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# FINANCE COMMITTEE

**Hundred and Fifty-seventh Session**

**Rome, 9 - 13 March 2015**

**Ethics Committee - Annual Report 2014**

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### EXECUTIVE SUMMARY

- This document contains the Ethics Committee Annual Report for 2014
- The report provides summary information regarding the work of the Ethics Committee at its meetings of May (by videoconference) and August 2014 (at FAO Headquarters).
- The Ethics Committee reviewed the Ethics Office 2013 Annual Report and approved it.
- The Ethics Committee approved the annual work plan of the Ombudsman and Ethics office.
- The Ethics committee was informed about the impossibility of implementing the Financial Disclosure Programme (FDP) for the 2013 cycle due to the new Ombudsman and Ethics officer only taking up duties towards the end of April 2014. It also approved the project to replace the paper based FDP system with a computer based one.
- The Ethics Committee was informed about the new strategy for FAO partnership with the Private sector and appreciated that FAO proved to be mindful of the existence of potential risks of conflict of interests and has taken necessary steps to mitigate these risks.
- The Ethics Committee held discussions on the issue of its *modus operandi*, bearing in mind that there will be a need to make a determination as to whether it should be established on a permanent basis or whether its *modus vivendi* should be re-examined. The Ethics Committee also reviewed the question of its meetings and concluded that it would hold only one physical meeting every year and at least one video-conference.
- The Ethics Office 2013 Annual Report which was approved by the Ethics Committee during the 2014 reporting period is included as Appendix to this document in accordance with the request of the Finance Committee at its 148th Session in April 2013.

### GUIDANCE SOUGHT FROM THE FINANCE COMMITTEE

- The Finance Committee is invited to take note of the Annual Report of the Ethics Committee for 2014 and highlight any particular issues as deemed appropriate.

### Draft Advice

- **The Finance Committee took note of the FAO Ethics Committee's Annual Report for 2014.**

## I. INTRODUCTION

1. Under its Terms of Reference, the FAO's Ethics Committee (hereafter, "the Committee") is required to submit an annual report on its activities to the Director-General, the Committee on Constitutional and Legal Matters (CCLM) and the Finance Committee. This report provides summary information on the two meetings held by the Committee in 2014.
2. The Committee operates as an advisory panel on all matters pertaining to ethics within the Organization, ensures general oversight over the functioning of the ethics programme and provides assurance that the overall ethics programme is operating effectively. The Committee also reviews and advises on all relevant ethics policies, regulations and rules, training, disclosure programmes and conflict of interest prevention.
3. The Committee consists of three reputable individuals external to the Organization whose nomination is approved by the Council on the recommendation of the Finance Committee and the CCLM, one Deputy Director-General, and the Legal Counsel as ex officio member. As of 1 January 2014, the Committee was composed of Mr Ngonlardje Kabra Mbaidjol, Ms Suomi Sakai and Mr José Zalaquett (external members), Mr Daniel Gustafson, Deputy Director-General (Operations) and Mr Antonio Tavares, Legal Counsel. The Committee designated Mr Mbaidjol as Chairperson of the Committee.

## II. FUNCTIONING OF THE ETHICS COMMITTEE

4. The Committee held two meetings in 2014. The first meeting was held by video conference on 23 May. The following members participated in it: Mr Gustafson, Mr Mbaidjol, Mr Tavares and Mrs Sakai. The second meeting was held on 19 August at FAO Headquarters and this session was attended by all members of the Committee. Both meetings were chaired by Mr Mbaidjol.
5. The Committee asked the Ombudsman and Ethics Officer to continue acting as Secretary of the Ethics Committee, while noting that the latter should not have any supervisory function *vis-à-vis* the Ethics Office.

## III. DELIBERATIONS OF THE COMMITTEE

6. The following issues were in the agenda of the Ethics Committee in 2014:
  - Introduction of the FAO Ombudsman and Ethics Officer
  - Ombudsman and Ethics Office work plan
  - Activities of the Ombudsman and Ethics Office
  - The Financial Disclosure Programme
  - FAO's Relationships with the Private Sector;
  - Ethics Office 2013 Annual Report; and
  - Modus operandi of the Ethics Committee.
7. At its May 2014 meeting, the Ethics Committee welcomed the new FAO Ombudsman and Ethics Officer Mr Bernardin Ndashimye.
8. The Committee reviewed and approved the Ethics Office annual report.
9. The Committee reviewed the Ombudsman and Ethics Office Work plan for 2014. The members noted that combining the role of the Ombudsman and Ethics officer is a challenging endeavour as both roles require substantial work. The Committee pointed out that the work plan prepared by the Ombudsman and Ethics Officer for 2014 seemed rather heavy and, therefore the incumbent should concentrate on raising awareness of his new role among FAO staff, as well as holding regular training sessions in ethics, together with networking with UN Ombudsman and Ethics Officers networks in order to catch up quickly with UN environment and adjust its capacity to respond to demands. The Committee examined in detail the Organization's decision to merge the functions of Ombudsman and Ethics Officer under the responsibility of the same official. The Committee noted the reasons which led the Organization to merge the functions and was of the view

that it would be useful to assess this experience in light of its practical implementation, rather than on the basis of general considerations of principles governing the two functions. The Committee also noted that the initial implementation had been successful but obviously too short to allow for any definite conclusions. The matter would be kept under review. The Committee expressed the general view that the exercise of functions of ombudsman, mediation and ethics by the same office could be facilitated by the fact that none of the functions warrant a conduct of investigations, which could have increased risks of incompatibility and conflict of interest.

10. The Committee noted that there would be no Financial Disclosure Programme (FDP) in 2014 as the new Ombudsman and Ethics officer had joined the Organization towards the end of April 2014. The Committee endorsed the proposal whereby FAO should adopt the computerized FDP being used by both IFAD and WFP. The Committee noted that, overall, this system was more efficient and would save time and money, while reducing security and confidentiality risks, which had initially led the Organization to maintain a paper based FDP system. The Committee also noted that this would be a tangible expression of increased cooperation among Rome-based agencies.

