**Annex 4: Investigation reports by type of allegation issued in 2021**

|  | **Regional Bureau** | **Allegation** | **Estimated Loss to UNDP[[1]](#footnote-1)[[2]](#footnote-2)** | **Report sent to** | **Status** |
| --- | --- | --- | --- | --- | --- |
|  | ***Abuse of Authority*** | | | | |
| 1 | Asia and the Pacific | Service contractor allegedly misused his/her position to stay at a hotel paid for by UNDP, while aware that she/he was unauthorized to do so and attempted to cover up her/his conduct. | $239 | CO | Subject was asked to reimburse the amount. |
| 2 | Asia and the Pacific | Service contractor allegedly misused his/her position to stay at a hotel paid for by UNDP, while aware that that she/he was unauthorized to do so. | $239 | CO | Subject was asked to reimburse the amount. |
| 3 | Asia and the Pacific | Service contractor allegedly misused his/her position to stay at a hotel paid for by UNDP, while aware that that she/he was unauthorized to do so and attempted to cover up her/his conduct. | $239 | CO | Subject was asked to reimburse the amount. |
|  | ***Entitlements Fraud*** | | | | |
| 4 | Africa (Other UN Agency) | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | $5,606.82 | OLS | Under Review[[3]](#footnote-3) |
| 5 | Arab States (Other UN Agency) | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | $5,219.30 | OLS | Under Review |
| 6 | Asia and the Pacific | Staff member allegedly submitted claims and received payment for official travel that she/he did not undertake. | $1,245.09 | OLS | Under Review |
| 7 | Arab States (Other UN Agency) | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | $6,108 | OLS | Under Review |
| 8 | Arab States (Other UN Agency) | Staff member allegedly submitted a fraudulent claim for reimbursement of medical expenses. | $5,574.15 | OLS | Under Review |
| 9 | Arab States | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | $17,171.26 | OLS | Under Review |
|  | ***Failure to Comply with Financial Disclosure Requirements*** | | | | |
| 10 | HQ | Staff member allegedly failed to declare her/his financial assets as required by the UNDP Financial Disclosure Programme. | No financial loss to the Organization | OLS | Subject was cleared of the allegations. |
|  | ***Misrepresentation, Forgery and False Certification*** | | | | |
| 11 | Africa (Other UN Agency) | Service contractor allegedly misused her/his position as officer-in-charge to collude with another member of personnel to embezzle project funds across several activities and failed to cooperate with the investigation. | Unknown | Other UN Agency | Subject resigned during the investigation. |
| 12 | Arab States | Employee of UNDP vendor allegedly provided false information about her/his employment status in a declaration form she/he submitted to the vendor. | No financial loss to the Organization | CO | A condition is to be imposed on any future contractual extensions made on the subject’s contract. |
|  | ***Misuse of Official Resources*** | | | | |
| 13 | HQ | Staff member allegedly used her/his UNDP issued laptop to access websites of a sexual nature and engaged in an unauthorized external activity while employed by UNDP. | No financial loss to the Organization was identified | OLS | Under Review |
|  | ***Other Failure to Comply with Obligations*** | | | | |
| 14 | HQ | Staff member allegedly pursued multiple unauthorized outside activities while employed by UNDP, used her/his position with UNDP to profit from these activities, had a conflict of interest due to engaging in an unauthorized activity, and made inaccurate representations in her/his leave records. | Unknown | OLS | Under Review |
| 15 | HQ | Staff member allegedly engaged in an unauthorized external activity while employed by UNDP, which she/he actively promoted and for which she/he sought clients using her/his UNDP position. | No financial loss to the Organization was identified | OLS | Subject was cleared of the allegations but was issued with a written reprimand. |
| 16 | Africa | Service contractor allegedly engaged in unauthorized external activities at three different entities while employed by UNDP. | No financial loss to the Organization was identified | CO | Subject’s contract was terminated. |
| 17 | Africa (Other UN Agency) | Staff member allegedly engaged in an unauthorized external activity while working for UNDP and misused official resources for her/his personal business interests. | No financial loss to the Organization | OLS | Subject resigned before completion of the investigation.  A letter was placed in the staff member’s file pursuant to Art. 72 (a) of the UNDP Legal Framework. |
| 18 | HQ | Individual contractor assisted and shared internal information with a UNDP vendor, then obstructed OAI's investigation. | No financial loss to the Organization was identified | VRC | Individual contractor was debarred for 5 years. |
| 19 | Asia Pacific (Other UN Agency) | Staff member allegedly posted views and third-party information via her/his social media accounts which were inconsistent with a UN staff member’s obligation to remain independent and impartial. | No financial loss to the Organization | Other UN Agency | Under review |
| 20 | HQ | Staff member allegedly used her/his social media accounts in a manner inconsistent with her/his status as an international civil servant by inter alia engaging publicly in politically sensitive issues. | No financial loss to the Organization | OLS | Under Review |
| 21 | Arab States | Staff member allegedly engaged in a conflict of interest by failing to recuse herself/himself both from an interview panel and from supervising and scoring a test during recruitment processes, where her/his relatives were successful candidates. She/he also allegedly shared confidential internal information with one of her/his relatives without authorization. | No financial loss to the Organization was identified | OLS | Under Review |
