



**North West
Ambulance Service**
NHS Trust



ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY AND RESPONSE PLAN

This document explains the North West Ambulance Service NHS Trust Anti-Fraud Bribery and Corruption policy and the steps that must be taken where Fraud, Bribery or Corruption is suspected. All employees and volunteers should be aware of the existence of this policy document, while managers should make staff aware of its content. Any member of staff who becomes aware of any Fraud, Bribery and Corruption or other illegal act and does not follow this policy could be subject to disciplinary action.

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Approved by	Audit Committee
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Responsible Director	Director of Finance
Responsible Manager (Sponsor)	Deputy Director of Finance
For use by	All Trust Employees (permanent and temporary) including volunteers, executives and non-executives

This policy is available in alternative formats on request. Please contact the Corporate Governance Office on 01204 498400 with your request.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 2 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
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CHANGE RECORD FORM

Version	Date of change	Date of release	Changed by	Reason for change
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2.6	January 2018	April 2018	Cath Robson (AFS)	Reflect the changes regards the launch of the NHS CFA and the newly appointed AFS

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 3 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

Anti-Fraud, Bribery and Corruption Policy and Response Plan

Contents	Page
1 Introduction	5
1.1 Objectives	
1.2 Scope	
2 Definitions	6
2.1 NHS Counter Fraud Authority	
2.2 Fraud	
2.3 Bribery and Corruption	
3 Other Relevant Procedures	8
4 Codes of Conduct	8
5 Roles and Responsibilities	9
5.1 The Board / Audit Committee	
5.2 The Chief Officer	
5.3 The Director of Finance (DOF)	
5.4 Anti-Fraud Specialist (AFS)	
5.5 NHS Counter Fraud Authority (NHS CFA)	
5.6 Managers	
5.7 All Employees	
5.8 Human Resources (HR)	
5.9 Internal and External Audit	
5.10 Information Management and Technology	
6 The Response Plan	13
6.1 Reporting Fraud, Bribery and Corruption	
6.2 Sanctions and Redress	
7 Standards	15
8 Review	15
8.1 Monitoring, Review and Auditing of Policy Effectiveness	
8.2 Implementation and Dissemination of the Policy	
9 References	15

Appendices

Appendix A - Form 1 – A Desktop Guide to Report Fraud, Bribery and Corruption

Appendix B - Form 2 - Referral Form

Applicable Statutory, Legal or National Best Practice Requirements:

- **NHS Counter Fraud Manual**
- **Public Interest Disclosure Act 1998**
- **NHS Standard Contract**
- **Fraud Act 2006**
- **Bribery Act 2010**
- **NHS Conflicts of Interest Guidance**

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 4 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

1. Introduction

One of the basic principles of public sector organisations is the proper use of public funds. The majority of people who work in and use the NHS, conduct themselves in an honest and professional manner and they believe that fraud, bribery and corruption, committed by a minority, is wholly unacceptable as it ultimately leads to a reduction in the resources available for patient care.

The North West Ambulance Service NHS Trust (“The Trust”) is committed to reducing the level of fraud, bribery and corruption within the NHS to an absolute minimum and keeping it at that level, freeing up public resources for better patient care. The Trust does not tolerate fraud, bribery or corruption and aims to eliminate all such activity as far as possible.

The Trust wishes to encourage anyone having a reasonable suspicion of fraud, bribery or corruption to report them. For the purposes of this policy “reasonable held suspicion” shall mean any suspicions other than those which are totally groundless (and/or raised maliciously).

It is also the Trust’s policy that no employee will suffer in any way as a result of reporting these suspicions. The protections are given under the provisions of the Public Interest Disclosure Act which the Trust is obliged to comply with.

The Trust will take all necessary steps to counter fraud, bribery and corruption in accordance with this policy, the NHS Counter Fraud Manual, the NHS Counter Fraud Authority (NHS CFA) Investigation Case File Toolkit and in line with the NHS CFA’s Strategy document ‘Leading the fight against NHS Fraud – Organisational Strategy 2017-2020’ plus any other relevant guidance or advice issued by the NHS CFA. The Trust will seek the appropriate disciplinary, regulatory, civil and criminal sanctions (as well as a referral to professional bodies, where appropriate) against fraudsters and where possible to recover losses.