11. At its August 2014 meeting the members of the Ethics Committee shared their experiences on the Financial Disclosure Programme in FAO and in their respective organisations ( UNICEF and UNHCR). The Committee advocated a change in the procedures in order to allow the Ombudsman and Ethics officer to have right of access to financial declaration data and to allow him to discuss feedback with the external reviewer, as necessary. This would also be in line with the practice followed at WFP and IFAD.

12. The Committee received information on the new FAO Strategy for Partnerships with the Private Sector (FAO Strategy). The Committee had previously expressed some concerns over potential risks for the Ethics Office to be involved with such partnerships and highlighted the need for relevant procedures. The Ombudsman and Ethics Officer shared with the Committee the outcome of the discussion he had with the office in charge of partnerships with the private sector and the implementation of the FAO Strategy and steps taken to mitigate the risks of conflict of interest as enshrined in the FAO Strategy.

13. In this respect the Committee noted that the FDP, as currently implemented in FAO as well as in other UN agencies, could not alone sufficiently mitigate those risks. The Committee appreciated the steps taken by the Organization throughout the process of review of possible acceptance of contributions from the private sector (i.e. pre-screening and the selection phase to the monitoring of the process) to mitigate such risks and to address those risks. The Committee noted that there were no particular reasons not to continue to implement the FAO Strategy, but emphasized that there was a need to pay particular attention to risks of conflict of interest that could arise and to maintain a tight system of control. FAO, as other organizations of the United Nations System, had established mechanisms and procedures of prevention and review of those situations and there was a need to implement those mechanisms and procedures rigorously.

14. The Ethics Committee held discussions on the issue of its modus operandi in light of the fact that it had been established on a trial basis. It noted that, at its 96th Session (held on 4-6 March 2013), the CCLM had considered that it was important for the membership to be aware of the work of the Ethics Committee in view of the need to make a determination as to whether it should be established on a permanent basis or whether its modus vivendi should be re-examined. The Committee was of the view that there was merit in the experience of the Ethics Committee of FAO. This Committee allowed for a useful exchange of views, different perspectives and a dialogue between Management and outside parties in respect of a number of ethical challenges and developments in other organizations; this was particularly useful for Management.

15. In this connection, the Committee also noted that, insofar as it had taken a decision to hold one or two annual meetings by video-conference and to hold only one physical meeting every year, costs arising from the functioning of the Committee were contained at very reasonable levels.



**APPENDIX**

# **FAO ETHICS OFFICE**

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**Annual Activity Report, 2013**

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## Executive Summary

Established in December 2009 upon a decision of the Conference taken in November 2008, the FAO Ethics Office was given the mission to “Promote high standards of ethical conduct, integrity, transparency and accountability at FAO”.

This report presents the Ethics Office activities during 2013 in each of its four core functions: i) financial disclosure, ii) ethics-related education and awareness raising, iii) advisory services, iv) ethics programme development. It also reports on other key activities undertaken in the same year.

The objective of the Financial Disclosure Programme, as mandated by the FAO Council, is “to identify, manage, reduce or eliminate the risk of conflicts of interest arising from the financial holdings or outside activities of staff members, spouses and dependent children”. The FAO programme follows the UN Secretariat format which is also implemented at WFP and is along the lines of that followed at IFAD. After a pilot phase involving 60 staff members, the initial cycle of the Programme started in 2012, covering 240 staff both in headquarters and field offices. In the near future it is foreseen that this number will increase to 600 eligible staff members out of 3000 staff members. For the time being, both filing and review are manual, but a confidential electronic filing and review system is planned for the future.

The Ethics Office has provided workshops to HQ and decentralized staff (through both visits to regional offices and video conferencing) to convey standards of conduct raise awareness and define ethical behavior in a wide range of situations. Ethics-related education and awareness raising thus reached some 1,000 staff in six Headquarters divisions, one regional office, five sub-regional offices and 53 country offices. As part of its Strategic Framework and Action Plan, the Ethics Office is developing an e-learning training programme for implementation in December 2013.

The Ethics Office further provided confidential advice and guidance on regulations, rules and standards of the Organization to promote ethical decisions in workplace dilemmas to some 117 staff members between January and October 2013.

Programme Development in 2013 focused on the prevention of conflicts of interest in the Organization through a Disclosure Statement to be completed by all new employees. Informative communications were also distributed to FAO staff regarding confidentiality and the prevention of conflicts of interest.

Other activities included i) serving as Secretariat to the FAO Ethics Committee, which met twice in 2012 to serve as an advisory panel on all matters pertaining to Ethics within the Organization, ii) participation in UN inter-agency *fora* to share information, experiences and best practices within which FAO has been nominated as the host and moderator of the compendium of ethics policies and practices of member organizations, and iii) serving as Senior Focal Point at FAO for the Protection from Sexual Exploitation and Abuse. This topic has thus become included in Ethics Office training workshops and the e-learning material and will also be the subject of an Administrative Circular to be issued in 2014.

