

LEADERSHIP DIALOGUE

2019

CONFLICTS OF INTEREST: WHY DO THEY MATTER?



LEADER'S GUIDE AND MATERIALS

Welcome to the United Nations Leadership Dialogue

Thank you for participating in the 2019 United Nations Leadership Dialogue. This annual event is an opportunity for you and your colleagues to discuss topics with great meaning for our work. It is especially relevant this year as we celebrate the centennial of the International Civil Service, founded on the principles of impartiality, integrity and independence, as envisioned in Article 100 of the UN Charter.

Each year, every senior leader conducts a guided dialogue with their staff, who in turn lead their own direct reports in a similar discussion, until every UN staff member has participated and been exposed to material that can strengthen the way we carry out our work on a day-to-day basis.

The first Leadership Dialogue, in 2013, addressed what it means to be an international civil servant; last year's exercise, "*Speaking Up: when does it become whistleblowing?*" highlighted the importance of respectful dissent, constructively raising concerns about inter-personal conflict, reporting misconduct and protection against retaliation. The series has also discussed respect and tolerance in the workplace, fraud prevention, the Organization's Standards of Conduct and what it means to take individual responsibility while doing our jobs.

This year's topic, "*Conflicts of Interest – Why Do They Matter?*", focuses on ways to maintain public trust through mitigating risks arising from personal interests. Such conflicts can interfere, or appear to interfere, with the performance of official duties or with the integrity required by the staff member's status as an international civil servant. Understanding conflicts of interest that might be present in day-to-day UN operations, and most importantly proactively managing or resolving them, is crucial for protecting individuals and upholding the unique standing of the United Nations.

I invite all UN personnel to actively participate in this Leadership Dialogue, and I thank you for your commitment as proud members of the International Civil Service.

António Guterres
Secretary-General

Table of Contents

TABLE OF CONTENTS.....	4
GETTING STARTED	5
HOW THE LEADERSHIP DIALOGUES WILL WORK THROUGHOUT THE UNITED NATIONS	7
PLANNING YOUR LEADERSHIP DIALOGUE SESSION	8
YOUR ROLE AS THE SESSION FACILITATOR	9
PRE-SESSION CHECKLIST.....	10
SESSION PLAN.....	12
POST-SESSION CHECKLIST.....	13
INTRODUCTION	15
OPENING ACTIVITY.....	22
SCENARIO DISCUSSIONS.....	24
INSTRUCTIONS.....	26
INTRODUCTION TO CONFLICT OF INTEREST SCENARIOS	27
SCENARIO 1: WELCOMING RICARDO	32
DISCUSSION QUESTIONS – SCENARIO 1- WELCOMING RICARDO	34
SCENARIO 2 – TOMÁS THE FIANCÉ.....	40
DISCUSSION QUESTIONS – SCENARIO 2 – TOMÁS THE FIANCÉ.....	41
SCENARIO 3 – PAMELA’S PUBLISHING.....	48
DISCUSSION QUESTIONS – SCENARIO 3 – PAMELA’S PUBLISHING.....	49
CLOSING ACTIVITY – CONCLUDING THE DIALOGUE.....	56
APPENDIX A: LEADERSHIP DIALOGUE SIGN-IN SHEET	59
APPENDIX B: SESSION LEADER’S FEEDBACK FORM	61
APPENDIX C: RECORD OF FEEDBACK FROM PARTICIPANT DISCUSSIONS	63
APPENDIX D: HAND-OUTS	64
APPENDIX E: ROLL UP OF SESSION FEEDBACK FORMS	65
LEADERSHIP DIALOGUE CONTACT INFORMATION	67

Getting Started

Welcome to the 2019 Leadership Dialogue, the edition for the centennial anniversary of the creation of the international civil service.

The first Leadership Dialogue, held in 2013, focused on the Oath of Office taken by all members of the Secretariat, in which approximately 17,000 people participated. Our most recent Leadership Dialogues have grown to encompass nearly twice as many participants.

We chose this year's topic, "***Conflicts of Interest: Why Do They Matter?***" based on feedback from previous Leadership Dialogues and the requests for advice received at the Ethics Office.

In delivering UN mandates, public trust in the integrity of the Organization is paramount. Scarce public resources are entrusted to the Organization in the public interest of the international community. Conflicts of interest matter because they adversely impact the integrity of UN operations through diverting financial and other resources and unduly influencing decisions for private purposes. They also matter because undisclosed conflicts-of-interest could amount to misconduct, with consequent administrative or disciplinary sanctions. Identifying those conflicts, which are present in day-to-day operations, and understanding the role each of us has in disclosing, managing and resolving conflicts of interest is an important part of maintaining public trust through maintaining our impartiality, integrity and independence.

