



**INVESTIGATION GUIDELINES**

**15 June 2026**

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## Section 1 Introduction

1. The purpose of the Investigation Guidelines of the Office of Audit and Investigations (OAI) is to:
  - Inform the subject(s) of an investigation, investigation participants, and other stakeholders about the investigative process; and
  - Guide the investigative process to ensure that investigations are conducted thoroughly, objectively and effectively, in accordance with professional standards and best international practice.
2. The Investigation Guidelines are not mandatory. They are intended to be used as a guide to best practice in OAI's investigations. These Guidelines do not create new rights and obligations. Thus, deviations from these Guidelines do not in themselves constitute a due process violation.
3. OAI's authority to conduct investigations stems from, *inter alia*, the Charter of the Office of Audit and Investigations, the UNDP Financial Regulations and Rules, and the UNDP Legal Framework for Addressing Non-Compliance with UN Standards of Conduct (UNDP Legal Framework) and all related UNDP policies on misconduct. These Guidelines are consistent with the aforementioned documents and reflect the principles established in the accepted investigation standards for international organizations as laid down in the 'Uniform Principles and Guidelines for Investigations,' adopted by the 10<sup>th</sup> Conference of International Investigators.
4. In accordance with its Charter, OAI shall have free access to the Organization's records and premises, as deemed necessary for the performance of its duties. Furthermore, OAI shall have the assistance and cooperation of all UNDP personnel deemed necessary for the discharge of its responsibilities, which includes communicating directly with all levels of staff and management and requesting them to furnish all information and explanation that are necessary for the completion of any investigation.

## Section 2 Definitions

5. For the purpose of the present document, the following definitions apply:

***Allegation or complaint*** is a formal assertion or report of misconduct made against staff, non-staff personnel, vendor, implementing partner or other third party that has not yet been substantiated through an administrative or investigative process.

***Triage*** is an examination into whether a complaint appears to contain an allegation of wrongdoing by UNDP personnel or involves UNDP funds or programmes; whether the matter, on its face, is receivable, which means the allegations fall within the scope of OAI's mandate and investigative authority; whether there is sufficient information on which to assign the case for assessment; or whether the matter is appropriate for closure or referral.

***Assessment*** is a review by an investigator to determine a complaint's credibility, feasibility, verifiability, scope and case priority and whether the information amounts to an allegation of misconduct that warrants an investigation or may be appropriate for referral or closure.

**Complainant** is a person or entity making an allegation.

**Disciplinary action** is the procedure initiated against a staff member pursuant to Staff Regulation 10.1, Chapter X of the Staff Rules, and Chapter IV of the UNDP Legal Framework.

**Evidence** is any set of facts or information that tends to establish or disprove a fact material to the allegation. It includes, but is not limited to, testimony of witnesses, including experts on technical matters; documents; electronic, audio, and video records; photographs; and biological evidence, such as blood, hair and bodily fluids.

**Investigation** is a detailed inquiry comprised of collection and examination of evidence to objectively determine the facts following the receipt of an allegation. At the conclusion of an investigation, if substantiated, a dossier of evidence is assembled to form the basis of further action, such as a decision on whether formal charges of misconduct should be made against a staff member or administrative action should be taken against non-staff personnel, vendors, implementing partners or other third parties.

**Investigation participant** is any person who is not the investigation subject, but who cooperates with an investigation process, for instance by being interviewed or by providing information. Investigation participants may be staff members cooperating pursuant to Staff Regulation 1.2 (r) and Staff Rule 1.2 (c); non-staff personnel cooperating pursuant to their contractual obligations; or third parties who voluntarily provide relevant information or assistance to OAI with the collection of evidence.

**Investigation subject** is the person or entity who is the focus of the investigation either by virtue of an allegation made or evidence gathered during the course of an investigation.

**Investigator** is a representative of OAI, or a person authorized by OAI, the Secretary-General, or the UNDP Administrator to conduct an investigation related to allegations of misconduct.

