

**REVIEW OF MECHANISMS AND POLICIES ADDRESSING
CONFLICT OF INTEREST
IN THE UNITED NATIONS SYSTEM**

ATTACHMENTS

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Attachment I (a): Definitions of personal/individual and organizational/institutional conflict of interest

	Participating organization	Personal/individual conflict of interest	Organizational/institutional conflict of interest	Remarks
1	United Nations Secretariat	<p>A personal conflict of interest may generally be understood as a situation where a person's private interests interfere or may be perceived to interfere with his/her performance of official duties.</p> <p>Conflict of interest includes circumstances in which international civil servants, directly or indirectly, would appear to benefit improperly, or allow a third party to benefit improperly, from their association in the management or the holding of a financial interest in an enterprise that engages in any business or transaction with the organization.</p> <p><i>(ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, January 2013)</i></p>	<p>Organizational conflict of interest arises where, because of other activities or relationships: an organization is unable to render impartial services; the Organization's objectivity in performing mandated work is or might be impaired; or the Organization has an unfair competitive advantage.</p> <p>Managing an OCI may require amending a policy, a regulation, and/or adjusting certain functions/assignments to ensure organizational impartiality, objectivity, equity and transparency.</p> <p><i>(The Secretary-General's report on Personal Conflict of Interest (A/66/98, 27 June 2011)</i></p>	<p>At the United Nations Secretariat, the definition of <u>personal conflict of interest</u> in the <i>Staff Regulations and Rules</i> stems from a declaration known as the "Oath of Office" which is mandated for all staff members <i>(ST/SGB/2017/1, 30 December 2016)</i>:</p> <p>"I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization".</p> <p>General Definition:</p> <p>A conflict of interest occurs when, by act or omission, a staff member's personal interests interfere with the performance of his or her official duties and responsibilities or with the integrity, independence and impartiality required by the staff member's status as an international civil servant. When an actual or possible conflict of interest does arise, the conflict shall be disclosed by staff members to their head of office, mitigated by the Organization and resolved in favour of the interests of the Organization;</p> <p><i>(ST/SGB/2017/1 Staff Regulations and Rules; page 11 paragraph (m), 30 December 2016)</i></p>

			<p>The current United Nations Secretariat regulatory framework governing personal conflict of interest stems from several main sources, including specifically the <i>Staff Regulations and Rules, Secretary-General's bulletins, administrative instructions</i> and other relevant administrative issuances, as well as the Standards of conduct for the international civil service of 2013 (<i>ST/SGB/2016/9, Annex IV, 21 July 2016</i>).</p> <p>These documents include provisions governing actual, perceived or potential conflict of interest arising from financial and other interests, personal holdings and affiliations, personal relationships between staff members and other stakeholders, the receipt of honours, decorations, favours, gifts or remuneration by third parties, as well as parameters addressing conflicting loyalties that may result from outside employment or occupation or other outside activities, including political activities.</p> <p>There is no document currently that defines OCI specifically.</p> <p>In general, the need to address and manage conflicts of interest results from a risk assessment of staff members' potential exposure to competing interests through their work and status as United Nations officials. Certain functional areas, such as procurement, may provide greater potential for exposure to possible conflicts of interest. However, other types of conflict of interest result from the risks inherent in all functions of an international civil servant, independent of any particular authority or position held by the staff member.</p>
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				(A/66/98: <i>Personal Conflict of Interest Report of the Secretary-General</i> ; page 4; paragraph 2.A. 27 June 2011)
2	UNAIDS	<p>Staff are entrusted with placing the interests of UNAIDS ahead of their personal interests. A conflict of interest occurs when your private interests interfere or appear to interfere with the interests of UNAIDS. Your financial, personal or other non-UNAIDS interest or commitment could reasonably interfere – or appear to interfere – with your ability to act impartially and to discharge your functions or regulate your conduct with the interests of UNAIDS only in view. Even if there is no evidence of actual impropriety, a conflict of interest (perceived or actual) can still create an appearance of impropriety that can undermine confidence in UNAIDS or damage the reputation of the organisation.</p> <p><i>(UNAIDS Secretariat Ethics Guide, page 17, paragraph 3.5.1 “Conflict of Interest”; 15April2015)</i></p>		<p>Different types of interests can be envisaged. The following non-exhaustive list is provided for guidance:</p> <ol style="list-style-type: none"> 1. a proprietary interest in a substance, technology or process (e.g., ownership of a patent), relevant to UNAIDS work; 2. a financial interest may include shares, bonds or pension plans, in a commercial entity with which a staff member may be required, directly or indirectly, to have official dealings on behalf of the Organization, or which has a commercial interest in the work of UNAIDS, or a common area of activity with UNAIDS (except share holdings through general mutual funds or similar arrangements where the staff member has no control over the selection of shares). 3. an employment, consultancy, directorship, or other position or association, whether or not paid, in any entity with which a staff member may be required, directly or indirectly, to have official dealings on behalf of the Organization, or which has a commercial interest in the work of UNAIDS, or a common area of activity with UNAIDS, or an ongoing negotiation concerning prospective employment or other association with such entity; 4. performance of any paid work or research commissioned by an entity with which a staff member may be required, directly or indirectly, to have official dealings on behalf of the Organization, or which has a commercial interest in the work of UNAIDS, or a common

				<p>area of activity with UNAIDS; and</p> <p>5. a family interest in which, for example, a spouse or dependent child is employed by an entity from which goods and/or services are purchased on behalf of UNAIDS.</p> <p><i>(Declaration of Interest form for designated UNAIDS staff, page 1, n.d.)</i></p>
3	UNCTAD	UNCTAD falls under the United Nations Secretariat.		
4	ITC	ITC falls under the United Nations Secretariat.		
5	UNDP	<p>A conflict of interest arises when our private interests — such as outside professional relationships or personal financial assets — might interfere with our professional obligations to UNDP. We should strive to avoid situations where we can be seen to benefit personally, directly or indirectly, or allow another to benefit, from the decisions we make. Even when such a perception is not warranted, we need to be aware of how our actions, in the absence of an explanation, may appear or be interpreted by others. Such conflict of interest situations do not necessarily imply wrongdoing. However, if they are not identified and managed appropriately, they can compromise our work and the Organization’s integrity. It is of utmost importance that the independence and impartiality of official decision-making is preserved at all times. Conflicts of interest can only be appropriately avoided or resolved by clearly placing the interests of the Organization above our own.</p> <p><i>(UNDP Code of Ethics, page 8, paragraph 4; March2017)</i></p>		<p>Relevant guidance provided by:</p> <p>-UNDP brochure on Avoiding Conflict of Interest: http://www.undp.org/content/dam/undp/library/corporate/ethics/Conflict%20of%20Interest%20web.pdf</p> <p>-UNDP Code of Ethics in place of the “putting ethics to work” pamphlet: http://www.undp.org/content/dam/undp/library/corporate/ethics/UNDP%20CODE%20OF%20ETHICS%20-%202017%20version.pdf</p> <p>It should be noted that the ICSC Standards of Conduct which are regularly referred throughout the draft report are not binding. However, the UN Staff Rules and Regulations, derived from the ICSC Standards of Conduct <u>are</u> binding and contain specific sections that define conflict of interest. For example, Staff Regulation 1.2(m): “A conflict of interest occurs when, by act or omission, a staff member’s personal interests interfere with the performance of his or her official</p>

		See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		duties and responsibilities or with the integrity, independence and impartiality required by the staff member's status as an international civil servant. When an actual or possible conflict of interest does arise, the conflict
6	UNEP	See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		
7	UNFPA			<i>No definition found in Ethics documents and Supporting documents sent with questionnaire.</i>
8	UN-Habitat	UNEP falls under the United Nations Secretariat.		
9	UNHCR	A personal conflict of interest may generally be understood as a situation where a person's private interests interfere or may be perceived to interfere with his/her performance of official duties. <i>(A/66/98: Personal Conflict of Interest Report of the Secretary-General; page 4; paragraph 2.A. 27 June 2011)</i>		The regulatory framework of conflict of interest on the organizational level consists of the Accountability Framework which includes the Risk Management. The regulatory scheme on the individual level is mainly based on the <i>UN Staff Rules and Regulations (ST/SGB/2017/1)</i> (December 2016) and related policies. In general, the need to address and manage conflicts of interest results from a risk assessment of staff members' potential exposure to competing interests through their work and status as United Nations officials
10	UNICEF	The review of the disclosures is a crucial step towards understanding the conflict-of-interest risk. Efforts were made to mitigate risks relating to conflict of interest and to provide staff members with guidance on how to prevent conflict relating to their professional obligations. The conflict identified fell into two categories, namely (1) conflict-of-interest risks relating to	The first paragraph of the Strategic Plan, 2014-2017 of the UNICEF Ethics Office, states that the fundamental mission of UNICEF is to promote the rights of every child, everywhere, in everything the organization does – in programmes, in advocacy and in operations. The focus on equity, emphasizing the most disadvantaged and excluded children and their families,	

		<p>the outside activities of staff members and (2) relationship-based conflict-of-interest risk, which related to staff with family members who work in the United Nations system. <i>(Report of the Ethics Office of UNICEF for 2016; page 8; paragraph 22)</i></p> <p>See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013</p>	<p>further translates into action this commitment to children’s rights. For UNICEF, equity means that all children have an opportunity to survive, develop and reach their full potential, without discrimination, bias or favouritism. Ethical behaviour and decision-making are critical for UNICEF in fulfilling this mission.</p> <p><i>(Report of the Ethics Office of UNICEF for 2016; page 10; paragraph 28)</i></p>	
11	UNODC	UNODC falls under the United Nations Secretariat.		
12	UNOPS	<p>“All of UNOPS Personnel shall uphold the highest standards of efficiency, competence and integrity, and shall be held accountable for their acts and omissions while serving with the organisation. UNOPS shall have a zero-tolerance policy regarding any instances of misconduct, in particular cases of corruption, fraud, harassment, sexual abuse, discrimination, retaliation and abuse of authority.”</p> <p><i>(Executive Director Principles; paragraph 4, September 2016)</i></p> <p>See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013</p>	<p>“As a self-financing organization, we shall operate on the basis of full cost recovery. This financial imperative, however, shall always be balanced with, but never supersede, the fact that as a United Nations organization, our mission is to help people build better lives and countries achieve sustainable development.”</p> <p><i>(Executive Director principles; paragraph 6, September 2016)</i></p> <p><i>“The oversight, management, controllership and assurance of UNOPS activities shall be segregated to prevent the risk of conflict, errors and fraud to ensure the efficiency and quality of such activities”.</i></p> <p><i>(Executive Office Directive: Organisational Principles and Governance Model; section 2.1)</i></p>	
13	UNRWA	A ‘conflict of interest’ occurs when our private interests – such as outside professional or family relationships or personal financial assets – interfere with the proper performance		<p>General definition:</p> <p>A staff member whose personal interests interfere with the performance of her or his official duties and responsibilities or with the</p>

