

## **Annex 3**

### **Summary of investigation and closure reports issued in 2021, by type of allegation as of 31 December 2021**

### **Report of the Office of Audit and Investigation Services on UNFPA internal audit and investigation activities in 2021**

**(DP/FPA/2022/6)**

#### **Agenda item 3: UNFPA – Internal audit and investigation**

Executive Board of UNDP, UNFPA and UNOPS

Annual session 2022

6 to 10 June 2022

New York

Annex 3: Summary of investigation and closure reports<sup>1</sup> issued in 2021, by type of allegation as of 31 December 2021

	Regional Office	Allegation	Estimated loss to UNFPA <sup>2</sup>	Substantiated / Unsubstantiated and to whom was the Report sent	Status
<b>Assault</b>					
1	Asia and the Pacific	UNFPA staff member physically assaulted their partner.	No financial loss to the Organization	Substantiated; Legal Unit	Staff member was separated from service.
2	East and Southern Africa	<i>UNFPA staff member allegedly engaged in physical intimidation and violence towards their former partner, and the solicitation or procuring of transactional sex services. The staff member also allegedly misused their position in order to harass security personnel.</i>	<i>No financial loss to the Organization</i>	<i>Unsubstantiated; Closure Report remains with OAIS</i>	<i>N/A</i>
<b>Abuse of Authority</b>					
3	Arab States	<i>UNFPA staff member allegedly harassed and abused their authority over another staff member. UNFPA staff member also allegedly engaged in sexual exploitation and abuse while on mission, sexual harassment of others and multiple instances of abuse of authority and favouritism.</i>	<i>No financial loss to the Organization</i>	<i>Unsubstantiated; Closure Report remains with OAIS</i>	<i>N/A</i>
4	Arab States	A UNFPA Representative abused their authority by requesting and receiving financial loans from staff	\$299	Substantiated; Legal Unit	The Representative had retired before the investigation was

<sup>1</sup> With the exception of retaliation cases, where both substantiated and unsubstantiated reports are sent to the Ethics Office, where the Office of Audit and Investigation Services (OAIS) investigates other forms of wrongdoing and substantiates at least one allegation, an Investigation Report is drafted, which is provided to the Legal Unit. If after a full investigation, no allegations are substantiated, OAIS produces a Closure Report. This report remains with OAIS, but the Legal Unit and other relevant stakeholders are informed of the closure.

<sup>2</sup> 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.

		members within their reporting line. The Representative also abused their authority by requesting the services of the Country Office driver for non-work-related errands which were outside of the normal working hours, causing UNFPA to incur costs for overtime and fuel.			completed but was required to reimburse UNFPA for the driver's overtime costs. An appropriate note was included in the Representative's personnel file. Recovery is in progress.
<b>Collusion</b>					
5	East and Southern Africa	UNFPA vendor colluded with UNFPA personnel and a UNFPA Implementing Partner in order to obtain contracts for the UNFPA country office. The vendor also allegedly defrauded the local government by receiving payment for the development of an application, paid for with UNFPA funds, that was not in fact developed.	Unknown	Substantiated; Legal Unit	Referred to the Vendor Review Committee. In process.
6	East and Southern Africa	UNFPA vendor colluded with UNFPA personnel in order to gain an unfair advantage in the award of contracts to UNFPA. The vendor also allegedly defrauded UNFPA by providing goods that did not match the specifications as set out in their contract with UNFPA.	Unknown	Substantiated; Legal Unit	Referred to the Vendor Review Committee. In process.
7	West and Central Africa	UNFPA vendor and its authorized representative colluded and/or conspired with UNFPA personnel to defraud UNFPA, and engaged in corrupt practices to improperly influence the actions of UNFPA personnel.	\$ 4,255	Substantiated; Legal Unit	Vendor and its authorized representative were subject to three (3) years suspension/ debarment. Recovery was made under Report No. 2020-15 pursuant to principle of joint liability.
<b>Entitlement Fraud</b>					
8	Eastern Europe and Central Asia	A UNFPA international staff member allowed a national staff member to acquire VAT exempt alcoholic beverages using the international staff member's account with a UNFPA supplier of duty-free goods. The national staff member was not eligible to make VAT-exempt purchases. The international staff member engaged in preparing a false declaration submitted to the local Government stating that the purchase of the VAT-exempt	No financial loss to the Organization	Substantiated; Legal Unit	Fine in amount of USD 8,331.08

