



9 April 2024

Annex 4

**Summary of investigation and closure reports issued in 2023, by
type of allegation, as of 31 December 2023**

**Report of the Office of Audit and Investigation Services on UNFPA
internal audit and investigation activities in 2023**

(DP/FPA/2024/6)

Agenda item 3: UNFPA – Internal audit and investigation

Executive Board of UNDP, UNFPA, and UNOPS

Annual session 2024

3 to 7 June 2024

New York

**Annex 4: Summary of investigation and closure¹ reports issued in 2023, by type of allegation, as of
31 December 2023**

| | REGIONAL OFFICE | ALLEGATION | ESTIMATED LOSS TO UNFPA ² | OUTCOME AND TO WHOM THE REPORT WAS SENT | STATUS |
|---------------------------------|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ABUSE OF AUTHORITY | | | | | |
| 1. | Arab States | A UNFPA senior official ³ allegedly abused their authority by making unreasonable demands to subordinates and allegedly harassing subordinates by yelling and using belittling and humiliating language. The senior official also allegedly engaged in favoritism in the office. | No financial loss to the Organization | Unsubstantiated; Closure Report remains with OAIS. | The senior official resigned before the investigation was completed while a disciplinary process was ongoing in another matter. An appropriate note was placed in the staff member's personnel files. |
| COLLUSION | | | | | |
| 2. | Asia and the Pacific | A UNFPA staff member engaged in an unauthorized outside activity and failed to disclose a potential conflict of interest. The staff member also engaged in unauthorized disclosure of confidential information and colluded with their immediate family and another staff member. | No financial loss to the Organization | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. The matter remains with the Legal Unit for review and further action. |
| 3. | Asia and the Pacific | A UNFPA staff member failed to disclose a potential conflict of interest and abused their position by facilitating the negotiation of a business agreement between a company owned by a UNFPA colleague's immediate family and a UNFPA Implementing Partner sub-contractor. The staff member also colluded with the colleague and the latter's immediate family. | No financial loss to the Organization | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. The staff member received a written censure and a loss of one step-in grade as a disciplinary measure. |
| DIVERSION OF COMMODITIES | | | | | |
| 4. | East and Southern Africa | OAIS reviewed and endorsed a third-party (national authority) investigation against UNFPA Implementing Partner employees and their associates, who stole reproductive health commodities from a warehouse. A criminal court found three defendants (one Implementing Partner staff member and two associates) guilty in relation to the matter. | US\$96,112 | Endorsed third-party investigation; Legal Unit | OAIS submitted its investigation report endorsing the third party-investigation to the Legal Unit, which in turn referred the matter to the Implementing Partner Review Committee (IPRC). ⁴ The IPRC took the following actions: <ul style="list-style-type: none"> • A letter has been transmitted to the Implementing Partner requesting a full recovery of the identified financial loss. The |

¹ Except for 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.

² Only estimated 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. Estimated losses do not reflect amounts that have been recovered or may be recovered in future.

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

⁴ The IPRC is an administrative body of UNFPA. The IPRC manages Implementing Partner review following the issuance of an investigation report by the Director, OAIS, the enforcement of contract and other remedies, as well as any Sanction proceedings. See UNFPA Policies and Procedures Manual, Implementing Partner Review and Sanctions (09 April 2021), available at: https://www.unfpa.org/sites/default/files/admin-resource/PROG_IP_Review_and_Sanctions_9April2021.pdf.

