

Summary of substantiated investigation cases in 2020

IAIG case no.	Region	Type of wrongdoing	Allegations	Loss to UNOPS (US\$)	No. of employees referred to HRLO	Action taken
2019/152	Africa	Fraud and financial irregularities	Ten vendors submitted fake documents in a UNOPS tender.	0	0	Due to the high volume of cases involving fake documents in this UNOPS Country Office, IAIG and the Vendor Review Committee (VRC) decided to issue written warning to first offenders. There was no loss to the Organization nor were any vendors awarded a contract. The warning cautioned the vendors that any other instance of forgery will result in formal sanctions. The VRC adopted the same approach in other cases at the same Country Office listed below.
2019/167	Africa	Fraud and financial irregularities	Three vendors submitted fake documents in a UNOPS tender.	0	0	IAIG and the VRC agreed to issue written warnings to vendors since it was their first offence and there was no loss to the organization. The warning cautioned the vendors that any other instance of forgery will result in formal sanctions.
2019/180	Africa	Fraud and financial irregularities	Three vendors colluded in a UNOPS tender to create the appearance of competition. In the same tender, a further 59 vendors submitted fake documents in a UNOPS tender.	0	0	The VRC debarred the three vendors who colluded and their principals for five years. For the vendors with fake documents, IAIG and the VRC agreed to issue written warnings to vendors since it was their first offence and there was no loss to the organization. The warning cautioned the vendors that any other instance of forgery will result in formal sanctions
2019/181	Europe	Fraud and financial irregularities	A former employee ignored requests to reimburse a payment of \$22,620 that UNOPS accidentally made to her. He/she reimbursed the funds only after being notified of the investigation.	22,620 (recovered)	1	The Executive Director (ED) placed a note in the employee'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.

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2019/192	Africa	Fraud and financial irregularities	An employee claimed travel allowance for two trips he/she did not take.	278 (recovered)	1	The ED terminated the employee's contract.
2019/198	Africa	Fraud and financial irregularities	Three vendors submitted fake documents in a UNOPS tenders.	0	0	The VRC debarred the three vendors and their principals for three years.
2019/207	Africa	Fraud and financial irregularities	Two vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	The VRC debarred the two vendors and their principals for five years.
2019/214	Africa	Fraud and financial irregularities	An employee fraudulently cashed two cheques issued to colleagues.	1,684	1	The ED placed a note in the employee's file stating that his/her contract would have been terminated if he/she had not already separated from UNOPS on other grounds.
2019/221	Africa	Fraud and financial irregularities	A vendor submitted fake documents in a UNOPS tender.	0	0	The VRC debarred the vendor and its principal for five years.
2019/224	Africa	Fraud and financial irregularities	An unidentified third party misappropriated \$137,900 by diverting a payment to a vendor. IAIG had previously improved internal controls to prevent this type of fraud. However, a UNOPS employee failed to conduct the verification recommended by IAIG, thereby allowing the fraud.	137,900 (5,200 recovered)	1	The ED placed a note in the employee's file stating that her contract would have been terminated due to gross negligence had he/she not resigned. UNOPS referred the matter to national authorities.
2019/227	Europe	Sexual Harassment	An employee sexually harassed a colleague at an office event.	0	1	The employee admitted his/her action and expressed sincere remorse. The victim also expressed sympathy for the subject who was intoxicated at time of incident. The ED thus issued a written censure to the employee.

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2019/231	Africa	Fraud and financial irregularities	Three vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	The VRC debarred three vendors and their principals for five years.
2020/6	Africa	External compliance	An employee colluded to submit fraudulent medical insurance claims.	0	1	The ED placed a note in the employee's file stating that he/she would have been terminated for fraud if he/she had not already resigned.
2020/7	Africa	Fraud and financial irregularities	Twenty-eight vendors submitted fake documents in UNOPS tenders.	0	0	IAIG and the VRC agreed to issue written warnings to vendors since it was their first offence and there was no loss to the organization. The warning cautioned the vendors that any other instance of forgery will result in formal sanctions.
2020/19	Europe	Other	An employee misused UNOPS assets by accessing data without authorization.	0	1	The ED terminated the employee's contract.
2020/21	Latin America	Fraud and financial irregularities	An employee of a vendor submitted a forged document to UNOPS during the implementation of their contract.	0	0	The vendor terminated the employee's contract. IAIG did not recommend further action since there was no financial loss and the vendor took appropriate actions.
2020/22	Africa	Fraud and financial irregularities	An employee breached the conflict of interest rules when he/she approved the work of two vendors after helping them prepare their bids.	0	1	The ED terminated the employee's contract. IAIG referred the two vendors and their principals to the VRC. The case is pending with the VRC.
2020/27	Asia	Fraud and financial irregularities	An employee managed a vendor and used internal UNOPS information to favour the company in tenders.	0	1	The ED terminated the employee's contract.
2020/30	Africa	Fraud and financial irregularities	A vendor submitted fake documents to UNOPS during the implementation of a contract.	0	0	The VRC debarred the vendor and its principal for three years.