		alcoholic beverages had been for their own personal consumption.			
9	Eastern Europe and Central Asia	A UNFPA national staff member purchased VAT-exempt alcoholic beverages using an international staff member's account with a UNFPA supplier of duty-free goods. The national staff member engaged in preparing a false declaration submitted to the Government stating that the purchase of the VAT-exempt alcoholic beverages had been for the international staff member's personal consumption.	No financial loss to the Organization	Substantiated; Legal Unit	Fine in amount of USD 5,930.84.
10	West and Central Africa	UNFPA staff member attempted to mislead UNFPA in official documentation in order to both receive reimbursement for expenses to which they were not entitled and to avoid having to reimburse the organization for expenses to which they were not entitled.	\$1,617	Substantiated; Legal Unit	Staff member retired prior to the issuance of the investigation report. In process.
<b>Insurance Fraud</b>					
11	Latin America and the Caribbean	A staff member of another United Nations agency, prior to their appointment and while working as a consultant for UNFPA, knowingly forged documentation and submitted a falsified medical claim for an ineligible treatment in order to mislead the insurer and receive a financial benefit.	No financial loss to the Organization	Substantiated; Legal Unit	Referred to other United Nations agency employing the individual at time of issuance of OAIS investigation report. That United Nations agency separated the individual.
12	Eastern Europe and Central Asia	UNFPA staff member deliberately and knowingly submitted fraudulent medical claims in order to obtain a reimbursement they were not due.	No financial loss to the Organization	Substantiated; Legal Unit	In process
<b>Failure to abide by local law</b>					
13	East and Southern Africa	UNFPA staff member drove UNFPA official vehicle under the influence of alcohol, resulting in death and injury to cattle and considerable damage to the UNFPA vehicle. A local court convicted the staff member of four counts of traffic offenses.	\$29,047	Substantiated; Legal Unit	Staff member was separated from service.
<b>Failure to adhere to the expected standards of conduct</b>					

14	East and Southern Africa	A UNFPA Representative allegedly engaged in sexual exploitation and abuse. While this allegation was not substantiated, the UNFPA Representative failed to adhere to the standards expected of a UNFPA staff member by, inter alia, entering into a personal relationship with local non-UNFPA personnel and engaging in inappropriate physical contact with this individual on UNFPA premises. The Representative also communicated with witnesses during the investigation and failed to provide evidence to the Office of Audit and Investigation Services.	No financial loss to the Organization	Substantiated; Legal Unit	In process
<b>Favoritism</b>					
15	East and Southern Africa	A UNFPA Representative failed to report to the Office of Audit and Investigation Services an allegation of sexual exploitation and abuse by another person of which the staff member had received notice.	No financial loss to the Organization	Substantiated; Legal Unit	Representative received a written reprimand as a non-disciplinary measure and was instructed to retake UNFPA's training on the prevention of sexual exploitation and abuse.
<b>Misrepresentation</b>					
16	East and Southern Africa	UNFPA staff member knowingly presented a false university degree certificate in a job application for a UNFPA position.	No financial loss to the Organization	Substantiated; Legal Unit	Staff member resigned during the investigation. An appropriate note was included in the staff member's personnel file.
17	Headquarters	<i>UNFPA staff member knowingly and recklessly used a prohibited communication application to obtain an unfair advantage during a language proficiency exam.</i>	<i>No financial loss to the Organization</i>	<i>Unsubstantiated; Closure Report remains with OAIS</i>	<i>N/A</i>
<b>Obstruction</b>					
18	East and Southern Africa	UNFPA Representative allegedly engaged in transactional sex and maintained romantic / sexual relationships with one or more persons who were UNFPA beneficiaries or intended beneficiaries. While this allegation was not substantiated, the Representative failed to cooperate with UNFPA Office of Audit and Investigation Services' investigation, and knowingly attempted to mislead or	No financial loss to the Organization	Substantiated; Legal Unit	Representative separated from service for other reasons. In process.