Each Trust is required to appoint its own dedicated Anti-Fraud Specialist (AFS), who is accredited by the NHS CFA and accountable to them professionally for the completion of a range of preventative anti-fraud, bribery and corruption work, as well as for undertaking any necessary investigations. Locally, the AFS is accountable on a day-to-day basis to the Trusts Director of Finance and also reports, periodically to the Trust’s Audit Committee.

All instances where fraud, bribery and/or corruption is suspected are thoroughly investigated by staff trained by the NHS CFA. Any investigations will be undertaken in accordance with the NHS Counter Fraud Manual.

1.1 Objectives

The Trust is committed to taking all necessary steps to counter fraud, bribery and corruption.

Under the NHS Standard Contract, all organisations providing NHS services are required to put in place appropriate anti-fraud arrangements. The NHS CFA’s unified approach to tackling crime against the NHS (Leading the fight against NHS Fraud – Organisational Strategy 2017-2020) is delivered across four key operational areas:

- To ensure that the organisations **strategic governance** arrangements have anti-crime measures embedded across all levels
- To **inform and involve** NHS staff and the public through raising awareness of crime risks against the NHS and highlighting the risk and consequences of crime
- To **prevent and deter** individuals who may be tempted to commit crime against the NHS and ensure that the opportunities for crime to occur are minimised

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 5 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

- To detect, investigate and **hold to account** those individuals who have committed crimes by obtaining sanctions and seeking redress.

1.2 Scope

This policy has been produced by the Trust's AFS and is intended to provide a guide for all employees (regardless of position), contractors, consultants, vendors and other internal and external stakeholders who have a professional or business relationship with the Trust, on what fraud, bribery and/or corruption is within the NHS; what everyone's responsibilities are to prevent fraud, bribery and/or corruption; and also how to report concerns/suspensions with the intention of reducing fraud, bribery and corruption to a minimum within the Trust.

This policy relates to all forms of fraud, bribery and corruption and is intended to provide direction and help to employees who may identify suspected fraud, bribery and/or corruption. It provides a framework for responding to suspicions of fraud, bribery and corruption and implications of investigations. It is not intended to provide a comprehensive approach to preventing and detecting fraud, bribery and corruption.

2. Definitions

The definitions applications to this policy are as follows:

2.1 NHS Counter Fraud Authority

The NHS CFA is a new special health authority dedicated to tackling fraud, bribery and corruption within the health service. The NHS CFA provides a clear focus for both prevention and investigation of fraud, bribery and corruption across the health service and works with NHS England and NHS Improvement to properly uncover fraud, bribery and corruption and tackle it effectively.

2.2 Fraud

The Fraud Act 2006 introduced an entirely new way of investigating and prosecuting offences of fraud. Previously the word 'fraud' was an "umbrella" term used to cover a variety of criminal offences falling under various legislative Acts. It is now no longer necessary to prove that a person has been deceived for a fraud to be successful. The focus is now on the dishonest behaviour of the suspect and their intent to make a gain either for themselves or another; to cause a loss to another; or expose another to the risk of a loss.

There are several specific offences under the Fraud Act 2006; however, there are three primary ways in which it can be committed that are likely to be investigated by the AFS.

The offence of fraud can be committed in three ways:

- **Fraud by False Representation (section.2)** – lying about something using any means, e.g. by words or actions on a timesheet or job application form/cv
- **Fraud by Failing to Disclose Information (section.3)** – not saying or disclosing something when you have a legal duty to do so, e.g. failing to declare a conviction, disqualification or commercial interest when such information may have an impact on your NHS role, duties or obligation
- **Fraud by Abuse of Position (section.4)** – where there is an expectation to safeguard the financial interests of another person or organisation, e.g. a carer abusing their access to patients monies, or an employee using commercially confidential NHS information to make a personal gain.

It should be noted that successful prosecutions under the Fraud Act 2006 may result in an unlimited fine and/or a custodial sentence of up to 10 years.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 6 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

2.3 Bribery and Corruption

Bribery and corruption prosecutions can be brought using the Bribery Act 2010 and defines offences as: **an inducement or reward offered, promised or provided to someone to perform a relevant function or activity improperly in order to gain a personal, commercial, regulatory and/or contractual advantage on behalf of oneself or another.** Therefore making it an offence to:

- a) **Give, promise or offer a bribe (section.1), and/or**
- b) **Request, agree to receive or accept a bribe (section.2)**

Corruption is generally considered to be an “umbrella” term covering various activities as bribery, corrupt preferential treatment, kickbacks, cronyism, theft or embezzlement.