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| | | | | | <p>Division of Management Services and the Country Office continue to engage with the Implementing Partner and follow up on this matter;</p> <ul style="list-style-type: none"> • The UNFPA Supply Chain Management Unit has been requested to conduct an in-country assessment to review the Implementing Partner's procurement capacity and risk mitigation measures and inform actions accordingly. The assessment is currently being finalized and the report will be shared with IPRC upon completion; • The Country Office was requested to work with the Supply Chain Management Unit and the Implementing Partner to develop robust mitigation measures; and • The case will be subject to another review by IPRC once requested information and updates are available. |
| ENTITLEMENT FRAUD | | | | | |
| 5. | East and Southern Africa | A UNFPA staff member deliberately and knowingly submitted fraudulent documents in relation to education grant claims for five children. The entitlement fraud occurred over several years, during which time the staff member had also worked for another United Nations agency. | \$658,961.54 | Substantiated; Legal Unit | <p>The staff member resigned before the investigation was completed.⁵ Yet, OASIS submitted its investigation report to the Legal Unit.</p> <p>An appropriate note was included in the staff member's personnel file.</p> <p>The matter was referred to the investigative unit of the other United Nations agency which was also affected. It was also referred to the national authorities.</p> <p>Recovery: An amount of \$107,920.28 has been recovered.</p> <p>The Organization is engaged in ongoing, further recovery action regarding the balance.</p> |
| 6. | West and Central | <i>A UNFPA staff member allegedly knowingly signed and submitted a fraudulent travel</i> | <i>No financial loss to the</i> | <i>Unsubstantiated; Closure Report</i> | <i>N/A</i> |

⁵ Should a subject separate from service before an investigation is completed and before they have received formal notice of the investigation, OASIS closes the case, as UNPA cannot issue disciplinary measures against former personnel. However, there are several exceptions to this general rule. OASIS completes the investigation if the case concerns allegations of fraud / financial irregularities, sexual misconduct, or breaches of local law, as UNFPA can take follow up action against the subject, including recovery of financial losses, placement of the subject's name on the United Nations common database ClearCheck, or the matter may be referred to national / relevant authorities. Similarly, if the subject has commenced employment at another United Nations entity, OASIS can refer the matter to the investigative unit of that entity for their further action. Should a subject have received formal notification of the investigation and their status as a subject, OASIS closes the matter using an Investigative or Closure Report, as the subject has the due process rights to know how the case against them was disposed.

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| | Africa | <i>reimbursement claim, while the expenses in question had been provided by the airline.</i> | Organization | <i>remains with OAIS</i> | |
| 7. | West and Central Africa | <i>A UNFPA staff member allegedly submitted fraudulently altered documents as part of an education grant claim. While the documents had been fraudulently altered, this had been done by the staff member's child without the former's knowledge.</i> | \$3,993.88 | <i>Unsubstantiated; Closure Report remains with OAIS</i> | <i>The staff member's post was abolished for unrelated reasons before the investigation was completed. The matter was referred internally to the Division for Human Resources for recovery of unduly received funds.</i> |
| FALSIFICATION OF DOCUMENTS / MISREPRESENTATION | | | | | |
| 8. | East and Southern Africa | OAIS reviewed and endorsed a third-party investigation carried out by a UNFPA Implementing Partner against its employees for knowingly and deliberately forging activity attendance lists for activities that were not carried out. | \$6,233.63 | Endorsed third-party investigation; Legal Unit | OAIS submitted its investigation report endorsing the third party-investigation to the Legal Unit, which in turn referred the matter to the Implementing Partner Review Committee (IPRC). The IPRC took the following actions: <ul style="list-style-type: none"> • A letter has been transmitted to the Implementing Partner requesting a full recovery of the financial loss, updates on the process of referral to the national authorities, and a detailed action plan to strengthen their internal control system; and • The Division of Management Services and the Country Office continues to engage with the Implementing Partner and follow up on the implementation of the aforementioned actions, including the recovery process. |
| 9. | Arab States | A UNFPA senior official abused their authority by regularly misusing official vehicles for personal use, approving the purchase of electronic devices for personal use, and fraudulently receiving payment for home internet connection. The staff member also instructed a subordinate to perform unpaid personal tasks in a humiliating and highly exploitative manner and forced the resignation of a subordinate. | \$8,531.91 | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. The senior official resigned while a disciplinary process was ongoing against them in another matter. Recovery: The staff member reimbursed the amount of \$8,531.91 to UNFPA. The matter was referred to the national authorities. |
| 10. | Asia and the Pacific | A UNFPA staff member misused their office by knowingly falsifying UNFPA purchase orders to procure goods and services from local businesses for personal use in violation of national law. | No financial loss to the Organization | Substantiated; Legal Unit | The staff member resigned before the investigation was completed. Yet, OAIS completed and submitted its investigation report to the Legal Unit. An appropriate note was included in the staff member's personnel file. The matter was referred to the national authorities. |
| 11. | Arab States | A UNFPA staff member abused their privileges and immunities by using their United Nations Laissez-Passer (UNLP) to undertake private international travel. The staff member also attempted to alter entry/exit airport stamps in the UNLP to conceal their travel. | No financial loss to the Organization | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. The staff member received a suspension without pay for three months and a deferment of one year for salary increment as a disciplinary measure. |