		<p>of our duties as an UNRWA staff member. A conflict of interest can be:</p> <ul style="list-style-type: none"> • Actual: This occurs when your private interests interfere with your official responsibilities; • Apparent: This occurs when there may be a reasonable perception that your private interests interfere with your official responsibilities; • Potential: This occurs when your private interests may in the future interfere with your official responsibilities. <p><i>(UNRWA handbook on ethics and the standards of conduct applicable to UNRWA personnel; page 19, paragraph 4.2.1.; 2013)</i></p>		<p>integrity, independence and impartiality required by the staff member's status as an international civil servant shall disclose any such actual or possible interest to the Commissioner-General or delegated official and, except as otherwise authorized by the Commissioner-General or delegated official, formally excuse herself or himself from participating with regard to any involvement in that matter which might give rise to a conflict of interest situation.</p> <p>(International Staff rules; Page 4; paragraph (q) 1 May 2002)</p> <p>UNRWA makes a clear distinction between actual, apparent and potential conflicts of interest, but not between personal and organizational conflicts of interest.</p>
14	UN-Women	See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		
15	WFP	See ICSC Standards of conduct for the International Civil Service; page 6; paragraph 23, July 2013		<p>Ethics Office provides confidential advice and guidance to employees and management on institutional and personal COIs and confidential and non-confidential advice in instances in which WFP and/or its employees may be faced with organizational and personal COIs and administers the Annual Conflict of Interest and Financial Disclosure Programme (ADP) to assist WFP in identifying and addressing personal COIs for the purpose of mitigating or eliminating COIs in the best interests of WFP.</p> <p>The Ethics Office is mandated to administer the ADP to assist WFP in identifying and addressing personal COIs for the purpose of</p>

				<p>mitigating or eliminating COIs in the best interests of WFP.</p> <p>The current ADP is comprised of three parts: the Conflict of Interest Questionnaire, the Eligibility Questionnaire and the Financial Disclosure Statement.</p>
16	FAO	See ICSC for the International Civil service paragraph 23.		<i>By introducing the standards of conduct for international civil servants into its manual (under MS 304), FAO endorsed and adopted the generic definition of conflict of interest common to most United Nations organizations.</i>
17	IAEA	<p>A conflict of interest arises when our private interests, such as outside personal or professional relationships or personal financial interests, might interfere, or appear to interfere, with our professional obligations to the Agency. We should strive to avoid situations where we can be seen to benefit personally, either directly or indirectly, or allow another to benefit from the decisions we make. Even when such a perception is not warranted, we need to be aware of how our actions, in the absence of an explanation, may appear or be interpreted by others. Such conflict of interest situations do not necessarily imply wrongdoing. However, if they are not identified and managed appropriately, they can compromise our work and the Agency's integrity. It is of utmost importance that independence and impartiality of official decision making is preserved at all times. Conflicts of interest can only be appropriately avoided or resolved by clearly placing the interests of the Agency above our own.</p> <p><i>(IAEA Ethics Guide - Putting Ethics to Work; page 3; "Conflict of Interest" 26 April 2017)</i></p>		<p>A section on conflict of interest is included in <i>the Standards of Conduct</i>, which contains a non-exhaustive definition of what amounts to a conflict of interest. A version of the Standards is applicable to persons other than staff members, such as consultants.</p>

		See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		
18	ICAO	<p>Staff members shall perform their official duties and conduct their private affairs in a way that preserves and enhances public confidence in their own integrity and that of ICAO and avoids any conflict of interest.</p> <p><i>(ICAO Service Code; Annex I; page 8: paragraphs 15, 16, November 2004)</i></p> <p>Staff members shall not be actively associated with the management of, or hold a financial interest in, any profit-making business or other concern, if it were possible for the staff member or the profitmaking business or other concern to benefit from such association.</p> <p><i>(ICAO Service Code Annex I; page 8: paragraphs 15, 16, November 2004)</i></p>		
19	ILO	<p>A potential conflict of interest can arise where an official's personal relationships or position in external entities can compromise or be seen to compromise objectivity and impartiality in the discharge of official duties for the ILO (e.g. roles, activities or participation in bodies or groups dealing with ILO matters and activities, close personal ties with constituents or ILO oversight bodies, etc.).</p> <p>Financial interests of officials as a result of family and personal relationships, gifts, benefits and hospitality received from outside sources, as well as through other business interests such as partnerships and family businesses, are also considered to be one of the main causes of conflict of interest in a public administration.</p>		

		<p>A conflict of interest arises when you have a real, potential or perceived direct or indirect competing interest with the role, function or activities of the ILO. This competing interest may result in you, or someone related to you or entities in which you have an interest, being in a position to benefit from the circumstances, or in the Office not being able to achieve a result which would be in its best interests, or both.</p> <p>A conflict of interest exists when your other private interests or activities create an incentive for you to act in a way that may not be in the best interests of the Office, such as participating in a tendering process when a bid has been submitted by a business owned by a close relative. In this example, a conflict exists between the official's interests in supporting a close relative and securing the best possible purchasing agreement for the ILO.</p> <p>A conflict of interest can arise in a wide range of circumstances. It may be financial or non-financial, personal or professional, commercial or not-for-profit. It may relate to a potential advantage to the official or a third party or a disadvantage to the Office. It may concern you directly, or another person or organisation with whom you are associated.</p> <p><i>(ILO Office Guidelines; page 2; paragraphs 5, 6, 7, 8, June2009)</i></p>		
20	IMO	<p><i>A personal conflict of interest may generally be understood as a situation where a person's private interests interfere or may be perceived to interfere with his/her performance of official duties.</i></p>	<p>An organizational conflict of interest arises where, because of other activities or relationships, an organization is unable to render impartial services, the organization's objectivity in performing mandated work is or might be impaired, or the organization has an unfair competitive advantage.</p>	

		<p><i>(IMO Personal Conflict of Interest Report; Page 4; Paragraph II)A) 27June2011)</i></p> <p>We consider and apply the values of independence, impartiality, integrity and loyalty to the organization in determining a personal conflict of interest. Where a factual scenario would create a perception in others of a lack of one of those values, we would find that a potential conflict of interest has arisen, and will take appropriate steps prevent the perception from arising, even where no actual conflict of interest would occur.</p>	<p><i>(IMO Personal Conflict of Interest Report; Page 4; Paragraph II)A) 27June2011)</i></p> <p>With regard to organizational conflict of interest, our aim is to prevent the organization’s objectivity in performing its mandated work from being impaired, or preventing the organization from being placed at an unfair competitive advantage. We also seek to prevent a perception of a lack of objectivity or a perception of gaining an unfair advantage even where one does not actually occur.</p>	
21	ITU	<p>Conflict of interest may occur when an international civil servant’s personal interests interfere with the performance of his/her official duties or call into question the qualities of integrity, independence and impartiality required the status of an international civil servant.</p> <p>Conflict of interest can arise from an international civil servant’s personal or familial dealings with third parties, individuals, beneficiaries, or other institutions. If a conflict of interest or possible conflict of interest does arise, the conflict shall be disclosed, addressed and resolved in the best interest of the organization. Questions entailing a conflict of interest can be very sensitive and need to be treated with care.</p> <p><i>(ITU Standards of Conduct; page 5; paragraph 23, Apr2017)</i></p> <p>See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013</p>		

22	UNESCO	See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		
23	UNIDO	See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 23 and 24, July 2013		The provisions of the UNIDO Code of Ethical Conduct, page 5, paragraph 10 on conflict of interest is based on, and amplify, the provisions of Article 11(4) of the Constitution of UNIDO, Article I of the UNIDO Staff Regulations, Chapter I of the Staff Rules 100 Series, and paragraphs 23 and 24 of the ICSC Standards of Conduct for the International Civil Service.
24	UNWTO	See ICSC Standards of conduct for the International Civil Service; page 5; paragraph 21, July 2013		
25	UPU	Conflict of interest: real or apparent incompatibility between a staff member's private interests and either his official duties or the interests of the Union. This includes circumstances in which a staff member, directly or indirectly, would seem to benefit improperly, or allow a third party to benefit improperly, from his or her association in the management or the holding of a financial interest in an enterprise that engages in any business or transaction with the UPU. <i>(UPU Administrative instruction No. 32.Rev 4 Apr2016; page 1, paragraph 2.4.b.)</i>		
26	WHO			
27	WIPO	Personnel of the Organization shall arrange their private interests in a manner that will prevent actual, potential or apparent conflict of interest from arising, but if such a conflict does arise between their private interests and their official duties and responsibilities, the conflict shall be disclosed immediately and resolved	Personnel shall also ensure that in all matters internal to the Organization that they undertake and perform their functions and regulate their conduct so as to prevent actual, potential or apparent conflicts of interest between their private interests and their official duties and responsibilities. If such a conflict shall arise, they shall disclose it	Also of relevance WIPO Staff Regulation 1.6 (in particular (a)(2)(ii), (b), (c), (d) The references in the first two substantive columns are to the 2013 OI on Financial Disclosure, which should now be replaced with OI No. 36 of 2017.

		<p>promptly in preserving the best interests of the Organization.</p> <p><i>(WIPO Declaration of Interest Form Implementing Guidelines; page 6, 2013)</i></p> <p>See ICSC Standards of conduct for the International Civil Service; page 6; paragraph 23, July 2013</p>	<p>immediately and resolve it promptly in the best interests of the Organization.</p> <p><i>(WIPO Declaration of Interest Form Implementing Guidelines; page 6, 2013)</i></p>	<p>In any event, the references were not to the original source of the texts, which is the WIPO Code of Ethics (OI No. 84 of 2012, at p4).</p>
28	WMO	<p>The ethical obligations of staff – including on the issue of conflict of interest – are referenced in the <i>Convention of the World Meteorological Organization</i>, which states in <i>Article 22</i> that “shall not seek or receive instructions from any authority external to the Organization...”; “shall refrain from any action which might reflect on their position as international officers.” That same provision also states that “[e]ach Member of the Organization on its part shall respect the exclusively international character of the responsibilities of the Secretary-General and the staff and not seek to influence them in the discharge of their responsibilities.” (2015)</p>		

Note: Sources are indicated by an italic font.