Examples of bribery and corruption in an NHS context could be: a contractor attempting to influence a procurement decision-maker by giving them an extra benefit or gift as part of a tender exercise; or, a medical or pharmaceutical company providing holidays or other excessive hospitality to a clinician in order to influence them to persuade their Trust to purchase that company’s particular clinical supplies and/or services.

A bribe does not have to be in cash; it may involve the awarding of a contract, the provision of gifts, hospitality, sponsorship, the promise of work or some other benefit or favour. The persons making and receiving the bribe may be acting on behalf of others and under the Bribery Act 2010, **all** parties involved may be prosecuted.

The Bribery Act 2010 includes an offence of **Bribing a Foreign Public Official (section.6)**, meaning that anyone involved in bribery activities overseas may be liable to prosecution in the UK if the bribe is in respect of any UK activity, contract or organisation.

The Bribery Act 2010 introduces a new **Corporate Offence of Failing to Prevent Bribery (section.7)**. The Department of Health Legal Service has stated that NHS bodies are deemed to be ‘relevant commercial organisations’ to which this applies. As a result, an NHS body may be held liable (and punished with a potentially unlimited fine) when someone “associated” with it bribes another in order to get, keep or retain business for the organisation. However, the NHS body will have a defence and avoid prosecution, if it can show it has ‘adequate procedures’ in place designed to prevent bribery from occurring.

In addition, the Bribery Act 2010 also includes an offence of **A Senior officer of the Organisation would also be Liable for Prosecution if they Consented to or Connived in a Bribery Offence carried out by Another (section.14)**, meaning that they may be prosecuted for a parallel offence to that brought against the primary perpetrator and the organisation could also be subject to an unlimited fine.

The North West Ambulance Service NHS Trust adopts a ‘zero tolerance’ attitude towards bribery and does not, and will not, pay or accept bribes or offers of inducement to or from anyone, for any purpose. The Trust is fully committed to the objective of preventing bribery and will ensure that adequate procedures, proportionate to the risks, are in place to prevent bribery and will be regularly reviewed. The Trust will, in conjunction with the NHS CFA, seek to obtain the strongest penalties, including criminal prosecution, disciplinary and/or civil sanctions. It should be noted that successful prosecutions under the Bribery Act 2010 may result in an unlimited fine and/or custodial sentence of up to 10 years imprisonment.

All staff are reminded to ensure that they are transparent in respect of recording any gifts, hospitality or sponsorship. They should refer to the Trusts policies and guidance covering:

- Acceptance of Gifts and Hospitality
- Declaration of Interests

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 7 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

- Sponsorship

3. Other Relevant Procedures

This policy should be read in conjunction with the following policies and guidance:

- Disciplinary Policy
- Whistleblowing Policy
- Conflicts of Interest Policy
- Gifts and Hospitality Policy
- Code of Conduct (or equivalent)
- Standing Financial Instructions (SFI's)
- Scheme of Delegation
- Standing Orders (SO's)

4. Codes of Conduct

The Codes of Conduct for NHS boards and NHS managers set out the key public service values. They state that high standards of corporate and personal conduct, based on the recognition that patients come first, have been a requirement throughout the NHS since its inception. These values are summarised as:

Accountability - Everything done by those who work in the Trust must be able to stand the tests of parliamentary scrutiny, public judgements 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 Trust's activities should be sufficiently public and transparent to promote confidence between the Trust, its staff and the public.

All staff, and those who work on behalf of the Trust, should be aware of and act in accordance with these values. In addition, staff are expected to:

- act impartially in all their work
- refuse gifts, benefits, hospitality or sponsorship of any kind that might reasonably be seen to compromise their judgement or integrity; and, to avoid seeking to exert influence to obtain preferential consideration
- declare and register gifts, benefits or sponsorship of any kind, in accordance with limits agreed locally; whether refused or accepted
- declare and record financial, non-financial or personal interest (e.g. company shares, research grant) in any organisation with which they have to deal with and be prepared to withdraw from those dealings if required, thereby ensuring that their professional judgement is not influenced by such considerations
- make it a matter of policy that offers of sponsorship that could possibly breach the Code be reported to the Board
- not misuse their official position or information acquired in the course of their official duties to further their private interests or those of others

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 8 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

- ensure professional registration (if applicable) and/or status are not used in the promotion of commercial products or services
- beware of bias generated through sponsorship, where this might impinge on professional judgement or impartiality
- neither agree to practice under any conditions which compromise professional independence or judgement, nor impose such conditions on other professionals.

