**Annex 4: Investigation reports by type of allegation issued in 2022**

| **No.** | **Regional Bureau** | **Allegation** | **Estimated Loss to UNDP[[1]](#footnote-1)** | **Report sent to** | **Status** |
| --- | --- | --- | --- | --- | --- |
|  | ***Abuse of Authority*** | | | | | |
| 1 | Africa | Staff member allegedly abused their power by unduly terminating another member of personnel’s contract by acting upon allegations of misconduct without due process; favoured a specific candidate during a procurement; failed to disclose their relationship with a member of an organization that was awarded a grant; and misused official resources by using the UNDP logo and stamp for private business purposes and by sharing UNDP data with an external party. | No financial loss to the organization | OLS | Under review |
| 2 | Arab States | Staff member allegedly abused their authority by creating a hostile and toxic environment at the workplace, which included harassment towards other members of personnel; and misused official resources by engaging the assistance of members of personnel and an official vehicle for private use. | Unknown | OLS | Subject was cleared of the allegations and issued with a written reprimand |
| 3 | Asia and the Pacific (Other UN Agency) | Staff member allegedly influenced other members of personnel to change test and interview scores during a recruitment process to favour a specific candidate; and abused their power by harassing and pressuring other members of personnel in the workplace. | No financial loss to the organization | OLS | Under review |
| ***Assault and Threat*** | | | | | | |
| 4 | Asia and the Pacific (Other UN Agency) | Staff member allegedly threatened and verbally assaulted individuals external to the organisation. | No financial loss to the organization | OLS | Subject resigned before the completion of the investigation then was cleared of the allegations and informed that they would have been issued a reprimand. |
|  | ***Discrimination*** | | | | | |
| 5 | Africa | Staff member allegedly used short-term contract extensions to discriminate against national members of personnel; and created a toxic workplace environment by, inter alia, shouting and threatening members of personnel. | No financial loss to the organization | OLS | Under review |
|  | ***Entitlements Fraud*** | | | | | |
| 6 | Latin America and the Caribbean | Service Contract holder allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | CO | Subject’s contract scheduled to be terminated after the completion of their Special Leave with Full Pay. |
| 7 | Latin America and the Caribbean | Service Contract holder allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | CO | Subject’s contract was not renewed. |
| 8 | Latin America and the Caribbean | Service Contract holder allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | CO | Subject’s contract was not renewed. |
| 9 | Latin America and the Caribbean | Service Contract holder allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | CO | Subject’s contract was not renewed. |
| 10 | Latin America and the Caribbean (Other UN Agency) | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | OIOS | Under Review |
| 11 | Asia and the Pacific | Service Contract holder allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | CO | The subject resigned |
| 12 | Africa (Other UN Agency) | Staff member allegedly submitted fraudulent claims for reimbursement of medical expenses. | No financial loss to the organization | UNFPA | Under Review |
|  | ***Failure to Comply with Local Law/Abuse of Privileges and Immunities*** | | | | | |
| 13 | Asia and the Pacific | Vendor allegedly instructed a customs broker to adjust the invoices of its commercial equipment to obtain lower importation taxes and duties. | No financial loss to the organization | VRC | Under review |
|  | ***Misrepresentation, Forgery and False Certification*** | | | | | |
| 14 | Arab States | National Personnel Service Agreement holder submitted forged letters in support of their extension of unpaid leave. | No financial loss to the Organization | CO | The subject resigned |
| 15 | Arab States (Other UN Agency) | Service Contract holder allegedly failed to disclose their relationship with another member of personnel who participated in their recruitment process. | No financial loss to the organization | CO | Under review |
| 16 | Africa | Vendor allegedly falsely reported to UNDP higher payments to members of its personnel, breaching its contract with UNDP. | No financial loss to the organization | VRC | Vendor under interim suspension pending outcome of sanctions proceedings.  Under review |
| 17 | Arab States | Staff member allegedly submitted a forged reference letter during their recruitment process and failed to disclose an outside employment. | No financial loss to the organization | OLS | Subject was cleared of the allegations and issued with a written reprimand |
| 18 | Arab States | Vendor allegedly submitted forged bank cheques as bid security during a procurement process. | No financial loss to the organization | VRC | Vendor debarred |
| 19 | Africa (Other UN Agency) | Staff member allegedly attempted to cheat during a recruitment process interview. | No financial loss to the organization | OLS | Subject resigned pending the disciplinary process.  A letter was placed in the staff member's file pursuant to article 81(a) of the UNDP Legal Framework. |
