades across the Trust. For non-significant amendments, informal consultation will be restricted to named groups, or grades who are directly affected by the proposed changes.

## **8 Dissemination and Implementation**

Following approval and ratification, this policy will be published in the Trust's formal documents library and all staff will be notified through the Trust's normal notification process, currently the 'Vital Signs' electronic newsletter.

Document control arrangements will be in accordance with The Development and Management of Formal Documents.

The document owner will be responsible for agreeing the training requirements associated with the newly ratified document with the named Director and for working with the Trust's training function, if required, to arrange for the required training to be delivered.

## **9 Monitoring Compliance and Effectiveness**

Monitoring of the policy is essential to ensuring that controls are appropriate and robust enough to prevent or reduce fraud.

The Local Counter Fraud Specialist will undertake the monitoring on an annual basis. Any amendments will be reported to the Director of Finance and reported to the Audit Committee if there are significant changes.



Raising Concerns Policy & Speaking up leaflet

Performance and Conduct policy

Standards of Business Conduct guidance

NHS England Conflicts of Interest guidance

Fraud Act 2006

Bribery Act 2010

Theft Act 1968

Computer Misuse Act 1990

Dissemination Plan			
Document Title	Counter Fraud Policy		
Date Finalised	July 2019		
Previous Documents			
Action to retrieve old copies	Removed from Staffnet		
Dissemination Plan			
Recipient(s)	When	How	Responsibility
All Trust staff		Vital Signs	Information Governance Team

Review Checklist		
<b>Title</b>	Is the title clear and unambiguous?	√
	Is it clear whether the document is a policy, procedure, protocol, framework, APN or SOP?	√
	Does the style & format comply?	√
<b>Rationale</b>	Are reasons for development of the document stated?	√
<b>Development Process</b>	Is the method described in brief?	√
	Are people involved in the development identified?	√
	Has a reasonable attempt has been made to ensure relevant expertise has been used?	√
	Is there evidence of consultation with stakeholders and users?	√
<b>Content</b>	Is the objective of the document clear?	√
	Is the target population clear and unambiguous?	√
	Are the intended outcomes described?	√
	Are the statements clear and unambiguous?	√
<b>Evidence Base</b>	Is the type of evidence to support the document identified explicitly?	√
	Are key references cited and in full?	√
	Are supporting documents referenced?	√
<b>Approval</b>	Does the document identify which committee/group will review it?	√
	If appropriate have the joint Human Resources/staff side committee (or equivalent) approved the document?	√
	Does the document identify which Executive Director will ratify it?	√
<b>Dissemination &amp; Implementation</b>	Is there an outline/plan to identify how this will be done?	√
	Does the plan include the necessary training/support to ensure compliance?	√
<b>Document Control</b>	Does the document identify where it will be held?	√
	Have archiving arrangements for superseded documents been addressed?	√
<b>Monitoring Compliance &amp; Effectiveness</b>	Are there measurable standards or KPIs to support the monitoring of compliance with and effectiveness of the document?	√
	Is there a plan to review or audit compliance with the document?	√
<b>Review Date</b>	Is the review date identified?	√
	Is the frequency of review identified? If so is it acceptable?	√
<b>Overall Responsibility</b>	Is it clear who will be responsible for co-ordinating the dissemination, implementation and review of the document?	√

<b>Core Information</b>	
<b>Date</b>	8 July 2019
<b>Title</b>	Counter Fraud Policy
<b>What are the aims, objectives &amp; projected outcomes?</b>	To ensure that those working for University Hospitals Plymouth NHS Trust understand the Public Sector values, Fraud and Bribery Act and know how to report any concerns/suspicions about fraud or corruption
<b>Scope of the assessment</b>	
This assessment will highlight any areas of inequality with the implementation of this policy	
<b>Collecting data</b>	
<b>Race</b>	This policy can be made available in alternative languages
<b>Religion</b>	The document has no impact on this area
<b>Disability</b>	This policy can be made available in alternative formats
<b>Sex</b>	The document has no impact on this area
<b>Gender Identity</b>	The document has no impact on this area
<b>Sexual Orientation</b>	The document has no impact on this area
<b>Age</b>	The document has no impact on this area
<b>Socio-Economic</b>	The document has no impact on this area
<b>Human Rights</b>	The Human Rights Act is adhered to when undertaking any investigation
<b>What are the overall trends/patterns in the above data?</b>	There are no trends/patterns in this data
<b>Specific issues and data gaps that may need to be addressed through consultation or further research</b>	Trust wide documents can be made available in a number of different formats and languages as required. No further research is required as there are no further equality issues.

<b>Involving and consulting stakeholders</b>				
<b>Internal involvement and consultation</b>	This policy has been compiled by the Local Counter Fraud Specialist. The policy has been circulated to staff within the Finance and Governance departments for consultation and presented at Audit Committee for approval			
<b>External involvement and consultation</b>	External consultation has been given to Police & Criminal Evidence Act, NHS Counter Fraud Authority and the NHS Counter Fraud Manual			
<b>Impact Assessment</b>				
<b>Overall assessment and analysis of the evidence</b>	<p>This assessment has shown that there could be an impact on race or disability groups. However this document can be made available in other formats and languages if required. This document does not have the potential to cause unlawful discrimination.</p> <p>This document does not have negative impact</p>			
<b>Action Plan</b>				
<b>Action</b>	<b>Owner</b>	<b>Risks</b>	<b>Completion Date</b>	<b>Progress update</b>
Provide document in alternative formats and languages if requested	Director of Finance	Potential cost impact	Ongoing	This action will be addressed as and when the need occurs.

Action to be taken if YOU discover or suspect FRAUD, BRIBERY/CORRUPTION or THEFT

	<b>This includes:</b>	<b>What to do:-</b>
<b>FRAUD</b>	When a person knowingly or recklessly obtains money or property to which they have no entitlement – it is theft through using deception	You must discuss your suspicions or what you have discovered with one of the following:- <ul style="list-style-type: none"> <li>➤ The Director of Finance on 01752 439085</li> <li>➤ Directly with the Trust’s Local Counter Fraud Specialist on 01752 431378/ 0778 986 8568/ <a href="mailto:tracy.wheeler2@nhs.net">tracy.wheeler2@nhs.net</a></li> <li>➤ Crimestoppers line Free Phone 0800 028 40 60 or <a href="https://cfa.nhs.uk/reportfraud">https://cfa.nhs.uk/reportfraud</a></li> </ul>
<b>BRIBERY/ CORRUPTION</b>	Where someone is influenced by bribery, payment or benefit in kind to unreasonably use their position to give some advantage to another.	
<b>THEFT</b>	Any misappropriation, stealing, malicious damage and actual or attempted break-in.	This MUST be reported to your line manager who will report the incident to the Local Security Management Specialist (LSMS) Andrew Davies mobile 07798 564 340 or JoanneWoolley 01752 437004  An incident report form must be completed in accordance with Trust procedure.
<b>DO’S and DON’T’S</b>	➤ If you are suspicious or have concerns DO report it - confidentiality will be respected	
	➤ DO NOT confront the individual with your suspicions	
	➤ DO NOT contact the police directly – go via one of the contacts above first	
	➤ DO Keep or copy any document that arouse your suspicions	