All staff are also reminded that every NHS employee, regardless of position or status, must comply with the Managing Conflicts of Interest in the NHS Guidance for staff and organisations which may be accessed via www.england.nhs.uk

Relevant personnel are also reminded that their professional bodies will also have Codes of Conduct or Standards of Behaviour which they will be expected to adhere to.

5. Roles and Responsibilities

Through our day-to-day work, we (i.e. staff) are in the best position to recognise any specific fraud, bribery and corruption risks within our own areas of responsibility. We also have a duty to ensure that those risks – however large or small – are identified and eliminated. Where we believe the opportunity for fraud, bribery or corruption exists, whether because of poor procedures or lack of oversight, we should report it to the AFS; or via one of the channels referred to in Section 6 of this policy.

This section states the roles and responsibilities of employees and other relevant parties in reporting fraud, bribery or corruption.

5.1 The Board / Audit Committee

The Trust has a duty to ensure that it provides a secure environment in which to work, and one where people are confident to raise concerns without worrying that it will reflect badly on them. This extends to ensuring that staff feel protected when carrying out their official duties and are not placed in a vulnerable position. If staff have concerns about any procedures or processes that they are asked to be involved in, the Trust has a duty to ensure that those concerns are listened to and addressed.

The Trust's Board (via its Audit Committee) have a duty to provide adequate governance and oversight of the Trust to ensure that its funds, people and assets are adequately protected against criminal activity including fraud, bribery and corruption.

5.2 The Chief Executive

The Trust's Chief Executive, as the organisations accountable officer, has overall responsibility for securing funds, assets and resources entrusted to it and includes instances of fraud, bribery and corruption which may threaten those resources.

The Chief Executive must ensure that adequate policies and procedures are in place to protect the organisations and the public funds it receives. However, responsibility for the operation and maintenance of controls falls directly to line managers and requires the involvement of all Trust employees. The Trust therefore has a duty to ensure employees who are involved in or who are managing internal control systems receive adequate training and support in order to carry out their responsibilities. Therefore, the Chief Executive will monitor and ensure compliance with this policy.

5.3 The Director of Finance (DOF)

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 9 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

The DOF, in conjunction with the Chief Executive, monitors and ensures compliance with the Trusts contractual requirements regarding fraud, bribery and corruption.

The DOF has powers to approve financial transactions initiated by departments across the organisation. The DOF prepares documents and maintains detailed financial procedures and systems; and applies the principals of segregations of duties and internal checks to supplement those procedures and systems.

The DOF will report annually to the Board on the adequacy of internal financial controls and risk management as part of the Board’s overall responsibilities to prepare an Annual Governance Statement for inclusion in the Trust’s annual report.

The DOF will, depending on the outcome of investigations (whether on an interim, on-going or concluding basis) and/or the significance of suspicions that have been raised, inform appropriate senior management accordingly.

The AFS shall be responsible, in discussion with the DOF, for informing third parties such as external audit or the police at the earliest opportunity, as circumstances dictate.

The DOF will inform and consult the Chief Executive in cases where the loss or where the incident may lead to adverse publicity.

The DOF and/or the AFS will consult and take advice from the Director/Head of HR if a member of staff is to be interviewed, suspended or disciplined. The DOF or the AFS will not conduct a disciplinary investigation, the employee may be the subject of a parallel investigation conducted by HR

5.4 Anti-Fraud Specialist (AFS)

The AFS is operationally accountable to the Trust’s DOF and reports on the progress of all anti-fraud, bribery and corruption activity to the Trust’s Audit Committee. The AFS is responsible for taking forward all anti-fraud work locally in accordance with the standards and reports on progress of an investigation and it/when a referral to the police is required to the DOF.

The AFS liaises with several key stakeholders and key contacts across the Trust and undertakes their duties to the highest possible standards at all times.