**Misconduct** is a failure by a staff member or non-staff personnel to comply with the standards of conduct prescribed by the Organization and applicable to them under relevant contracts or policies. It also includes corruption and other financial irregularities committed by vendors, implementing partners, and other third parties, deemed detrimental to UNDP.

**Non-Staff Personnel** are individuals who do not hold a UNDP Letter of Appointment, including International/National Personnel Service Agreement holders (IPSA/NPSA), Individual Contractors, Service Contractors, and United Nations Volunteers (UNVs) working on UNDP projects or on UNDP premises.

**Staff Member** is any person who holds a UNDP Letter of Appointment as a staff member in accordance with the United Nations Staff Regulations and Staff Rules.

### **Section 3 OAI's Investigative Mandate**

6. OAI's mission is to provide UNDP with an effective system of risk-based independent and objective internal oversight that is designed to improve the effectiveness and efficiency of UNDP's operations in achieving its developmental goals and objectives through the provision of (i) internal audit and related advisory services, and (ii) investigation services.
7. OAI has sole responsibility for conducting investigations within UNDP.
8. OAI's Investigations Section has the mandate to investigate all allegations of misconduct, including but not limited to, fraud theft and embezzlement, corruption, abuse of privileges and immunities, sexual exploitation and sexual abuse, harassment, sexual harassment, discrimination and abuse of authority, and retaliation against whistle-blowers involving staff members holding UNDP Letters of Appointment and non-staff personnel on UNDP contracts.
9. OAI may also investigate other financial irregularities, including allegations of money laundering or the financing of terrorism<sup>1</sup> committed by vendors, implementing partners and other third parties, deemed detrimental to UNDP.
10. In addition, OAI may undertake proactive investigations in areas that are susceptible to fraud, corruption and other wrongdoing.
11. Finally, the Investigations Section is authorized to conduct investigations into wrongdoing by staff members and non-staff personnel of other organizations as well as into financial irregularities, including allegations of money laundering or the financing of terrorism, by vendors and other third parties contracted by these organizations.
12. The rights and obligations of investigation subjects as well as the consequences of an investigation may differ depending on the contractual status of the subject. Thus, there may be procedural variations in the investigative methodology outlined in these Guidelines to reflect the different contractual status.
13. OAI investigates allegations that constitute misconduct only. Allegations that relate to managerial, performance or interpersonal issues are not considered misconduct.

#### **Section 4 Investigation Standards**

14. As set out in the 'Uniform Principles and Guidelines for Investigations', the general principles that should guide the work of OAI's Investigations Section and its personnel are as follows:
  - Objectivity, impartiality, and fairness should be maintained throughout the investigative process;
  - All investigations should be conducted competently, professionally, and with the highest levels of integrity;

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<sup>1</sup> In accordance with the 'UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy'

- Any actual or potential conflicts of interest by OAI personnel should be disclosed and appropriate action should be taken to remedy the conflict;
- Allegations of misconduct on the part of any OAI personnel, or senior UNDP management at the level of Under-Secretary-General should be investigated independently by another investigation office;
- Duties should be performed independently and free from improper influence or fear of retaliation;
- Reasonable measures should be taken to protect confidentiality; and
- Investigative findings should be based on whether the evidence, taken as a whole, supports a reasonable conclusion regarding the facts material to the allegations, which may include reasonable inferences. OAI may consider a case substantiated, whenever there is a preponderance of the evidence that the allegations are true.

### **Section 5 Confidentiality**

15. Confidentiality is required for the investigative process to be effective in cases of alleged misconduct. Confidentiality is in the interest of the Organization, the investigation participants, and the subject of the investigation. The requirement for confidentiality extends equally to all UNDP personnel, including investigators, management, staff members, and non-staff personnel, and to third parties involved in the investigation.

16. OAI investigators will take reasonable measures to protect as confidential any non-public information associated with an investigation throughout the investigative process. However, during the course of an investigation, it will be necessary for OAI to provide details of the investigation to parties with a legitimate need to know. This may include information provided to subjects to allow them to fully respond to allegations and to provide countervailing evidence, and to witnesses or other parties with whom investigators communicate in order to verify facts.