		conceal facts pertinent to the allegations being investigation.			
<b>Retaliation</b>					
19	Western Africa	<i>UNFPA staff member allegedly created an increasingly isolating and hostile working environment for another staff member in retaliation for the latter reporting the former's harassment and abuse of authority.</i>	<i>No financial loss to the Organization</i>	<i>Unsubstantiated; Ethics Office</i>	<i>N/A</i>
<b>Theft</b>					
20	Asia and the Pacific	UNFPA staff member appropriated UNFPA funds and used them for personal purposes, thereby failing to safeguard UNFPA resources and their fiduciary duty towards the organization.	No financial loss to the Organization	Substantiated; Legal Unit	In process
<b>Vendor Fraud</b>					
21	Asia and the Pacific	A company engaged by a UNFPA implementing partner to carry our services connected with a UNFPA project failed to comply with its contractual obligations by colluding with the implementing partner and/or knowingly, or recklessly, representing to the implementing partner that full payment was due in order to receive (or retain) payment from UNFPA to which it knew it was not entitled.	\$ 8,661	Substantiated; Legal Unit	In process
22	Asia and the Pacific	A company engaged by a UNFPA implementing partner to carry our services connected with a UNFPA project failed to comply with its contractual obligations by colluding with the implementing partner and/or knowingly, or recklessly, representing to the implementing partner that full payment was due in order to receive (or retain) payment from UNFPA to which it knew it was not entitled.	\$ 59,795	Substantiated; Legal Unit	Referred to the Vendor Review Committee. In process.
23	Asia and the Pacific	A company engaged by a UNFPA implementing partner to carry our services connected with a UNFPA project failed to comply with its contractual obligations by colluding with the implementing partner and/or knowingly, or recklessly, representing to the implementing partner that full payment was	\$11,956	Substantiated; Legal Unit	Referred to the Vendor Review Committee. In process.

		due in order to receive (or retain) payment from UNFPA to which it knew it was not entitled.			
<b>Workplace Harassment</b>					
24	Arab States	UNFPA staff member prior to their appointment and while working for another United Nations agency allegedly sexually harassed another staff member. While the allegations of sexual harassment were not substantiated, the external investigation carried out by the other United Nations agency found that the staff member had committed harassment while in the previous agency by shouting and speaking harshly to other personnel.	No financial loss to the Organization	Substantiated; Legal Unit	Agreed termination with the staff member.
<b>Sexual Exploitation and Abuse</b>					
25	East and Southern Africa	Former UNFPA individual consultant engaged in transactional sex with sex workers.	No financial loss to the Organization	Substantiated; Legal Unit	Former individual consultant was included in the United Nations common database ClearCheck. An appropriate note was included in the consultant's personnel file and a notation was included in the UNFPA consultant roster.
26	Latin America and the Caribbean	A senior official of a local non-governmental organization contracted by a UNFPA implementing partner to provide services related to a UNFPA project attempted to sexually exploit and abuse a beneficiary of the UNFPA project. The senior official also forced the beneficiaries of said project to pay a fee for services donated by third parties.	No financial loss to the Organization	Substantiated; Legal Office	Matter referred to Vendor Review Committee which recommended not proceeding with the case referral as the non-governmental organization had taken appropriate action. Recommendation accepted by the UNFPA CPO.
<b>Sexual Harassment</b>					
27	Arab States	UNFPA staff member made inappropriate comments and had inappropriate physical contact with a former UNFPA intern during a conference both attended.	No financial loss to the Organization	Substantiated; Legal Office	Staff member separated from UNFPA prior to the issuance of the investigation report. The staff member's name was placed in the United Nations common database ClearCheck.

28	East and Southern Africa	UNFPA staff member made unwanted sexual advances towards a UNFPA implementing partner's employee. UNFPA staff member also abused their authority by instructing a subordinate staff member to transport their romantic partner and their goods in a UNFPA official vehicle, while misrepresenting the partner as their spouse in official UNFPA documentation.	No financial loss to the Organization	Substantiated; Legal Office	Staff member separated from service for other reasons. In process.
<b>Total Loss</b>			<b>\$115,630</b>		
<b>Loss through fraudulent activity</b>			<b>\$ 86,284</b>		