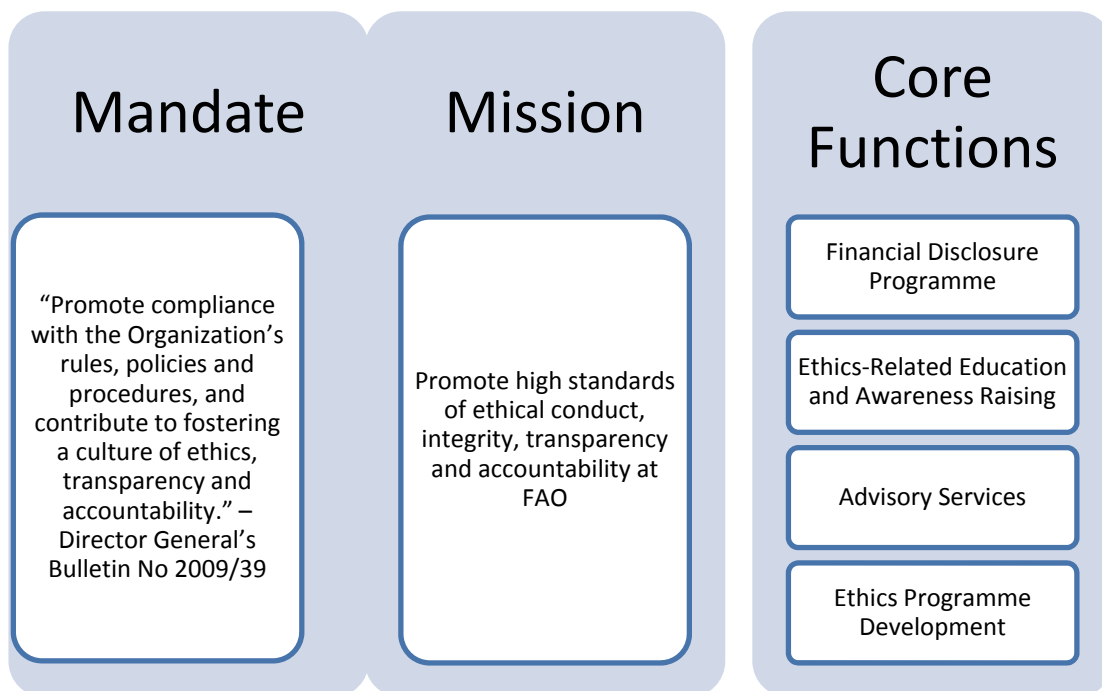


## I. Introduction

The establishment of the independent Ethics Office in FAO was approved at the 35th (Special) Session of the Conference of FAO, which took place from 18 – 21 November 2008. The Conference approved the Immediate Plan of Action for FAO Renewal (2009-2011), which included the “Appointment of an Ethics Officer, functioning of the office, and training of staff” (IPA action 3.33).

Pursuant to the Director-General’s Bulletin No. 2009/39 of 7 December 2009, under the new organizational structure of FAO, the Ethics Officer is administratively linked to the Legal Office but reports, and is functionally responsible, to the Director-General. The description of its mandate, mission and core functions are shown in Figure 1 below:

Figure 1 - Mandate, Mission and Core Functions of the Ethics Office



The present report, the fourth since the establishment of the FAO Ethics Office in December 2009, provides an overview and assessment of the work and achievements of the Ethics Office in relation to its areas of responsibility during 2013. The report also addresses the longer term strategic focus of the Ethics Office with respect to its activities and the

implementation of the ethics policy. In addition, the report includes information on the activities of the FAO Ethics Committee.

## II. Activities relating to the Core Functions of the Ethics Office

### A. Financial Disclosure Programme

In 2007, the FAO Council amended the Staff Regulations to introduce a requirement of financial disclosure to the Organization.<sup>1</sup>

The objective of the Financial Disclosure Programme is to identify, manage, reduce or eliminate the risk of conflicts of interest arising from the financial holdings or outside activities of staff members, spouses and dependent children.

Given FAO's overriding mandate of ensuring humanity's freedom from hunger, it is imperative that the Organization be transparent and hold itself and its staff to account for the public funds it receives. For this reason, FAO upholds the highest standards of integrity and seeks to prevent, mitigate or eliminate situations of conflict of interest.

A conflict of interest is a situation in which a person has a private or personal interest sufficient to influence or to appear to influence the objective exercise of his or her official

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<sup>1</sup> 132nd Session of the Council held in June 2007 approved, under Rule XL, paragraph 3 of the General Rules of the Organization, an amendment to Article I of the Staff Regulations entitled "*Duties, obligations and privileges*" to include the following two new paragraphs:

301.1.10 *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 profit-making, business or other concern to benefit from such association or financial interest by reason of his or her position with FAO.*

301.1.11 *All staff members at the D-1 or above level may be required to file financial disclosure statements on appointment and at intervals thereafter as prescribed by the Director-General, in respect of themselves, their spouses and their dependent children, and to assist the Director-General in verifying the accuracy of the information submitted when so requested. The financial disclosure statements shall include certification that the assets and economic activities of the staff members, their spouses and their dependent children do not pose a conflict of interest with their official duties or the interests of FAO. The financial disclosure statements shall remain confidential and shall only be used as prescribed by the Director-General in making determinations pursuant to Staff Regulation 301.1.10. The Director-General may require other staff to file financial disclosure statements as he deems necessary in the interest of the Organization.*

Administrative Circular No. 2012/15 indicates the ways and means for the implementation of these new Staff Regulations.

duties as an FAO employee<sup>2</sup>. The disclosure of personal financial interests and activities is a well-established practice in many countries, both in the private and public sectors, and has been introduced in many UN organizations.

To maintain public confidence, FAO finds it important to comply with corporate governance best practices of transparency and disclosure, whilst observing privacy requirements.

After the establishment of the independent Ethics Office, a roadmap was prepared for the implementation of the Financial Disclosure Programme, which included a start and transition phase, a pilot phase and a learning roll-out phase, to be completed between December 2010 and December 2012. The pilot phase involved staff members at all levels based on an assessment of their job-specific risk factor. In total, 60 staff members participated, including all the Assistant Director-Generals and Mr José Graziano da Silva – Assistant Director-General – Regional Office for Latin America and Director-General Elect.

In March 2012, the FAO Ethics Committee met for their first session and discussed the Financial Disclosure Programme. The Ethics Committee recommended that the Organization adopt the standard UN Financial Disclosure Questionnaire. It also proposed to initially limit those staff requested to take part in the Programme and to expand the inclusion risk criteria created by the Ethics Office as the Programme matures. Therefore, around 240 staff were included in the initial cycle of the Programme. In the near future it is foreseen that the number will increase to 600 eligible staff members out of 3000 staff members, both at Headquarters and in Field Offices.

In October 2012, Administrative Circular No.2012/15 – Financial Disclosure Programme was issued, explaining the conditions of the Programme which has been introduced for disclosures related to the current year. This Programme follows that of the United Nations Secretariat, as was recommended by the FAO Ethics Committee. It is also being implemented by WFP, and is along the lines of that used at IFAD.