| 20 | Europe and the CIS | Individual Contract holder allegedly lowered their financial offer during the selection process after having received the financial offers from other candidates; and unduly inflated the value of their work completed. | Unknown | VRC | Under review |
| 21 | Africa | Vendor allegedly submitted a fake invoice and colluded with another vendor to fabricate fake procurement documents in support of the fake invoice. | No financial loss to the organization | VRC | Under review |
| 22 | Africa | Vendor allegedly received instructions from UNDP personnel on the price to be included in quotations during procurement processes and in exchange, made payments in favour of the UNDP personnel; was allegedly involved in the management of two other vendors that participated in UNDP processes; and allegedly sold second-hand items to UNDP as brand new. | $15,210 | VRC | Under review |
| 23 | Asia and the Pacific | Staff member allegedly was involved in 35 fraudulent transactions via manipulating documents, raising payment instructions and providing necessary evidence in support of those payments, and by creating new vendors and facilitating payments to them for fictional services. | $451,025.09 | National authorities | Awaiting outcome of referral |
|  | ***Misuse of Official Resources*** | | | | | |
| 24 | Arab States | Staff member allegedly received a personal loan from the Country Office. | No financial loss to the Organization | OLS | Subject was exonerated. |
| 25 | Arab States | Staff member allegedly facilitated a personal loan from the Country Office to another member of personnel. | No financial loss to the Organization | OLS | Imposition of loss of one step in grade and deferment for one year  of eligibility for salary increment |
|  | ***Other Failure to Comply with Obligations*** | | | | | |
| 26 | HQ | Allegations of gross negligence against a Staff member with oversight of environmental projects in a former UNDP project office. Though OAI found losses to the organization there were not considered attributable to misconduct. | No financial loss to the Organization | OLS | Subject was cleared of the allegations |
| 27 | Africa | Staff Member allegedly interfered in the candidate selection during a recruitment process. | No financial loss to the organization | OLS | Under review |
| 28 | Africa | Staff member allegedly received a gift from a vendor. | No financial loss to the organization | OLS | Under review |
| 29 | Arab States (Other UN Agency) | Staff member allegedly engaged in an unauthorized outside activity. | No financial loss to the organization | OLS | Under review[[2]](#footnote-2) |
| 30 | Europe and the CIS | Staff member allegedly engaged in an unauthorized activity while employed by UNDP. | No financial loss to the organization | OLS | Under review |
| 31 | Arab States | Staff member allegedly engaged in an unauthorized activity while employed by UNDP. | No financial loss to the organization | OLS | Under review |
| 32 | Africa (Other UN Agency) | Staff member allegedly engaged in an unauthorized activity while employed by UNCDF. | No financial loss to the organization | OLS | Under review |
| 33 | Latin America and the Caribbean | Staff member allegedly favoured a relative during a recruitment process and failed to disclose their relationship. | No financial loss to the organization | OLS | Under review |
|  | ***Procurement Fraud*** | | | | | |
| 34 | Arab States | Vendors allegedly submitted forged bank letters as a Joint Venture during a procurement process. | No financial loss to the organization | VRC | Vendors debarred |
| 35 | Africa | Vendor allegedly colluded with UNDP personnel to award contracts to the vendors’ two companies, both UNDP vendors. | Unknown | VRC | Not a UNDP Vendor |
| 36 | Africa | Vendor allegedly colluded with UNDP personnel and an Implementing Partner to award contract to the vendor. | Unknown | VRC | Not a UNDP Vendor |
| 37 | Africa | Staff member allegedly colluded with other UNDP personnel and vendors to award contracts to several vendors and Implementing Partners. | Unknown | OLS | Subject separated prior to the completion of the investigation.  A letter was placed in the staff member’s Official Status File pursuant to Art. 72 (a) of the UNDP Legal Framework. |
| 38 | Europe and the CIS | Service Contract holder allegedly colluded with a vendor to draft the TOR during a procurement process. | No financial loss to the organization | CO | A Note to File was placed in the subject’s personal file. |
| 39 | Europe and the CIS | Vendor allegedly submitted two bids for the same tender by partnering under two separate joint ventures during a procurement process. | No financial loss to the organization | VRC | Under review |
| 40 | Africa | Vendor allegedly committed procurement fraud by colluding with a Staff member to sell UNDP second-hand radios as brand-new and radios that UNDP had already purchased, and in exchange, the vendor paid the staff member. | $9,030 | VRC | Under review |
| 41 | Europe and the CIS | An offeror allegedly attempted to influence an ongoing procurement process. | No financial loss to the organization. | VRC | Under review |
| 42 | Asia and the Pacific | Vendor allegedly submitted fake supporting documentation during a procurement process. | No financial loss to the organization | VRC | Under review |
| 43 | Africa | Staff member allegedly received bribes from a vendor that had allegedly saved funds by selling second hand items as brand new. | $9,256 | OLS | Under review |
