**Summary of substantiated investigation cases in 2018**

|  | **Case no.** | **Region** | **Type of wrongdoing** | **Allegations** | **Loss to UNOPS (USD)**  | **No. of personnel referred to HRLO** | **Action taken** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | 2017/26 | Central Asia  | Fraud and Financial Irregularity  | A consultant set up grantees, managed them by her/himself and steered grant business to friends and family.  | **79,972** | 1  | The Vendor Review Committee (VRC) debarred one vendor for seven years, eight vendors for five years, and four vendors for three years. The VRC censured three vendors. The Human Resources Legal Officer (HRLO) terminated the consultant’s contract. IAIG recommended that management recover the financial loss. The matter is currently pending.  |
| 2 | 2017/29 | Africa | External Compliance (insurance fraud) | 55 consultants conspired with 22 medical providers to submit fraudulent insurance claims.  | None  | 55 | The HRLO placed a note in 44 of the consultants’ personnel files stating that they would have been charged with misconduct if they had not already separated from UNOPS on other grounds. The HRLO terminated three consultants’ contracts. The outcome for the remaining eight individuals is currently pending with the HRLO  |
| 3 | 2017/30 | Middle East  | Fraud and Financial Irregularity | Two vendors defrauded UNOPS by using confidential information to obtain an unfair advantage in a UNOPS tender.  | Unknown  | 0  | The VRC debarred the vendors for three years.  |
| 4 | 2017/40 | Middle East | Fraud and Financial Irregularity | Two vendors defrauded UNOPS by using confidential information to obtain an unfair advantage in a UNOPS tender.  | Unknown | 0 | The VRC debarred the vendors for three years. |
| 5 | 2017/43 | Asia | Fraud and Financial Irregularity | Two employees of an implementing partner misappropriated funds from a UNOPS funded project.  | None | 0 | The implementing partner terminated the employees’ contract and recovered the misappropriated funds.IAIG did not refer the implementing partner to the VRC since it took appropriate actions. |
| 6 | 2017/45 | Asia | Fraud and Financial Irregularity | An employee of an implementing partner misappropriated funds from a UNOPS funded project. | None | 0 | The implementing partner terminated the employee’s contract, reimbursed the misappropriated funds and strengthened its internal controls. IAIG did not refer the implementing partner to the VRC since it took appropriate actions. |
| 7 | 2017/48 | Asia  | Fraud and Financial Irregularity | A consultant misappropriated UNOPS funds from the office safe. The consultant returned the misappropriated funds when management discovered the theft. | None  | 1  | The HRLO placed a note in the consultant’ s personnel file stating that s/he would have been charged with misconduct if s/he had not already separated from UNOPS on other grounds.  |
| 8 | 2017/50 | Africa | Fraud and Financial Irregularity | During his/her previous employment with another UN organization, a consultant had colluded with vendors and shared confidential information with them during several procurement exercises.  | None | 1 | The HRLO terminated the consultant’s contract.  |
| 9 | 2017/54 | Africa | Sexual Exploitation and Abuse  | A consultant attempted to sexually exploit a beneficiary.  | None  | 1  | The case is currently pending with the HRLO.  |
| 10 | 2017/58 | Africa | External Compliance (insurance fraud) | A consultant submitted fraudulent medical insurance claims.  | None  | 1  | The case is currently pending with the HRLO.  |
| 11 | 2018/01 | Middle East  | External Compliance (insurance fraud) | A consultant submitted a fraudulent medical insurance claim. | None  | 1  | The HRLO placed a note in the consultant’ s personnel file stating that s/he would have been charged with misconduct if s/he had not already separated from UNOPS on other grounds.  |
| 12 | 2018/02 | North America | Fraud and Financial Irregularity | An external party misappropriated UNOPS funds by diverting a vendor’s payment through identity theft.  | **16,123** | 0 | The matter was referred to the national authorities.  |
| 13 | 2018/03 | Asia | Fraud and Financial Irregularity | A consultant conspired with a vendor to create the appearance of competition in a tender. The consultant also interfered with IAIG’s investigation. | Unknown | 1 | The case of the consultant is currently pending with the HRLO.Both employees of the vendor that were involved in the fraud had already left the company. IAIG issued a formal warning to the vendor since they cooperated fully with the investigation. |
| 14 | 2018/04 | Africa | Fraud and Financial Irregularity | A consultant steered contracts to a company owned by her/his friend.  | Unknown | 1  | The case is currently pending with the HRLO and the VRC.  |
| 15 | 2018/05 | Asia | External Compliance (insurance fraud) | A consultant submitted fraudulent medical insurance claims. | None  | 1  | The HRLO placed a note in the consultant’ s personnel file stating that s/he would have been charged with misconduct if s/he had not already separated from UNOPS on other grounds.  |
