



Ethics Office

Listen · Advise · Respect



UN ETHICS OFFICE

9 September 2022

I. THE CHARTER OF THE UNITED NATIONS

II. THE PROGRAMME PLANNING AND BUDGET DOCUMENTS

1. The programme budget composed of parts I, II and III
2. The peacekeeping budgets
3. The support account budget
4. The International Tribunal budgets

IV. INTERNAL CONTROL SYSTEMS

1. Regulations, rules, manuals, relevant administrative issuances and standard operating procedures
2. Staff selection system and for consultants and individual contractors
3. Enterprise risk management
4. Statement on internal control
5. Management review
6. Management evaluation
7. Quality assurance

III. RESULTS AND PERFORMANCE

1. Organizational performance
2. Senior managers' compacts
3. Performance appraisal systems

IV. INTERNAL CONTROL SYSTEMS

8. Evaluation
9. Delegation of authority (including monitoring)
10. Segregation of duties (including monitoring)
11. Monitoring performance
12. Oversight coordination
13. Anti-fraud and anti-corruption framework
14. Conduct and discipline
15. Ombudsman
16. Formal and informal systems of justice

VI. OVERSIGHT FUNCTIONS

1. Office of Internal Oversight Services
2. Board of Auditors*
3. Joint Inspection Unit*
4. Independent Audit Advisory Committee*

V. ETHICAL STANDARDS AND INTEGRITY

1. Ethics Office
2. Regulations and rules that define the ethical standards
3. Conflict of interest policies

4. Financial disclosure programme
5. Protection from retaliation
6. Preventive and abuse

Common areas of ethical risk



INDIVIDUAL

Personal actions that can affect the UN in a negative way

- Outside activities
- Public pronouncements
- Personal/Family relationships
- Gifts, honours and hospitality
- Personal investments (e.g. renting)



PEOPLE

Inappropriate interaction with others

- Discrimination
- Racism
- Harassment
- Abuse of authority
- Retaliation
- Sexual exploitation and abuse



OPERATIONAL

Ethical risk related to operations, projects and 3rd parties

- Bribery & Corruption
- Gift & hospitality
- Fraud
- Supply chain
- Confidentiality and Intellectual Property
- Compromising standards



ORGANISATIONAL

Internal risks across UN offices and sites

- Independence & Impartiality
- Respect for national laws
- Working with partners and donors
- Use of UN assets
- Privacy

UN Ethics Office

Established in 2006 and endorsed by the General Assembly

Five mandates (ST/SGB/2005/22 and ST/SGB/2007/11)



* Harmonization among Secretariat and Funds & Programmes, on ethics policies, practices, and standards.



Nature of the Ethics Office



ADVISORY



CONFIDENTIAL



INDEPENDENT



IMPARTIAL

Advisory services



- Confidential ethics advice and guidance;
- Conflicts of interest: prevention, detection, disclosure & management
- Gifts
- Outside activities & outside occupation/employment
- Political activities
- Activities related to the UN
- Publication
- Personal use of social media

Financial Disclosure & Declaration of Interests



Designated staff: Subject to Staff Regulation 1.2(n) and ST/SGB/2006/6
Disclosure process

- Disclosure is honour-based & maintained in confidence;
- Prevention, proactive mitigation and management of conflicts of interest;
- Not intended for fraud/corruption detection;
- Disclosure reviewed by External Reviewer contractually engaged by the UN.

President of the General Assembly (PGA): Required by the GA via Resolution 70/305 (para 62), twice during term of office.



Due Diligence: Criteria for Acceptance of Private Contributions

Private sector contributions shall be declined if one or more of the following risk factors are identified in the course of the due diligence process:

- Fails to be consistent with the core values of the UN and its causes, as reflected in the Charter and other relevant conventions and treaties;
- Fails to adhere to the highest standards of moral and ethical conduct, including involvement in any form of corrupt or fraudulent practice;
- Fails to be in the best interests of the Organization; or
- Fails to uphold the reputation, integrity or credibility of the UN.

President of the General Assembly (PGA) - Resolution 71/323 (2017) welcomed the establishment of the practice of vetting all contributions from sources other than Member States through the Ethics Office.



Due Diligence Process - Secretariat

- Dun & Bradstreet (news, case law, money laundering, criminal records)
- World-Check (government sanctions and reputational red flags)
- United Nations Global Marketplace Ineligible Vendor List (UN-sanctioned entities)
- Google (media reporting of reputational red flags and connections to the UN)



Outreach Activities

- Training and Education
- Field Missions
- Town Halls
- Induction Briefings
- Leadership Dialogue
- Online Mandatory Ethics Course
- iSeek Articles



Protection Against Retaliation

- Provide Advice on Retaliation Policy
- Receive Complaints of Retaliation
- Prima Facie Review
- Interim Measures
- Preventive Measures on Referral
- Final Determinations
- Secondary Reviews Upon Request

Contact the Ethics Office



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Click, call or visit.

We are here to assist you.