The staff regulations and rules require that we disclose conflicts of interest and that they be resolved in the Organization's best interest. As international civil servants, each of us has an important role in taking proactive steps to manage a conflict of interest. With the goal of increasing understanding of why conflicts of interest matter for our work, the Dialogue will cover the following topics:

1. How conflicts of interest arise;
2. How to identify and disclose conflicts of interest;
3. Types of common personal and organizational conflicts of interest and conflicts of functions or responsibilities;
4. The importance of addressing conflicts of interest; and
5. How to mitigate, manage and resolve conflicts of interest in the best interest of the Organization.

In consideration of your time and schedule, this Leader's Guide provides step-by-step instructions and specific materials for you to use. Managers should feel free to supplement and include personal examples and relevant situations from their own experience. If you wish to supplement these materials or require additional support for this session, please contact the Ethics Office at ethicsoffice@un.org for guidance.

A session leader's feedback form is included as Appendix B. Once your session has concluded, please fill it out and send it to your Executive or Administrative Office so that it can be forwarded to the Ethics Office. Your feedback will help us improve future Leadership Dialogue materials and select new topics.

In addition, substantive feedback from participants regarding the Leadership Dialogue is very important. Please record participant suggestions and feedback in the form (see Appendix C) and forward these to the Ethics Office.

Thank you,

Elia Yi Armstrong

Director,

United Nations Ethics Office

How the Leadership Dialogues Will Work Throughout the United Nations

The discussion you are about to lead with your group is one of hundreds that will take place throughout the United Nations Secretariat. Here is the order in which it will work:

1. The Secretary-General will launch this year's dialogue.
2. Under-Secretaries-General will host dialogue sessions with their own direct reports.
3. Assistant Secretaries-General will host dialogue sessions with their direct reports.
4. Directors and Chiefs will host dialogue sessions with their direct reports.
5. P-5s and P-4s who manage teams will host dialogue sessions with their direct reports, if their direct reports were not already included in the Director/Chief-led discussions. And so on.
6. Our goal is for all international and national UN personnel globally to participate in a Leadership Dialogue session each year.

By the time you lead your own session, you should have already completed the session with your own manager. This way, you will have a sense of how the dialogue works, and you will have had an opportunity to think through the activities, topics of discussion and questions that may arise. **Please note that all managers are expected to complete their sessions by 30 November 2019.** Thus, if you have managers who report to you, schedule your session as soon as possible after your supervisor has completed his or her session with you, to ensure all managers in your department or mission complete their sessions on time.

All heads of department or office will be asked to certify to the Secretary-General that all managers in their departments or office have completed their dialogue sessions by **31 December 2019**.

Planning Your Leadership Dialogue Session

Conflicts of interest can occur in any part of our professional lives and the presence of a conflict of interest does not necessarily mean wrongdoing. As international civil servants, we must maintain the integrity, independence, and impartiality required of our positions.

In practical terms, this means that we must identify and disclose conflicts of interest, so that they can be mitigated and resolved in favour of the Organization. The interests of the Organization come first when managing conflicts of interest. To do so, we must understand conflicts of interest typically present in day-to-day UN operations, how they may impact our work and how best to manage or resolve these. This dialogue will help you address these challenges and better understand the following topics:

1. How conflicts of interest arise;
2. How to identify and disclose conflicts of interest;
3. Types of common personal and organizational conflicts of interests and conflicts of functions or responsibilities;
4. The importance of addressing conflicts of interest; and
5. How to mitigate, manage and resolve conflicts of interest in the best interest of the Organization.

The materials in this Guide are designed to be used in a single session with a group of 10 to 25 participants. If you have more than 25 participants, we recommend conducting two or more separate sessions. The actual programme (without the introduction) is designed to take about one and a half hours, but you are free to use more time, as you deem necessary.

We recommend that you conduct the dialogue session during a face-to-face meeting, unless this is not possible. We are providing you with a PowerPoint presentation to view and follow along with participants in the Dialogue. As some of the topics can be difficult to discuss, we encourage you as the facilitator to create a setting where the participants feel at ease.

Your Role as the Session Facilitator

This Leadership Dialogue is designed to encourage participants to discuss their individual roles in identifying and resolving conflicts of interest and the connection between managing such risks and maintaining the credibility of the United Nations, thus safeguarding public trust. We will talk about the different types of conflicts of interest staff members can typically expect to encounter through the course of their work.

You are the facilitator of the discussion. You will guide discussions, ask questions, encourage and engage participants. Participants often leave a dialogue session remembering points that they and their co-workers made much more vividly than those made by the facilitator. Remember that your role is not to lecture, but to guide the learning experience in a way that allows your team to arrive at important understandings on their own and raise questions with each other.

Discussions like these prompt further conversations afterwards and increase trust and understanding. Be prepared for one or more members of your group to approach you to ask questions or report concerns. The scenarios you will work through with participants sometimes relate to difficult and sensitive topics; what is important is that we have open discussions, not that you have all the answers.