Attachment I (b): Definitions of personal/individual and organizational/institutional conflict of interest: external sources

Source	Definition	Retrieved from
Article 13 of Council of Europe's Committee of Ministers Recommendation No. 2000 (10)	<p>"1. Conflict of interest arises from a situation in which the public official has a private interest which is such as to influence, or appear to influence, the impartial and objective performance of his or her official duties. 2. The public official's private interest includes any advantage to himself or herself, to his or her family, close relatives, friends and persons or organisations with whom he or she has or has had business or political relations. It includes also any liability, whether financial or civil, relating thereto".</p> <p>12. This definition of conflict of interest has three dimensions: (i) the existence of a private or personal interest of a public official, which (ii) comes into conflict with his official duty, and thus (iii) leads to a conflict of interest interfering with professional principles. Essentially, in a conflict of interest situation, the private interest of the public official can or could influence the objective and impartial performance of his official duties.</p>	<p>https://ec.europa.eu/anti-fraud/sites/antifraud/files/docs/body/scar_2013_supcom_en.pdf</p> <p>Annex 9; page 5 (2013-2014)</p>
European Commission	<p>The EU judiciary assessed the scope of the conflict of interest under the Staff Regulations, and gave it a broad definition. Although the Members of the SC are not bound by the Staff Regulations, the interpretation of the Court is relevant on the matter since the wording of the legal provisions concerning conflict of interest - in the Staff Regulations and in the Decision on their appointment - is quite similar. They are an expression of the same underlying general principles of EU law enshrined in the Charter of Fundamental Rights.</p> <p>The term conflict of interest as defined above does not, however, take into account expressly all the situations in which the impartiality and independence (as well as the appearance of impartiality and independence) of the SC Members may actually or potentially be endangered. Classic conflict of interest concerns situations in which a public official may have a private interest in conflict with his or her public duties. In the case of the SC Members, the independence and impartiality could be jeopardised also due to their dual roles as high national judicial or administrative officials and SC Members at the same time.</p>	<p>http://ec.europa.eu/civil_service/admin/ethic/index_en.htm</p> <p>“Ethics and Conduct”</p> <p>Paragraph “Conflict of interest and outside activities”</p>
Office of Research, University of Pittsburgh	<p>Organizational Conflict of Interest Definition:</p> <p>“Organizational Conflict of Interest” means that because of other activities or relationships with other entities, the institution is unable to 1) render impartial assistance or advice to the Government, 2) cannot perform the federal contract work in an objective way, or 3) has an unfair competitive advantage compared to other entities.</p> <p>Examples:</p> <ul style="list-style-type: none"> biased ground rules – preparing/writing specifications or work statements that are used in a funding opportunity 	<p>http://www.research.pitt.edu/differences-between-organizational-conflict-interest-oci-and-conflict-interest-coi</p> <p><i>(Online source, one page only; no page or paragraph number)</i></p>

	<ul style="list-style-type: none"> impaired objectivity – evaluating or assessing performance of products/services of others within same organization unequal access to information – gaining access to non-public information (i.e., budget(s)/budget information, statements of work, evaluation criteria, etc.) through performance of a federal contract 	
<p>“Conflict of Interest in Medical Research, Education, and Practice”</p> <p>- Bernard Lo and Marilyn J Field.</p>	<p>Institutional conflicts of interest arise when an institution’s own financial interests or those of its senior officials pose risks of undue influence on decisions involving the institution’s primary interests. For academic institutions, such risks often involve the conduct of research within the institution that could affect the value of the institution’s patents or its equity positions or options in biotechnology, pharmaceutical, or medical device companies. Conflicts of interest may also arise when institutions seek and receive gifts or grants from companies, for example, a gift of an endowed university chair or a grant for a professional society to develop a clinical practice guideline.</p> <p>In addition, institutional conflicts of interest exist when senior officials who act on behalf of the institution have personal financial interests that may be affected by their administrative decisions. For instance, a department chair or dean who has a major equity holding in a medical device company could make decisions about faculty appointments and promotions or assignment of office or laboratory space in ways that favour the interests of the company but compromise the overall research, educational, or clinical mission of the institution. Similarly, a hospital official with such a holding would be at risk of undue influence in making decisions about the use of the company’s products for patient care. In situations like these, an individual’s financial relationship also implicates the institution’s interests.</p> <p>Conflicts of interest are defined in terms of the risk of undue influence and not actual bias or misconduct. Whether they are at the individual or the institutional level, conflict of interest policies seek to prevent compromised decision making rather than to try to remedy its consequences.</p>	<p>Book source (2009)</p> <p>page 218, paragraph 1</p>
<p>Office of Research, Integrity and Compliance, Carnegie Mellon University</p>	<p>An Organizational Conflict of Interest (OCI) may result when factors create an actual or potential conflict of interest on an instant contract, or when the nature of the work to be performed on the instant contract creates an actual or potential conflict of interest on a future acquisition. In the latter case, some restrictions on future activities of the contractor may be required.</p>	<p>https://www.cmu.edu/research-compliance/organizational-conflict-of-interest/index.html</p>
<p>Virginia Board of Accountancy</p>	<p>Personal Conflict of Interest can develop when a person has personal or family financial or other interests that could cause them bias in making business decisions. Examples of financial interest include compensation, consulting arrangements, stock and real estate investments, future employment negotiations, gifts and intellectual property.</p> <p>Potential for Organizational Conflict of Interest typically exists when a business relationship could create incentives or self-interest. The original OCI concept was a remains to manage the conflict, not to punish the conflicted. Even today in FAR and other agency regulations, OCI provisions are organized under “contractor qualifications,” not “improper business practices.”</p>	<p>http://www.boa.virginia.gov/Docs/ethics/2014/BasicGovConConflictOfInterest.pdf</p> <p>pages 1 to 3</p>

World Bank	<ul style="list-style-type: none"> • A personal conflict of interest arises when a staff member’s private interests are or appear to be divergent from his or her duties to the Bank Group and its mission. Examples may include: outside publishing and accepting invitations to join outside boards, accepting gifts, entertainment and hospitality, holding a financial interest in a firm that may benefit from bank Group Activities. If not managed properly, conflicts of interest can undermine the legitimacy of professional decisions and create reputational risks for the Bank Group. • A conflict of interest may arise when a staff member has competing professional and/or personal interests that can make it difficult to fulfil his or her duties impartially. Likewise, intra- or inter-organizational conflicts of interest can arise between World Bank Group entities or units. In such cases, the World Bank Group’s own organizational business units may have different or even competing interests. • Personal CoI: We must perform our official duties in a manner that preserves and enhances public trust and confidence in our integrity and that of the World Bank Group. As soon as we become aware of a situation where our personal interests may conflict—or may be perceived by others to conflict—with those of the World Bank Group, we may need to take further action to appropriately resolve the conflict. The actions needed may include restricting our access to information, recusing ourselves, or avoiding the situation. Common personal conflicts of interest that arise include gifts, outside activities, and relationships. To protect all stakeholders, it is important to be proactive whenever real or potential conflicts of interest present themselves. The “Evaluating Personal Conflict of Interest” box on page 15 contains some questions we can ask ourselves when assessing a situation that may present a conflict of interest. • Business CoI: The World Bank Group performs multiple roles, creating situations in which its own business units may have competing or overlapping interests. A corporate viewpoint may be necessary to promote the institution’s overall best interest. EBC can help staff resolve such concerns. Beyond EBC, additional resources are available including through the EBC Web site (http://ethics). • Staff members must act in the interest of the World Bank Group and the furtherance of its Mission. As such, we shall avoid conflict — or even the appearance of conflict — between our personal interests and our responsibilities to the World Bank Group. For example, relationships, decisions, and actions that involve our own or others’ personal interests may interfere with our ability to remain independent and impartial in performing our duties. Avoiding conflict of interest requires our alertness and commitment. When situations involving a potential conflict of interest arise or change, we shall seek timely clarification or permission, as needed. 	<p>Ethics at the World Bank Group (March 2017) page 3, paragraph 1</p> <p>“Living Our Values: Code of Conduct” (2009) page 12, paragraph 1</p> <p>World Bank Code of Professional Ethics (December 1999) page 12, paragraph 10</p>
IFAD (International Fund for Agricultural Development)	<p>Staff members should avoid any situation that is liable to give rise to a conflict of interest. Conflicts of interest arise when private of personal interests of the staff member may influence or appear to influence the impartial and objective performance of their duties. Private of personal interests include situations where a staff member appears to benefit improperly from their association with an enterprise or organization that engages in business directly or indirectly with the Fund.</p>	<p>IFAD Code of Conduct (October 2015)</p>

	<p>Staff members should avoid assisting public or private bodies or persons in their dealings with the Fund where this might lead to actual or perceived preferential treatment. This is particularly important in procurement matters or when negotiating prospective employment.</p> <p>Staff members shall disclose any personal business, membership positions on boards of organizations, firms or non-governmental organizations or any interests, including financial, in organizations or firms doing business with the Fund, as well as those of their immediate family members, that might give rise to a conflict of interest or reflect unfavourably on or cause embarrassment to the Fund. If in doubt about disclosing information, staff members should consult the Director, ETH.</p>	
IIC (Inter-American Investment Corporation)	A conflict of interest is a situation that creates a conflict between our personal interests and the interests of the IIC and its clients. Such scenarios undermine our commitment to our code and our duties as international civil servant. We all share the responsibility for keeping our organization free of the harm that can arise from real or perceived conflicts of interest.	IIC Code of Ethics and Professional Conduct; page 16, paragraph 11 (February 2012)
EBRD (European Bank for Reconstruction and Development)	<p>(a) For the purposes of this Code, a Conflict of Interest is a situation or circumstances in which private interests of Bank Personnel influence or may influence the objective and impartial performance of their official duties. In this regard, private interests include any advantage for themselves, their families or personal acquaintances.</p> <p>(b) Bank Personnel must avoid any situation involving a Conflict of Interest or the appearance of a Conflict of Interest. Bank Personnel finding themselves in such a situation must disclose the conflict to the Chief Compliance Officer who will consider the appropriateness of consulting with the Bank Personnel's line manager in case recusal is required. In case of doubt, Bank Personnel must refer the matter to the Chief Compliance Officer for guidance and must comply with such guidance.</p>	page 16, paragraph 11 (March 2016)
Economic Cooperation and Development (OECD)	<p>The OECD indicates three types of conflict of interest:</p> <ul style="list-style-type: none"> ➤ Conflict of interest (actual): "a conflict between the public duty and private interests of a public official, in which the public official has private-capacity interests which could improperly influence the performance of their official duties and responsibilities". ➤ Conflict of interest (apparent): "an apparent conflict of interest can be said to exist where it appears that a public official's private interests could improperly influence the performance of their duties but this is not in fact the case". ➤ Conflict of interest (potential): "a potential conflict arises where a public official has private interests which are such that a conflict of interest would arise if the official were to become involved in relevant (i.e. conflicting) official responsibilities in the future". 	http://acts.oecd.org/Instruments/ShowInstrumentView.aspx?InstrumentID=130 (28 May 2003) Annex 9; page 5

Attachment II: Financial Disclosure Programmes and Declarations of Interest

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
1	United Nations Secretariat	United Nations Ethics Office (UNEO)	<p>Number of FDS statements filed: 2011 – 4,630 2012 – 4,573 2013 – 5,043 2014 – 5,440 2015 (at 31st July) – 5,478</p> <p>All current United Nations staff members who meet the criteria set forth in Section 2.1 or Section 2.3 of ST/SGB/2006/6 must file an annual financial disclosure or declaration of interest statement</p> <p>ST/SGB/2006/6 <i>Financial disclosure statement</i> 2.1 The following staff members have an obligation to file an annual financial disclosure statement: (a) All staff members at the D-1 or L-6 level and above; (b) Procurement officers, or whose principal occupational duties are procurement; (c) Occupational duties relate to the investment of assets; (d) Staff members with direct access to confidential procurement or investment information; (e) All staff members serving in the Ethics Office.</p>	<p>Annual</p> <p>Online, using the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p> <p><i>*information submitted maintained in strict confidence</i></p>	<p>External service provider (currently KPMG LLP, since 2013)</p> <p>The Office of the Secretary-General for the staff of the Ethics Office</p>	<p>Currently approximately 5% of the total number of FDP participants per cycle are randomly selected for the verification process.</p>	