Under the Programme, staff members at the following grades/functions who have managerial responsibilities are obliged to file a financial disclosure statement upon recruitment and annually thereafter:

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<sup>2</sup> See further Manual Section 304, Appendix A, paragraphs 21, 22, 46 and 47.

- I. Staff members at D-1 and D2 level
- II. FAO Representatives
- III. Assistant FAO Representatives (Programme and Administration)
- IV. Heads of Offices (Liaison, Regional and Sub-Regional)
- V. Assistant Director-General
- VI. Deputy Directors-General
- VII. The Director-General

In addition, staff members whose particular functions carry a risk factor, determined with reference to a set established risk criteria, are also obliged to file a financial disclosure statement upon recruitment and annually thereafter.

In January of each calendar year, the Ethics Office, in consultation with the Office of Human Resources will update the financial disclosure database to reflect the inclusion of all individuals who are required to file financial disclosure statements for the previous calendar year. The Director-General may designate additional categories of staff as having an obligation to file a financial disclosure. Table 1 below sets out the risk criteria, associated functions and staff covered.

Table 1 – Risk Criteria

<b>Criteria</b>	<b>Functions</b>	<b>Employee level/ grade/ location</b>
Involvement in the procurement of goods and services for FAO	<ul style="list-style-type: none"> <li>- Procurement</li> <li>- Contract Management (IT staff)</li> <li>- Members of evaluation committees</li> <li>- Selection of staff training providers</li> <li>- Facilities management</li> <li>- Signing contractors' orders</li> <li>- Definition of technical specifications for tenders and their evaluation</li> </ul>	All staff members (GS and P), at all locations
Involvement in the management of assets and accounts for which FAO has a fiduciary or custodial responsibility	<ul style="list-style-type: none"> <li>- Credit Union</li> <li>- Members of Investment committees</li> <li>- Treasury</li> <li>- Commissary</li> </ul>	Idem
Involvement in the management of ethical matters, audit and investigations	<ul style="list-style-type: none"> <li>- Ethics Office (Professional and GS)</li> <li>- Office of the Inspector-General</li> <li>- Evaluation</li> </ul>	Professional Staff only

In order to conduct the review of the questionnaires, the Organization contracted Hudson Consulting. This is the same consultancy company that provides services to WFP, IFAD and UNOPS for the review of financial disclosure questionnaires. The decision to hire this company took into consideration their knowledge and experience of the UN system including field offices, their cost proposal and their ability to help in the automation for electronic filing of the questionnaire.

The Ethics Office held a series of meetings with the Information Technology Division to discuss the possibility of electronic filing for participants during future reporting cycles.

## **B. Ethics-Related Education and Awareness Raising**

The Ethics Office has continued to provide workshops to staff, aimed at conveying the standards of conduct expected in FAO. Emphasis has been placed on creating awareness on what is expected of personnel with respect to ethical behavior, defining fraudulent behavior and ensuring that all personnel are aware of their roles and responsibilities so as to create an ethical working environment. As staff engagement is a central component in strengthening and consolidating an ethical culture across the Organization, the Office views outreach initiatives as a crucial means to broaden awareness of its services and to listen directly to the ethics-related concerns of staff based in field locations.

Face-to-face ethics training targeted high-risk groups, such as governance, partnerships, strategy, resources management, security and field staff and included content tailored to the ethical dilemmas faced by FAO staff across a range of issues. Field staff received training via video-conference and hence allowed for a reduction in travel costs, as requested by the Director-General. Offices that did not have video-conferencing facilities attended the sessions in the local offices of partners from the UN system. Approximately 1,000 staff received training in 34 countries and six Divisions in Headquarters, including the Office of the Director-General (ODG).

All of the ethics workshops which were conducted were attended by either the Regional or FAO Representative in the country offices or the Division Director in Headquarters. Many

decentralized offices were provided with multiple sessions so as to allow the majority of staff to attend. Evaluation surveys were completed by the participants after each workshop, the results of which showed that participants consistently placed a high value on these workshops and especially on the case studies as they reinforce the concepts learnt.

The following training workshops were held in 2013<sup>3</sup>:

**FAO Representative Offices:**

**Africa Region (RAF)**

Angola  
Benin  
Burkina Faso  
Burundi  
Cameroon  
Chad  
Congo  
Cote D'ivoire  
Equatorial  
Guinea  
Ethiopia  
Guinea Bissau  
Mali  
Mauritania  
Rwanda  
Senegal  
South Sudan  
Tanzania  
Zambia

**Asia and the Pacific Region (RAP)**

China  
Mongolia  
North  
Korea  
Sri Lanka

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<sup>3</sup> The training was provided in the official language of the individual country offices, French, Spanish and additionally Portuguese for Guinea Bissau and Angola FAOR offices.

**Near East Region (RNE)**

Djibouti  
Iran  
Iraq  
Lebanon  
Morocco

**Latin America and the Caribbean (RLC)**

Haiti  
Madagascar

Regional and FAO Representatives informed the Ethics Officer that in many cases National Project Personnel, Personal Service Agreements (PSA's) and consultants working in projects located in remote locations could not attend the training sessions due to cost or security constraints. The Ethics Office informed the Regional and FAO Representatives that as part of its strategy of promoting an ethical culture across the Organization it is developing an on-line e-learning training programme for implementation in December 2013. This is shown in Annex I, Summary of the Ethics Office Strategy.