The AFS will:

- ensure that the DOF is informed about all referrals/cases and approves any necessary investigation activity
- conduct investigations of all alleged fraud, bribery and corruption in accordance with the NHS Counter Fraud Manual, Investigations toolkit, NHS Standards and associated legislation
- be responsible for the day-to-day implementation of the key principals of anti-fraud, bribery and corruption activity and, in particular, the investigation of all suspicions of fraud, bribery and corruption
- report any case and the outcome of an investigation through the NHS CFA National Case Management System (FIRST)
- ensure that other relevant parties are informed of an investigation where necessary, e.g. Human Resources (HR), if an employee is the subject of a referral
- ensure that the Trust’s incident and losses reporting systems are followed
- ensure that any system weaknesses identified as part of an investigation are followed up with management and reported to internal audit

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 10 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

- adhere to the Counter Fraud Professional Accreditation Board (CFPAB's) Principals of Professional Conduct as set out in the NHS Counter Fraud Manual

The AFS will not have responsibility, or be in any way engaged in the management of security for the Trust.

5.5 NHS Counter Fraud Authority (NHS CFA)

NHS CFA deliver anti-crime work that cannot be carried out by NHS Health Bodies regionally or in isolation. They use intelligence to identify serious and complex economic crime, reduce the impact of crime and drive improvements in anti-crime work.

Local NHS organisations are primarily accountable for dealing with crime risks in the NHS. NHS CFA provides information and guidance to local AFS's to improve anti-fraud and corruption work across the NHS.

5.6 Managers

Managers must be vigilant and ensure that procedures to guard against fraud, bribery and corruption are applied and monitored. They should be alert to the possibility that unusual events or transactions could be symptoms of fraud, bribery or corruption. If they have any doubts, they must seek advice from the nominated AFS.

Managers must instil and encourage an anti-fraud, bribery and corruption culture within their team and ensure that information on policies and procedure is made available to all employees. The desktop guide (Appendix A) provides a reminder of the key contacts and a checklist of the actions to follow if fraud, bribery and corruption, or other illegal acts are discovered or suspected. Managers are encouraged to copy this to staff and to paste it on staff notice boards in their department.

The AFS will proactively assist the encouragement of an anti-fraud, bribery and corruption culture by undertaking work that will raise awareness of the risks of fraud, bribery and corruption.

All instances of actual or suspected fraud, bribery and corruption which come to the attention of a manager **must** be reported immediately to the AFS or via one of the reporting channels specified within Section 6 of this policy. It is appreciated that some employees will initially raise concerns with their manager, and in such cases, managers must not attempt to investigate allegations themselves.

Line managers at all levels have a responsibility to ensure that an adequate system of internal control exists within their areas of responsibility and that controls operate effectively to help prevent fraud, bribery and corruption from occurring and to mitigate its impact if it does occur.

As part of that responsibility, line managers need to:

- inform staff of the Trust's Anti-Fraud, Bribery and Corruption Policy, Code of Conduct (or equivalent) and other relevant policies and procedures as part of their induction process; paying particular attention to the need for accurate completion of all records and forms
- ensure that all employees for whom they are accountable for are made aware of the requirements of the policy
- assess the types of possible fraud, bribery and corruption risks which may impact on the operations for which they are responsible
- ensure that adequate control measures are put in place to minimise the risks. This must include clear roles and responsibilities, supervisory checks, staff rotation (particularly in

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 11 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

key posts) and segregation of duties wherever possible so that control of a key function is not invested in one individual as well as regular reviews, reconciliations and testing checks to ensure that control measures continue to operate effectively

- ensure that access to and the use of computers by employees is linked to the performance of their duties within the Trust
- contribute to any assessment of the risks and controls within their business area, which feeds into the Trusts and the Department of Health Accounting Officer's overall statement of accountability and internal control.

5.7 All Employees

For the purpose of this policy, 'employees' includes Trust staff, volunteers, as well as Governors, Board and Executive Members and Honorary Members.

The Trust's Standing Orders, Standing Financial Instructions, Scheme of Delegation and policies and procedures place an obligation on all employees, regardless of status, to act in accordance with best practice.

Employees are expected to familiarise themselves with and abide by the various standards and Codes of Conduct referred to in section 4.

Employees also have a duty to protect the assets of the Trust, including information assets, goodwill and tangible (e.g. property) assets.