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>2.2 The relevant head of department or office shall determine, in accordance with guidelines issued by the Ethics Office, the staff members who shall file financial disclosure statements under sections 2.1 (b), (c) and (d) above.</p> <p><i>Declaration of interest statement</i></p> <p>2.3 Staff members on “when actually employed” (WAE) appointments, \$1 per year appointments or serving on appointments of short duration who fall within the scope of section 2.1 above, have the obligation to file a declaration of interest statement instead of a financial disclosure statement.</p>				
2	UNAIDS	UNAIDS Senior Ethics Officer	<p>Declaration of Interest statements, and since 2012, IPSAS 20 Disclosures:</p> <p>2010 – 161 2011 – 140 2012 – 142 2013 – 136 2014 – 190 2015 – 198</p> <p>Financial Disclosure All Headquarters and RST staff with Financial Authority, all UNAIDS Country Directors, Heads of Liaison Offices, and staff members at grade G5 and above</p>	<p>Annual</p> <p>Declaration of Interest Each year, the Senior Ethics Officer requests eligible staff members to complete the Declaration of Interest Form for the previous year</p> <p><u>IPSAS 20 Declaration:</u> Each year, the Director, Planning, Finance and Accountability sends a memo to all eligible staff members to file their</p>	The Senior Ethics Officer	In-house (by Senior Ethics Officer)	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>responsible for procurement or who otherwise perform procurement functions (other than of an administrative nature).</p> <p><u>The IPSAS 20 Disclosure</u> is filed annually by “Key Management Personnel” defined in UNAIDS as the Executive Director, Deputy Executive Directors and Directors at the D2 level and above</p> <p>Declaration of Interest As for the FDP, but including staff of all grades; and G5 staff and above who perform procurement functions (other than of a purely routine administrative nature), including on an acting basis.</p>	disclosures for the previous year.			
3	UNCTAD	United Nations Ethics Office (UNEO)	UNCTAD falls under the United Nations Secretariat. See ST/SGB/2006/6.				
4	ITC	United Nations Ethics Office (UNEO)	<p>Number of FDS statements filed: See United Nations Ethics Office</p> <p>Financial Disclosure P and G staff as per work assignments and as determined by ITC head of office and per guidelines received from United Nations Headquarters.</p>	<p>Annual</p> <p>Online, using the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p> <p><i>*information submitted maintained in strict confidence</i></p>	External service provider (currently KPMG LLP, since 2013)	N/A	No answer
5	UNDP	UNDP Ethics Office	Number of FDS statements filed: 2010 – 1473	Annual	UNDP Ethics Office	UNDP Ethics Office	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>2011– 1431 2012 – 1274 2013 – 1383 2014 – 1405 2015 – 1375 2016 – 1293 2017 –1318</p> <p>Financial Disclosure Financial disclosure policy:</p> <p>Section 2.2 The relevant Head of Office or Bureau shall identify, in accordance with the annual guidelines issued by the Ethics Office, the Staff Members who shall file Financial Disclosure statements under paragraphs 2.1 (b), (c), (d), (e) and (g) above.</p> <p>Section 2.1 of the Policy for the Financial Disclosure Programme provides the following: “2.1 The following Staff Members have an obligation to file an annual Financial Disclosure statement: (a) All Staff Members at the D-1/P-6 level and above; (b) All Staff Members who are procurement officers or whose normal functions include significant and substantive participation in the procurement process for the UNDP, pursuant to Section 2.2 below; (c) All Staff Members whose principal functions relate to the</p>	Online financial disclosure system.			

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>investment of the assets of UNDP or of any accounts for which UNDP has fiduciary or custodial responsibility, pursuant to Section 2.2 below;</p> <p>(d) Other Staff Members, of any grade, whose direct access to confidential procurement or investment information warrants the filing of a Financial Disclosure, pursuant to Section 2.2 below;</p> <p>(e) The chairperson of the Advisory Committee on Procurement (ACP) at Headquarters, the chairperson of the Regional Advisory Committee (RACP) at the Regional Centres and the chairperson of the Contracts, Assets, and Procurement Committee (CAP) in country offices.</p> <p>(f) All the Staff Members serving in the Ethics Office.</p> <p>(g) Other Staff Members and individuals designated by the Administrator where he/she deems it appropriate and necessary in the best interests of the Organization.”</p>				
6	UNEP	United Nations Ethics Office (UNEO)	<p>Number of FDS statements filed: See United Nations Ethics Office.</p> <p>UNEP follows the United Nations Financial Disclosure Programme Guidelines on Eligibility Determination in accordance to ST/SGB/2006/6.</p> <p>All current United Nations staff members who meet the criteria set</p>	<p>Annual</p> <p>Online, using the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p>	The United Nations Ethics Office (UNEO)	Financial Disclosure: a small percentage is randomly selected for verification by the United Nations Ethics Office.	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			out in Section 2.1 or Section 2.3 of ST/SGB/2006/6 must file an annual financial disclosure or declaration of interest statement.	<i>*information submitted maintained in strict confidence</i>			
7	UNFPA	UNFPA Ethics Office	<p>Number of FDS statements filed: 2011 - 559 2012 - 622 2013 – 674 2014 – 689 2015 - 512</p> <p>Financial Disclosure UNFPA Policy on Financial Disclosure and Declaration of Interest states that: - All staff at the D-1 or P-6 level and above; - All UNFPA Representatives or Chiefs of Operations (regardless of grade level); - All staff whose principal occupational duties are the procurement of goods and services for UNFPA</p> <p>Declaration of Interest Staff members on “when actually employed (WAE) appointments, \$1 per year appointments or serving on appointments of short duration who fall within the scope of section 3 above, have the obligation to file a declaration of interest statement instead of a financial disclosure statement.</p>	<p>Annual</p> <p>Online</p> <p>Through a secure UNFPA Intranet reporting facility</p>	The UNFPA Ethics Office	<p>Outsourced to a vendor, but with Ethics Office oversight and consultation. The verification process began with the 2012 calendar year financial disclosure cycle.</p> <p>The Ethics Office subjects a random sample of about 7 to 8% of the entire filing population, diversified by location, grade and function, to verification of their financial disclosures.</p>	<p>Financial Declaration: N/A</p> <p>Declaration of Interest: between USD 13,000 and USD 20,000 per year.</p>

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form														
8	UN-Habitat	United Nations Ethics Office (UNEO)	UN-Habitat falls under the United Nations Secretariat. See ST/SGB/2006/6																		
9	UNHCR	United Nations Ethics Office (UNEO)	<p>Number of FDS statements filed:</p> <table border="0"> <tr><td>2010</td><td>640</td></tr> <tr><td>2011</td><td>701</td></tr> <tr><td>2012</td><td>800</td></tr> <tr><td>2013</td><td>845</td></tr> <tr><td>2014</td><td>1217</td></tr> <tr><td>2015</td><td>1455</td></tr> <tr><td>2016</td><td>1501</td></tr> </table> <p>Financial Disclosure ST/SGB/2006/6</p> <ul style="list-style-type: none"> -All staff members at the D-1 or L-6 level and above; -All staff members who are procurement officers, or whose principal occupational duties are the procurement of goods and services for the United Nations; -All staff members whose principal occupational duties relate to the investment of the assets of the United Nations, the United Nations Joint Staff Pension Fund or of any accounts for which the United Nations has fiduciary or custodial responsibility; -Other staff members whose direct access to confidential procurement or investment information warrants the filing of a financial disclosure statement (in UNHCR, this category includes all members/alternate members/secretaries/ex-officio 	2010	640	2011	701	2012	800	2013	845	2014	1217	2015	1455	2016	1501	<p>Annual</p> <p>Online</p> <p>Online, UNHCR provides UNEO with the global list of eligible staff members.</p> <p>UNEO emails a confidential and personal message to each participant, including a temporary password and login instructions to access the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p> <p><i>*information submitted maintained in strict confidence</i></p>	External service provider (currently KPMG LLP, since 2013)	A small percentage is randomly selected for the verification process.	Over USD 500,00 upfront. USD 300 per filer in the 2016 filing year.
2010	640																				
2011	701																				
2012	800																				
2013	845																				
2014	1217																				
2015	1455																				
2016	1501																				

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			members of HCC, RCCs, LCCs); and -All staff members serving in the United Nations Ethics Office (UNHCR Ethics Office).				
10	UNICEF	UNICEF Ethics Office	<p>Number of FDS statements filed: 2012 – 2,498 2013 – 2,594 2014 – 2,549</p> <p>Executive Directive CF/EXD/2012-003 Financial Disclosure and Declaration of Interest Statements -All staff members at the level of D1/P6 and above -All Representatives and deputy representatives -All heads of sub-offices -All senior-most Operations Officers in each country office -All staff members who are participating in the procurement process -All staff members whose principal occupational duties relate to the investment of the assets of UNICEF or of any accounts for which UNICEF has fiduciary or custodial responsibility -Other staff members selected for participation in the Financial Disclosure Programme as identified by their Head of Office.</p>	<p>Annual</p> <p>Web-based through a specific tailor made software system.</p>	UNICEF Ethics Office (outsourcing is being considered)	UNICEF Ethics Office	N/A
11	UNODC	United Nations Ethics Office (UNEO)	UNODC falls under the United Nations Secretariat.				

Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
		See ST/SGB/2006/6				
12	UNOPS	<p>UNOPS Ethics Office</p> <p>Number of FDS statements filed: 2010 755 2011 720 2012 804 2013 709 2014 691 2015 679 2016 713</p> <p>Pilot new financial disclosure and conflict of interest form in 2016: The personnel required to file are defined as follows in section 2.1.1 of OD 23: Policy on Financial Declaration Statements: (a) All internationally-recruited staff members at the P-5 to D-2 levels. (those serving in the Ethics Office are subject to the UN Secretariat financial disclosure policy); (b) All UNOPS personnel who are procurement specialists, or whose principal occupational duties are the procurement of goods and services for UNOPS in all HQ divisions, regional offices, operations centres, project centres and projects having the delegation of authority (DOA) to effect procurement orders.; (c) All operations centre directors, project centre managers and cluster managers; (d) All project/portfolio managers;</p>	<p>Annual</p> <p>Online</p> <p>Using a system developed in-house</p>	<p>The Ethics Officer, the Ethics Advisor, and designated individuals working for the HEC, the external service provider, called Third Party Administrator (TPA)</p> <p>TPA reviews each submission in accordance with guidelines (the “COI Framework”) prepared by the Ethics Office.</p> <p>TPA communicates with filers using the dedicated UNOPS email address: financial.disclosure@unops.org</p>	<p>Outsourced to Third Party Administrator (TPA)</p> <p>From 2010 to 2014, 5 % of the filing population were verified by the then TPA</p> <p>No verification exercise was carried out in 2015 or 2016 because the security of personal data on email exchanges could not be guaranteed.</p>	<p>The cost per form is USD70 (as at 2017)</p> <p>On average about USD 250 per verification (roughly five times a review cost over the years)</p>

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>(e) All Headquarters Contracts and Property Committee (HQPC) and Local Contracts and Property Committee (LCPC) members and secretaries;</p> <p>(f) All UNOPS personnel whose principal occupational duties relate to the investment of the assets of UNOPS or of any accounts for which UNOPS has fiduciary or custodial responsibility. Principal occupational duties include those individuals for whom expected investment activities represent in excess of 40% of their normal prescribed duties;</p> <p>(g) UNOPS internal auditors;</p> <p>(h) Other UNOPS personnel, subject to exception at the discretion of Regional Directors or Directors at HQ, whose engagement in procurement activity warrants the completion of an FDCOI statement.</p>				
13	UNRWA	<p>Financial Disclosure (International staff) United Nations Ethics Office with support from the UNRWA Ethics Office</p>	<p>Number of FDS statements filed (International staff): Number of submissions ranges per year from 55 in 2010 to 110 in 2016</p> <p>Number of Declaration of Interest statements filed (Area staff): Number of submissions ranges per year from</p>	<p>Annual</p> <p>Online, using the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p> <p><i>*information submitted maintained in strict confidence</i></p>	<p>Financial Declaration External service provider (currently KPMG LLP, since 2013)</p> <p>Declaration of Interest For Area staff, the UNRWA Ethics Office reviews submitted forms in order to identify real or</p>	<p>Financial Disclosure For international staff, verification is carried out by the same firm that also reviews disclosure statements.</p> <p>For Area staff, in view of the nature of the programme – declaration of interest statements as opposed to full financial</p>	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
		<p>Declaration of Interest (Area staff) UNRWA Ethics Office</p>	<p>150 in 2010 to 725 in 2016</p> <p>Financial Disclosure For international staff All staff members at the D-1 level and above, all staff (regardless of grade) whose principal duties include procurement and investment functions, and all staff with access to confidential procurement or investment information. Staff whose principal occupational duties involve procurement or investment functions, all those responsible for requisitioning and certifying requisitions of significant quantities of goods and/or services, and all those serving on contract committees.</p> <p>Declaration of Interest Of the area staff, those required to file a Declaration of Interest Form covering their outside affiliations and other interests include all those whose principal occupational duties involve procurement or investment functions, all those responsible for requisitioning and certifying requisitions of significant quantities of goods and/or services, and all those serving on contract committees.</p>	<p>Declaration of Interest submission is also online.</p>	<p>potential conflicts of interest.</p>	<p>disclosures – no verification takes place.</p>	

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
14	UN-Women	United Nations Ethics Office (UNEO)	<p>Number of FDS statements filed: See United Nations Ethics Office</p> <p>Financial Disclosure All staff members at the D1 level and above and all staff members who are procurement officers are required to disclose annually their assets and liabilities, outside activities, and affiliations.</p> <p><u>For the annual Financial Statements of UN Women, all Key Management Personnel</u> (Under-Secretary-General / Executive Director, Assistant-Secretary-General / Deputy Executive Director, all D2s) are required to submit disclosure of any close relative that receives any remuneration or compensation from UN Women.</p>	<p>Annual</p> <p>Financial Disclosure Online, using the secure e-filing system (FDS), i.e. logging into the encrypted* Financial Disclosure System (www.unfdp.org)</p> <p><i>*information submitted maintained in strict confidence</i></p> <p>IPSAS 20 requirement: On <u>Key Management Disclosures</u>, submissions are sent to the Chief of Accounts, Finance Section, DMA, and retained for United Nations Board of Audit (UNBoA) review.</p>	<p>The United Nations Ethics Office (UNEO)</p> <p>IPSAS 20 requirement: On <u>Key Management Disclosures</u>, all submissions are reviewed by the Chief of Accounts, Finance Section, DMA.</p>	<p>Financial Declaration United Nations Ethics Office</p>	N/A
15	WFP	WFP Ethics Office	<p>Number of FDS filed: 2013 – 803 2014 – 1,021 2015 – 1,232</p> <p>Number of COI Questionnaires filed: 2013 – 1073 2014 – 1201 2015 – 1454</p> <p>Financial Declaration -WFP employees at D-1 and D-2 levels; -All Country Directors, Deputy Country Directors and heads of offices/sub-offices;</p>	<p>Annual</p> <p>Online</p> <p>Selected employees receive an e-mail which includes the link to a confidential database to complete the COIs Questionnaire, the Eligibility Questionnaire and the Financial Disclosure Statement.</p>	<p>external service provider, <i>Hudson-Ethics Consulting LLC</i></p>	<p>N/A</p> <p>However, the Ethics Office anticipates verification to be an option in the revised ED Circular related to ADP, with implementation dependent on resources and value.</p>	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>-Oversight, audit/investigations, inspections and investment treasury, procurement and legal – Officers, with the exception of the Employment and Administrative Law Branch;</p> <p>-Those whose occupational duties included procurement authority to release purchase orders of any type or who had regular access to confidential procurement information; and</p> <p>-Members of vendor management committees and those who are members of a Local Purchase Committee, Purchase Contracts Committee.</p>	All disclosures are confidential and accessible through a secure, online electronic filing system, only by the Ethics Office and its authorized external review experts (Hudson-Ethics Consulting LLC) for the purpose of administering the ADP.			
16	FAO	FAO Ethics Office	<p>No information on numbers</p> <p>Financial Disclosure</p> <p>-Staff members at the D-1 and D-2 level</p> <p>- FAO Representatives and Assistant Representatives (Programme and Administration)</p> <p>-Heads of Offices (Liaison, Regional and Sub-regional)</p> <p>-Assistant Director-Generals</p> <p>-Deputy Director-Generals</p> <p>-The Director-General</p> <p>In addition, staff members whose particular functions carry a risk factor, as determined by reference to a set of established risk criteria, are obliged to file financial disclosure statements upon</p>	<p>Annual</p> <p>Electronic submission/filing (process described in a specific administrative circular- AC 2015/18).</p>	<p>Financial Disclosure</p> <p>External reviewer (outsourced). The reviewer sends a report of the review to the Ethics officer who, after verification, is responsible for the right follow up.</p> <p>Declaration of Interest</p> <p>The Ethics office provides support to the external reviewer.</p>	External reviewer (outsourced).	Around USD 100 per form

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			recruitment and annually thereafter. The Director-General may designate additional categories of staff as having an obligation to file financial disclosure statements.				
17	IAEA	Division of Human Resources, Ethics Advisors	<p>No information on numbers</p> <p>Ethics Policy AM. II/17, F All staff members at the D-1 level and above and staff designated by the Director General with finance, procurement, human resources, OIOS and legal functions, must complete annually a “Declaration of Interest Statement”, affirming their compliance with the Staff Regulations and Rules and the Ethics Policy.</p>	<p>Annual</p> <p>Online</p>	Division of Human Resources, Ethics Advisors.	IAEA does not use the extensive financial statements.	N/A
18	ICAO	ICAO Ethics Office	<p>Conflict of Interest statements filed: 2015 - 106</p> <p>ICAO Service Code (Doc 7350/9) Financial Declaration All staff at D1 and above, also all certifying officers and staff whose responsibilities include procurement, travel, asset, benefit or entitlement processing.</p> <p>Declaration of Interest Those currently required by the Service Code to file a return are all staff at D1 and above, while the Secretary General has also mandated that this last category</p>	<p>Annual</p> <p>Manually (on paper) 2 forms need to be submitted; a short Conflict of Interest Declaration form, which is filed and used by a staff member to declare a potential conflict of interest</p> <p>Second is the longer Financial Disclosure form which remains strictly confidential and in a sealed envelope in a secure environment with the Ethics Officer</p>	ICAO Ethics Office		N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			also includes all certifying officers and staff whose responsibilities include procurement, travel, asset, benefit or entitlement processing. The deciding factor is therefore work responsibilities and authorities, and not necessarily grades. All alternate certifying officers are also required to make the declaration.				
19	ILO	Treasurer and Financial Comptroller	<p>Number of FDS statements filed: 2010 – 152 2011 – 155 2012 – 157 2013 – 165 2014 – 163 2015 – 164 2016 - 167</p> <p>Office Procedure, Register of financial interests and related party disclosures, IGDS Number 117 (Version 1) of 1 December 2009</p> <p>Financial Disclosure Officials occupying positions at the D.1 level and above, the Treasurer and Financial Comptroller, all officials in PROCUREMENT, designated officials at the P.5 level who exercise financial authority, and any other official whose position is so specified by the Director-General, must annually file a financial interest disclosure form.</p>	<p>Annual</p> <p>IPSAS All <u>key management personnel</u> are required to disclose the existence of related party relationships, including close members of the family, on an annual basis.</p>	ILO Treasurer and Financial Comptroller	ILO Treasurer and Financial Comptroller	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>IPSAS</p> <p>For <u>key management personnel</u> (Director-General, executive directors, regional directors, the Treasurer and Financial Comptroller, and the Legal Adviser) this obligation includes disclosure of the existence of related party relationships (see Office directive, Register of financial interests and related party disclosures, IGDS Number 116 (Version 1) dated 1 December 2009, and Office Procedure, Register of financial interests and related party disclosures, IGDS No. 117 (version 1), of 1 December 2009).</p> <p>D.1 level and above, the Treasurer and Financial Comptroller, all officials in procurement, designated officials at the P.5 level who exercise financial authority, and any other official whose position is so specified by the Director-General.</p>				
20	IMO	IMO Internal Oversight and Ethics Office (IOEO)	<p>Number of FDS statements filed: 2015 – 28 2016 - 38</p> <p>Financial Declaration -All staff members at the D-1 level and above; -All staff members, who are procurement officers, or whose principal occupational duties are the</p>	<p>Annual</p> <p>Staff can either submit to the FD Focal Point at a dedicated confidential email address, or with hard format documents through internal post</p>	IMO Internal Oversight and Ethics Office (IOEO)	IMO has not yet conducted any verification process.	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>procurement of goods and services for IMO;</p> <p>-All staff members, who are financial officers, or whose principal occupational duties relate to the investment of the assets of IMO or of any accounts for which IMO has fiduciary or custodial responsibility;</p> <p>-Other staff members whose direct access to confidential procurement or investment information or whose engagement in procurement activity for a limited duration or under specific exceptional circumstances, warrants the completion of a financial disclosure statement; and</p> <p>-All professional staff members serving and performing internal oversight and/or ethics function.</p>				
21	ITU	ITU/WMO Ethics Office	<p>Number of FDS statements filed:</p> <p>2011 - 41 2012 - 101 2013 - 83 2014 - 96 2015 - 113 2016 – 107</p> <p>Service Order No. 11/03 Financial Disclosure (a) All Elected Officials, as well as D.2 and D.1 staff; (b) All staff members who are procurement officers or whose principal occupational duties relate to procurement decisions of goods and services for ITU;</p>	<p>Annual</p> <p>Electronically (Email invitation with the relevant documentation to submit their form.)</p>	For the process completed in 2017, the forms are being reviewed by the Ethics Officer.	Service Order No. 11/03 envisions the possibility of verification but no verification conducted to date.	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>(c) All staff members who are involved in the functioning of the ITU Contracts Committee [(including alternates)];</p> <p>(d) All staff members whose principal occupational duties relate to investing or managing financial assets of ITU, the United Nations Joint Staff Pension Fund or of any accounts for which ITU has fiduciary or custodial responsibility;</p> <p>(e) Other staff members whose direct access to confidential procurement or investment information warrants the filing of a financial disclosure statement;</p> <p>(f) All professional staff of the Internal Audit Unit;</p> <p>(g) The Ethics Officer and all professional staff members of the Ethics Office; and</p> <p>(h) Any person offered an appointment at a level or position that would require disclosure pursuant [the above].”</p> <p>(Service Order 11/03, at para. 2.1.)</p>				
22	UNESCO	UNESCO Ethics Office	<p>Number of FDS statements filed:</p> <p>2014 – 332</p> <p>2015 – 386</p> <p>2016 - 412</p> <p>Administrative Circular AC/HR/29</p> <p>Financial Disclosure</p> <p>a. All fixed-term employees at the P-5 level or above; b. All the employees of the Ethics Office;</p>	<p>Annual</p> <p>Electronically, using the online questionnaire</p>	UNESCO Ethics Office (except questionnaires completed by its own staff, which are reviewed by the Internal Oversight Service (DIR/IOS))		N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			c. Employees whose principal duties include the procurement of goods and services for UNESCO; and employees whose principal duties relate to investment of UNESCO assets.				
23	UNIDO	UNIDO Office of Internal Oversight and Ethics (IOE)	<p>Number of Financial Declaration and Declaration of Interest statements filed: 2011 – 253 2012 – 269 2013 – 252 2014 – 214 2015 - 222</p> <p>UNIDO Policy for Financial Disclosure and Declaration of Interests (UNIDO/DGB/(M).118) The following staff members and employees, except those employed under the 300-series of the Staff Rules, are obliged to file a Financial Disclosure (FD) and Declaration of Interests (DI) statements: -All staff members at the P-5 or L-5 level and above; -Allotment holders and alternate allotment holders; - All staff members whose principal occupational duties are the procurement of goods and services, including the procurement of services of individual consultants and experts; -All staff members whose occupational duties relate to the</p>	<p>Annual</p> <p>Statements in a sealed envelope are submitted to the Ethics Office by the individual concerned either in person or, in the case of an individual whose duty station is away from Headquarters, by UN/UNIDO pouch or registered mail.</p>	UNIDO Office of Internal Oversight and Ethics (IOE) Senior Ethics Officer (SEO)	The UNIDO Policy for Financial Disclosure and Declaration of Interests (UNIDO/DGB/(M).118) does not prescribe verification, but a review process by the SEO, in consultation, if necessary, with the individual concerned is undertaken.	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>investment of financial assets of UNIDO or management of any accounts for which UNIDO has fiduciary or custodial responsibility;</p> <ul style="list-style-type: none"> - All employees whose duties include those described under (b) to (d) above; - Members of the Procurement Committee, their alternates and the secretariat thereof; - The Professional staff of the Ethics Office. 				
24	UNWTO	UNOPS Ethics Office	<p>Number of FDS statements filed: 2014 – 13 2015 – 13 2016 - 12</p> <p>Financial Disclosure In accordance with Section 2 of Circular NS/774, the following UNWTO staff members have an obligation to file an annual financial declaration statement:</p> <ul style="list-style-type: none"> -All UNWTO staff members at the D-1 level and above; -The Chief Procurement Officer and all UNWTO staff members whose principal occupational duties are the procurement of goods and services for UNWTO. Principal occupational duties include those staff members for whom expected procurement activities comprise more than 50% of their normal prescribed duties; 	<p>Annual</p> <p>Financial Declaration The form is available on the Intranet. The financial declaration is forwarded to an external entity, the Third Party Administrator (outsourced through UNOPS) that advises and liaises with the UNWTO staff members in the event that any information included in the UNWTO staff financial declaration statement needs clarification.</p>	external service provider, HEC (the same one used by UNOPS).	5 % of the total number of Financial Disclosure Programme participants per year are selected for the verification process, in addition to the regular review process.	<p>The Financial Disclosure Programme was included in a lump-sum cost of 30,000 USD (annually) for the provision of the Ethics Office by UNOPS.</p> <p>Actual cost is unknown but of the range of 6,000 USD</p>

