

# Ethics Office Mandate

1. Prevention – training & outreach on UNFPA rules & standards of conduct.
2. Confidential advice & guidance.
3. Administer Financial Disclosure Program (FDP).
4. Administer the policy on protection from retaliation.
5. Policy guidance/standard setting.
6. UN Ethics Coherence: membership in the Ethics Panel United Nations (EPUN).



# Services Provided in 2019

Year	Advice and guidance	Retaliation	Financial disclosure	Standard-setting	Coherence	General information	Training	Total
2016	237	13	26	25	36	10	25	372
2017	280	5	24	33	61	3	37	443
2018	257	7	7	32	44	2	48	397
2019	186	9	9	14	68	2	21	309

Note: This does not include administration of the Financial Disclosure Program which is resource intensive, including individual review of 509 forms in 2019.



# Training in 2019



# Training Content & Reach

## Ethics 101

Induction & orientation to ethics  
Personnel rights & obligations  
Ethics mandate  
UNFPA values

## Online Ethics

Mandatory online course  
Ethics 101

## Ethical Leadership

Concept of ethical leadership  
Organizational expectations  
Case studies – ethical dilemmas  
Tools to inspire compliance

## Sexual Harassment

Applying an Ethics Framework to  
Tackle Sexual Harassment

- 21 training sessions in total.
- 15 in-person sessions for 317 personnel.
- Joint facilitation of cross-regional culture change in Kenya and the UAE.
- Compliance with mandatory online training is 50%, up from 21% in 2018.
- Spanish and French online courses were launched in 2019.



# Face to Face Training in 2020 – a Triage Approach

1. Face to face training: real time, relevant and nuanced information.
2. However, face to face training is time and resource intensive.
3. The Executive Director has endorsed a triaged approach to face to face training, whereby rules-based information is transmitted online and through targeted communications. Face to face/webinar training will be reserved for nuanced and complex ethics material.
4. Goal: prioritize foresight and skills training for ethical decision making and behavior.



# Outreach





# Ethics Field Visits 2019





# Online Outreach in 2019

- Ethics 101
- Respectful Dissent
- Implicit Bias
- No Solicitation of Government's to Advance Career





# The Importance of Face to Face Outreach

1. The Ethics Office is a gatekeeper for whistleblowing, reporting misconduct, conflict resolution, conflicts of interest and resolution of administrative issues.
2. Effective, timely and confidential advice, guidance and referral can prevent unnecessary escalation of issues, ensure compliance and mitigate risks.
3. For reasons to do with trust, fear of retaliation, language and logistics, many staff will only flag concerns if provided with the opportunity to do so face to face. This is why requests for advice and guidance are consistently higher in HQ relative to personnel numbers (92 HQ requests of 186 total requests in 2019).
4. However, visits are costly and time intensive. The Ethics Office has one staff member serving the entire UNFPA population. As a result, some personnel may only benefit from a face to face engagement once every two to three years.



# Expanding the Reach of the Ethics Office 2020

1. Many UNFPA field offices are co-located with other UN Organizations. Commonalities in the content of Ethics training and outreach across the UN system presents an opportunity to pool resources.
2. The Executive Director has endorsed a proposal by the Ethics Office to collaborate with other UN organizations in training and outreach.
3. The UN Ethics Office has indicated its support for this approach and the matter has been raised for future consideration in the EPUN. If successful, this approach may radically improve the reach of the ethics office.





# Ethics Advice & Guidance



# 186 Requests for Advice and Guidance in 2019

Category	Total cases
<b>Conflicts of interest</b>	<b>132</b>
▪ Outside activities	74
▪ Gifts, awards and hospitality	25
▪ Organizational conflicts of interest	15
▪ Other	18
<b>Employment-related concerns</b>	<b>54</b>
▪ Workplace conduct issues	29
▪ Clarification of personnel-related policies	12
▪ Recruitment and promotion processes	10
▪ Other inquiries	3
<b>Grand Total</b>	<b>186</b>



# Protection from Retaliation



# Retaliation Complaints & Inquiries 2019

## Three Complaints

- 1 Allegation of misconduct and subsequent recruitment decision. Preliminary review determined insufficient evidence to refer for investigation.
- 1 Allegation of misconduct and a subsequent performance assessment and recruitment decision. Recommendations for protective measures and referral for investigation.
- 1 Did not relate to alleged retaliation and was referred to OAIIS.

## Six Inquiries

- 1 Related to the efficacy of protective measures.
- 5 Related to the conditions that constitute retaliation and applicability of the policy to specific matters.



# Financial Disclosure



# Financial Disclosure 2019

Year	Headquarters	Field	Total by year
2015	147	365	512
2016	132	371	503
2017	147	364	511
2018	143	372	515



# Financial Disclosure 2019

- 509 staff participated in the program.
- Including managers (65%) and support staff (35%).
- The Ethics Adviser reviewed each financial disclosure statement.
- A random sample of 47 statements were subject to external verification.
- 79% were reviewed, verified and closed without noteworthy concerns.
- 21% had assets or liabilities that were not initially disclosed, but did not present a conflict of interest.
- In 2020, the Ethics Office will conduct a review of the program to determine if it is fit for purpose.



# Coherence 2019

The Ethics Office contributed to coherence in the UN system through its membership of the Ethics Panel of the United Nations (EPUN).

Membership of EPUN is invaluable for best practice and innovation.

- 10 official EPUN meetings.
- Working group and guidance on gifts.
- 5 informal peer reviews of no *prima facie* determination taken by other EPUN members.





# 3 Objectives in 2020

## Greater Reach

Action	Outcome
Shared UN training in field offices	Increase in in-person outreach
Toolkit for leaders to disseminate ethics information	Increased outreach
Mandatory 3-year refresher of online training	Increase in on-line training

## Enhanced Effectiveness

Action	Outcome
Streamline & automate enquiry & guidance on outside activities	Increased capacity for Ethics Office
Review of the Fin Disclosure Program	Determine if it is fit for purpose Enhanced compliance and identification of conflicts of interest

## Self-Governance & Accountability

Action	Outcome
Training & communications will emphasize personal accountability & self-governance	Self-governance culture
Nuanced & engaging communications, use of multi-media & multi communication platforms	Higher levels of outreach and engagement