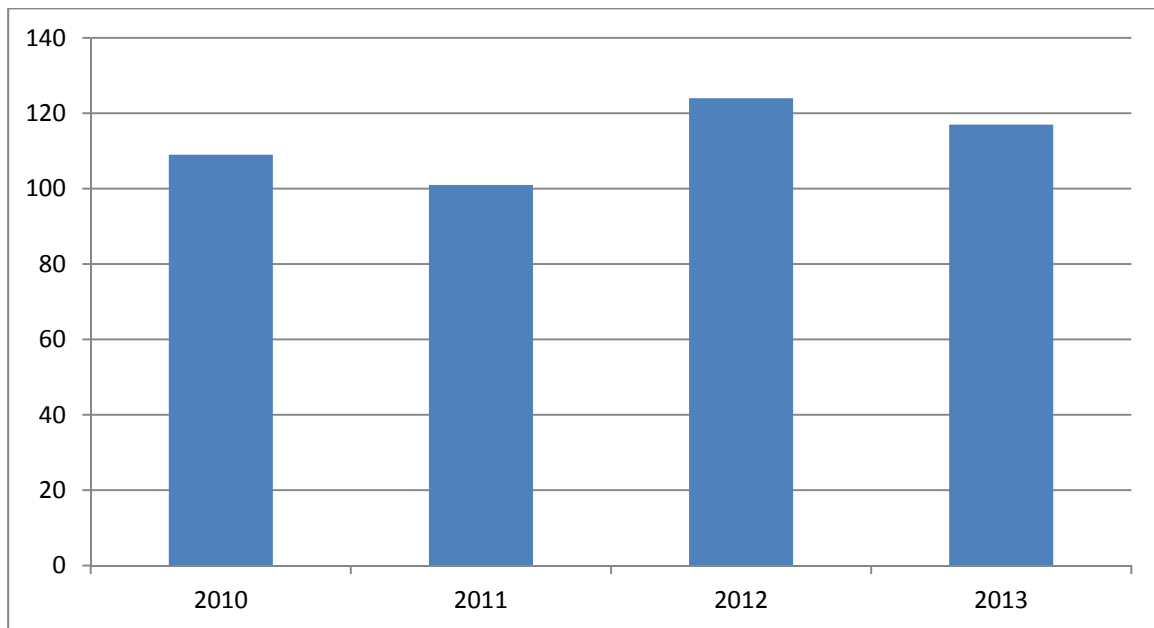
This e-learning will be available to personnel at all levels and in all geographical locations and will enable the Ethics Office to provide training to personnel who are remotely located. The programme will be available through the learning@fao web platform which has been developed by the Human Resources Division and for staff who do not have access to this platform; the programme will also be offered in CD format.

**C. Advisory Services**

The advisory function is a key component of the ethics programme as it allows staff to seek advice to ensure that they comply with the standards of conduct before any unsatisfactory conduct occurs and as such serves to protect and support the reputation and standing of the Organization. In particular, this helps to prevent, mitigate and resolve actual and perceived conflicts of interest. It thus enhances the integrity of the Organization and its staff.

While the aforementioned training programmes aim to increase awareness of ethical issues, they also serve to help engage employees and facilitate peer commitment. Such engaged staff are more likely to seek advice when they encounter an ethical dilemma and to report cases of unsatisfactory conduct.

Figure 2 - Number of requests for advice. It has remained relatively constant during the 2010 – 2013 periods.



While the Ethics Office is not mandated to receive or investigate reports of unsatisfactory conduct, it advises on the standards of conduct of the Organization and directs staff to relevant reporting mechanisms so as to reduce the reputational risks if unsatisfactory conduct and unethical behavior are not appropriately addressed by the Organization.

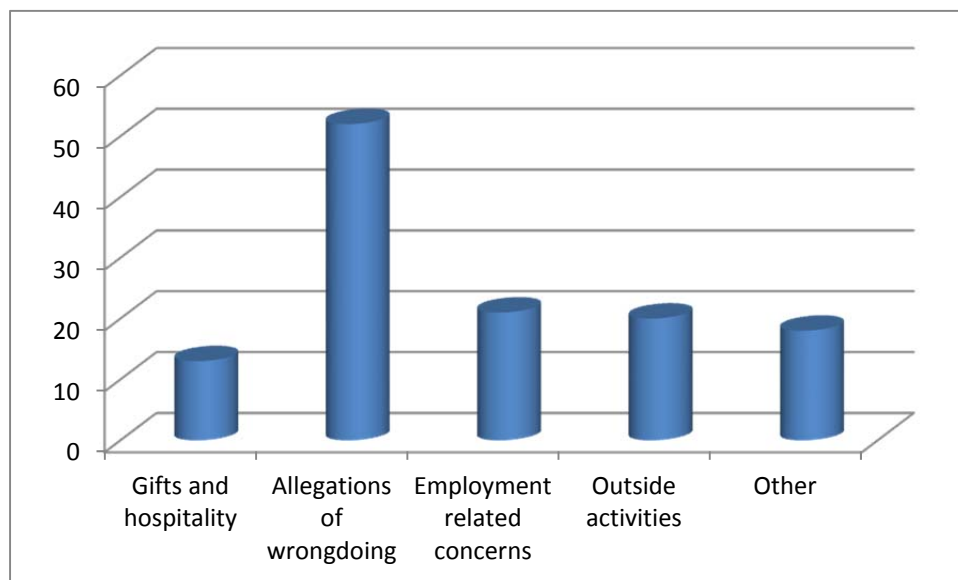
The confidential ethics advice and guidance provided by the Ethics Office included clarification or interpretation of the regulations, rules and standards of the Organization regarding prohibited or restricted activities and the application of an ethical decision-making framework to workplace dilemmas.



Through inter-agency consultation and coordination with such offices as the Legal Counsel, Human Resources, Procurement and the Office of the Inspector-General, the Ethics Office has sought to ensure consistency in approaches to the interpretation and implementation of organizational standards.

During the reporting period, a total of 117 requests for advice were received, covering a wide range of ethics-related concerns (See Figure 3 below). Such demand for advice attests to the value that both staff and managers attach to having a confidential mechanism through which they can address their ethical concerns and to the quality of the advice given.

Figure 3 - Requests for advice, by topic.



These requests for advisory services were received from both Headquarters and Field offices and from both male and female personnel, as shown in Figures 4 and 5 below.

