Report of the Ethics Office for 2020

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UNICEF Executive Board
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Key Milestones

✓ Ethics Office established as independent office
✓ Improved trust by staff on retaliation-handling based on 2020 Global Staff Survey
✓ Enhanced cross-divisional collaboration on ethics, organizational culture and values
✓ More than one-third of total UNICEF personnel benefitted from training and outreach activities
✓ Conflict of Interest and Financial Disclosure Programme (CIFDP) – 100 per cent compliance rate on filing requirements
✓ CIFD – Implemented all KMPG gap recommendations, which reduced cycle to 8 months from 13 months
✓ Ethics Month 2020 participation by 5,133 personnel in 54 headquarters, regional and country offices
Relevant Data

555 requests for ethics services

- Ethics advice, 320 (58%)
- Ethics Office put on notice, 3 (1%)
- Ethics training, 24 (4%)
- Protection against retaliation issues, 9 (2%)
- Report to Ethics Office of alleged misconduct, 72 (13%)
- Standard-setting & policy input, 47 (8%)
- United Nations ethics activity coherence, 8 (1%)
- CIFDP, 49 (9%)
- Ethics Dialogue Facilitator requests, 23 (4%)
Other Highlights and Observations

- Access to ethics services limited for regional and General Service staff versus headquarters and International Professionals
- Notable spike in engagements with division/office-level support for groups
- Significant increase in requests for advice on reporting alleged misconduct
- Meeting 7-day response standard operating procedure in 99 per cent of requests
- Upgraded ethics online course, which serves as model for other United Nations agencies
- Despite huge increase in service requests over past 4 years, there was no significant change in Ethics Office staffing.

*Note: New Ethics Director joined UNICEF in February 2021.*
Ethics Strategic Shifts to Preventive and Proactive Approaches

In close coordination with affiliated offices, the Ethics Office will engage at initial stages and assist in early problem-solving of issues, to prevent ethical risks from materializing and allow for self-correction of problematic behaviour; and help to cover the gap between providing advice and conducting investigations.
Shift from Reactive to Preventive and Proactive

**THE ETHICS OFFICE WILL**

- **ADDRESS INAPPROPRIATE BEHAVIOURS**
  before they rise to the level of misconduct or ripen to full conflict

- **FOCUS ON NEEDS**
  of the affected UNICEF personnel

- **PURSUE INFORMAL RESOLUTION**
  refer and/or apply process to stop/correct the inappropriate behaviour or address emerging risks

- **OFFER SUPPORT**
  throughout the entire process

**THE ETHICS OFFICE WILL NOT**

- **CONDUCT FACT-FINDING**
  investigations, nor make any factual determinations

- **ACT AS AN ADVOCATE**
  for any party, to preserve its Independent and impartial status

- **REFER MATTERS FOR INVESTIGATION, MEDIATION OR OTHER MECHANISMS**
  without the consent of the affected personnel

- **REVIEW MANAGERIAL DECISIONS**
  or performance evaluations
IDENTIFIES the nature of the problem and advises on the best way it can be resolved.

OPTIONS MAY INCLUDE:
- coaching, advice and guidance
- referring the matter for investigation, mediation or other informal resolution or to the appropriate support service
- with consent of personnel, assist in early interventions to address issues

ADVISES/CAUTIONS personnel and managers about inappropriate behaviour that is out of line with values, but do not rise to the level of misconduct

WORKS with management to secure protective or remedial measures

PRESERVES anonymity and confidentiality, when appropriate

FOLLOWS UP REGULARLY with involved parties to verify the effectiveness of the interventions and offer additional support

MONITORS the status of the affected individual to prevent retaliation, and to provide immediate support if retaliation is suspected

KEEPS CONFIDENTIAL records of interventions that are only accessible to the Ethics Office

* NO ACTION IS TAKEN WITHOUT THE CONSENT OF THE AFFECTED PERSONNEL
### Shifts in Training, Outreach and Awareness-Raising

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<th><strong>Pre-planned trainings, outreach</strong></th>
<th>Proactively reaching out to divisions/offices identified for outreach; thematic ethics sessions with topics based on needs</th>
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| **Strategic, data driven criteria for trainings** | Data-driven clarity on which offices, units and personnel groups have greatest risks or needs for Ethics outreach and interventions  
• Ethics outreach data systematically captured |
| **High ethical awareness** | Personnel are familiar with all roles under Integrity Framework and report ethical failures or ethics risks |
| **Training materials & content meet personnel needs** | Training suite is robust and customized |
| **Strong ethics & values-based mindset** | Use of values-first and principles-based approach to ethically ambiguous situations (Care, Respect, Integrity, Trust and Accountability) |
Thank You.

Ethics Office