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| | | | | | The matter was also referred to the United Nations Office for Legal Affairs for assessment and possible referral to the relevant authorities. |
| 12. | East and Southern Africa | A UNFPA service contractor forged the signature of a UNFPA senior official, misrepresented their position, and submitted forged documentation in an attempt to mislead a financial institution in order to gain financial services. | No financial loss to the Organization | Substantiated; Legal Unit | The service contractor's contract expired before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. An appropriate note was included in the service contractor's personnel file. |
| WORKPLACE HARASSMENT | | | | | |
| 13. | Arab States | <i>A UNFPA staff member allegedly harassed another two UNFPA colleagues by undermining their work. The staff member also allegedly abused their authority by amending internal budgets and colluded with a senior UNFPA official to undermine a colleague's work and the work of the colleague's unit.</i> | <i>No financial loss to the Organization</i> | <i>Unsubstantiated; Closure Report remains with OAIS</i> | <i>N/A</i> |
| 14. | Asia and the Pacific | A consultant working for a UNFPA Implementing Partner harassed two UNFPA consultants by using harsh and offensive comments and gestures. | No financial loss to the Organization | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit, which in turn referred the matter to the Implementing Partner Review Committee (IPRC). The IPRC took the following actions: <ul style="list-style-type: none"> • The IPRC has informed the Implementing Partner of the investigation outcome. The Implementing Partner has included an appropriate letter in the consultant's file and committed to debar the consultant from any future engagements; • The case was forwarded to the UNFPA Division for Human Resources and the Technical Support Division for additional steps. • The Division for Human Resources added an appropriate note to the consultant's file. The Technical Support Division confirmed no ongoing engagement or future arrangements with the consultant. • The IPRC verified that the consultant does not have an active vendor profile. |
| MEDICAL FRAUD | | | | | |
| 15. | Eastern Europe and Central Asia | A UNFPA staff member colluded with two other UNFPA personnel and knowingly and deliberately submitted three fraudulent medical claims to obtain reimbursement for which the | No financial loss to the Organization. | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. During the disciplinary process, the |