In addition, all employees have a responsibility to comply with all applicable laws, regulations and policies relating to ethical business behaviour, procurement, personal expenses, conflicts of interest, confidentiality and the acceptance of gifts and hospitality. This means, in addition to maintaining the normal standards of personal honesty and integrity, all employees should always:

- avoid acting in any way that might cause others to allege or suspect them of dishonesty
- behave in a way that would not give cause for others to doubt that the Trust's employees deal fairly and impartially with official matters
- be alert to the possibility that others might be attempting to deceive the Trust

All employees have a duty to ensure that public funds are safeguarded, whether or not they are involved with cash or payment systems, receipts or dealing with contractors or suppliers.

If an employee suspects that there has been fraud, bribery or corruption, or has seen any suspicious acts or events, they must report the matter to the nominated AFS or via one of the reporting channels specified within Section 6 of this policy.

5.8 Human Resources (HR)

HR will liaise closely with managers and the AFS from the outset if an employee is suspected of being involved in fraud, bribery and/or corruption, in accordance with agreed AFS/HR liaison protocol.

HR staff are responsible for ensuring the appropriate use of the Trust's disciplinary policy. HR will advise those involved in the investigation on matters of employment law and other procedural matters, such as disciplinary and complaints procedures, as requested.

Close liaison between the AFS and HR will be essential in respect of any decisions as to whether to suspend or exclude and employee from the Trust whiles necessary enquires are ongoing, though any final decision to exclude is that of the Trust.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 12 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

Close liaison will also be necessary to ensure that any parallel sanctions (i.e. criminal, civil and disciplinary sanctions) are applied effectively and in a coordinated manner.

HR will take steps at the recruitment stage to establish, as far as possible, the previous record of potential employees, as well as the veracity of required qualifications and memberships of professional bodies, in terms of their propriety and integrity. In this regard, temporary, fixed-term contract and agency employees are treated in the same manner as permanent employees.

5.9 Internal and External Audit

The role of internal and external audit includes reviewing controls and systems ensuring compliance with financial instructions.

Any incident or suspicion of fraud, briber or corruption that comes to internal or external audit's attention will be passed immediately to the nominated AFS. The outcome of the investigation may necessitate further work by internal or external audit to review systems and procedures.

5.10 Information Management and Technology

The Director of Quality, Innovation and Improvement will contact the AFS immediately where there is suspicion that the Trust's Information and Communications Technology (ICT) is being used for fraudulent purposes or where breaches of the Computer Misuse Act 1990 occur.

Similarly, the Director of Quality, Innovation and Improvement will liaise closely with the AFS to ensure that a subjects access (both physical and electronic) to the Trust's ICT resources is suspended or removed when an investigation identifies that it is appropriate to do so.

The Director of Quality, Innovation and Improvement will assist the AFS in securing and facilitating appropriate access to any IT-related data controlled by the Trust (including subject related data) as part of any investigation activities.

6. The Response Plan

6.1 Reporting Fraud, Bribery and Corruption

This section outlines the action to be taken if fraud, bribery or corruption is discovered or suspected. All genuine suspicions of fraud, bribery and corruption must be reported to the AFS immediately.

The Trust's Anti-Fraud Specialist (AFS) is:

Name: Cath Robson

Telephone: 07825 853630

Email: catherine.robson@miaa.nhs.uk

catherine.robson1@nhs.net

If the referrer believes that the DOF or AFS is implicated, they should notify whichever party is not believed to be involved who will inform the Chief Executive and Audit Committee Chairperson.

An employee can contact any executive of non-executive director of the Trust to discuss their concerns, if they feel unable, for any reason, to report the concerns to the AFS or DOF. Any incident or suspicion of fraud, bribery or corruption that comes to any executive or non-executives attention will be passed immediately to the nominated AFS.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 13 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

If any employee of stakeholder feels unable, for any reason, to report the matter as above, they can also call the NHS Fraud and Corruption Reporting Line on Freephone 08000 28 40 60 (Mon-Fri 8am to 6pm) or report their concerns via the NHS Online Fraud Reporting Form www.cfa.nhs.uk/reportfraud.

These options provide easily accessible routes for the reporting of genuine suspicions of fraud, bribery and corruption within or affecting the Trust or wider NHS. It allows those people who are unsure of internal reporting procedures to report their concerns in the strictest confidence. All calls are dealt with by experienced trained staff and any caller who wishes to remain anonymous may do so.

