

Investigation Team – Progress Report

Policies and Procedures

Following an inspection undertaken by the Office of the Surveillance Commissioners during February, the investigation team was tasked with producing a corporate policy for the use of Social Networking sites for investigative purposes. This policy has been drafted and is awaiting approval.

Further to the report that went to the Audit Committee on the 19th September 2016 in respect of Fighting Fraud and Corruption Locally, work has been undertaken to draft a Counter Fraud Toolkit, Fraud Risk Assessment, Fraud Maturity Model and revised Fraud, Bribery and Corruption Policy, these documents have been produced and are awaiting approval.

Training

Training for investigating officers, a mandatory requirement of the disciplinary policy, will continue to be delivered by the investigation team from quarter three. Following demand from attendees, a half day training session has been developed for note takers, these are due to commence in quarter three.

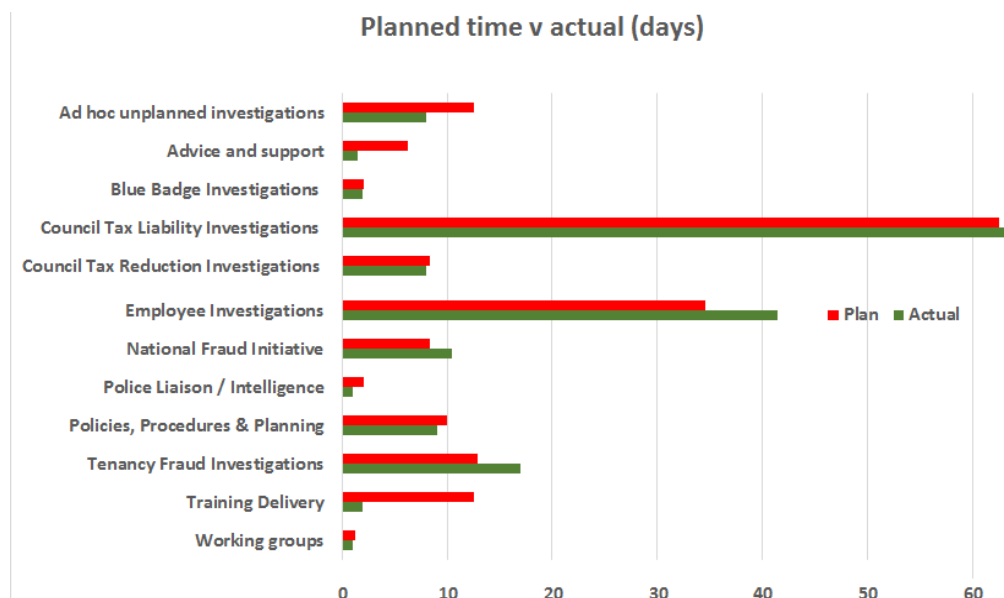
Rent Smart Wales have procured the services of the team to develop and deliver a 1 day criminal investigation training session for their Enforcement Officers. This training will be delivered during quarter two.

Resources



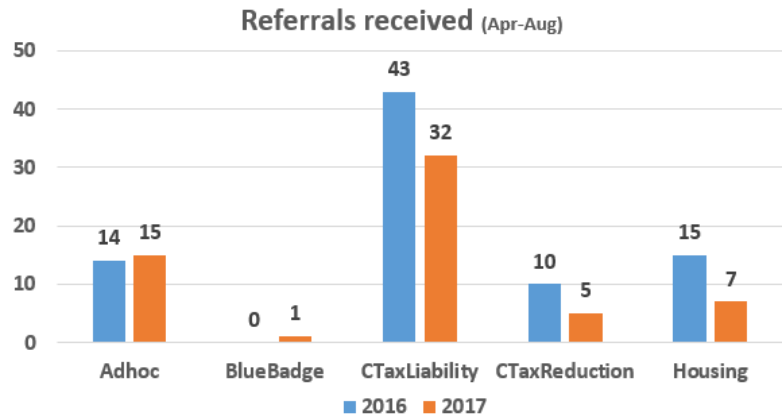
There are 2.3fte staff in the investigation team, consisting of a Professional Accredited Counter Fraud Manager / Accredited Counter Fraud Specialist, and a Professional Accredited Counter Fraud Specialist.

The 2017 fraud plan allots 417 days for investigative work, including undertaking investigations and providing training, advice, guidance and support.