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>-The Director of Administration and Finance, UNWTO Finance programme coordinator, UNWTO's treasurer and all UNWTO staff members whose principal occupational duties relate to the investment of the assets of UNWTO or of any accounts for which UNWTO has fiduciary or custodial responsibility. Principal occupational duties include those individuals for whom expected investment activities represent an excess of 50% of their normal prescribed duties;</p> <p>-UNWTO staff whose direct access to confidential procurement (Legal staff) or investment information or whose engagement in procurement activity for a limited duration or under specific exceptional circumstances, warrants the completion of a financial declaration statement;</p> <p>- All staff serving in the Procurement Review Committee.</p> <p>In addition, staff at the level of D2 and above are required to submit a financial disclosure in accordance with Standard 20 of the International Public Sector Financial Standards (IPSAS).</p>				
25	UPU	Outsourced to External service provider, BDO Consulting	<p>Financial Disclosure</p> <p>- All staff members at grade D 1 or above, without exception</p>	<p>Annual</p> <p>Online system</p>	External service provider, BDO Consulting (Swiss audit company)	A number of forms are chosen at random by the external service provider	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
		(Swiss audit company)	<ul style="list-style-type: none"> - Staff members in charge of procurement or whose main function is the procurement of goods and services - Staff members whose main function is the investment of UPU assets or assets of the UPU Provident Scheme or the investment of funds of any accounts for which the UPU has fiduciary or custodial responsibility - Staff members whose direct access to confidential procurement or investment information warrants the filing of a financial disclosure statement - All staff members involved in direct negotiations with the private sector. 				
26	WHO	WHO Office of Compliance, Risk Management and Ethics (CRE)	<p>Number of FDS statements filed:</p> <p>Since 2014 over 400 staff annually have completed the exercise.</p> <p>In 2015, it was expanded to include P.5 staff, thereby increasing to just under 600 staff members.</p> <p>Declaration of Interests Guidelines and Information Note 22/2014 (25 September 2014).</p> <p>Financial Declaration All Senior Management and P.5 staff and above and all staff working in sensitive areas such as procurement.</p>	<p>Annual</p> <p>Submissions are made under confidential cover (managed by CRE)</p>	WHO Office of Compliance, Risk Management and Ethics (CRE)	<p>No mention of verification per se:</p> <p>CRE staff liaise with the staff members who have disclosed the interests to obtain further information. Depending on the mitigation instituted, CRE requests proof of compliance with the mitigation recommendations.</p>	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			Declaration of Interest Staff working in CRE, LEG, and the Guidelines Review Committee.				
27	WIPO	WIPO Ethics Office	<p>No information on numbers</p> <p>The reference to the 2013 OI on Financial Disclosure should be updated with a reference to the new OI No. 36 of 2017 with the resulting changes in the text appearing in the columns, including the type and the number of participants. Office Instruction No. 1/2013 (Corr.)</p> <p>All staff members at D-1 level and above; and P-5 level staff in the Human Resources Management Department; the Department of Finance and Budget; and the Procurement and Travel Division.</p> <p>Additionally, staff members at the D2 level and above are required pursuant to the International Public Sector Accounting Standards (IPSAS) to which WIPO subscribes to disclose any remuneration paid by WIPO to a “close member of the family”, which is defined for purposes of IPSAS as (i) a spouse, domestic partner, dependent child or relative living in a common household; (ii) a grandparent, parent, non-dependent child, grandchild, brother or sister; and</p>	<p>Annually, and for new staff, on entering into office</p> <p>Manually (the possibility exists to send the form by e-mail to a dedicated mailbox).</p>	<p>WIPO Ethics Office</p> <p>The Ethics Office provides the information required for IPSAS reporting to the Finance Division.</p> <p>On IPSAS, The Ethics Office received replies from all affected staff members. These indicated no transactions between WIPO and WIPO’s key management personnel which require disclosure according to IPSAS 20 (“Related Party Disclosures”).</p>	No	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			(iii) the spouse or domestic partner of a child, parent-in-law, a brother-in-law or a sister-in-law. Such staff members are also required to disclose any entities which have entered into transactions with the Organization in which the staff member or close member of the staff member's family holds a substantial ownership interest or is able to exercise significant influence.				
28	WMO	WMO Ethics Office Internal Oversight Office (IOO)	Number of FDS statements filed: 2010 - 34 2011 - 34 2012 - 31 2013 - 29 2014 - 31 2015 - 32 2016 - 31 Service Note No. 25/2006 Financial Declaration -All staff members at the D.1 level and above; - All staff members who are procurement officers, or with significant occupational involvement in the procurement of goods and services for WMO; - All staff members whose principal occupational duties relate to the investment of the assets of WMO or of any accounts for which WMO has fiduciary or custodial responsibility;	Annual Financial Declaration The completed statement should be submitted in a sealed envelope to the Internal Oversight Office (IOO) [except for the statements of the Secretary-General, which shall be submitted to the President of WMO and statements of DSG and ASG which shall be submitted to the Secretary-General]. Declaration of Interest Form available on WMO intranet, or from the Division of Human Resources.	Director of the Internal Oversight Office (IOO)	No verification	N/A

	Participating Organization	Name of office responsible	Type and number of participants (policy reference)	Submission frequency and method	Review entity	Form verification	Cost per form
			<p>- Other staff members whose direct access to confidential procurement or investment information warrants the filing of a financial disclosure statement;</p> <p>- All professional staff in the Internal Oversight Office.</p> <p>Declaration of Interest Staff members serving on appointments of short duration or persons employed under special service agreements who fall within the scope of paragraph 2.1 above, have the obligation to file a declaration of interest statement instead of a financial disclosure statement.</p>				

Attachment III: Training on ethics and/or code of conduct, including modules on conflict of interest

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
1	United Nations Secretariat	Ethics and integrity at the United Nations	Mandatory	Online through the Inspira Learning Platform	English and French	All staff members	18,845 i.e. 46.9% (2014-2017)	<ul style="list-style-type: none"> • This ethics training is made available for all United Nations personnel, including consultants and those on temporary appointments via: <ul style="list-style-type: none"> (a) The Human Resources Portal; (b) The United Nation System Staff College (UNSSC) e learning platform: Portals UNKampus (portals.unssc.org; new user registration required). • The webpage may also be accessed by staff members of other entities of the United Nations system and the general public. • A new online mandatory training course. “Preventing Fraud and Corruption at the United Nations” is expected to be made available through Inspira. • Before 2014: the course’ older version was completed by 16,450 staff members i.e. 40.99% compliance rate.
2	UNAIDS	Ethics and integrity at the United Nations	Mandatory	Online though the UNAIDS Performance and Learning Management Platform	English and French	All staff members	592 i.e. 82%	Total staff members’ number 721
3	UNCTAD*							

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
4	ITC	Ethics and integrity at the United Nations	Mandatory	Online	English and French	All staff members	96%	<p>Till 2013 the compliance rate was:</p> <ul style="list-style-type: none"> - 63% compliance for 'Working together-ethics in our daily work' and - 81% for 'Integrity awareness initiative learning'. <p>Both were merged and replaced by 'Ethics and integrity at United Nations System' in 2015.</p>
5	UNDP	Ethics and integrity at UNDP	Mandatory	Online	English, French and Spanish	All staff members	6,637 about 87-90%	<ul style="list-style-type: none"> • Two additional ethics related courses are mandatory: <ul style="list-style-type: none"> - Ethics- Helpful Offices in UNDP' and - 'UNDP Legal Framework What Every Staff Should Know' - The United Nations Course on Prevention of Harassment, Sexual Harassment and Abuse of Authority • 1,763 staff members had completed the old version of 'Ethics and Integrity at the United Nations'. • Completion of all mandatory courses is in the range of 87-90%. • The Ethics Office has developed, and offers through the Learning Management System, a supplemental course entitled "Avoiding Conflicts of Interest". 225 individuals had completed this voluntary course as of early October 2017. The Ethics Office has also delivered a live version of this course to country offices upon request.

