**Summary of substantiated investigation cases in 2019**

|  | **Region** | **Type of wrongdoing** | **Allegations** | **Loss to UNOPS (USD)** | **No. of personnel referred to HRLO** | **Action taken** |
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| 1 | Africa | Fraud and Financial Irregularity | A consultant sold fake UNOPS employment contracts to external parties. | None | 1 | The Human Resources Legal Officer (HRLO) terminated the consultant’s contract. |
| 2 | Asia | Fraud and Financial Irregularity | An implementing partner defrauded UNOPS by inflating its salary expenses. | 4,002 | 0 | The Vendor Review Committee (VRC) debarred the implementing partner and its principal for five years.  UNOPS recovered the misappropriated funds from the implementing partner. |
| 3 | Asia | Fraud and Financial Irregularity | An implementing partner defrauded UNOPS by inflating its salary expenses and retaliated against an employee who refused to participate in the fraud. | 103 | 0 | The VRC debarred the implementing partner and its principal for seven years.  UNOPS recovered the misappropriated funds from the implementing partner. |
| 4 | Asia | External compliance | 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. |
| 5 | Africa | Fraud and Financial Irregularity | A vendor defrauded UNOPS by copying portions of another NGO’s proposal and presenting it as its own work. | None | 0 | The VRC debarred the vendor and its principal for three years. |
| 6 | Africa | Fraud and Financial Irregularity | Four vendors colluded in a UNOPS tender to create the appearance of competition. | None | 0 | The VRC debarred the four vendors and their principals for three years. |
| 7 | Africa | Fraud and Financial Irregularity | An unidentified individual stole funds from a UNOPS Operational Advance. | 1,950 | 0 | IAIG was unable to identify who misappropriated the funds. However, since the custodian of the Operational advance failed to take appropriate measures to safeguards the funds, UNOPS recovered the misappropriated funds from his salary. |
| 8 | Africa | Other | A consultant refused to cooperate with an IAIG investigation. | None | 1 | The HRLO placed a note in the former consultant’s file to be considered in case of future recruitment. |
| 9 | Africa | Fraud and Financial Irregularity | Three consultants steered recruitments to hire seven individuals who worked for a company owned by one of the consultants. These seven individuals then attempted to defraud UNOPS by inflating the numbers of days worked on their Certificates of Payment. | None | 10 | The case is currently pending with the HRLO. |
| 10 | Africa | Conflict of interest | A consultant offered his services to a UNOPS vendor while also working with UNOPS on a retainer contract. | None | 1 | The case is currently pending with the HRLO. |
| 11 | Africa | Harassment and abuse of authority | A consultant assaulted a UN police officer. | None | 1 | The case is currently pending with the HRLO |
| 12 | Europe | Fraud and Financial Irregularity | A vendor defrauded UNOPS by submitting fake documents to inflate its expenses (vendor A). Another vendor assisted them in the fraud (vendor B). | 9,321 | 0 | The VRC debarred vendor A and its principal for seven years. The VRC censured vendor B and its principal. |
| 13 | Oceania | Fraud and financial irregularity | A non-government organization received advanced grant funds but failed to account for how it spent the money. | 38,543 | 0 | The case is currently pending with the VRC. |
| 14 | Asia | Sexual Exploitation and Abuse | An employee of a UNOPS implementing partner sexually abused beneficiaries. The matter is being handled by the national authorities. Managers of the implementing partner fired the employee but failed to disclose the allegations to UNOPS in a timely manner. | None | 0 | The VRC permanently debarred the vendor and its principal. |
| 15 | Middle East | Fraud and financial irregularity | A vendor misrepresented its experience in a UNOPS tender. | None | 0 | The VRC debarred the vendor and its principal for one year. |
| 16 | Asia | Fraud and financial irregularity | An employee of an implementing partner solicited a bribe from one of its suppliers. | None | 0 | IAIG had already referred this vendor to the VRC for another case (*see case 3 above*). The VRC debarred the vendor and its principal for seven years. |