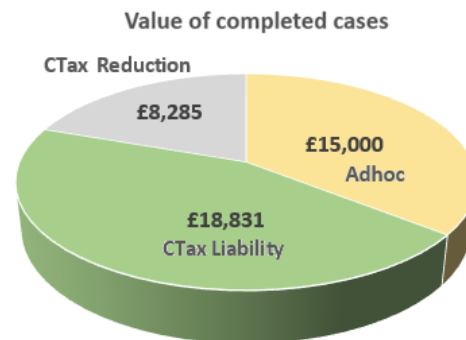
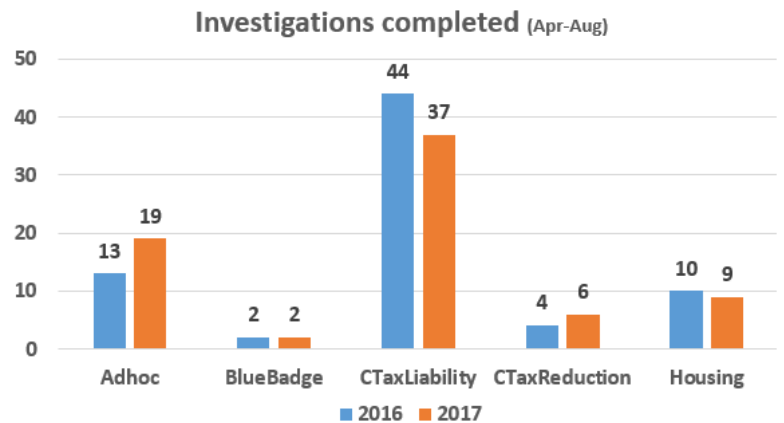
Reactive - Referrals

60 referrals were received by the team, compared to 82 last year:



Investigations concluded

73 cases were concluded, the same number as last year:



Ad-hoc referrals relate to any other fraud or allegation not listed above and may include employees or external parties. The investigation may either be led by the investigation team, or assistance / advice will be provided and include the following allegations:

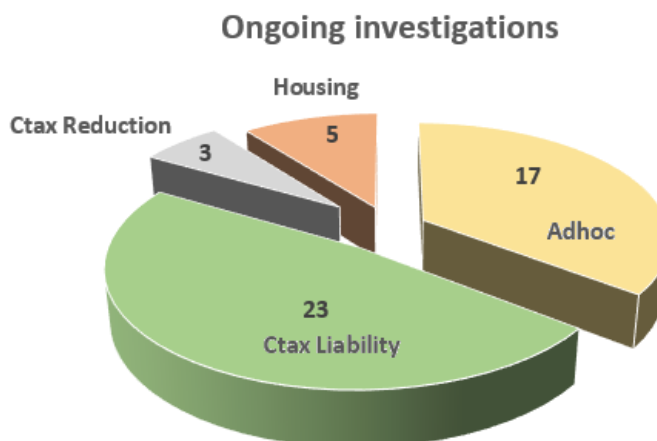
- Drug and Alcohol misuse
- Failure to disclose business interests
- Failure to work claimed overtime
- Falsification of building certificates
- Identity theft
- Misuse of internet during work
- Misuse of time
- Not following Financial Procedure Rules
- Pension life certificate validation
- Petty cash irregularity
- Theft
- Waste collection

Sanctions

- Three cases have been reported to the Police, two remain open and under investigation.
- 1 employee has been prosecuted and received a 12 month prison sentence, suspended for two years, 250 hours unpaid work, 40 days tag and a three month curfew.
- Two cases have been passed to legal to be considered for prosecution with a value of £54,000.
- One Blue Badge has been confiscated.

Investigations ongoing

There are 48 ongoing investigations currently assigned to a member of the investigation team:



Data Matching



The investigation team has been appointed by the Director of Resources to undertake the National Fraud Initiative, Key Contact role. This places a responsibility on the team to fulfil data protection requirements, investigate matches and act as the point of contact for other bodies, coordinating and monitoring the overall exercise.

The pension team recently requested a one off data match of their data to the Department for Work and Pensions Mortality database. This was facilitated by the investigation team, whereby the data was checked to ensure compliance with the Cabinet Office requirements and uploaded to the online web tool. The exercise generated thirty four potential matches, of these, eight cases were identified where there had been a change of circumstances. The pension team will now liaise with the families and identify overpayments.

Investigation service

To date, three schools have engaged the services of the investigation team, utilising professionally trained officers, in order to undertake independent investigations. Two investigations have been completed and reports have been issued to the Chair of Governors. The terms of reference for the third case is awaiting agreement, with 30 days of planned work to be undertaken.

Advice & Guidance

The investigation team has provided advice and guidance on 21 separate occasions to 14 different officers between April and August. In order to measure the value of the support, a quality / feedback form will be introduced shortly.