Anonymous letters, telephone calls, etc. are occasionally received from individuals who wish to raise matters of concern. While the suspicions may be erroneous or unsubstantiated, they may also reflect a genuine cause for concern and will always be taken seriously and investigated.

The AFS will make sufficient enquiries to establish whether or not there is any substance to the suspicion that has been raised. If the allegations are found to be malicious, they will also be considered for further investigation to establish their source and, if they relate to a Trust employee, disciplinary action will be instigated.

Staff are encouraged to report reasonably held suspicions directly to the AFS. You can do this by completing the Referral Form (Appendix B) or by contacting the AFS by telephone or email or using any of the above routes or by using the contact details supplied on the Desktop Guide (Appendix A).

The Trust wants all employees and stakeholders to feel confident that they can expose any wrongdoing without any risk to themselves. In accordance with the provisions of the Public Interest Disclosure Act 1998, the Trust has produced a Whistleblowing Policy. The policy is intended to complement the Trust's Anti-Fraud, Bribery and Corruption policy as well as other relevant Trust policies and ensures there is full provision for staff to raise any concerns with others if they do not feel able to raise them with their line manager.

All corporate policies can be found on the Trusts Intranet.

6.2 Sanctions and Redress

The Trust's approach to pursuing sanctions in cases of fraud, bribery and corruption is that a full range of possible sanctions – including criminal, civil, disciplinary and professional – should be considered at the earliest opportunity and any or all of these may be pursued where and when appropriate.

The consistent use and an appropriate combination of investigative processes in each case demonstrates the Trusts commitment to take fraud, bribery and corruption seriously and ultimately contributes to the deterrence and prevention of such actions.

The Trust endorses the NHS CFA's approach and adopts the principles contained within their 'Investigations Case File Toolkit', as well as complying with the provisions of the NHS Counter Fraud Manual with regard to applying sanctions where fraud, bribery or corruption is proven. The Trust maintains an internal joint working and data sharing protocol between the AFS and the HR Department which also covers their respective investigative duties.

The types of sanctions which the Trust may apply when fraud, bribery or corruption has occurred, include:

- Civil Redress – The Trust will seek financial redress, whenever possible, to recover losses (of money and/or assets), including interest and costs, to fraud, bribery and corruption. Redress can be sought in various ways. These include confiscation or

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 14 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

compensation orders or use of the Proceeds of Crime Legislation in the criminal courts, as well as civil legal sanctions such as an order for repayment or any attachment to earnings where appropriate, in addition to any locally agreed voluntary negotiations or repayments. As an Organisation, the Trust will actively publicise the fact that redress will be sought where applicable to recover monies lost to fraud, bribery and corruption, thus creating a further deterrent effect

- Criminal Prosecution – The AFS will work in partnership with NHS CFA, the police and/or the Crown Prosecution Service, where appropriate, to achieve the most appropriate disposal of the case. Outcomes can range from a criminal conviction to fines and imprisonment
- Disciplinary Sanctions – Disciplinary procedures will also be initiated where an employee is suspected of being involved in a fraudulent or illegal act. The Trust’s Disciplinary Policy can be located on the Trust’s Intranet
- Professional Body Disciplinary Sanctions – Where appropriate and if warranted, the Trust reserves the right to also report staff to their professional body.

The seeking of financial redress or recovery of losses should be considered in all cases of fraud, bribery and corruption that are investigated by either the AFS, NHS CFA or HR where a loss is identified as a result of fraud, bribery and corruption and/or error.

Redress allows resources that are lost to fraud, bribery and corruption to be returned to the NHS for the use as intended, for the provision of high quality patient care and services.

Action to recover losses should be commenced as soon as practicable after the loss has been identified, and may include various departments to liaise about the most appropriate option.

7. Standards

All anti-fraud, bribery and corruption work will be undertaken in accordance with NHS CFA’s Standards for Providers – Fraud, Bribery and Corruption and in accordance with Service Condition 24 of the NHS Standard Contract.

8. Review

8.1 Monitoring, review and auditing of policy effectiveness

Monitoring is essential to ensuring that controls are appropriate and robust enough to prevent or reduce fraud, bribery and corruption. Through the reviewing of system controls, conducting investigations and identifying weaknesses, the AFS will monitor the policies effectiveness. Outcomes will be summarised and documented through the Trusts Audit Committee.

