

14 April 2023

Annex 4

**Summary of investigation and closure reports issued in 2022, by
type of allegation, as of 31 December 2022**

**Report of the Office of Audit and Investigation Services on UNFPA
internal audit and investigation activities in 2022**

(DP/FPA/2023/6)

Agenda item 3: UNFPA – Internal audit and investigation

Executive Board of UNDP, UNFPA and UNOPS

Annual session 2023

5 to 9 June 2023

New York

Annex 4: Summary of investigation and closure¹ reports issued in 2022, by type of allegation, as of 31 December 2022

	REGIONAL OFFICE	ALLEGATION	ESTIMATED LOSS TO UNFPA²	SUBSTANTIATED OR UNSUBSTANTIATED/ ENTITY TO WHOM THE REPORT WAS SUBMITTED	STATUS AS OF 31 MARCH 2023
INSURANCE FRAUD					
1	Eastern Europe and Central Asia	A UNFPA service contractor colluded with two other UNFPA personnel to deliberately and knowingly submit fraudulent medical claims to obtain a reimbursement for which the service contractor was not due.	No financial loss to the Organization	Substantiated/ Legal Unit	The service contractor was appointed as a UNFPA staff member prior to the issuance of the OAIS investigation report. After the investigation report was issued to UNFPA management, the staff member's appointment was terminated for reason of facts anterior to the appointment.
FAILURE TO ADHERE TO THE EXPECTED STANDARDS OF CONDUCT					
2	East and Southern Africa	A UNFPA senior official ³ disclosed confidential information concerning UNFPA to a third party during a media interview.	No financial loss to the Organization	Substantiated/ Legal Unit	The staff member resigned. An appropriate note was included in the staff member's personnel file to create a permanent record regarding the matter.
GROSS NEGLIGENCE / FINANCIAL IRREGULARITY					
3	Asia and the Pacific	A UNFPA senior official was grossly negligent by failing to exercise proper financial oversight over UNFPA funds and therefore failing to safeguard UNFPA resources and their fiduciary duty towards the Organization.	USD 22,603	Substantiated/ Legal Unit	In process.
OTHER WRONGDOING					
4	Eastern Europe and Central Asia	A UNFPA staff member violated examination rules during a United Nations Language Proficiency Examination.	USD 200	Substantiated/ Legal Unit	The staff member's step in grade was downgraded by one step as a disciplinary measure. UNFPA took action to recover the examination fee from the staff member.
5	West and Central Africa	A UNFPA staff member failed to disclose their conflict of interest in a company engaged by a UNFPA Implementing	No financial loss to the Organization	Substantiated/ Legal Unit	In process.

¹ If an investigation results in at least one substantiated allegation, OAIS closes the case by submitting an investigation report to the UNFPA Legal Unit for further action, and if no allegations are substantiated, the case is closed by OAIS with a closure report. For retaliation investigations, OAIS closes the case by submitting an appropriate work product report to the Ethics Office for further action, regardless of whether the allegations are substantiated or unsubstantiated.

² Only losses to UNFPA have been added to this Annex. Losses to other United Nations agencies in cases of staff members and non-staff personnel from other agencies, losses to UNFPA which have been recovered prior to investigation, as well as losses to other entities such as CIGNA are not considered financial losses to UNFPA.

³ For the purposes of this Annual Report, a UNFPA senior official is one who is/was at the P-5 level or above.

	REGIONAL OFFICE	ALLEGATION	ESTIMATED LOSS TO UNFPA ²	SUBSTANTIATED OR UNSUBSTANTIATED/ ENTITY TO WHOM THE REPORT WAS SUBMITTED	STATUS AS OF 31 MARCH 2023
		Partner to provide services connected with a UNFPA project. The staff member was the focal point for this UNFPA project.			
RETALIATION					
6	East and Southern Africa	A UNFPA staff member allegedly retaliated against their subordinate.	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member was separated from services for unrelated reasons prior to the issuance of the investigation report.
7	East and Southern Africa	A UNFPA staff member allegedly retaliated against their subordinate.	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member was separated from services for unrelated reasons prior to the issuance of the investigation report.
8	East and Southern Africa	A UNFPA staff member allegedly retaliated against their subordinate.	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member was separated from services for unrelated reasons prior to the issuance of the investigation report.
9	East and Southern Africa	A UNFPA staff member allegedly retaliated against their subordinate.	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member was separated from services for unrelated reasons prior to the issuance of the investigation report.
10	Arab States Regional Office	A UNFPA senior official engaged in multiple acts of retaliation towards another UNFPA staff member.	No financial loss to the Organization	Substantiated/ Ethics Office	The staff member resigned. An appropriate note was included in the senior official's personnel file to create a permanent record regarding the matter.
11	East and Southern Africa	A UNFPA senior official harassed and retaliated against an individual from another United Nations agency.	No financial loss to the Organization	Substantiated/ Ethics Office	The staff member was separated from service for unrelated reasons. An appropriate note was included in the staff member's personnel file to create a permanent record regarding the matter.
12	Eastern Europe and Central Asia	A former UNFPA senior official retaliated against another UNFPA staff member. While the underlying allegations were substantiated, as a former staff member the Retaliation policy did not apply, and UNFPA had no jurisdiction to initiate disciplinary proceedings against a former staff member.	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member separated from the Organization during the disciplinary process for a different matter and had already been placed on the United Nations Clear Check screening database. An appropriate note was placed in the former staff member's personnel file to create a permanent record regarding the matter.
13	Eastern Europe and Central Asia	A former UNFPA senior official retaliated against another UNFPA staff member. While the underlying allegations were	No financial loss to the Organization	Unsubstantiated/ Ethics Office	The staff member separated from the Organization during the disciplinary process for a different matter and had already been placed on the United