Figure 4 - Advisory Services Provided from January – October 2013 (by location)

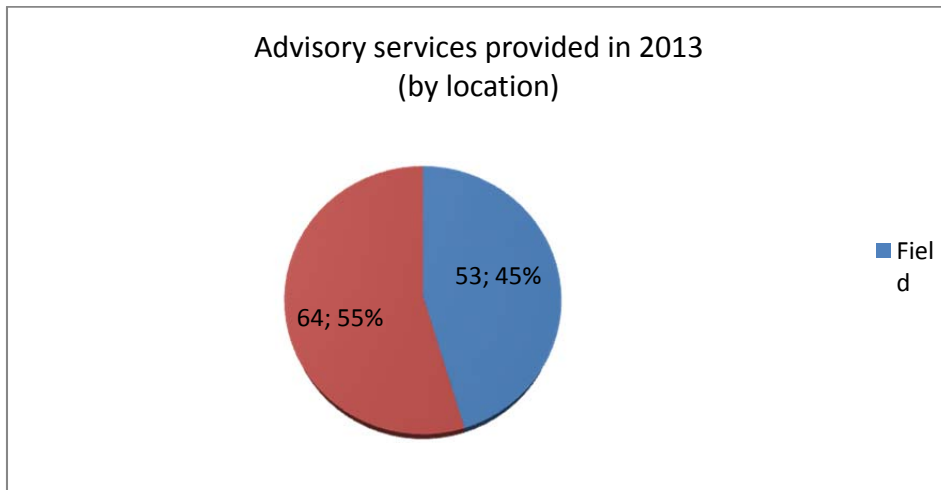
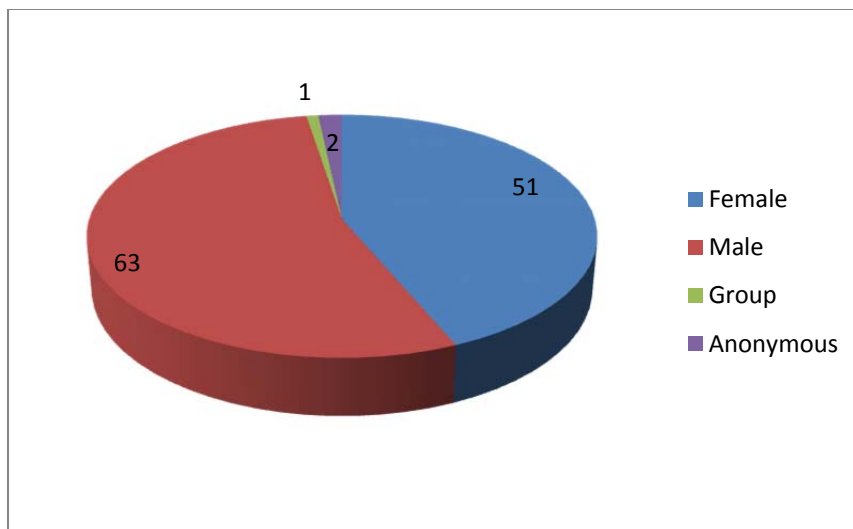


Figure 5 - Advisory Services Provided in January – October 2013 (by gender)



It is worth noting that in regard to gifts and gratuities, the Ethics Office has explained to staff through advice and training:

- the policy on Gifts and Gratuities issued in 2006;
- the review of Manual Section 502 – Procurement of Goods, Works and Services issued in 2010, including a section in “Procurement Ethics”, and;
- the policy on the Procedures for Handling Gifts issued in 2012.

It is therefore clear to FAO personnel that it is not acceptable to receive gifts from FAO suppliers. For instance, there is an obligation for personnel involved in a procurement action to disclose to relevant Authorized Officials and the Ethics Officer whether they have been offered any gratuity, gift, favor or entertainment or any promise of future employment from anyone who has supplied or is seeking to supply goods, works or services to the Organization or in which such personnel or any immediate family may obtain a personal benefit or has more than a nominal financial interest.

The Ethics Office also reminds all managers worldwide to send an annual letter in the local language to all FAO suppliers requesting them to not send any gifts to FAO personnel. The letter further requests their collaboration in respecting this corporate decision and in supporting FAO's commitment to implementing best ethical practices.

#### **D. Ethics Programme Development**

During the reporting period the Ethics Office contributed to the development of procedures related to ethical matters in collaboration with other offices and functions. In addition, the Ethics Office participated in a discussion forum on the subject of 'Harassment in the Workplace' organized by the Professional Staff Association.

In order to strengthen procedures to prevent conflict of interest in the Organization, since its development in 2012 all new employees (including retirees) are required to complete a Disclosure Statement (Annex II) developed by the Ethics Office. All personnel are required to certify (i) whether the following family members are employed by FAO: brother; sister; son; daughter; mother; father; spouse; (ii) whether they are engaged in any activity which could have an impact on their objectivity or independence in the specific performance of the functions for which they have been contracted by FAO, or which could otherwise affect the image of the Organization, and; (iii) whether they, their spouse(s), dependent child(ren), and other immediate family members<sup>4</sup>, have any financial or other interest in, or association

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<sup>4</sup> Family members means: parent, spouse, registered and recognized domestic partner, child, sibling, grandparent, step- (parent, child, siblings), or in-laws (parent, child, and sibling) regardless of whether resident in the same household or any other person residing in the same household.

with, any entity with which they may be required to have official dealings on behalf of the Organization. All personnel are also informed that any changes in their circumstances, which could potentially lead to a situation of conflict of interest, must be brought to the attention of the Ethics Officer.

In this regard the Ethics Officer also issued communications for distribution in on the subjects of confidentiality and the prevention of conflicts of interest (the later was sent to the field offices in English, French and Spanish).

The Ethics Office also hosted a visit to Headquarters by Ms Joan Dubinsky, Director of Ethics for the United Nations Secretariat, who provided a presentation to Senior Management on perceived ethical risks within the United Nations system.

### **III. Other Ethics Office Activities**

During the reporting period the Ethics Office undertook the following additional activities:

#### **a) Secretariat to the FAO Ethics Committee**

The Ethics Committee operates as an advisory panel on all matters pertaining to ethics within the Organization, ensures general oversight over the operation of the ethics programme and provides assurance that the ethics programme is operating effectively. It consists of three reputable individuals external to the Organization whose nomination is approved by the Council on the recommendation of the Finance Committee and the CCLM, one Deputy Director-General, and the Legal Counsel as *ex officio* member.

