

Internal Audit and Investigations Group Internal audit and investigations activities in 2022

Annex 6

IAIG case no.	Region	Type of wrongdoing	Allegation	Loss to UNOPS (US\$)	No. of personnel referred to HRLO	Action taken
2021-063	Latin- America	Fraud and financial irregularities	A vendor submitted a fake guarantee letter in a UNOPS tender.	0	0	IAIG referred the vendor and its principals to the Vendor Review Committee (VRC) for appropriate action. The VRC should complete its review of the case in the first quarter of 2023.
2021-113	HQ	Fraud and financial irregularities	A grantee misused funds from a UNOPS grant by engaging in several related party transactions.	766,186	0	IAIG referred the grantee and its principal to the VRC. The case is pending with the VRC. IAIG also referred the case to management for recovery of the financial loss. The recovery is handled by the United Nations Office of Legal Affairs.
2021-139	Asia	Fraud and financial irregularities	A vendor misrepresented the work performed in a construction project. Two UNOPS personnel members approved the payments to the vendors without verifying that the work was performed.	200,000	2	The VRC debarred the vendor and its principal for six years. After the investigation report, the personnel members made new arguments. Since this case concerned the construction of a road in Afghanistan, and there have been major changes in Afghanistan in the last year, the HRLO needs time to obtain additional information and assess the validity of the personnel members' new arguments.

Summary of substantiated investigation cases in 2022

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A vendor Fraud and misrepresented its The VRC debarred the vendor and its 0 2021-145 Middle East financial project team's 0 principals for two years. qualifications in a irregularities UNOPS tender. Fraud and A vendor submitted a The VRC debarred the vendor and its 2021-169 financial fake ISO certificate in 0 0 Africa principals for seven years. irregularities a UNOPS tender. A vendor IAIG and the VRC agreed to issue a Fraud and written warning to the vendor instead of misrepresented its financial 0 0 2021-190 Middle East a formal sanction. experience in a irregularities UNOPS tender. A personnel member abused their authority North-Prohibited The Executive Director (ED) terminated and engaged in 2021-193 0 1 America conduct the personnel member's contract. external activities without authorization. The UNOPS personnel was separated from service because of the abolition of A personnel member his post. Subsequently, pursuant to Fraud and Northmisrepresented UNOPS policy, the personnel member's 2021-196 financial 0 1 information about their America irregularities HR records were revised to state that the past employment. personnel member was dismissed from UNOPS.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A personnel member IAIG referred the personnel member to Sexual 2021-199 Asia sexually harassed a 0 1 the HRLO in Q1 of 2022. The case is misconduct colleague. pending with the HRLO. A vendor submitted fake certificates in a UNOPS tender. The Fraud and IAIG and the VRC agreed to issue a vendor did not forge 2021-203 financial 0 0 warning letter to the vendor instead of a Asia the documents irregularities formal sanction. themselves but failed to verify their authenticity. A personnel member The VRC debarred the vendor and their Fraud and and a vendor failed to principal for four years. UNOPS placed a Europe and 2021-205 financial disclose their conflict 0 1 record in the personnel member's files Central Asia irregularities of interest during a precluding rehiring in the future. UNOPS tender. IAIG referred the personnel member to A personnel member the HRLO for appropriate action in Q2 Sexual 2021-209 0 1 Africa sexually harassed a of 2022. The case is pending with the misconduct colleague. HRLO. A vendor submitted Fraud and fake financial The VRC debarred the vendor and its 2021-213 financial 0 0 Africa statements in a principal for four years. irregularities UNOPS tender.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A vendor Fraud and misrepresented The VRC debarred the vendor and their 0 2022-007 0 Africa financial information about its project team for three years. project team in a irregularities UNOPS tender. A former personnel member The ED placed a note in the personnel misrepresented member's file stating that he/she would Other Europe and have been charged with misconduct if 2022-008 information about their 0 1 Central Asia wrongdoing he/she had not already separated from experience when applying for a new UNOPS on other grounds. position with UNOPS. A personnel member submitted a fraudulent Fraud and The ED terminated the personnel 2022-009 financial claim to UNOPS 0 1 Africa member's contract. irregularities medical insurance provider. An external candidate Fraud and IAIG referred the matter to the HRLO. plagiarised his/her The person was deemed ineligible for 2022-010 financial 0 1 Africa answers in a UNOPS irregularities UNOPS vacancies for one year. recruitment test. Fraud and Two vendors colluded The VRC debarred the vendors and their 0 0 2022-014 financial Africa in a UNOPS tender. principals for three years. irregularities