The Policy will be reviewed every three years or more frequently if any significant changes in legislation or guidance from NHS CFA.

8.2 Implementation and Dissemination of the Policy

The policy will be brought to the attention of all employees and will form part of the induction process for new staff.

This policy will be disseminated Trustwide for all employees to understand via the intranet and any other communications deemed necessary by the Trust. Reference to this policy will be made by the FAS during anti-fraud, bribery and corruption awareness presentations.

9. References

- NHS Counter Fraud Manual
- NHS Investigation Case File Toolkit

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 15 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

- Whistleblowing Policy
- Disciplinary Policy
- Conflicts of Interest Policy
- Gifts and Hospitality Policy
- Standing Financial Instructions, Standing Orders and the Scheme of Delegation
- Code of Conduct.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 16 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

A desktop guide to Reporting Fraud, Bribery and Corruption

FRAUD is the dishonest intent to obtain a financial gain from, or cause a financial loss to, a person or party through false representation, failing to disclose information or abuse of position.
CORRUPTION/BRIBERY is the deliberate use of bribery or payment of benefit-in-kind to influence an individual to use their position in an unreasonable way to help gain advantage for another.

DO

- **note your concerns** – Record details such as your concerns, names, dates, times, details of conversations and possible witnesses. Time, date and sign your notes
- **retain evidence** - Retain any evidence that may be destroyed, but do not alter in any way or make a note and advise your AFS
- **report your suspicion promptly** - Confidentiality will be respected – delays may lead to further financial loss
- **Be discreet** – Don't discuss our concerns with anyone who doesn't need to know.

DO NOT

- **confront the suspect or convey concerns to anyone other than those authorised, as listed below** - Never attempt to question a suspect yourself; this could alert a fraudster or accuse an innocent person
- **try to investigate, or contact the police directly** - Never attempt to gather evidence yourself unless it is about to be destroyed; gathering evidence must take into account legal procedures in order for it to be useful. Your AFS can conduct an investigation in accordance with legislation
- **be afraid of raising your concerns** - The Public Interest Disclosure Act 1998 protects employees who have reasonable concerns. You will not suffer discrimination or victimisation by following the correct procedures.
- **Do nothing!**

If you suspect that fraud against the NHS has taken place, you must report it immediately, by:

- directly contacting the **Anti-Fraud Specialist**, or
- telephoning the **freephone NHS Fraud and Corruption Reporting Line** – 0800 028 40 60, or
- online via www.cfa.nhs.uk/reportfraud or
- contacting the **Director of Finance**.

Do you have concerns about a fraud taking place in the NHS?

If so, Report NHS Fraud, Bribery and Corruption – contact details:

Your AFS is Cath Robson
 Telephone Number: 07825 853630 or 0151 285 4500 (MIAA)
 Email: catherine.robson@miaa.nhs.uk / catherine.robson1@nhs.net

All contact will be treated in confidence and investigated by professionally trained personnel.

If you would like further information about the work of the NHS Counter Fraud Authority (NHS CFA), please visit <https://cfa.nhs.uk>

Protecting your NHS from Fraud, Bribery and Corruption

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 17 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018

**Appendix B
Form 2**

NHS FRAUD, BRIBERY AND CORRUPTION REFERRAL FORM

All referrals will be treated in confidence and investigated by professionally trained staff

1. Date

2. Anonymous application <Delete as appropriate>

Yes (If 'Yes' go to section 6) or No (If 'No' complete sections 3–5)

3. Your name

4. Your organisation/profession

5. Your contact details

6. Suspicion

7. Please provide details including the name, address and date of birth (if known) of the person to whom the allegation relates.

8. Possible useful contacts

9. Please provide/attach any available additional information that may be useful, but please do not send any original evidence through the postal service.

Submit the completed form (via email or in a sealed envelope) marked 'Restricted – Management' for the attention of the Anti-Fraud Specialist, Cath Robson, c/o Mersey Internal Audit Agency, Regatta Place, Brunswick Business Park, Summers Road, Liverpool, L3 4BL.

Anti-Fraud, Bribery and Corruption Policy and Response Plan		Page:	Page 18 of 18
Author:	Anti-Fraud Specialist	Version:	2.6
Date of Approval:	19 January 2018	Status:	Final
Date of Issue:	April 2018	Date of Review	January 2018