At its Hundred and Forty-third Session the Council, acting on the recommendation of the CCLM and the Finance Committee, endorsed the nominations of three external members of the Ethics Committee. The Director-General, therefore appointed, as external members of the Committee, Mr. Ngonlardje Kabra Mbaidjol (Director of Ethics, UNHCR), Ms. Anne Marie

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Taylor (Ethics Officer and Special Advisor to the President of the World Bank) and Mr. José Zalaquett (Professor of Business Ethics, University of Chile). On 1 January 2012, the Director-General appointed Ms Ann Tutwiler, Deputy Director-General (Knowledge) to serve on the Committee for a term of two years.

On 8 and 9 March 2012 the Committee met for the first time and was addressed by the Director-General, who expressed his full support that the Committee works with complete independence.

The Committee elected Mr. Mbaidjol as the Chair of the Committee and the Ethics Office has been serving as Secretariat of the Committee. It was noted that the Committee should not have any supervisory function vis-à-vis the Ethics Office.

Ms Maria Abreu, Ethics Officer, presented the Ethics Office's strategy and confirmed that she has met with the new Director-General and the Senior Special Adviser/Acting Directeur-de-Cabinet to present the Office's strategy (Annex I).

The second meeting of the Ethics Committee was held on 25-26 October 2012, and the Committee was provided with presentations regarding the whistleblower protection policy, the strategy for decentralization, the strategy for addressing complaints of harassment within the new human resources structure and the Organization's policy for the Protection from Sexual Exploitation and Abuse. In addition, the Ethics Office provided the Committee with an update on the development of the Financial Disclosure Programme.

## **b) Participation in and contribution to UN inter-agency fora**

In an effort to keep abreast of current ethics issues and practices in other UN organizations, the Ethics Office is a member of the Ethics Network of Multilateral Organizations (ENMO)<sup>5</sup>.

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<sup>5</sup> Including: UN Secretariat, WIPO, ITU, UPU, WTO, IMF, IDB, WMO, WORLD BANK, ICAO, IMF, IFAD, IAEA, UNFPA, UNIDO, AFDB, UNDP, PAHO, WFP, IOM, UNOPS, UNESCO, UNICEF, UNAIDS, WHO, UNRWA, UNHCR, ILO, WTO, AFDB, FAO

Within the same framework, FAO extended an invitation to the Ethics Officers of the UN specialized agencies and selected international financial institutions to participate in the first UN system-wide ethics meeting, held in Rome, on 21 June 2010, with the participation of 21 multilateral organizations, namely: the UN Secretariat, UNDP, UNFPA, UNHCR, UNICEF, UNOPS, UNRWA, WFP, FAO, IAEA, IMF, ITU, Pan-American Health Organization (PAHO), UNESCO, UNIDO, UPU, WHO, WIPO, World Bank, WMO and WTO.

The participating agencies agreed to establish the Ethics Network of Multilateral Organizations (ENMO), consisting of Ethics Officers and related professionals. Meeting once or twice per annum, this community of interest is structured as a professional affiliation of international ethics practitioners. The expected areas of collaboration include: a) Exchange of successful practices, b) Issuance of model guidance, c) Internal benchmarking services, d) Peer review and programme assessment, d) Career development, and e) Strategic planning.

In 2012, the Ethics Office contributed to the planning of the fourth meeting of the Ethics Network of Multilateral Organizations held in July 2012 in Geneva and as such has been an active member of the Planning Committee, participating in numerous teleconferences hosted by the International Monetary Fund as the main organizers. The July 2012 meeting included a session on the implementation of an online compendium of resources, focusing on the ethics policies and practices of the Organizations, which the Ethics Office created upon request. During this session, participants were provided with an overview of the website's purpose, content, accessibility and the platform which was used. Brief training was also provided. Following the presentation, a discussion was held on the feasibility of the compendium, during which it was decided to retain it, using the same platform on which it was created. FAO was nominated as its host and moderator.

In addition, the Ethics Officer attended the European Business Ethics Forum in Paris, which brought together those responsible for ethics programmes within large organizations so as to share information, experiences and best-practices. At this conference, the Ethics Officer also had an opportunity to meet with some members of the Ethics Network of Multilateral

Organizations (Director of Ethics UN Secretariat, Vice-President Ethics World Bank and Ethics Officer UNWRA)

### **c) Senior Focal Point for Protection from Sexual Exploitation and Abuse**

The Ethics Officer was nominated as the FAO Senior Focal Point to support the Protection from Sexual Exploitation and Abuse. As such, the Ethics Office has conducted face-to-face training to the Headquarters staff of the Emergency Unit (TCE), the Field Security Unit (CSDU) and the Office of the Inspector-General (OIG). In addition, the Ethics Office has included a section on the Protection from Sexual Exploitation and Abuse into the ethics office training workshop and the Ethics e-learning training. The Ethics Office also contributed to the development of a framework for effectively addressing issues of sexual exploitation and abuse, including a complaints mechanism, by contributing to the Administrative Circular which is due to be issued in 2013.