17. Where warranted, case information may also be shared with senior management and the United Nations Office of Legal Affairs (OLA) through the Office of Legal Services, Bureau for Management Services (OLS/BMS), for the referral of a criminal act to national authorities or to take actions to safeguard evidence or prevent further loss to UNDP. In all circumstances, OAI will limit dissemination of personally identifying information wherever possible.

18. Information will only be disclosed as required by the legitimate needs of the investigation. In determining the level of information that is provided to subjects, witnesses, and others in the course of an investigation, OAI will seek to strike a balance between the legitimate need for information and the risk that the OAI investigation (or any later investigation, for example by national authorities) may be compromised and/or that witnesses and whistle-blowers may be subject to retaliation.

19. Requests for confidentiality by investigation participants will be honoured to the extent possible within the legitimate needs of the investigation and of any subsequent disciplinary adjudication process. However, the identity of investigation participants or subjects and

information collected in the course of the investigation may be disclosed in furtherance of institutional administrative processes and in service of due process requirements.

20. In certain cases, including those involving harassment, sexual harassment, discrimination and abuse of authority allegations, the identity of the complainant and/or other investigation participants may need to be shared with the investigation subject to fairly inform their response to the allegations and the submission of any countervailing evidence that may be relevant.<sup>2</sup>

21. Information related to an investigation, including the Investigation Report and witness statements, may also be disclosed during proceedings before the United Nations Dispute Tribunal and the United Nations Appeals Tribunal, which have the authority to order the production of evidence.

22. General, non-case specific information relating to investigations may be disclosed to UNDP partners and donors periodically, in accordance with UNDP intergovernmental reporting processes and contractual agreements with partners and donors. Confidentiality of individual case-level data will be maintained to safeguard due process and to protect the rights of victims, whistleblowers, witnesses and other individual participants.

## **Section 6 Complaints**

### **6.1 Reporting Alleged Misconduct to OAI**

23. UNDP takes all reports of alleged misconduct seriously and all credible allegations are assessed to determine whether an investigation is warranted. OAI is the principal channel in UNDP to receive allegations.

24. All UNDP personnel, vendors, implementing partners and other third parties affiliated with UNDP are obligated to report allegations of misconduct of which they become aware.

25. Anyone with information regarding allegations of misconduct can report them using one of the following means:

- By email to OAI at [reportmisconduct@undp.org](mailto:reportmisconduct@undp.org) or directly to the Director, Office of Audit and Investigations, or Deputy Director, Head of Investigations, Office of Audit and Investigations
- Through an online form accessible through the "Report fraud, abuse and misconduct" link at [www.undp.org](http://www.undp.org) or directly accessible on the [investigations page](#) of undp.org.
- Through an independent telephone hotline service in the United States: 1-844-595-5206, with additional international options to call via the investigations page of the undp.org
- By mail addressed to: Director, Office of Audit and Investigation, or Deputy Director, Head of Investigations, Office of Audit and Investigations, One United Nations Plaza, DC1, 4th Floor, New York, NY 10017, USA

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<sup>2</sup> However, this is without prejudice to the right of complainants under the UNDP Harassment, Sexual Harassment, Discrimination, and Abuse of Authority policy to report allegations anonymously.

26. Reporters using the independent telephone service may provide contact information or may remain anonymous. An anonymously reported complaint should contain enough detailed information to allow OAI to obtain independent corroboration of the facts. Anonymous reports of alleged misconduct that contain insufficient information for independent corroboration may be closed without investigation.

27. Staff members and non-staff personnel may also report misconduct to their supervisor or other appropriate supervisor within their operating unit. Supervisors who receive reports of misconduct are to immediately report the matter to OAI. Under no circumstances should investigations be undertaken by any party other than OAI without the express approval of OAI and under the guidance of OAI as appropriate.

28. Except when no contact details are provided by the complainant, OAI will acknowledge receipt of a complaint as soon as possible. Due to the confidential nature of investigations, updates on investigations will not generally be given to the complainant or investigation participants unless they are considered an affected party, such as the victim of retaliation harassment, discrimination of sexual misconduct.