| 22 | HQ | Staff member allegedly failed to exercise adequate due diligence prior to changing a vendor's banking information, which resulted in a loss of funds to UNDP. | $62,304.00 | OLS | Under Review |
| 23 | HQ | Staff member allegedly failed to exercise adequate due diligence prior to changing a vendor's banking information, which resulted in a loss of funds to UNDP. | OLS | Under Review |
| 24 | RBAS | Staff member allegedly was under contract with and was remunerated by a UNDP vendor while employed by UNDP, thereby engaging in a conflict of interest. | No financial loss to the Organization was identified | OLS | Under Review |
| 25 | Arab States (Other UN Agency) | Staff member allegedly obstructed an investigation by lying to investigators and destroying evidence. | No financial loss to the Organization | OLS | Separation from service with compensation in lieu of notice and without termination indemnity. |
|  | ***Procurement Fraud*** | | | | |
| 26 | Africa | Staff member allegedly solicited and received bribes from several vendors, inflated invoices from a vendor, and colluded with vendors and other individuals to commit procurement fraud during multiple processes. | Unknown | OLS | Under Review |
| 27 | Africa | Staff member allegedly initiated and completed false transaction processes to mislead UNDP into authorizing payments to a vendor from whom she/he later retrieved the funds. | $100,981.33 | OLS | Subject resigned pending the investigation.  A letter was placed in the staff member's file pursuant to article 72 (a) of the UNDP Legal Framework. |
| 28 | Africa | Vendor allegedly engaged in procurement fraud by inter alia failing to disclose and attempting to conceal a conflict of interest, presented fake documents to auditors and OAI investigators, made misleading declarations on the number of personnel under their employ, presented fraudulent documentation to justify payments made to a third party for which they were reimbursed, fraudulently selected vendors to carry out activities required for the implementation of a project, and inflated costs. | $187,400 | VRC | Under Review  Vendor received an interim suspension. |
| 29 | Arab States | Vendor allegedly forged material to manipulate test results during a quality control operation. | No financial loss to the Organization was identified | VRC | Under Review  Vendor received an interim suspension. |
| 30 | Arab States | Two vendors allegedly colluded to commit procurement fraud by failing to disclose that they had the same owner whilst bidding against each other during two procurement processes. | Unknown | VRC | Under Review |
| 31 | Africa | Vendor allegedly falsified quotations submitted on behalf of competitors during a procurement process. | No financial loss to the Organization was identified | VRC | Under Review |
| 32 | Africa | Vendor allegedly submitted forged documents on behalf of a competitor during a bidding process. | No financial loss to the Organization | VRC | Under Review |
| 33 | Africa | Vendor allegedly colluded with another vendor to commit procurement fraud during a bidding process. | No financial loss to the Organization | VRC | Under Review |
| 34 | Europe and the CIS | Staff member allegedly attempted to influence a procurement process in favor of a vendor and falsely claimed official travel to a vendor to whom they submitted an inflated invoice for reimbursement. | $2,874.90 | OLS | Under Review |
| 35 | Latin America and the Caribbean (Other UN Agency) | Staff member allegedly colluded with two vendors and other members of personnel to commit procurement fraud, engaged in a conflict of interest involving a vendor and two relatives, sought to obstruct the investigation, improperly recruited a service contractor, and engaged in unauthorized outside activities while on administrative leave. | No financial loss to the Organization | OLS | Subject resigned after the investigation report was issued.  A letter was placed in the staff member's file pursuant to article 72 (a) of the UNDP Legal Framework. |
| 36 | Africa | Vendor allegedly paid bribes to a staff member to secure contract awards. | Unknown | VRC | Under Review |
| 37 | Africa | Vendor allegedly submitted a fraudulent certificate of completion of previous work within its bid submission. | No financial loss to the Organization was identified | VRC | Under Review  Vendor received an interim suspension. |
| 38 | Europe and the CIS | Two vendors allegedly colluded to commit procurement fraud during several procurement processes. | No financial loss to the Organization was identified | VRC | Under Review  Vendor received an interim suspension. |
| 39 | Europe and the CIS | Vendor allegedly colluded with UNDP personnel to prepare a bid submission, hired a third party owned by a UNDP employee to assist in implementing its UNDP contract, subcontracted their contacts without authorization, and obstructed the investigation. | No financial loss to the Organization | VRC | Under Review |
| 40 | Europe and the CIS | Vendor allegedly colluded with UNDP personnel to commit procurement fraud, engaged in a conflict of interest, and obstructed the investigation. | No financial loss to the Organization was identified | VRC | Vendor was debarred for 5 years. |
| 41 | Arab States | Two UNDP vendors allegedly colluded to commit procurement fraud by bidding against each other during a procurement process, despite having the same owner. | No financial loss to the Organization was identified | VRC | Vendors were debarred for 3 years. |
| 42 | Arab States |