| 17 | Africa | Fraud and financial irregularity | A vendor misrepresented its experience in a UNOPS tender by submitting fake documents. | None | 0 | The VRC debarred the vendor and its principal for five years. |
| 18 | Asia | Fraud and financial irregularity | A vendor submitted a fake bank statement in a UNOPS tender. | None | 0 | The VRC debarred the vendor and its principal for three years. |
| 19 | Asia | Fraud and financial irregularity | Three vendors submitted a fake insurance certificate and audit statements in a UNOPS tender. | None | 0 | The VRC debarred the three vendors and their principals for three years. |
| 20 | Africa | Fraud and Financial Irregularity | Two vendors colluded in a UNOPS tender to create the appearance of competition. | None | 0 | The VRC debarred the two vendors and their principals for three years. |
| 21 | Africa | Fraud and Financial Irregularity | A consultant attempted to misappropriate car parts from the UN. | None | 1 | The case is currently pending with the HRLO |
| 22 | Middle East | Fraud and Financial Irregularity | A consultant and an external candidate plagiarized parts of their answers in a UNOPS recruitment test. | None | 2 | 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.  The HRLO also placed a note in the external candidate’s file and referred the matter to the other United Nations agency where the candidate was employed. |
| 23 | Africa | Fraud and Financial Irregularity | Five external candidates plagiarized part of their answers in a UNOPS recruitment test. | None | 5 | The HRLO placed a note in the five external candidates’ files to be considered in case of future recruitment. |
| 24 | Middle East | Fraud and Financial Irregularity | A consultant requested a bribe from a vendor during his previous employment with another United Nations agency. | None | 1 | The case is currently pending with the HRLO. |
| 25 | Africa | Fraud and Financial Irregularity | Eight consultants defrauded UNOPS by inflating fuels transactions. | 12,053 | 8 | The HRLO placed a note in two consultants’ personnel file stating that they would have been charged with misconduct if they had not already separated from UNOPS on other grounds.  The case for the six other consultants is currently pending with the HRLO. |
| 26 | Middle East | Fraud and Financial Irregularity | A vendor copied part of its bid in a UNOPS tender from another company’s bid. | None | 0 | The case is currently pending with the VRC. |
| 27 | Africa | Fraud and Financial Irregularity | Nine vendors submitted fake bank guarantees in UNOPS tenders. | None | 0 | The VRC debarred the nine vendors and their principals for three years. |
| 28 | Asia | External Compliance | The owner of a vendor had a pending criminal arrest warrant against him/her and moved to another country before he/she could be arrested. | None | 0 | IAIG referred the vendor to the Procurement Group to consider suspending them from doing business with UNOPS. |
| 29 | Asia | Fraud and Financial Irregularity | A vendor submitted a fake insurance certificate in a UNOPS tender. | None | 0 | The VRC debarred the vendor and its three principals for five years. |
| 30 | Asia | Fraud and Financial Irregularity | A vendor submitted a fake insurance certificate in a UNOPS tender. | None | 0 | The VRC debarred the vendor and its principal for five years. |
| 31 | Middle East | Fraud and Financial Irregularity | A vendor misrepresented information to obtain visas for its employees. | None | 0 | The vendor terminated the employee’s contract and took disciplinary actions against the other individuals involved.  IAIG did not refer the vendor to the VRC since it took appropriate actions. |
| 32 | Africa | Fraud and Financial Irregularity | A consultant submitted a falsified bank statement to support his claim he had paid for the private trips booked with the office's travel agency. | None | 1 | The case is currently pending with the HRLO. |
| 33 | Africa | Fraud and Financial Irregularity | A consultant shared the model answers of a UNOPS recruitment test with an external candidate. The candidate then plagiarized his answer copying portions of these model answers. | None | 2 | The case is currently pending with the HRLO. |