## **6.2 Reporting to Other Offices**

29. Allegations of retaliation are treated with particular care due to their potential impact on individuals and are essential to the continued integrity of the accountability framework. In line with the UNDP Policy for Protection against Retaliation, a staff member or non-staff personnel who fears or who believes they have been subject to retaliation after reporting allegations of misconduct or cooperating with an audit or investigation, he or she may report the matter to the Director, Ethics Office, at the following email address: [ethicsoffice@undp.org](mailto:ethicsoffice@undp.org).

30. If the allegations concern harassment, discrimination or abuse of authority, and where appropriate to address the concerns, staff members and non-staff personnel are strongly encouraged to first contact the Office of the Ombudsman, who may provide informal support and resolution options under the UNDP Harassment, Sexual Harassment, Discrimination, and Abuse of Authority policy. Contacting the Office of the Ombudsman is without prejudice to the right of staff members and non-staff personnel to file a formal complaint with OAI.

## **6.3 Malicious Complaints**

31. The motives of a complainant are not relevant to the decision to initiate an investigation. Any findings or recommendations made by OAI are based solely on an objective and thorough assessment of the evidence, rather than on the complaint itself. However, where an investigation finds that a complaint was knowingly false or was submitted with willful disregard for its truth or falsity, this can constitute misconduct and be subjected to an investigative process by OAI.

## **Section 7 Investigative Process**

## 7.1 General principles

32. The investigative process refers to all phases from receipt of a complaint to the outcome of a case, including Triage, Assessment and Investigation.

33. During an OAI investigation process, all subjects and investigation participants have a right to:

- A presumption of innocence throughout the investigative process; this means that OAI will consider both inculpatory and exculpatory evidence presented by any participant
- Be treated fairly;
- A professional, impartial, timely, and thorough process; and
- Due care in the handling and sharing of confidential information throughout the process
- Expect due care that OAI will mitigate risks of participating in an investigation, such as the risk of intimidation, harm or retaliation while preserving the integrity and effectiveness of the investigation.

34. Any UNDP personnel, vendors, implementing partners, and other third parties affiliated with UNDP called upon by OAI have a duty to cooperate fully and in good faith with a duly authorized investigative process. This includes access to personnel, answering questions from investigators truthfully as well as access to facilities and documents. All UNDP ICT assets owned or provided by UNDP and any known relevant UNDP ICT data regardless of its form or medium, which is or has been connected to the UNDP ICT Environment, shall be handed over/provided to OAI upon request, during an investigative process. OAI cannot compel investigation participants to surrender personal devices, but personnel have a duty to cooperate fully with investigations, including providing relevant information from such devices.

35. Obstructing an investigation, including by failing to cooperate, lying, or intentionally providing misleading information may result in disciplinary or other appropriate action and may also be considered as part of an assessment of credibility of evidence in investigation findings.

36. Any participants to an OAI investigative process shall not interfere with the process and shall abstain from withholding, destroying or tampering with evidence, and from influencing, coaching or intimidating the complainant and/or witnesses. Any such actions will be investigated by OAI and, if substantiated, may result in disciplinary or other appropriate action.

37. All investigation participants shall refrain from discussing or disclosing the investigative process or their testimony to anyone except the investigators. In no case should a participant discuss with the subject, complainant and/or other participant or UNDP employee the nature of the evidence requested or provided, or testimony given to investigators. Breach of confidentiality by investigation participants may result in disciplinary or other appropriate action.

38. Investigators will not interact with legal counsel that may be retained by subjects or investigation participants or answer any questions from them regarding any aspect of the investigative process. Investigators will communicate directly with subjects and OAI investigation participants as per the needs of the investigative process and will answer questions from them without the intermediary of counsel.

39. OAI assessments and investigations are internal processes subject to OAI management oversight and periodic review to promote consistency, quality, and adherence to UNDP policies and issuances.