| 43 | Arab States | Vendor allegedly provided false financial information as part of their bid submissions to UNDP during two procurement processes. | No financial loss to the Organization was identified | VRC | Under Review  Vendor received an interim suspension. |
| 44 | Arab States | Service contractor allegedly requested commission from a vendor after the vendor had been awarded a contract by UNDP. | No financial loss to the Organization was identified | CO | Subject’s contract was terminated. |
| 45 | Arab States | Vendor allegedly submitted fraudulent financial reports as part of their bid submissions to UNDP. | No financial loss to the Organization was identified | VRC | Under Review  Vendor received an interim suspension. |
| 46 | Africa | Vendor allegedly submitted a fraudulent bid security as part of their bid submission to UNDP. | No financial loss to the Organization | VRC | Under Review  Vendor received an interim suspension. |
|  | ***Sexual Assault*** | | | | |
| 47 | Africa (Other UN Agency) | Allegations of sexual and physical assault against a staff member. | No financial loss to the Organization | OLS | Referral to OLA for consideration of referral to national authorities[[4]](#footnote-4) |
|  | ***Sexual Exploitation and Sexual Abuse*** | | | | |
| 48 | Africa (Other UN Agency) | Staff member allegedly attempted to introduce local people implicitly for sexual purposes to a senior staff member and three other individuals. | No financial loss to the Organization | OLS | Subject's letter of appointment expired before the completion of the investigation.  A letter was placed in the staff member's file pursuant to Art. 72 (a) of the UNDP Legal Framework and he/she was included in the Clear Check database. |
|  | ***Sexual Harassment*** | | | | |
| 49 | Latin America and the Caribbean | Staff member allegedly sexually harassed a colleague towards whom she/he held a supervisory role by inter alia repeatedly sending her/him flirtatious text messages, date requests, and giving her/him a gift. | No financial loss to the Organization | OLS | Subject resigned before completion of the investigation.  A letter was placed in the staff member's file pursuant to Art. 72 (a) of the UNDP Legal Framework. |
| 50 | Africa | Staff member allegedly sexually harassed a colleague by making an unwelcome sexual advance and by inappropriately touching her/him on their shoulder and leg. | No financial loss to the Organization | OLS | Subject's letter of appointment expired before the completion of the investigation.  A letter was placed in the staff member's file pursuant to Art. 72 (a) of the UNDP Legal Framework. |
| 51 | HQ | Staff member allegedly sexually harassed a colleague by engaging in unwanted touching on two occasions. | No financial loss to the Organization | OLS | Subject resigned before completion of the investigation.  A letter was placed in the staff member's file pursuant to Art. 72 (a) of the UNDP Legal Framework. |
| 52 | Latin America and the Caribbean | Staff member allegedly sent inappropriate text messages to two colleagues, touched one of them inappropriately, and stored pornographic material on his/her work phone and computer. | No financial loss to the Organization | OLS | Subject resigned after receiving a charge letter and pending the disciplinary process.  A letter was placed in the staff member's file pursuant to article 81(a) of the UNDP Legal Framework. |
| 53 | RBA | Staff member allegedly sexually harassed two patients by behaving inappropriately, asking them non-medically relevant personal questions, inviting one for a dinner date and visiting the same person at their residence despite her/him declining her/his offer to visit. | No financial loss to the Organization | OLS | Under Review |
| 54 | Other UN Agency | National United Nations Volunteer allegedly made an unwanted sexual advance towards a colleague | No financial loss to the Organization | APDMC | Early separation from service. |
| 55 | Other UN Agency | Staff member allegedly made unwanted sexual advances towards a junior member of personnel. | No financial loss to the Organization | Other UN Agency | Under Review |
|  | ***Theft and Embezzlement*** | | | | |
| 56 | Africa (Other UN Agency) | Staff member allegedly enabled another member of personnel to unlawfully withdraw ICT items, received a request for a bribe that she/he failed to report, colluded to commit procurement fraud with multiple vendors on different occasions, engaged in four remunerated unauthorized outside activities and abused her/his authority by getting colleagues to assist her/him with tasks linked to her/his outside activities. | No financial loss to the Organization | OLS | Subject was dismissed. |
| 57 | Africa (Other UN Agency) | Staff member allegedly misappropriated the office petty cash and a cash advance received for a workshop and knowingly submitted fraudulent documentation in order to receive a salary advance. | No financial loss to the Organization | OLS | Under Review |

1. “Unknown” means that OAI could not quantify the loss in the case concerned. [↑](#footnote-ref-1)
2. Only losses to UNDP have been added to this Annex. Losses to other UN agencies in cases of staff members and non-staff personnel from other agencies administered by UNDP as well as losses to other entities such as CIGNA are not considered financial losses to UNDP. [↑](#footnote-ref-2)
3. "Under Review" signifies that the Office of Legal Services has received the OAI case file and is in the process of carrying out its legal review including what action to take pursuant to the UNDP Legal Framework. [↑](#footnote-ref-3)
4. The final report has not been issued in this case, it has been closed by OAI pending notification from national authorities and may be subject to re-opening as warranted. [↑](#footnote-ref-4)