| 34 | Africa | Fraud and Financial Irregularity | A vendor’s employee defrauded UNOPS by inflating the quantity of goods delivered to UNOPS. | 12,330 | 0 | The vendor terminated the employee’s contract and reimbursed the misappropriated funds to UNOPS.  IAIG did not refer the vendor to the VRC since it took appropriate actions. |
| 35 | Africa | Fraud and Financial Irregularity | A staff member misrepresented information on two sick leave applications to engage in external activities. | None | 1 | The case is currently pending with the HRLO. |
| 36 | Asia | Fraud and Financial Irregularity | A vendor submitted forged compliance certificates in a UNOPS tender. | None | 0 | The case is currently pending with the VRC. |
| 37 | North America | Other | A consultant engaged in external activities after the Ethics Office explicitly refused to authorize them. | None | 1 | The case is currently pending with the HRLO. |
| 38 | Africa | Fraud and Financial Irregularity | Four vendors submitted fake tax clearance certificates in a UNOPS tender. | None | 0 | The case is currently pending with the VRC. |
| 39 | Africa | Fraud and Financial Irregularity | A vendor submitted a fake bank guarantee and tax clearance certificate in a UNOPS tender. | None | 0 | The case is currently pending with the VRC. |
| 40 | Africa | External Compliance | A consultant operated a UN vehicle while intoxicated. | None | 0 | The case is currently pending with the HRLO. |
| 41 | Asia | Fraud and Financial Irregularity | Two vendors colluded in a UNOPS tender to create the appearance of competition. | None | 0 | The case is currently pending with the VRC. |
| 42 | Africa | Fraud and Financial Irregularity | A vendor submitted a fake bank guarantee in a UNOPS tender. | None | 0 | The case is currently pending with the VRC. |
| 43 | Africa | Fraud and Financial Irregularity | A vendor submitted fake work certificates in a UNOPS tender to misrepresent its experience. | None | 0 | The case is currently pending with the VRC. |
| 44 | Africa | Fraud and Financial Irregularity | A vendor had access to internal information regarding UNOPS tenders. The vendor failed to cooperate with the investigation to identify who leaked the information. | None | 0 | The case is currently pending with the VRC. |
| 45 | North America | Fraud and Financial Irregularity | A consultant provided confidential pricing information and guidance to a vendor in relation to a UNOPS tender. | None | 1 | The case against the consultant is currently pending with the HRLO.  The vendor terminated the contract of the employee who received the confidential information. IAIG did not refer the vendor to the VRC since it took appropriate action. |
| 46 | Africa | Sexual Harassment | An employee of an implementing partner sexually harassed a colleague. | None | 0 | The implementing partner terminated the employee’s contract.  IAIG did not refer the implementing partner to the VRC since it took appropriate action. |
| 47 | Africa | Fraud and Financial Irregularity | A vendor submitted a fake document in a UNOPS tender to misrepresent its experience. | None | 0 | The case is currently pending with the VRC. |
| 48 | Africa | Fraud and Financial Irregularity | A grantee misrepresented information in reports regarding its implementation of a project. | None | 0 | The case is currently pending with the VRC. |
| 49 | Africa | Fraud and Financial Irregularity | A vendor submitted a fake bank guarantee in a UNOPS tender. | None | 0 | The case is currently pending with the VRC. |
| 50 | Africa | Fraud and Financial Irregularity | A vendor submitted fake documents in a UNOPS tender to misrepresent its experience. | None | 0 | The case is currently pending with the VRC. |
| 51 | Asia | Fraud and Financial Irregularity | A consultant forged the signature of his supervisor on certificates of payment. | None | 1 | The case is currently pending with the HRLO. |
| 52 | Africa | Fraud and Financial Irregularity | A vendor submitted fake documents in a UNOPS tender to misrepresent its experience. | None | 0 | The case is currently pending with the VRC. |
| 53 | Africa | Fraud and Financial Irregularity | Eight vendors submitted fake documents in a UNOPS tender to misrepresent their experience. | None | 0 | The case is currently pending with the VRC. |
| **Total financial loss and individuals referred to the HRLO** | | | | **78,302** | **39** |  |