## **7.2 Triage**

40. Triage consists of examining whether a complaint appears to contain an allegation of wrongdoing by UNDP personnel, or involves UNDP funds and programmes; whether the matter, on its face, is receivable, which means the allegations fall within the scope of OAI's mandate and investigative authority; whether there is sufficient information on which to assign the case for assessment; or whether the matter is appropriate for closure or referral. Triage may include asking for further information from a complainant and researching the nature of the complaint raised to determine the potential scope of an assessment.

## **7.3 Assessment**

41. Assessment is the process of making any necessary enquires required to ascertain whether a case warrants an Investigation or is appropriate for referral or closure. In certain circumstances, OAI may request assistance from Country Offices or other Bureaux/offices in conducting assessments or investigations.

42. Decisions as to whether investigations should be pursued are made in accordance with the rules, policies and procedures of the Organization. During the assessment, OAI will look at, *inter alia*, whether there is sufficient information to warrant a formal investigation and whether an investigation by OAI is the most appropriate action.

43. The outcome of the assessment is to prepare a Case Assessment Report (see 7.6.1) to recommend either:

- a) A case closure or referral to another office or UN agency when, for instance, there is insufficient evidence to warrant an investigation, the allegations do not fall within OAI's mandate, or when an investigation by OAI is not the most appropriate action.
- b) Assignment of the case to an investigator with the preparation of an investigation plan setting out the investigation steps required to objectively determine the factual basis, or otherwise, of the allegation(s). Investigations will commence as soon as possible following assignment, but owing to resource constraints, cases will be prioritized and pursued accordingly.

44. OAI has the exclusive authority for determining whether to close a case or proceed with an investigation on the basis of OAI's assessment.

45. For complaints of retaliation or threats of retaliation covered by the UNDP Policy for Protection against Retaliation, the case will be referred to the Ethics Office to conduct a *prima facie* assessment of retaliation.

## **7.4 Investigation**

### **7.4.1 Objectives**

46. The primary objective of the investigative process is to establish the facts material to an allegation in order to enable the relevant organ, such as OLS/BMS, Country Office or the Vendor Review Committee, to make a decision or recommendation on the appropriate action(s).

47. OAI seeks to preserve the integrity and reliability of evidence throughout the investigative process. Reasonable measures are taken to ensure that evidence is collected, handled, and retained in a manner that protects its authenticity and suitability for use in subsequent administrative or disciplinary proceedings

### **7.4.2 Subjects of an Investigation**

48. An individual who, or an entity that, has been made the subject of an investigation is entitled to:

- Be advised of the nature of the allegations and his or her role in the investigation at the earliest time possible, but no later than at the time of the commencement of an interview;
- Be interviewed and/or be given a chance to provide a written response to any allegations, in the course of the investigation in the official UN language of preference; and
- Be given the opportunity to explain his or her actions and to provide any documents or information that may be relevant to the factual determination of the matter, along with the names and details of any witnesses who may have relevant information.

49. Staff members and non-staff personnel who have been made the subject of an investigation will be informed in writing of their status and the nature of the allegation(s) at the earliest possible time. However, situations may prevent advance written notification of the subject prior to his or her interview and/or chance to provide a written response. In such cases, subjects will be informed no later than the commencement of any interview or when requested to provide written response. Such situations include, but are not limited to, the following:

- The evidence (documentary, electronic, physical, or testimonial) related to the allegation(s) has not been secured (i.e. preserved, collected and recorded) and might be tampered with; or
- Other safety or security issues exist that would threaten the investigation (e.g. retaliation against a complainant, informant or witness, or flight of the subject).

50. Vendors, implementing partners and other third parties that have been made the subject of an investigation will be informed of the nature of the investigation either at the beginning of the interview or when served notice to provide a written response.

51. If, during the course of any enquires, OAI discovers new facts giving rise to allegations of misconduct on the part of an investigation participant, OAI will notify the participant, as soon as

practicable, and no later than the start of his or her interview, that he or she has become a subject of the investigation. If an assessment or investigation participant provides information during an interview that reasonably indicates that he/she may have engaged in misconduct, the interview will be stopped and a subject interview will proceed only after the person has been advised in accordance with the requirements of paragraphs 49 and 50 above.