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| | | staff member was not due. | | | staff member resigned. An appropriate note was included in the staff member's personnel file. |
| 16. | Eastern Europe and Central Asia | A UNFPA service-contractor colluded with two other UNFPA personnel and knowingly and deliberately submitted two fraudulent medical claims to obtain reimbursement for which the service-contractor was not due. | No financial loss to the Organization | Substantiated; Legal Unit | The service contractor's contract expired before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. An appropriate note was included in the service contractor's personnel file. |
| 17. | West and Central Africa | A UNFPA staff member knowingly and deliberately submitted eight fraudulent medical claims to obtain reimbursement for which the staff member was not due. | \$693.86 | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. During the disciplinary process, the staff member resigned. An appropriate note was included in the staff member's personnel file. |
| 18. | West and Central Africa | OAIS reviewed and endorsed a third-party investigation carried out by the investigation unit of another UN agency against a former UNFPA staff member, who knowingly and deliberately submitted fraudulent medical claims to obtain reimbursement for which they were not due. | No financial loss to the Organization | Endorsed third-party investigation; Legal Unit | OAIS endorsed the third party-investigation report and submitted it to the Legal Unit. An appropriate note was included in the former staff member's personnel file. The matter was referred to the national authorities. |
| 19. | Latin America and the Caribbean | A UNFPA local individual contractor deliberately and knowingly submitted three fraudulent medical claims to obtain reimbursement for which the contractor was not due. | No financial loss to the Organization | Substantiated; Legal Unit | The local individual contractor's contract had expired before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. An appropriate note was included in the former contractor's personnel file, to create a permanent record of the matter. |
| MISUSE OF ASSETS | | | | | |
| 20. | Asia and the Pacific | A UNFPA staff member misused UNFPA Information and Communications Technology Assets for non-official purposes, including by accessing, viewing, and storing pornographic material. | No financial loss to the Organization | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit. The staff member received a written censure and a loss of one step in grade as a disciplinary measure. |
| PROCUREMENT FRAUD | | | | | |
| 21. | Asia and the Pacific | A UNFPA Implementing Partner breached its procurement procedures and engaged in fraudulent, collusive and/or grossly negligent practices by knowingly making false representations to UNFPA and providing fraudulent procurement documentation. | \$275,074.10 | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit, which in turn referred the matter to the Implementing Partner Review Committee (IPRC). The matter was reviewed by the IPRC. The following actions have been taken: <ul style="list-style-type: none"> • A letter has been transmitted to the Implementing Partner requesting a full recovery of the financial loss. |

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| | | | | | <ul style="list-style-type: none"> The Division of Management Services and the Country Office continue to engage with the Implementing Partner to obtain updates on this matter; The Division of Management Services, the Regional and Country Offices developed an action plan to mitigate similar risks in future engagements; and Involved vendors have been referred to Vendor Review Committee for further action. |
| 22. | Asia and the Pacific | A business engaged by a UNFPA Implementing Partner to carry out 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. | The loss is subsumed within the case above (No. 21). | Substantiated; Legal Unit | OAIS submitted its investigation report to the Legal Unit, who in turn referred the matter to the Vendor Review Committee (VRC). ⁶ As a preliminary measure, the business was temporarily suspended pending review by the VRC. |
| 23. | West and Central Africa | A UNFPA service contractor attempted to collude with a UNFPA vendor by creating a fraudulent procurement process and misled both UNFPA and the UNFPA vendor to obtain a financial gain. | No financial loss to the Organization | Substantiated; Legal Unit | The service contractor's contract was not renewed before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. An appropriate note was included in the service contractor's personnel file. |
| 24. | West and Central Africa | A UNFPA consultant colluded with a UNFPA staff member and a UNFPA vendor by creating a fraudulent procurement process and misled both UNFPA and the UNFPA vendor to obtain a financial gain. | No financial loss to the Organization | Unsubstantiated; Closure Report remains with OAIS | N/A |
| RETALIATION | | | | | |
| 25. | Arab States | A UNFPA senior official allegedly retaliated against their supervisee. | No financial loss to the Organization | Unsubstantiated/ Ethics Office | OAIS submitted its Investigation Closure Report to the Ethics Office. |
| 26. | Asia and the Pacific | A UNFPA staff member allegedly retaliated against their supervisee. | No financial loss to the Organization | Unsubstantiated/ Ethics Office | OAIS submitted its Investigation Closure Report to the Ethics Office. |
| SEXUAL EXPLOITATION AND ABUSE | | | | | |
| 27. | West and Central Africa | A UNFPA staff member sexually harassed and assaulted a member of the public while they were a United Nations Volunteer (UNV) prior to joining UNFPA and failed to cooperate with OAIS' investigation. | No financial loss to the Organization | Substantiated/ Legal Office | OAIS submitted its investigation report to the Legal Unit. As a result, the staff member's appointment was terminated based on facts anterior to appointment. The staff member's name was placed in the United Nations common database ClearCheck. |

⁶ The VRC is an internal technical administrative body established at UNFPA Headquarters. It is established by the Chief Procurement Officer (CPO) and will make recommendations to the CPO for his or her consideration in taking final Vendor Sanctions decisions. See UNFPA Policies and Procedures Manual, Vendor Review and Sanctions (14 October 2018), available at: https://www.unfpa.org/sites/default/files/admin-resource/PSB_Vendor_Review_and_Sanctions_1.pdf.