| 16 | 2018/06 | Asia  | Fraud and Financial Irregularity | Three vendors colluded in a procurement exercise.  | None  | 0 | The case is currently pending with the VRC. |
| 17 | 2018/08 | Asia  | Fraud and Financial Irregularity | An individual working for a government agency misappropriated UNOPS funds intended for project volunteers. The individual reimbursed the misappropriated funds after management discovered the theft.  | None  | 0 | The matter was referred to the national authorities.  |
| 18 | 2018/09 | Asia | Fraud and Financial Irregularity | Employees of an implementing partner misappropriated project funds by claiming fraudulent expenses.  | **18,830** | 0 | The implementing partner terminated the employee’s contract, reimbursed the misappropriated funds to UNOPS and strengthened its internal controls. IAIG did not refer the implementing partner to the VRC since it took appropriate actions. |
| 19 | 2018/11 | Africa | Fraud and Financial Irregularity | A vendor submitted fraudulent documents to UNOPS in order to obtain advance payment.  | None  | 0  | The VRC debarred the vendor for three years.  |
| 20 | 2018/13 | Africa | Fraud and Financial Irregularity | A consultant provided confidential information to six vendors in several tenders. Another vendor tried to bribe the consultant. | Unknown | 1 | The case is currently pending with the HRLO and the VRC. |
| 21 | 2018/14 | Africa  | External Compliance (insurance fraud) | Six consultants submitted fraudulent medical insurance claims.  | None  | 6 | The HRLO placed a note in personnel files of the six consultants stating that they would have been charged with misconduct if they had not already separated from UNOPS on other grounds.  |
| 22 | 2018/15 | Asia  | Fraud and Financial Irregularity | Two consultants helped two external individuals to cheat on recruitment exams.  | None  | 2 | The HRLO demoted one of the consultants. The HRLO placed a note in the other consultant’s personnel file stating that he/she would have been charged with misconduct if he/she had not already separated from UNOPS on other grounds.  |
| 23 | 2018/17 | Africa | Fraud and Financial Irregularity | Two vendors colluded in two UNOPS tenders to create an appearance of competition.  | None  | 0  | The case is currently pending with the VRC. |
| 24 | 2018/18 | Middle East | Fraud and Financial Irregularity | A vendor submitted fraudulent documents during a UNOPS tender.  | None  | 0  | The case is currently pending with the VRC. |
| 25 | 2018/20 | Africa | Fraud and Financial Irregularity | Two vendors colluded during a UNOPS tender to create an appearance of competition.  | None  | 0 | The case is currently pending with the VRC.  |
| 26 | 2018/22 | Africa | External Compliance (insurance fraud) | A consultant submitted a fraudulent medical insurance claim.  | None  | 1  | The case is currently pending with the HRLO. |
| 27 | 2018/24 | Asia  | Fraud and Financial Irregularity | A vendor submitted a fraudulent registration certificate to UNOPS.  | None  | 0 | The case is currently pending with the VRC.  |
| 28 | 2018/26 | Asia  | Fraud and Financial Irregularity | A vendor submitted fraudulent documents regarding past experience during a UNOPS tender.  | None  | 0 | The case is currently pending with the VRC. |
| 29 | 2018/27 | Asia | Fraud and Financial Irregularity | An implementing partner hired family members of its managers with project funds. The implementing partner also claimed ineligible expenses.  | **15,800** | 0 | The implementing partner terminated the contracts of the employees and strengthened its recruitment process. The implementing partner also reimbursed the ineligible expenses.IAIG did not refer the implementing partner to the VRC since it took appropriate actions. |
| 30 | 2018/31 | Middle East  | Fraud and Financial Irregularity | A vendor submitted a fraudulent bank guarantee during a UNOPS tender.  | None  | 0  | The case is currently pending with the VRC. |
| 31 | 2018/33 | Africa  | Fraud and Financial Irregularity | A consultant forged a UNOPS official document. | None  | 1  | The case is currently pending with the HRLO. |
| 32 | 2018/34 | Europe  | Sexual Harassment  | A consultant sexually harassed a colleague.  | None  | 1  | The HRLO terminated the consultant’s contract.  |
| 33 | 2018/38 | Europe | Fraud and Financial Irregularity | A consultant improperly used GPRS system privileges for personal purpose. | None | 1 | The HRLO demoted the consultant.  |
| 34 | 2018/54 | Africa  | Fraud and Financial Irregularity | An external party fraudulently diverted a payment from a donor to UNOPS  | None  | 0  | The matter was referred to the national authorities. |
| 35 | 2018/60 | Asia | Sexual Harassment | A consultant made inappropriate comments about a colleague.  | None | 0 | The People and Change Group issued a written censure to the consultant. |