| 44 | Africa | Staff member allegedly faked a procurement process, including producing false documents for an item that was not requested by the Implementing Partner and instructed the vendor that received the payment to transfer a portion of the funds to the staff member’s spouse’s company, another UNDP vendor; and failed to disclose their involvement in their spouse’s company. | $24,439.05[[3]](#footnote-3) | OLS | Subject separated prior to the completion of the investigation. Letter pursuant to Art. 72 (a) of the UNDP Legal framework was issued to the SM and placed on file. |
| 45 | Europe and the CIS | Service Contract holder allegedly participated in the evaluation panel of a procurement process while employed by one of the bidding vendors. | No financial loss to the organization | VRC | Under review |
| 46 | Asia and the Pacific (Other UN Agency) | Service Contract holder allegedly solicited bribes from a vendor during a procurement bidding process. | No financial loss to the organization | CO | Under review |
| 47 | Asia and the Pacific (Other UN Agency) | Service Contract holder allegedly solicited bribes from a vendor during a procurement bidding process. | No financial loss to the organization | CO | Under review |
| 48 | Asia and the Pacific (Other UN Agency) | Service Contract holder allegedly solicited bribes from a vendor during a procurement bidding process. | No financial loss to the organization | CO | Under review |
| 49 | Arab States (Other UN Agency) | Staff member allegedly engaged in an unauthorized activity; fraudulently obtained grants from the UN Voluntary Funds for Victims of Torture; and submitted a forged letter during the application to a Fellowship Programme of the OHCHR. | No financial loss to the organization | OLS | Under review |
| 50 | Africa | National Personnel Service Agreement holder allegedly failed to uphold fair and transparent procurement processes and engaged in anti-competitive and collusive practices. | No financial loss to the organization | CO | A Note to File was placed in the subject’s personal file. |
| 51 | Europe and the CIS | Vendor allegedly colluded with a UNDP personnel during a procurement process by exchanging a draft Terms of Reference. | No financial loss to the organization | VRC | Under VRC review. |
| 52 | Europe and the CIS | National Personnel Service Agreement holder allegedly colluded with vendors during procurement processes by mutually developing Terms of Reference and providing them with material assistance; and failed to disclose material facts to UNDP management in various procurement processes, such as a conflict of interest. | $13,047 | CO | Subject resigned from his position.  CO placed a Note to the File on the subject’s personal file. |
| 53 | Africa | Vendor allegedly colluded with another vendor to fabricate fake procurement documents to support a fake invoice. | No financial loss to the organization | VRC | Under VRC review. |
| 54 | Arab States | Vendor allegedly submitted quotes during a procurement process on behalf of a disqualified vendor, which indirectly obtained the financial benefit. | No financial loss to the organization | VRC | Under VRC review. |
|  | ***Sexual Assault*** | | | | | |
| 55 | Africa (Other UN Agency) | Allegations of sexual assault against a Staff member. | No financial loss to the organization | OLS | Separation from service with compensation in lieu of notice and without indemnity. |
|  | ***Sexual Harassment*** | | | | | |
| 56 | Africa | Staff member allegedly invited a junior colleague to a hotel and suggested that the alleged victim takes a shower; greeted them with kisses; and made both inappropriate sexually explicit comments toward them. | No financial loss to the organization | OLS | Under review |
|  | ***Theft and Embezzlement*** | | | | | |
| 57 | Africa (Other UN Agency) | Staff member allegedly unlawfully took fuel and instructed another member of personnel to assist them in doing so on a separate occasion. | Unknown | OLS | Under review |
| 58 | Africa (Other UN Agency) | Staff member allegedly enabled another member of personnel to unlawfully take fuel. | Unknown | OLS | Under review |
| 59 | Europe and the CIS (Other UN Agency) | Staff member allegedly used their position to embezzle over $1.4 million of OHCHRC funds by falsifying official documents and forging signatures of UN officials; and misused her official position to create multiple fraudulent documents to mislead various governments and UN agencies. | No financial loss to the organisation | OLS | Subject separated prior to the completion of the investigation.  Under review pursuant under Art 72 (a) of the UNDP Legal Framework. |
| 60 | Asia and the Pacific | Vendor allegedly misappropriated UNDP funds by inaccurately reporting the funds spent. | $52,000 | VRC | Under review |
| 61 | Africa (Other UN Agency) | Staff member allegedly failed to deposit funds in a UNOCHA bank account, managed by UNDP; failed to account for the funds to their supervisor, facilitated fake quotations to other members of personnel and themselves for obtaining salary advances; engaged in an unauthorized activity; and misused official resources to create a template for a business card. | No financial loss to the organization | OLS | Under review |

1. 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.

   “Unknown” means that OAI could not quantify the loss in the case concerned. [↑](#footnote-ref-1)
2. BMS/OLS referred the case back to OAI to combine with case IS/2022/11582 (entry 49) [↑](#footnote-ref-2)
3. BMS/OLS identified that the financial loss amounts to $28,462.52. [↑](#footnote-ref-3)