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| | | | | | The matter was also referred to the national authorities. |
| SEXUAL HARASSMENT | | | | | |
| 28. | Asia and the Pacific | A UNFPA staff member made unwelcome and inappropriate sexual gestures and comments to two United Nations staff members over the course of several years. | No financial loss to the Organization | Substantiated/ Legal Office | OAIS submitted its investigation report to the Legal Unit. The staff member was separated from service with compensation in lieu of notice and without termination indemnity as a disciplinary measure. The staff member's name was placed in the United Nations common database ClearCheck. |
| 29. | Asia and the Pacific | A UNFPA consultant harassed and sexually harassed an official of a Non-Governmental Organization (NGO) affiliated with UNFPA by sending a series of inappropriate text messages of a sexual nature, and explicit photographs. | No financial loss to the Organization | Substantiated/ Legal Office | The UNFPA consultant's appointment had expired before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. The consultant's name was placed in the United Nations common database ClearCheck. The matter was referred to the investigative unit of the United Nations agency where the subject was working at the time the investigation was completed. The matter was referred to the United Nations Office for Legal Affairs for assessment and possible referral to the national authorities. |
| 30. | Asia and the Pacific | A United Nations Volunteer (UNV) made unwelcome sexual advances towards a UNFPA consultant during a field mission. | No financial loss to the Organization | Substantiated/ Legal Office | OAIS submitted its investigation report to the Legal Unit, who in turn referred the matter to United Nations Volunteers for action. |
| 31. | Latin America and the Caribbean | A UNFPA service contractor sexually harassed two supervisees, including by making unwelcome comments, engaging in unconsented physical touch and other inappropriate acts, including during mission travel. The service contractor also created an offensive working environment for female personnel. | No financial loss to the Organization | Substantiated/ Legal Office | OAIS submitted its investigation report to the Legal Unit. As a result, the service contractor's contract was terminated. The service contractor's name was placed in the United Nations common database ClearCheck. |
| 32. | Asia and the Pacific | A UNFPA staff member sexually harassed their supervisee, a UNFPA consultant through unwelcome and inappropriate verbal and written commentary. | No financial loss to the Organization | Substantiated; Legal Office | OAIS submitted its investigation report to the Legal Unit. The matter is before the Legal Unit for review and further action. |
| THEFT / EMBEZZLEMENT | | | | | |
| 33. | Latin America and the Caribbean | <i>A UNFPA staff member attempted to fraudulently acquire goods for personal use, submitted fraudulent documentation to UNFPA related to a license required for their functional responsibilities, and violated national law and UNFPA policies. The staff member died during the investigation. Due to their passing, OAIS was unable to conduct a subject interview and thus received no evidence to contradict the allegations made.</i> | \$302 | <i>Unsubstantiated; Closure Report remains with OAIS</i> | N/A |

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| | | <i>While it is more likely than not that the underlying fraud and non-adherence to local law took place, due to limited options available to UNFPA, no further action will be taken.</i> | | | |
| 34. | Asia and the Pacific | A UNFPA staff member retained UNFPA funds entrusted to them for official purposes without authorization and failing to reimburse UNFPA funds. In addition, the staff member failed to exercise reasonable care in matters affecting UNFPA's financial interests by intentionally or recklessly approving fraudulent payment requests. | \$1,618.12 | Substantiated; Legal Office | The staff member separated from service before the investigation was completed. OAIS submitted its investigation report to the Legal Unit. An appropriate note was placed in the staff member's personnel file. Recovery: An amount of \$1,664.06 was recovered. |
| Total estimated loss⁷ | | | \$1,051,521.04 | | |
| Estimated loss through fraudulent activity | | | \$ 1,047,527.16 | | |

⁷ Notwithstanding recoveries that have been made or may be made in future.