52. During an investigation, if additional allegations are raised against the investigation subject, the investigators will notify the subject of these new allegations in the same manner as the earlier allegation(s).

### **7.4.3 Interview**

53. All interviews should be conducted in an appropriate environment, at a reasonable time and for reasonable duration, with breaks as needed.

54. OAI should inform all persons interviewed of:

- The identity and functions of the individual(s) conducting the interview;
- The investigative process, including the possible consequences of an investigation and the authority of OAI to conduct investigations.

55. OAI may allow victims or subjects of sexual exploitation/abuse, harassment or other abusive conduct allegations, to bring an individual over the age of 18 to the interview. In all such situations the investigator shall be afforded advance notice of who will be attending as an observer and they must be available at the time of the interview. OAI may decline to allow the observer to attend the interview for reasons including but not limited to if, in OAI's opinion, the observer may be considered a threat to the investigation or be involved in the investigation or deemed to have a conflict of interest. OAI is not obligated to provide a reason for precluding the observer from attending at the time of the interview, but OAI investigators will note the decision to preclude the observer. The observer must agree to respect the confidentiality of the investigation and sign a confidentiality statement. The observer may not interrupt, prevent or delay the interview, and is not allowed to speak during the interview. If the investigator considers the presence of the observer to be disruptive, the observer may be asked to leave, and the interview will proceed without the observer.

56. Investigation subjects and participants have no right to the presence of counsel during interviews.

57. To the extent possible, interviews conducted by OAI will be conducted by two persons.

58. Under no circumstances will OAI pay a witness or a subject for information, except for the professional fees of expert witnesses when necessary.

59. The interview of subject(s) of an investigation will be audio or video recorded and subsequently transcribed. A copy of the transcript will be included as an exhibit of the Investigation Report and, for staff members, shared with them for comment. Additionally, subjects may choose to provide a signed statement containing any clarification of their statements during the interview(s) within 10 days of receipt of their interview transcript. For non-staff

personnel, vendors, implementing partners and other third parties, in lieu of an audio recorded interview subjects may be instead asked to provide written responses to allegations within 10 days of the request.

## **7.5 Administrative Leave**

60. Staff members may be placed on administrative leave at any time and with immediate effect from the moment allegations of misconduct are reported or detected, pending or during investigation and until the completion of the disciplinary process. The circumstances under which staff members may be placed on Administrative Leave by the Assistant Administrator and Director, BMS are outlined in the Legal Framework.

## **7.6 Reporting**

### **7.6.1 Case Assessment Report**

61. The case assessment report is a seminal document capturing critical elements of a case upon assessment of the allegation and in order to conclude on the recommendation: investigated, referred or closed. It is an internal and confidential document. It is comprehensive in that it documents the summary of the complaint, any links to earlier complaints, witnesses interviewed, data gathered, and other enquiries. Against each allegation, it provides an assessment into credibility, feasibility/verifiability and other factors and culminates in a recommendation, case prioritization and investigation plan where warranted. It is drafted by investigators and approved by OAI management.

### **7.6.2 Closure Note**

62. Prior to opening a full investigation, a closure will be documented by the case assessment report. Subsequent to an investigation being opened, a Closure Note can be prepared where there is not enough evidence to pursue the investigation.

63. OAI will notify affected party(ies) and (where relevant) the subject by memorandum that the investigation has been closed. The closure note is authorised by the Deputy Director, Head of Investigations or the Director, OAI.

### **7.6.3 Investigation Report**

64. If the investigation reveals enough evidence to reasonably conclude that misconduct has occurred, the investigator will prepare an Investigation Report setting out the allegations, the investigation methodology, the facts established in the investigation, the finding(s) of the investigation and associated recommendation(s). Where the investigation addressed more than one allegation, the Investigation Report will provide details of the investigative steps undertaken to corroborate each allegation, the evidence gathered as relevant to each allegation, and the OAI finding related to each allegation.