	REGIONAL OFFICE	ALLEGATION	ESTIMATED LOSS TO UNFPA ²	SUBSTANTIATED OR UNSUBSTANTIATED/ ENTITY TO WHOM THE REPORT WAS SUBMITTED	STATUS AS OF 31 MARCH 2023
		<i>substantiated, as a former staff member the Retaliation policy did not apply, and UNFPA had no jurisdiction to initiate disciplinary proceedings against a former staff member.</i>			<i>Nations Clear Check screening database. An appropriate note was placed in the former staff member's personnel file to create a permanent record regarding the matter.</i>
14	Eastern Europe and Central Asia	<i>A former UNFPA senior official retaliated against another UNFPA staff member. While the underlying allegations were substantiated, as a former staff member, UNFPA's Retaliation policy did not apply, and UNFPA had no jurisdiction to initiate disciplinary proceedings against a former staff member.</i>	<i>No financial loss to the Organization</i>	<i>Unsubstantiated/ Ethics Office</i>	<i>The staff member separated from the Organization during the disciplinary process for a different matter and had already been placed on the United Nations Clear Check screening database. An appropriate note was placed in the former staff member's personnel file to create a permanent record regarding the matter.</i>
IMPLEMENTING PARTNER FRAUD					
15	West and Central Africa	A UNFPA Implementing Partner engaged in fraudulent practices by charging UNFPA for project expenditures it did not incur.	USD 22,920	Substantiated/ Legal Unit	The matter was referred to the Implementing Partner Review Committee (IPRC). Recovery demand was sent to the IP. UNFPA further decided that the IP should not be engaged in the future. Information regarding the investigation and UNFPA's decisions was shared with other United Nations agencies.
WORKPLACE HARASSMENT					
16	East and Southern Africa	A UNFPA senior official harassed and abused their authority towards a UNFPA individual consultant.	No financial loss to the Organization	Substantiated/ Legal Unit	The senior official was separated from service for unrelated reasons. An appropriate note was included in the senior official's personnel file to create a permanent record regarding the matter.
17	Arab States	UNFPA staff member harassed another staff member and led a procurement of electronic equipment despite questionable programmatic value and along with other staff members retained some of these items for personal use / gain. The staff member also failed to cooperate with the OASIS investigation.	OASIS was unable to determine the financial loss, if any, to the Organization	Substantiated/ Legal Unit	The staff member's step in grade was downgraded by one step and they received a written censure as a disciplinary measure.

	REGIONAL OFFICE	ALLEGATION	ESTIMATED LOSS TO UNFPA ²	SUBSTANTIATED OR UNSUBSTANTIATED/ ENTITY TO WHOM THE REPORT WAS SUBMITTED	STATUS AS OF 31 MARCH 2023
SEXUAL EXPLOITATION AND ABUSE					
18	Asia and the Pacific	An employee of a UNFPA Implementing Partner (IP) exploited female beneficiaries. OAIS reviewed the investigation dossier and process undertaken by the IP but was unable to endorse the report as it did not meet the requisite standards.	No financial loss to the Organization	Substantiated/ Legal Unit	The matter was referred to the Implementing Partner Review Committee (IPRC). The IPRC reprimanded the IP for failing to meet the expected investigative standards as required under the IP Agreement. The UNFPA Country Office is working with the IP to strengthen its capacity and increase monitoring of the necessary actions.
19	East and Southern Africa	A senior official of a UNFPA Implementing Partner (IP) sexually exploited and abused, and harassed and mistreated multiple beneficiaries. The senior IP official failed to reimburse beneficiaries for expenses to which they were due and breached the confidentiality of the investigation process by retaliating against a beneficiary.	No financial loss to the Organization	Substantiated/ Legal Office	The matter was referred to the Implementing Partner Review Committee (IPRC). The Existing IP agreement was terminated.
20	Arab States	A volunteer at a UNFPA Implementing Partner (IP) sexually abused a minor. OAIS reviewed the investigation dossier and investigation process undertaken by the IP and was unable to endorse the dossier, as the investigation did not meet the requisite standards.	No financial loss to the Organization	Substantiated/ Legal Office	Matter referred to Implementing Partner Review Committee (IPRC). The IP employee was terminated by the IP. IP reprimanded for failure to meet the expected investigative standards as required under the IP Agreement. The IP was further requested to take the necessary mitigating measures to prevent occurrence of similar cases with support from the UNFPA Country Office A revised PSEA assessment is being undertaken and a capacity strengthening plan developed with the IP including review of victim assistance in the process.
SEXUAL HARASSMENT					
21	Arab States	A UNFPA staff member sexually harassed and abused their authority over multiple UNFPA personnel.	No financial loss to the Organization	Substantiated/ Legal Office	The staff member received a disciplinary measure of separation from service with compensation in lieu of notice and without termination indemnity. The staff member's name was placed in the United

	REGIONAL OFFICE	ALLEGATION	ESTIMATED LOSS TO UNFPA ²	SUBSTANTIATED OR UNSUBSTANTIATED/ ENTITY TO WHOM THE REPORT WAS SUBMITTED	STATUS AS OF 31 MARCH 2023
					Nations common database ClearCheck.
Total Loss			\$45,723		
Loss through fraudulent practices or financial irregularities			\$ 45,523		