**I. Introduction**

This form is to be used by agencies receiving CERF funds when updating the CERF secretariat on the status of an already notified investigations into potential cases of misuse of CERF funds. The information requirements referenced in the form are in line with the guidelines on Communicating the Fraudulent Use of CERF Funds.[[1]](#footnote-2) As per the guidelines, agencies receiving CERF funds are obligated to report cases of potential misuse of CERF funds to the CERF secretariat and CERF is obligated to notify its donors when such cases are reported. Information communicated to CERF through this form may, therefore, be shared by the CERF secretariat with its donors and the CERF Advisory Group as part of its regular updates on CERF related fraud investigations. Considering the above and with a view to supporting transparent and simple information-sharing between recipient agencies and CERF, the shared information should a) be in line with the guidelines summarized on the last page of this form; b) be short and concise and ready to be shared with CERF donors’ oversight offices in its delivered form.

**II. Case and Reporting Information**

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| --- | --- |
| **Organization name:** |  |
| **Contact person name and title:** |  |
| **Contact e-mail:** |  |
| **Date of this submission:** | DD-MM-YYYY |
| **Agency internal case ID:** |  |
| **CERF case ID:**  |  |
| **Current status of case:**[please indicate current status] | **Investigation launched and ongoing**  | [ ]   |
| **Investigation concluded and follow-up actions ongoing** | [ ]  |
| **Follow-up actions concluded and case closed** | [ ]  |
| **Other:**  | [please describe] |

**III. Initial Notification as Reported by the Agency**

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| --- | --- |
| **Date of initial notification to CERF:** |  |
| **Countries potentially implicated:** |  |
| **CERF project code(s)**[[2]](#footnote-3)**:** |  |
| **Potential CERF amount at risk:** *should it not be possible to estimate the value of loss attributable to CERF funding, please indicate the total estimated loss to the Agency. If either estimation of loss is not possible, please indicate why.* |  |
| **Date communicated to CERF donors:**  |  |

**IV. Follow-up Reporting - Updates on Investigation of Suspected Fraud**

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| --- | --- | --- | --- |
| **Date of this notification:** |  | **Case update #:** | 1 |
| **Date communicated to CERF donors:**  |  |
| **Case Description** – “**Case Status** - “  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Date of this notification:** | [DD-MM-YYYY] | **Case update #:** | 2 |
| **Date communicated to CERF donors:**  | [to be updated by CERF when available]  |
| *{Please provide update on investigation into suspected fraud case. Please see guidelines on the last page of this form.* *Should there be no developments since the previous update, please indicate why and provide some assurances on actions being taken to recover CERF funds.* *If the investigation is closed, please specify if there was an impact to CERF and quantify impact. Please also specify what actions have been taken with the partner and/or staff implicated AND what measures have been implemented to prevent future incidents.}***Case Description** – “**Case Status** - “ |

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| **Guideline Summary***As per agreed guidelines “Communicating the Fraudulent Use of CERF Funds”, in the event of an investigation into potential fraud with CERF funds, the CERF secretariat must be informed by the recipient agency at least at three points: (1) Upon the agency opening an investigation; (2) Upon finalization of an investigation; and (3) Upon conclusion of follow-up actions. In addition, as per agreement with the CERF Advisory Group the CERF secretariat will proactively reach out to agencies for updates on new or ongoing cases twice per year. The information provided by the agency should adhere to the following standards:[[3]](#footnote-4)* **1) Upon opening an investigation:*** *Information is at the agency’s discretion but with a view to inform CERF’s donors, the following information is encouraged shared if possible: country, project, nature of allegations and management actions planned or taken after completion of the investigation, amount at risk and any other assets affected by the incident, estimated CERF amount potentially impacted and impact on project implementation.*

**2) Upon finalization of an investigation** * *Information must at a minimum include a summary of key findings of relevance to the CERF project(s) implicated, including country, project, CERF amount impacted, nature of allegations and management actions planned or taken after completion of the investigation (including future use of the implementing partner if relevant). In addition, with a view to inform CERF’s donors, the following information is encouraged shared if possible: any other assets affected by the incident and impact on project implementation. Unless internal regulations do not allow it, please also share the investigation report.*

 **3) Upon finalization of potential follow up actions** * *Beyond information shared upon finalization of investigation, information must include all other information deemed relevant for CERF and CERF’s donors, including information on recovery of CERF funds. In addition, with a view to inform CERF’s donors, the following information is encouraged shared if possible: mitigation measures that your organization has put in place to contain the impact of the incident and if relevant, registration of potential implementing partner on UN vendor debarment list.*
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1. <https://cerf.un.org/sites/default/files/resources/Communicating%20the%20Fraudulent%20Use%20of%20CERF%20Funds_0.pdf> [↑](#footnote-ref-2)
2. Please indicate project codes for those CERF grants that may be implicated [↑](#footnote-ref-3)
3. Should the policies and procedures of the recipient agency prevent sharing of some of this minimum information this shall be communicated to CERF. [↑](#footnote-ref-4)