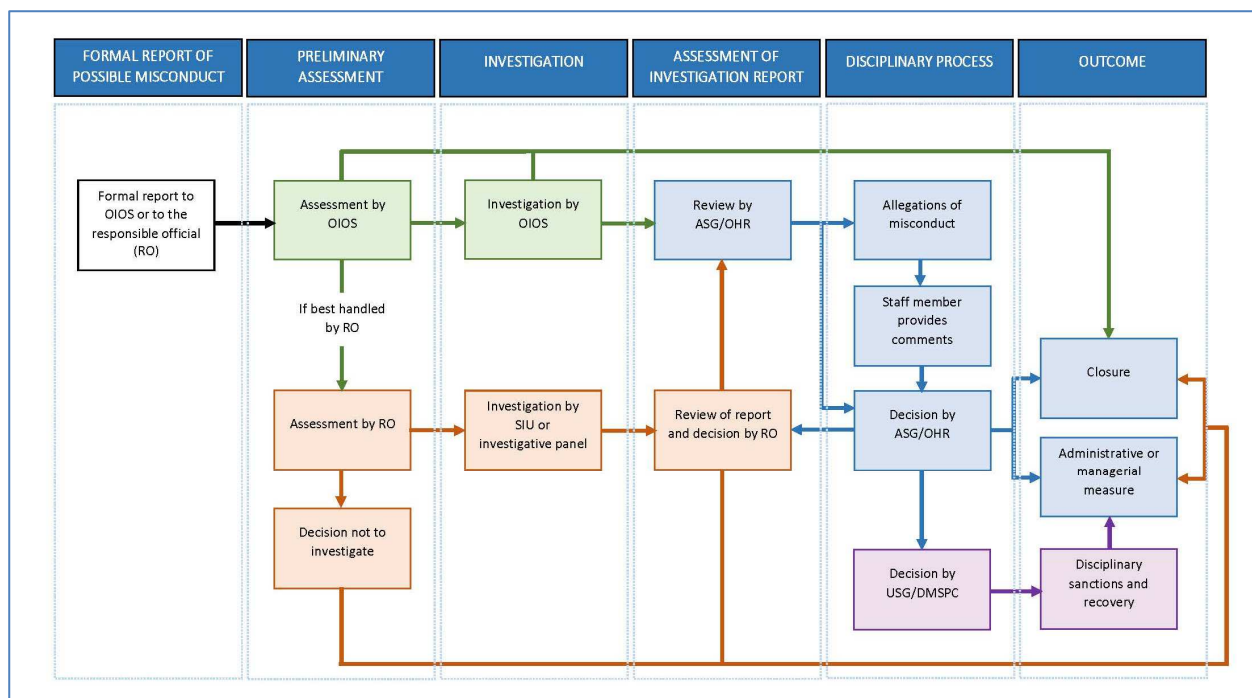




Visualization of the Investigation and disciplinary process



The formal process following a formal report of possible misconduct can be relatively lengthy. In broad terms, the process formal reports will go through is as follows.

1. The formal report first needs to be assessed, either by OIOS or the responsible official if OIOS so decides, to determine whether an investigation is warranted or other action will be taken.
2. If it is determined that the allegations are to be investigated, either OIOS, or another investigative entity, or a Special Investigations Unit (“SIU”) or an investigative panel appointed by the responsible official conducts an investigation and produces an investigation report.
3. The investigators determine whether there is any factual basis indicating that the staff member engaged in unsatisfactory conduct.
4. If so, the matter is referred to the Office of Human Resources (OHR) for possible disciplinary action in cases investigated by OIOS. In cases investigated by another investigative entity, by an SIU or by an investigative panel, the report is reviewed by the responsible official and, if they consider that the staff member’s conduct could amount to misconduct, the matter is referred to OHR.
5. If there is no factual basis indicating misconduct or the facts do not rise to the level of misconduct, the matter is closed, although consideration is given to the possibility of taking administrative and/or managerial measures.
6. If OHR decides to initiate a disciplinary process, the alleged offender is provided with formal allegations of misconduct, together with the investigation report and supporting documentation. They are entitled to seek legal advice and provide comments.
7. OHR may seek further information from relevant sources. The staff member is entitled to comment on new information obtained.
8. At the end of the disciplinary process, (a) the matter may be closed with no action, (b) managerial or administrative measures may be taken, and/or (c) a sanction may be imposed if the facts have been established. Where applicable, the affected individual is informed.