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
6	UNEP*	Ethics and integrity at the United Nations	Mandatory	Online	English and French	All staff members	50% for 2017	
7	UNFPA	Ethics and integrity at the United Nations	Mandatory	Online	English and French	All staff members	313	<ul style="list-style-type: none"> The Ethics Office is considering an online course for non-staff personnel, funds permitting 341 staff members had completed the old version.
8	UN-Habitat*							
9	UNHCR	Code of Conduct refresher session	Mandatory	Face-to-face	English and French (Spanish and Arabic upon request)	All staff members	8000 in 2015 9151 in 2016	<ul style="list-style-type: none"> Region-wise compliance rate for Code of Conduct refresher session in 2016: 80% of staff in all operation in Europe; 66% of staff in all operation in MENA; 55% of staff in all operation in Africa. Additional non-mandatory E-learning course on 'Fundamentals of Fraud and Corruption'.
10	UNICEF	Ethics and integrity at UNICEF	Mandatory	Online	English and French	All staff members	Not mentioned	
11	UNODC*							
12	UNOPS	Ethics and Integrity at the United Nations	Mandatory	Online	English	All staff members	Not mentioned	UNOPS Learning Management System is expected to go live in early 2018 and will enable a stricter follow-up of compliance with mandatory training courses.
13	UNRWA	Ethics and Integrity at the United Nations	Mandatory	Online	English and French	All staff members	End of 2016: more than 30,000 staff members No mention of compliance rate	The course was launched in 2013.

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
14	UN-Women	Ethics and Integrity at the United Nations	Mandatory	Online	English and French	All staff members	<i>Not mentioned</i>	
15	WFP	<ul style="list-style-type: none"> Ethics and Standard of Conduct at WFP Prevention of Fraud, Corruption and Sexual Exploitation and Abuse (SEA) at WFP 	Mandatory	Online	English, Spanish, French and Arabic expected first quarter 2018	All staff members	<ul style="list-style-type: none"> 8,885 11,041 <i>No mention of compliance rate</i>	'Ethics and Standard of Conduct at WFP' was launched on 23 December 2016 and the deadline for e-learning has not yet been reached.
16	FAO	Ethics e-learning programme	Planned to become mandatory from 2017	Online	English for the online course.	All staff members	<i>Not mentioned</i>	Specific guidance is available in particular in areas such as non-staff human resources.
17	IAEA	Ethics and integrity awareness training	Mandatory	Online	<i>Not mentioned</i>	All staff members	2,396 current staff members since 2012	Non-staff is not required to undergo training.
18	ICAO	Online training	Mandatory	Online	<i>Not mentioned</i>	All staff members	10% in 2016	In 2016, the Secretary General made the courses mandatory annually.
19	ILO	ILO e-learning programme on ethics	Not mandatory	Online	English, French and Spanish	All staff members	311 staff i.e. 67% since inception of course	
20	IMO	Ethics training course	Mandatory	Online	<i>Not mentioned</i>	All staff members	206/300 i.e. 68% since 2017	The course was launched in 2017.
21	ITU	ITU e-learning training on ethics	Not mandatory	Online	<i>Not mentioned</i>	All staff members	<i>Not mentioned</i>	<ul style="list-style-type: none"> Designed for all UN personnel. ITU is in the process of establishing a foundational e-learning course for all staff.

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
22	UNESCO	Ethics training	Mandatory	Face-to-face	English, French and Spanish	All staff members	5,878 (2010-2017) <i>No mention of compliance rate</i>	<ul style="list-style-type: none"> • No training on ethics in 2013 and 2014 • The Ethics Office is developing a new e-learning tool for the Ethics course which will be released in early 2018 • Two additional courses: Training on the UNESCO Anti-Harassment Policy mandatory for specific audience and Ethical Leadership training mandatory for P5 and above.
23	UNIDO	Code of ethical conduct	Mandatory	Online	English	All staff members	<i>Not mentioned</i>	Additional mandatory course on 'Introduction of fraud awareness'.
24	UNWTO	Training courses by Ethics Officer	Mandatory	Face-to-face	<i>Not mentioned</i>	All staff members	94 in 2013 and 136 in 2015	
25	UPU**							
26	WHO	Module of induction training	Mandatory (the module- not implemented yet the dedicated programme underway)	<i>Not mentioned</i>	<i>Not mentioned</i>	All staff members	<i>Not mentioned</i>	<p>A new Code of Ethics and Professional Conduct has just been adopted by WHO and will be the basis for a systematic mandatory ethics training programme.</p> <p>All newly inducted staff in HQ have been trained since the establishment of CRE in 2014</p>
27	WIPO	Ethics training programme	Mandatory	<i>Not mentioned</i>	<i>Not mentioned</i>	All staff members	1,618 (2012-2015) <i>No mention of compliance rate</i>	

	Participating Organization	Title of training course	Nature of training	Method of training/ course availability	Language of course	Type of participants	Number of participants/ compliance rate	Remarks & other details
28	WMO	Training on ethics	Mandatory	Online	<i>Not mentioned</i>	All staff members	<i>Not mentioned</i>	New recruits are required to complete the course. Training on ethics for existing staff is mandatory- the Ethics Office and Human Resources are considering training modules that could be used for current staff.

* JIU Participating Organizations listed in ST/SGB/2015/3, thus covered by the United Nations arrangements.

** UPU has not responded to the Questionnaire due to reasons explained in the report's introduction.

Details on training programmes (supplementing information provided in chapter VI of the report)

Basic training on ethics: mandatory and optional

1. In an effort for boosting coherence across the system, the Ethics Office gives free access to the course at request to a number of United Nations system organizations. For example, UNAIDS, UNOPS, IMO, UN-Women and UNICEF have already benefited from this offer. The original course, which lasted longer had been developed by UNRWA, before being adopted, revisited and transmitted by the United Nations Ethics Office. The course has become mandatory for all personnel, staff and non-staff of the UN-Women. Even if the course needs to be adapted to the needs of the Organization, this solution is found to be cost effective. For example, all new UNICEF staff are required to complete as a part of their induction the “Ethics and Integrity at UNICEF course”, which has been adapted from the United Nations training course. This course has embedded modules on conflict of interest and relevant issues.
2. UNDP also issued a refresher online ethics training course in 2016, as the earlier version of the course lacked examples of behaviour and context, and relied on memorization of the rules. In addition to all UNDP staff members, service contractors and UNVs are required to take this course when they join the Organization and repeat it every few years. The new mandatory ethics training course contains specific guidance on prevention of conflicts of interest. It was revamped to become more user-friendly in order to send messages also to locally recruited staff, in the field, in remote and isolated geographic areas. In addition to the refresher, a supplemental 30-minute online course focusing on avoiding conflicts of interest was introduced in 2015 as optional.
3. The UNFPA online ethics training which has an entire section on preventing and addressing conflicts of interest, including several scenarios and questions on the topic, is intended to staff members only and is mandatory. The Ethics Office is now considering an online course for non-staff, if funds

permit to develop it. The current version that lasts one hour and a half has been adapted from the initial four-hour version of UNRWA and differs from the one used by the United Nations Secretariat and UNDP.

4. In UNHCR, every ten years there are mandatory refreshing sessions; 75 per cent of offices did it last year. Refresher sessions are not meant to be only one event anymore; they have since added webinars and made more efforts to make it an ongoing conversation.
5. The basic course on ethics that was introduced in UNESCO in 2013 includes a module on conflict of interest. However, this course has not been made available online yet. It is a mandatory induction training course for all personnel and refresher courses are taken every three years.
6. The only formal training in UNIDO where conflicts of interest are dealt with and with a certificate issued is the mandatory online course on the UNIDO Code of Ethical Conduct.
7. At present, the IAEA Division of Human Resources provides an online training course on ethics called the Ethics and Integrity Awareness Training Course which is mandatory for all staff. Staff members are required to complete this online course, within their first six months of service and then take a refresher course every five years thereafter. Nevertheless, no such refresher course has been provided yet to the already trained IAEA staff members, as the perspective of the establishment of a new Ethics Office led to the slowing down and put on hold of the refresher training course, because they judged that it would be more appropriate for that Office - once it is established - to review and probably redesign the refresher course in accordance with its standards.
8. In IMO the online ethics training course adapted from the United Nations is mandatory for all personnel, including temporary staff and non-staff, who are actively encouraged to participate. The IMO supervisors are in charge of monitoring the compliance of their supervisees with their obligation to complete the mandatory course. Since March 2017, personnel actions, in particular, performance appraisal, have been connected through IT to the completion of this mandatory course. The successful completion of the course constitutes a requirement for within-grade step increment during an annual cycle, in accordance with administrative instructions. The Inspector believes that this is best practice that should be emulated in all United Nations system organizations.
9. In UNOPS, although staff members represent only 10 per cent of the total population of the organization, the training course on ethics is not mandatory even for them. Despite the fact that hiring the remaining 90 per cent of the UNOPS personnel is a high-risk area concerning conflicts of interest, as many times the process involves comparing two CVs only, after a simple desk review, without prior advertisement of the vacant positions, neither the recruiters nor the new recruits are required to complete the available training course on ethics, in particular, its module on conflict of interest.