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO The vendor terminated its employee's Latin-A vendor's employee contract and adopted new controls to Fraud and prevent similar conduct. In view of the America and submitted a fake 2022-021 financial 0 0 certificate in a UNOPS punitive and preventive actions taken by the irregularities the vendor, IAIG considered that no Caribbean tender. further action was warranted. Fraud and A vendor submitted IAIG and the VRC agreed to issue a 2022-022 Asia financial plagiarised documents 0 0 warning letter to the vendor instead of a in a UNOPS tender. irregularities formal sanction. A vendor IAIG referred the vendor and its Fraud and misrepresented principals to the VRC for appropriate Europe and 2022-023 0 action. The VRC should complete its financial information about its 0 Central Asia irregularities financial situation in a review of the case in the second quarter UNOPS tender. of 2023. A personnel member Latinmisrepresented The ED terminated the personnel America and Other 2022-028 information about their 0 1 wrongdoing the member's contract. experience in a Caribbean UNOPS recruitment. A personnel member Prohibited 2022-031 0 Africa verbally abused a 1 UNOPS demoted the personnel member. conduct peacekeeper.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A vendor submitted a IAIG referred the vendor and its Fraud and fake document principals to the VRC for appropriate 0 0 2022-042 Africa financial regarding its action. The VRC should complete its irregularities equipment document review of the case in the first quarter of in a UNOPS tender. 2023. A vendor asked an IAIG referred the vendor and its Fraud and principal to the VRC for appropriate employee of another 2022-046 Middle East financial UN organization to 0 0 action. The VRC should complete its irregularities favour them in a review of the case in the second quarter UNOPS tender. of 2023. The personnel member moved to another UN entity. As only that other entity can take against that personnel member, UNOPS referred the case to that other A personnel member Fraud and UN entity. The personnel member raised North submitted a fake 2022-047 financial 0 1 a new point with the other UN entity diploma in a UNOPS America (namely, that he/she was defrauded by a irregularities recruitment. third party who is being prosecuted by national authorities), and the other UN entity decided that in light of this no action is warranted. In 2023, the ED placed a note in the A personnel member Fraud and personnel member's file stating that failed to return funds 2022-050 Africa financial 5,107 1 he/she would have been terminated if that UNOPS had irregularities he/she had not already separated from transferred by mistake. UNOPS on other grounds.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO An unidentified third The personnel member resigned. In party misappropriated 2023, pursuant to a UNOPS policy, the \$56,000 by diverting a personnel member's HR records were payment to a vendor. revised to state that the personnel IAIG had previously member's contract was terminated for improved internal Fraud and serious misconduct. UNOPS requested 2022-055 НО financial controls to prevent this 0 1 thatthe third party fraudster be referred irregularities type of fraud. to the national authorities. In light of the However, a UNOPS lack of personal gain or fraudulent intent, personnel member IAIG did not request that UNOPS refer failed to conduct the the personnel member to national verification authorities. recommended. Latin-IAIG referred the personnel member to A personnel member America and Sexual the HRLO for appropriate action in Q3 2022-045 sexually harassed a 0 1 misconduct of 2022. The case is pending with the the colleague. Caribbean HRLO. A vendor submitted IAIG referred the vendor and its Latinforged documents principal to the VRC for appropriate Fraud and America and 2022-061 action. The VRC should complete its financial regarding its 0 0 the irregularities subcontractors in a review of the case in the first quarter of Caribbean UNOPS tender. 2023.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO IAIG referred the vendor and its A vendor submitted Fraud and principal to the VRC for appropriate fake financial action. The VRC should complete its 0 2022-063 Africa financial 0 statements in a review of the case in the first quarter of irregularities UNOPS tender. 2023. A personnel member obtained access to the model answers for a IAIG referred the personnel member to Fraud and UNOPS recruitment the HRLO for appropriate action in Q3 2022-065 financial test in which he/she 0 1 Africa of 2022. The case is pending with the irregularities participated. The HRLO. personnel member also failed to cooperate with the investigation. A vendor submitted a IAIG referred the vendor and its principal to the VRC for appropriate Fraud and fake document 2022-074 0 0 action. The VRC should complete its Africa financial regarding its prior irregularities experience in a review of the case during the first quarter UNOPS tender. of 2023. A former personnel Latinmember sexually IAIG referred the personnel member to America and assaulted another UN the HRLO for appropriate action in Q4 Sexual 2022-075 0 1 employee while he/she of 2022. The case is pending with the the misconduct Caribbean was employed by HRLO. UNOPS.