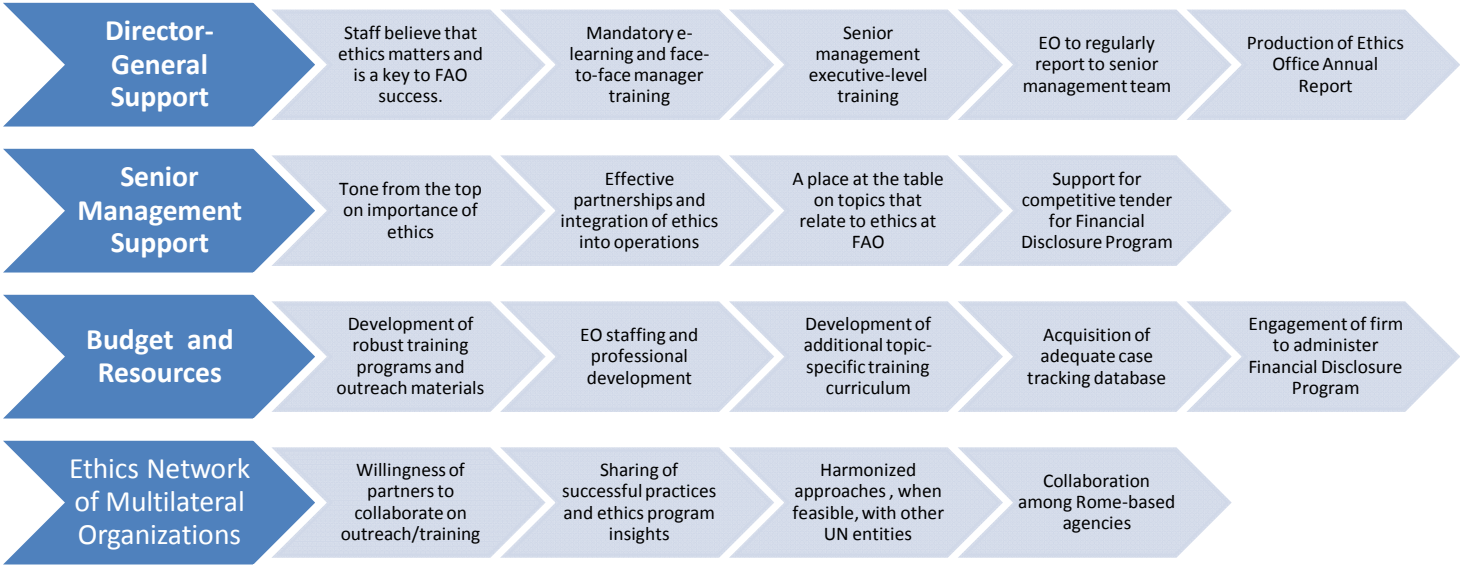
## Annex I – Summary of the Ethics Office Strategy

### Overview of Ethics Office Activities and Tasks

	Current Priorities	Early/mid 2012	2013 and beyond
<b>Education and Awareness</b>	<ul style="list-style-type: none"> <li>•Regular outreach with senior managers</li> <li>•Mandatory ethics e-learning program</li> <li>•Integration of ethics into existing initiatives/programs</li> </ul>	<ul style="list-style-type: none"> <li>•Senior Management Education</li> <li>•Face-to-face training (by topic)</li> <li>•Manager Training (face-to-face)</li> <li>•Revised Code of Conduct, Website, multilingual brochures</li> <li>•Manager ethics “toolkit”</li> </ul>	<ul style="list-style-type: none"> <li>•Explore ethics outreach to member countries</li> <li>•FAO Ethics Day</li> <li>•Ethics training in new and emerging topics</li> </ul>
<b>Advisory Services</b>	<ul style="list-style-type: none"> <li>•Utilization of templates</li> <li>•Knowledge management process.</li> <li>•Maintain confidentiality protection</li> </ul>	<ul style="list-style-type: none"> <li>•24/7 multilingual ethics helpline</li> <li>•Provision of guidance to units, divisions and groups.</li> </ul>	
<b>Financial Disclosure Program (FDP)</b>	<ul style="list-style-type: none"> <li>•Consider tender for administering FDP</li> <li>•Incorporate lessons learned from FD pilot prior to 2012 program launch.</li> <li>•Clarify roles/responsibilities for declaration of interest procedures.</li> <li>•Clarify roles/responsibilities for FDP between EO and Legal)</li> </ul>	<ul style="list-style-type: none"> <li>•FDP Communications</li> </ul>	
<b>Ethics Program Development</b>	<ul style="list-style-type: none"> <li>•Provide support to DG and Cabinet</li> <li>•Staffing projection</li> <li>•FAO standards and policy evaluation as it relates to ethics</li> </ul>	<ul style="list-style-type: none"> <li>•Ethics Committee launch</li> <li>•Develop and strengthen partnerships</li> <li>•FAO Ethics Culture Assessment</li> <li>•Annual Report for EO</li> <li>•Train-the trainer</li> </ul>	<ul style="list-style-type: none"> <li>•Information system benchmark and alignment with other multilateral organizations.</li> <li>•Manual of EO processes and procedures</li> </ul>



# Ethics Office Strategy: Critical Success Factors



## Annex II – Disclosure Statement

### **A. Declaration of non-employment of family members**

*For all contract types (staff and non staff, including interns)*

**Please select one of the two options below:**

1)  This is to certify that the undersigned at present has none of the following family members employed by the Food and Agriculture Organization (FAO) of the United Nations: Brother; Sister; Son; Daughter; Mother; Father; Spouse.

**OR**

2)  This is to certify that the undersigned at present has the following family member employed by the Food and Agriculture Organization (FAO) of the United Nations:

Full name of family member (**please print**): \_\_\_\_\_ Relationship: \_\_\_\_\_

### **B. Disclosure statement**

*For all contract types (staff and non staff, including interns)*

**Please tick appropriate box (es). If you have any doubts/questions, please contact the FAO Ethics Officer at [Ethics-Office@fao.org](mailto:Ethics-Office@fao.org), Telephone: +39 06 57056760, Mobile: +39 3485540646**

I hereby declare, to the best of my knowledge, that:

I do not engage in any activity which could have an impact on my objectivity or independence in the specific performance of the functions for which I have been contracted by FAO, or which could otherwise affect the image of the Organization.

I, my spouse(s), dependent child(ren), and other immediate family members<sup>i</sup>, do not have any financial or other interest in, or association with any entity with which I may be required to have official dealings on behalf of the Organization, or which has a commercial interest in the work of FAO, or a common area of activity with FAO.

Should there be any change in the above circumstances, which could potentially lead to a situation of conflict of interest, I understand that it is my duty to bring this to the attention of FAO (Ethics Office).

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**PLEASE SIGN AND DATE AND RETURN TO YOUR HR OFFICER**

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<sup>i</sup> Family members means: parent, spouse, registered and recognized domestic partner, child, sibling, grandparent, step- (parent, child, siblings), or in-laws (parent, child, and sibling) regardless of whether resident in the same household or any other person residing in the same household.