65. Further to its investigation, OAI's recommendation will vary depending on the contractual modality of the subject. Specifically:

- For staff members, an investigation report is submitted to OLS/BMS for consideration of disciplinary or administrative proceedings;
- For service contractors, individual contractors and personnel service agreement holders in cases where the misconduct does not involve a Proscribed Practice,<sup>3</sup> an investigation report is submitted to the responsible manager (Head of Office) for consideration of administrative action, in consultation with OLS/BMS;
- For vendors, individual contractors, and non-governmental implementing partners and responsible parties, when the conduct involves a Proscribed Practice, an investigation report is submitted to the Vendor Review Committee (VRC) to determine appropriate action;
- For governmental implementing partners and responsible parties, an investigation report is submitted to the relevant Regional Bureau to determine appropriate action;
- For UNVs, an investigation report is submitted to the UNV Advisory Panel on Disciplinary Measures Secretariat for consideration of disciplinary or other action;
- For investigations conducted in accordance with the UNDP Policy for Protection against Retaliation, an investigation report is submitted to the UNDP Ethics Office.

66. OAI's recommendation may also include financial recovery of lost funds.

67. OAI does not share draft or final Investigation Reports with investigation subjects, complainants or other investigation participants, rather OLS/BMS will send a copy of the final Investigation Report to staff members who are the subject of an investigation when a decision is made to charge him or her with misconduct. The distribution of Investigation Reports will be restricted to those with a legitimate need to know, balancing the need for confidentiality with the need for effective remedial action. Investigation reports cannot be further disseminated without OAI's authorization.

68. After OAI has submitted the Investigation Report to OLS/BMS there may be interaction between the offices for clarification or verification of one or more elements of the Investigation Report prior to making a recommendation on the next course of action. OAI retains the discretion to decide whether further investigative actions will be undertaken.

#### **7.6.4 Management Letter**

69. In some instances, OAI will issue a Management Letter during or following an assessment or investigation. A Management Letter is prepared to convey a recommendation to the relevant heads of office or business unit regarding issues arising from the assessment or investigation that require action to strengthen internal controls and protect UNDP from broader control weaknesses, systemic risks or similar incidents in the future.

### **Section 8 Referral to National Authorities**

70. In accordance with General Assembly Resolution A/RES/62/63 of 8 January 2008, UNDP is requested to bring credible allegations that reveal a crime may have been committed by UNDP

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<sup>3</sup> Please see the Chapter on Sourcing of Suppliers of the Glossary, UNDP Programme and Operations Policy and Procedures, for the definition of Proscribed Practices.

staff members or experts on mission to the attention of the States against whose nationals such allegations are made. Therefore, where there is credible evidence that a crime may have been committed, OAI will recommend to OLS/BMS that a request be made to the United Nations Office of Legal Affairs for referral to the national authorities of the relevant Member State. Referral to other national authorities may be considered. There is no requirement that the investigation be complete prior to the referral.

71. For non-staff personnel, vendors and non-governmental implementing partners and responsible parties, OAI will, when deemed appropriate, recommend to OLS/BMS that a similar application be made to the United Nations Office of Legal Affairs for referral to the national authorities.

### **Section 9 External Oversight Bodies**

72. The United Nations Board of Auditors and the UNDP Audit and Evaluation Advisory Committee have oversight functions of OAI's activities. In exercising these functions, they may request confidential access to investigation and closure reports produced by OAI. Requests for OAI's reports must be directed to the Director, OAI, who has discretion as to whether redaction of reports is required to protect the confidentiality and due process rights of implicated individuals.

### **Section 10 Annual Report**

73. UNDP OAI produces an annual report that provides information on OAI's activities, which includes statistics on OAI's investigative caseload, such as the number and type of complaints received, the number of cases received per region, and the disposition of cases. The report also includes information on the financial losses identified by investigations, and the amount of recovery.

### **Section 11 Responsibility for Updating the Guidelines**

74. These Guidelines have been approved by the Director of OAI. The Deputy Director, Head of Investigations, is responsible for keeping the Guidelines up to date, taking into account changes in the Legal Framework, applicable policies and procedures, and generally accepted standards for international investigations.

These Investigation Guidelines are effective immediately.

Chris Taylor  
Director, OAI