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing no. referred (US\$) to HRLO A vendor failed to IAIG referred the vendor and its disclose in a UNOPS Latinprincipal to the VRC for appropriate Fraud and America and tender that it had been 2022-077 financial 0 0 action. The VRC should complete its the previously sanctioned irregularities review of the case in the first quarter of by a government Caribbean 2023 entity. A personnel member obtained access to the model answers of a IAIG referred the personnel member to Fraud and UNOPS recruitment in the HRLO for appropriate action in Q4 2022-088 which he/she 0 1 Asia financial of 2022. The case is pending with the irregularities participated. The HRLO. personnel member also failed to cooperate with the investigation. A personnel member The ED placed a note in the personnel Fraud and submitted fraudulent member's file stating that he/she would claims to UNOPS 0 have been terminated if he/she had not 2022-091 Africa financial 1 medical insurance already separated from UNOPS on other irregularities provider. grounds.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A former personnel member obtained access to the model answer of a UNOPS Fraud and IAIG referred the matter to the HRLO. recruitment test in 2022-096 financial 0 1 The person was deemed ineligible for Africa which he/she irregularities UNOPS vacancies for two years. participated. The personnel member also failed to cooperate with the investigation. A personnel member sexually harassed a Latincolleague, abused The ED terminated the personnel America and Sexual 2022-099 his/her authority, 0 1 misconduct member's contract in 2023. the breached UNOPS Caribbean security, and misused UNOPS ICT systems. A vendor submitted IAIG and the VRC agreed to issue a forged documents Fraud and Europe and regarding its prior 2022-101 financial 0 0 warning letter to the vendor instead of a Central Asia irregularities experience in a formal sanction. UNOPS tender. A personnel member IAIG referred the personnel member to Fraud and submitted fake quotes the HRLO for appropriate action in Q4 financial 0 1 2022-102 to circumvent Africa of 2022. The case is pending with the irregularities procurement HRLO. procedures.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO An external candidate Fraud and In 2023, UNOPS placed a record in its misrepresented financial 2022-111 0 Africa 1 systems precluding the person from information in a irregularities being hired by UNOPS. UNOPS recruitment. IAIG referred the vendor and its A vendor submitted Fraud and principal to the VRC for appropriate fake financial financial 0 0 action. The VRC should complete its 2022-112 Africa statements in a review of the case during the second irregularities UNOPS tender. quarter of 2023. A personnel member IAIG referred the personnel member to Fraud and submitted a fraudulent the HRLO for appropriate action in Q4 2022-115 Africa financial claim to UNOPS 0 1 of 2022. The case is pending with the irregularities medical insurance HRLO. provider. IAIG referred the vendor and its Fraud and A vendor submitted a principal to the VRC for appropriate 2022-116 Africa financial fraudulent document in 0 0 action. The VRC should complete its review of the case during the second irregularities a UNOPS tender. quarter of 2023. An external candidate IAIG referred the matter to the HRLO. Fraud and plagiarised his/her The HRLO completed the case in 2023 0 1 2022-118 Asia financial answer in a UNOPS and the person was deemed ineligible for recruitment test from irregularities UNOPS vacancies for one year. an online document.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO Two vendors IAIG referred the vendor and its Latin-Fraud and submitted fake principal to the VRC for appropriate America and 2022-120 0 0 financial documents regarding action. The VRC should complete its the review of the case in the second quarter irregularities their prior experience Caribbean in a UNOPS tender. of 2023. Two vendors IAIG referred the vendor and its Fraud and submitted fake principal to the VRC for appropriate 2022-121 Africa financial documents regarding 0 0 action. The VRC should complete its irregularities their prior experience review of the case in the second quarter in a UNOPS tender. of 2023. A personnel member misappropriated \$950 from UNOPS by IAIG referred the personnel member to Fraud and submitting forged the HRLO for appropriate action in Q4 2022-123 financial 0 1 Africa receipts. The personnel of 2022. The case is pending with the irregularities member reimbursed HRLO. the funds when confronted. A vendor submitted IAIG referred the vendor and its Fraud and fake documents principal to the VRC for appropriate action. The VRC should complete its 2022-141 financial regarding its prior 0 0 Africa irregularities experience in a review of the case in the second quarter UNOPS tender. of 2023.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO The employee resigned shortly after the Latin-An employee of a incident. UNOPS offered support Sexual America and 0 2022-148 0 vendor sexually misconduct services to the victim. IAIG was satisfied the assaulted a colleague. Caribbean with the actions taken by the vendor. A personnel member IAIG referred the personnel member to Fraud and shared the answers of a the HRLO for appropriate action in Q4 financial **UNOPS** recruitment 0 1 2022-149 Africa of 2022. The case is pending with the test with an external irregularities HRLO. candidate. An employee of an The implementing partner terminated the implementing partner Sexual 0 0 employee's contract and provided 2022-154 Asia sexually exploited a misconduct support services to the victim. beneficiary. A personnel member IAIG referred the personnel member to Fraud and submitted a fraudulent the HRLO for appropriate action in Q4 2022-162 financial claim to UNOPS 0 1 Africa of 2022. The case is pending with the irregularities medical insurance HRLO. provider. A personnel member Latin-IAIG referred the personnel member to Fraud and submitted a fraudulent America and the HRLO for appropriate action in Q4 2022-170 financial claim to UNOPS 0 1 of 2022. The case is pending with the the irregularities medical insurance Caribbean HRLO. provider.

