**I. Introduction**

UN agencies receiving OCHA funds (CERF and/or Country-Based Pooled Funds - CBPFs) are required to report to OCHA cases of potential misuse of funds. This form is to be used to notify OCHA about new investigations into potential cases of misuse of OCHA funds.

For incidents impacting CERF funding, the information requirements referenced in the form are in line with the guidelines on Communicating the Fraudulent Use of CERF Funds.[[1]](#footnote-2) CERF is obligated to notify its donors when such cases are reported. Information communicated to OCHA through this form may, therefore, be shared by the CERF secretariat with its donors and the CERF Advisory Group as part of its regular updates on CERF related fraud investigations. Considering the above and with a view to supporting transparent and simple information-sharing between recipient agencies and CERF, the shared information should a) be in line with the guidelines summarized on the last page of this form; b) be short and concise and ready to be shared with CERF donors’ oversight offices in its delivered form.

**II. Case and Reporting Information**

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| --- | --- |
| **Organization name:** |  |
| **Contact person name and title:** |  |
| **Contact e-mail:** |  |
| **Date of this submission:** | [DD-MM-YYYY] *Please complete* |
| **Agency internal case ID:** |  |
| **Is this incident related to CERF or CBPF?**  |

|  |  |
| --- | --- |
| CERF – Central Emergency Response Fund | [ ]  |
| CBPF – Country-based Pooled Fund | [ ]  |

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| **Case ID:**  | [to be completed by OCHA] |
| **Status of case:**[please indicate current status] | **Investigation launched and ongoing**  | [x]   |
| **Investigation concluded and follow-up actions ongoing** | [ ]  |
| **Follow-up actions concluded and case closed** | [ ]  |
| **Other:**  | [please describe] |

**III. Initial Notification - Description of Suspected Case and Nature and Status of Investigation**

|  |  |
| --- | --- |
| **Date of initial notification:** | [DD-MM-YYYY] *Please complete* |
| **Countries potentially implicated:** |  |
| **Project code(s)**[[2]](#footnote-3)**:** |  |
| **Project Period** |  |
| **Potential OCHA amount at risk:***should it not be possible to estimate the value of loss attributable to OCHA funding, please indicate the total estimated loss to the Agency. If either estimation of loss is not possible, please indicate why.* |  |
| **Agency Investigation launched on** | [DD-MM-YYYY] *Please complete* |
| **Agency Investigation concluded on (if applicable)** | [DD-MM-YYYY] *Please complete* |
| **Agency Follow-up initiated (if applicable)** | [DD-MM-YYYY] *Please complete* |
| **Agency Follow-up concluded (if applicable)** | [DD-MM-YYYY] *Please complete* |
| *[Please describe suspected fraud case and nature and status of investigation. Please see guidelines on the last page of this form.* *Should the investigation already be closed, please specify if there was an impact to grant(s) provided by OCHA and quantify impact. Please also specify what actions have been taken with the partner and/or staff implicated AND what measures have been implemented to prevent future incidents.]* |

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| **Guideline Summary***OCHA must be informed by the recipient agency at three points: (1) Upon the agency opening an investigation; (2) Upon finalization of an investigation; and (3) Upon conclusion of follow-up actions. OCHA will proactively reach out to agencies for updates on new and ongoing cases twice per year. The information provided by the agency should adhere to the following standards:[[3]](#footnote-4)* **1) Upon opening an investigation:*** *Information on the initial concerns/allegations, including country, project, nature of allegations and management actions planned or already taken, amount at risk and any other assets affected by the incident, estimated CERF/CBPF amount potentially impacted and impact on project implementation. These details should be provided to the extent that they do not jeopardize the integrity of the investigation or the confidentially requirements.*

**2) Upon finalization of an investigation*** *Information must at a minimum include a summary of key findings of relevance to the CERF/CBPF project(s) implicated, including country, project, amount of CERF/CBPF funding impacted, nature of allegations and management actions planned or taken after completion of the investigation (including future use of the implementing partner if relevant). In addition, the following information is encouraged to be shared if possible: any other assets affected by the incident and impact on project implementation. Unless internal regulations do not allow it, please also share the investigation report.*

**3) Upon finalization of potential follow up actions*** *Beyond what is shared upon finalization of investigation, information must include all other details deemed relevant, including recovery of CERF/CBPF funds and, if applicable, mitigation measures that your organization has put in place to contain the impact of the incident and, if relevant, registration of potential implementing partner on the UN vendor debarment list.*
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1. <https://cerf.un.org/sites/default/files/resources/Communicating%20the%20Fraudulent%20Use%20of%20CERF%20Funds_0.pdf> [↑](#footnote-ref-2)
2. Please indicate CERF or CBPF project codes for grants that may be implicated. [↑](#footnote-ref-3)
3. Should the policies and procedures of the recipient agency prevent sharing of some of this minimum information this shall be communicated to OCHA. [↑](#footnote-ref-4)