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2020/45	Middle East	Fraud and financial irregularities	A vendor misrepresented information to UNOPS to take advantage of the organization's privileges and immunities.	0	0	IAIG referred the vendor and its principal to the VRC. The case is pending with the VRC.
2020/59	Africa	Fraud and financial irregularities	A vendor misrepresented information regarding its prior experience in a UNOPS tender.	0	0	IAIG referred the vendor and its principal to the VRC. The case is pending with the VRC.
2020/60	Middle East	Fraud and financial irregularities	A vendor obtained another company's bid for a UNOPS tender and submitted it as its own.	0	0	The VRC debarred the vendor and its principal for three years.
2020/61	Latin America	Fraud and financial irregularities	Two vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	IAIG referred the vendors and their principals to the VRC. The case is pending with the VRC.
2020/68	Asia	Fraud and financial irregularities	Two vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	The VRC debarred the two vendors and their principals for five years.
2020/80	Africa	Fraud and financial irregularities	An employee kept \$2,100 of a payment to UNOPS from an implementing partner. The employee returned the funds only a year later, when asked about it by the office.	2,100 (recovered)	1	IAIG referred the employee to the Human Resource Legal Officer (HRLO). The case is pending with the HRLO
2020/81	North America	Other	An employee engaged in external activities after the Ethics Office refused to authorize them.	0	1	IAIG referred the employee to the HRLO. The case is pending with the HRLO

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2020/94	Africa	Fraud and financial irregularities	Three vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	IAIG referred the three vendors and their principals to the VRC. The case is pending with the VRC.
2020/97	Europe	Sexual harassment	An employee made an offensive sexual comment to a colleague.	0	1	The ED issued a written censure and the employee agreed to make a donation to a charity.
2020/104	Middle East	SEA	An employee attempted to purchase sex from a local woman. The same employee also engaged in sexual harassment against three local women.	0	1	IAIG referred the employee for SEA and sexual harassment. The HRLO terminated the employee's contract for sexual harassment.
2020/116	Africa	Fraud and financial irregularities	Three vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	IAIG referred the three vendors and their principals to the VRC. The case is pending with the VRC.
2020/121	Asia	Fraud and financial irregularities	Two vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	IAIG referred the two vendors and their principals to the VRC. The case is pending with the VRC.
2020/123	Latin America	Fraud and financial irregularities	An employee submitted a fake masters degree to UNOPS.	0	1	IAIG referred the employee to the HRLO. The case is pending with the HRLO.
2020/125	Middle East	Fraud and financial irregularities	Two vendors colluded in a UNOPS tender to create the appearance of competition.	0	0	IAIG referred the two vendors and their principals to the VRC. The case is pending with the VRC.

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2020/132	Africa	Fraud and financial irregularities	A UNOPS employee continued to receive the salary from his/her previous employer, another UN organization, for seven months after joining UNOPS. When asked to reimburse the funds paid by mistake, the employee ignored the requests for several months.	0	1	IAIG referred the employee to the HRLO. The case is pending with the HRLO.
2020/144	Africa	Fraud and financial irregularities	A non-governmental organization failed to account for how it spent grant funds received from UNOPS.	52,718	0	IAIG referred the NGO and its principal to the VRC. The case is pending with the VRC.
2020/162	Middle East	Fraud and financial irregularities	A vendor submitted a fake document in a UNOPS tender.	0	0	IAIG referred the vendor and its principal to the VRC. The case is pending with the VRC.
2020/187	Middle East	Fraud and financial irregularities	A vendor defrauded UNOPS by substituting goods supplied to UNOPS for poorer quality products. The manufacturer of the goods colluded with the vendor to conceal this substitution.	0	0	IAIG referred the vendor, the manufacturer and their principals to the VRC.
Total financial loss and individuals referred to the HRLO				217,300	15	