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No. of Loss to IAIG case Type of personnel UNOPS Region Allegation Action taken wrongdoing referred no. (US\$) to HRLO A vendor included a subcontractor in their bid without obtaining Fraud and their consent. The IAIG and the VRC agreed to issue a 2022-199 0 0 Asia financial subcontractor warning letter to the vendor instead of a irregularities submitted its own bid formal sanction. in the tender, which created a potential conflict of interest. A vendor Latin-Fraud and IAIG and the VRC agreed to issue a misrepresented America and 2022-201 financial information about its 0 0 warning letter to the vendor instead of a the irregularities project team in a formal sanction. Caribbean UNOPS tender. IAIG referred the vendor and its principal to the VRC for appropriate Fraud and Two vendors colluded 2022-207 0 0 Asia financial with one another in a action. The VRC should complete its irregularities UNOPS tender. review of the case in the second quarter of 2023. A vendor submitted a IAIG referred the vendor and its principal to the VRC for appropriate Fraud and fake document 2022-214 0 Africa financial regarding its 0 action. The VRC should complete its review of the case in the second quarter irregularities subcontractor in a UNOPS tender. of 2023

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No. of Loss to IAIG case personnel Type of Region Allegation UNOPS Action taken wrongdoing no. referred (US\$) to HRLO IAIG referred the vendor and its principal to the VRC for appropriate Fraud and Two vendors colluded action. The VRC should complete its 2022-215 financial with one another in a 0 0 Africa irregularities UNOPS tender. review of the case in the second quarter of 2023. A vendor submitted IAIG referred the vendor and its Latin-Fraud and fake documents principal to the VRC for appropriate America and 2022-220 financial regarding its project 0 0 action. The VRC should complete its the irregularities team in a UNOPS review of the case in the second quarter Caribbean tender. of 2023.