Additional training courses on ethics

10. The UN-Women Human Resources Division and Legal Office have conducted a global training series on human resources and legal issues, including staff roles and responsibilities regarding outside work and conflict of interest. HR Learning hosts quarterly workshops on Ethics and Code of Conduct at the Workplace, which cover matters related to conflict of interest.
11. Informal training also exists in UNIDO, with training sessions on Ethics and Internal Oversight for newcomers/Departments, an annual Fraud Awareness Week organized by the Office of Internal Oversight and Ethics, including hands-on exercises, and periodic messages to staff by the Senior Ethics Officer.
12. UNFPA conducts in-person training on ethics that includes scenarios on conflicts of interest, offered in three languages to all personnel at all levels. Moreover, in UNFPA, face-to-face briefings are provided to all D-2 level and above staff upon their appointment. All training courses include information on how to contact the Ethics Office. The Ethics Office microsite includes articles about outside activities and employment and other potential conflicts of interest, as well as contact information. The UNFPA Office of Audit and Investigation Services (OAIS) pointed out that it has conducted ad-hoc training with country offices (when on mission), as well as participated (remotely or in person) in regional planning meetings or regional meetings of operations management, where conflict of interest among other topics was covered. Further, OAIS and some country offices have participated in joint efforts for raising awareness, of own staff as well as implementing partners' staff, together with other United Nations system organizations and donors.
13. The IMF Resident Representatives receive a briefing. In general, the Ethics Office tailors the content to the specific audience and area. For example, it is known that Resident Representatives are close to local governments and may receive pressure from their members to hire individuals related to them, etc. The Ethics Office has to be creative to raise awareness

Attachment IV: Procurement training on ethics, including conflicts of interest

Participating Organization		Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/compliance rate	Remarks
1	UNITED NATIONS	Ethics and integrity in Procurement	Mandatory	Online workshop Through the Procurement Training Campus Website	English and French	Procurement	180 in 2016	1,216 is the total participants' number from 04/2010-12/2015.
		Procurement Certification Courses	<i>Not mentioned</i>	Face-to-face Courses accredited by the Chartered Institute of Purchasing and Supply (CIPS)	<i>Not mentioned</i>	Procurement Administration Officers	<i>Not mentioned</i>	
2	UNAIDS							Since 2014, a formal procurement manual describes processes and responsibilities of each party, and provides templates and samples.
3	UNCTAD*							
4	ITC	Ethics in procurement online training	Mandatory	Online				
		Procurement Certification Courses	<i>Not mentioned</i>	Courses accredited by CIPS				
5	UNDP	Procurement Certification Courses	<i>Not mentioned</i>	Courses accredited by CIPS	<i>Not mentioned</i>	Procurement	<i>Not mentioned</i>	The Ethics Office would specifically address procurement related ethical issues when speaking with the Procurement. The UNDP Ethics Office has provided Procurement Ethics training to various procurement staff upon request, and the UNDP Ethics Office includes procurement and conflict of

Participating Organization	Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/compliance rate	Remarks	
							interest issues in the Office's in-person and on-line ethics training	
6	UNEP*	Ethics programme for procurement staff	<i>Not mentioned</i>	Online Coordinated by United Nations Office at Nairobi (UNON)	<i>Not mentioned</i>	Procurement	<i>Not mentioned</i>	
7	UNFPA	Procurement training- Level 1, IFC, Ethics/Fraud Training, CIPS Training and Ad Hoc training.	Level 1 and ICF mandatory	Training conducted by Procurement Services Branch.	<i>Not mentioned</i>	Procurement	<i>Not mentioned</i>	"most procurement staff have CIPS certification"
8	UN-Habitat*							
9	UNHCR	Certification Programme for Supply Chain Management (CPSCM) Supply Chain Learning Program 1 (SCLP1)	<i>Not mentioned</i>	Courses developed by UNHCR Global Learning Center (GLC)	<i>Not mentioned</i>	Procurement	100 for SCLP1	The supply chain learning program was launched on June 1 st 2017 and contains a module on procurement. In 2018 an eLearning on the Prevention of Fraud and Corruption in Procurement will be launched.
10	UNICEF	Procurement at UNICEF	<i>Not mentioned</i>	Online	<i>Not mentioned</i>	Procurement	188 (Module 1 which is Ethics focused)	<ul style="list-style-type: none"> • Of a total of 948 staff members that signed up: <ul style="list-style-type: none"> - 188 completed Module 1 - 96 completed Module 2, - 39 completed Module 3, and - 46 completed Module 4. • The Supply Manual, Chapter 6 on Procurement of supplies,

Participating Organization		Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/compliance rate	Remarks
								equipment and services, includes guidance on how to avoid conflict of interest in procurement.
11	UNODC*							
12	UNOPS	Procurement Operations Training	Mandatory	Face-to-face Presented by the UNOPS Procurement Training Specialist	<i>Not mentioned</i>	Procurement	656 participants since 2015	<p>In 2017, this 4-day course has been delivered in HQ plus 12 field offices.</p> <p>In addition, from 2015-2017, 241 participants in the mandatory for all holders of Delegations of Authority in Human Resources, Procurement and Engagement Acceptance legal training course on the UNOPS Legal Framework.</p> <p>In 2018, UNOPS will launch a new online mandatory training course on Ethics and Fraud Prevention in Procurement, a mandatory Course developed jointly by Procurement Group, Internal Audit and Investigations Group and the Ethics Office, which will be addressed Procurement, DOA holders, contracts committee members and secretaries, in English, French and Spanish.</p>
		CIPS qualifications	Not mandatory			Procurement practitioners	200 since 2010	All UNOPS directly supervised personnel are encouraged to have at least one externally

Participating Organization		Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/ compliance rate	Remarks
								awarded professional certification in a practice area such as procurement
		Institute for Supply Management	Not mandatory			Procurement practitioners	17 in 2017 (first year offered)	All UNOPS directly supervised personnel are encouraged to have at least one externally awarded professional certification in a practice area such as procurement
13	UNRWA							
14	UN-Women	Procurement Certification Courses	<i>Not mentioned</i>	Courses accredited by CIPS	<i>Not mentioned</i>	Procurement	<i>Not mentioned</i>	UN -Women partnered with CIPS in 2016.
15	WFP							The Ethics Office has been delivering trainings on ethics and expected standards of conduct which are conducted on demand and tailored to the needs of the specific audience for example for Procurement.
16	FAO							<ul style="list-style-type: none"> • Specific guidance is available in particular for areas such as procurement, implementing partners etc. • Detailed guidelines on Fraud and Collusion in Procurement are in place; Declaration of No Conflict of Interest and Maintenance of Confidentiality for Personnel

Participating Organization		Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/ compliance rate	Remarks
								Involved in Procurement are required.
17	IAEA							Since 2011, staff members designated by the Deputy Director General for Management (DDG-MT) and who are involved in the procurement of goods or services, must complete any supplementary training in ethics, as the DDG-MT may from time to time direct.
18	ICAO							
19	ILO	ILO e-learning programmes on ethics, internal governance and procurement.						Conflict of interests is a key area addressed in the A series of specific procurement courses is offered to staff involved in procurement activities.
20	IMO							
21	ITU							It is expected that, over the course of 2017, the staff of the Procurement Unit plan to complete an online course on Ethics in Procurement available to UN staff.
22	UNESCO	Training on Contracting & Procurement policies and procedures.	Mandatory to key personnel involved in contracting	Mandatory to key personnel involved in contracting	English: and French for African field offices	Directors of Field network, Programme specialists, Administrative officers and	326 Directors of Field network/ Programme specialists and	CIPS training has been offered to 20 staff at HQ At HQ, the procurement officer and the purchasers' team have to go through the advanced

Participating Organization		Title of course	Nature of course	Training method and provider	Language of course	Type of participants	Number of participants/ compliance rate	Remarks
					(Translations upon request)	Administrative assistants.	110 Administrative officers /Administrative assistants.	levels of CIPS certification (Levels 3, 4 and Diploma) and this process is ongoing.
23	UNIDO	Procurement Certification Courses	Mandatory for all UNIDO staff involved in procurement activities	Courses accredited by CIPS	English	All staff members involved in certification and approvals		<ul style="list-style-type: none"> The test is designed for all certifiers and approvers of HQ and field-based. Six procurement staff at the professional category have CIPS certification level 4
24	UNWTO							
25	UPU**							
26	WHO							
27	WIPO	UNDP CIPS				Procurement		The Command Procurement Activity Group (CIPAG) which is part of the network of the procurement officers is enrolled in the course.
28	WMO	CIPS	Not mandatory					CIPS training is not mandatory for all staff members, especially since most staff have completed at least the third level of Ethics training.

* JIU Participating Organizations listed in ST/SGB/2015/3, thus covered by the United Nations arrangements.

** UPU has not responded to the Questionnaire due to reasons explained in the report's introduction.

Details on training programmes (supplementing information provided in chapter VI of the report)

Training on ethics in procurement

14. With a procurement portfolio ranging from USD1 to USD3 billion in more than 160 country offices, at present, 1,750 UNDP procurement practitioners have been certified in total. This figure is split according to the three CIPS certification levels as follows: 1,200 were certified at Level 2; 450 at Level 3; 100 at Level 4. The course lasts 5 days. The examination test is very strict and a 75% score plus the drafting of an essay of 300 words on a real practical case are required to pass it. The remaining United Nations system organizations that require procurement staff to pursue appropriate CIPS training courses are: UNODC, UN-Women, IMO, UNIDO and IAEA. Beginning in 2016, UN-Women decided to provide similar training to all staff members involved in procurement. Thus, it partnered with CIPS to offer a procurement certifications programme for all procurement practitioners.
15. Anybody in IMO headquarters involved in procurement attends the UNDP procurement certification courses, which are accredited by CIPS and tailored to common United Nations and public procurement rules, policies and procedures. Procurement for the regional IMO offices is handled by the respective country offices of UNDP.
16. Although a number of procurement staff is certified by the CIPS, the procurement officials of UNICEF disagree with the UNDP position in collaborating closely and exclusively with this provider and making this certification a rule for the United Nations system considering that privileging the provider of this training and certification would create a monopoly for it.
17. Besides, the general mandatory e-learning course, the Office of IAEA Procurement Services rolled out at the end of 2015, a face-to-face course on ethics at suppliers' level that includes a module on conflict of interest. This one-day in-class course is intended not only to the procurement services' staff members but to all staff members involved in procurement actions (e.g. requisitions, technical evaluations, drafting of specifications, etc.). A training session has about 25 participants in average. 180 staff members in total have been trained so far. Due to the 7-year career limit with the Agency and constant rotation of staff involved in procurement is, IAEA cannot achieve high rates of training on ethics in procurement. The specific course was developed by UNDP at the request of the Office of Procurement Services, with the consent of the then two Ethics Advisors, based on an earlier JIU recommendation to enforce the IAEA ethics framework.
18. Moreover, UNDP provides on site in Vienna CIPS training courses on procurement addressed to professionals, i.e. staff members involved in the *stricto sensu* procurement services, which have been developed in Copenhagen. The levels of CIPS certification of the current staff in the IAEA Office of Procurement Services range from 1 to 4. All the Vienna based United Nations entities and system organizations benefit from this IAEA initiative. The UNOV Procurement Office, which is staffed with eight staff members serving UNODC as their main client, participates the onsite CIPS certification programme run by UNDP. While simultaneously serving also a range of smaller offices of the United Nations based in Vienna (such as the UNHCR Branch office, the United Nations Outer Space Affairs, etc.), the UNOV Procurement Office covers 73 UNODC field offices. Because of lack of resources, as indicated by two recent OIOS audits, the UNOV Procurement Office is not able to train the staff members that are involved in procurement in field offices, despite their need for additional training on ethics in procurement.