The overarching message we would like to emphasize to all participants in this year's Leadership Dialogue is that **conflicts of interest must be handled properly to avoid adversely impacting public trust in the UN or on the Organization's integrity**. Our first duty, as international civil servants, is to disclose any conflicts of interest to the Head of entity and take steps to resolve such conflicts in the interests of the Organization. Failing to do so could amount to misconduct, leading to administrative or disciplinary sanctions. Each of the discussion topics will give you an opportunity to encourage participants to discuss various types of conflicts of interest.

Pre-Session Checklist

- ☞ To ensure that all participants complete the dialogue sessions by 30 November 2019, plan to lead the session no more than a few weeks after your supervisor completes their session with you.

Date	Task
1-2 weeks ahead	<ul style="list-style-type: none"> • Read this guide and review the discussion topics. • Prepare an example from your own experience to discuss in the opening session. • Review the following: <ul style="list-style-type: none"> ⇒ UN Oath of Office ⇒ Standards of conduct for the international civil service ⇒ ST/SGB/2018/1 – “Staff Regulations and Rules” ⇒ ST/SGB/2016/9 – “Status, basic rights and duties of United Nations staff members” ⇒ A/66/98 of 2011 – “Personal Conflict of Interest”, Report of the Secretary-General ⇒ Putting Ethics to Work: A Guide for UN Staff • Invite participants to the session. • Reserve the room/location and any equipment needed. • Consult your supervisor or the Ethics Office, if you have questions about the materials or the session.
1-3 days ahead	<ul style="list-style-type: none"> • Send a reminder to participants about the date and time for the session. • Distribute the <i>Participant’s Guide</i> to participants. • Confirm availability of the room and test any equipment needed for displaying the PowerPoint. • Print out the “Notes View” of the accompanying PowerPoint presentation, which contains the Leader’s script.
Dialogue Day	<ul style="list-style-type: none"> • Conduct the dialogue session with participants. • Report the completion of your session to your Executive Office. • Forward a list of any questions you were not able to answer during the session to the Ethics Office for follow-up.

- Send feedback to your Executive Office or Administrative Office, which will forward it to the Ethics Office.

Session Plan

➡ Follow the session plan as described in the table below:

Section	Activities	Materials	Time
1. Introduction	<ul style="list-style-type: none">• Participants sign in.• Explain why the United Nations is conducting this dialogue.• Review the session agenda.	<ul style="list-style-type: none">• Participant sign-in sheet• Opening Remarks	5 minutes
2. Opening Activity	<ul style="list-style-type: none">• Share a brief story about a situation you encountered, related to a professional conflict of interest.	<ul style="list-style-type: none">• Highlights of personal story	5 minutes
3. Scenario Discussions	<ul style="list-style-type: none">• Discuss the two scenarios, using the PowerPoint provided.• If time permits, discuss the third scenario.	<ul style="list-style-type: none">• 2-3 scenario discussions	1 hour 10 minutes
4. Conclusion	<ul style="list-style-type: none">• Make closing comments and ask for last questions.• Thank participants for attending.	<ul style="list-style-type: none">• Closing remarks• Collect sign-in sheet (see Appendix)	10 minutes

Post-Session Checklist

➡ Once the session is complete, please do the following:

Managers –

1. Collect and send the completed sign-in sheet (Appendix A) and leader's feedback form (Appendix B) to your Executive Office or other designated recipient.
2. Complete the record of feedback from participant discussions (Appendix C) and send it to the Ethics Office.
3. Send an email to the Ethics Office following up on any questions asked during the session you were unable to answer.

Executive Officers and Administrative Officers –

1. Once you have collected all sign-in sheets and evaluation forms for your department or office, send a copy of the evaluation forms and the roll up form provided in Appendix E, respectively, to the Ethics Office.
2. You do not have to submit the sign-in sheets (Appendix A) to the Ethics Office; they are for your own records. Instead, a total participant count at the conclusion of all of your department's sessions (Appendix E) should be sent to the Ethics Office.
3. Send an email to the Ethics Office following up on any questions asked during the session you were unable to answer.

Leadership Dialogue Materials

Introduction

- ➔ Time required: 5 minutes
- ➔ As participants arrive, ask them to sign in using the form provided (see Appendix A).
- ➔ Begin displaying the accompanying PowerPoint presentation, slide 1.



- ➔ At the scheduled time for the session to begin, welcome the participants, and thank them for attending.
- ➔ Begin the dialogue and click on the second slide in the PowerPoint presentation.



- Explain the purpose of the session by reading or summarizing this opening script, which accompanies slide 2:

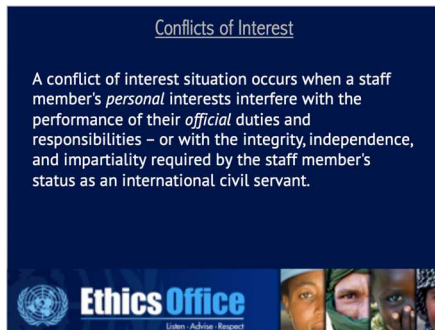
Welcome to the 2019 Leadership Dialogue, the edition for the centennial anniversary of founding the international civil service. As international civil servants, we have a special responsibility that requires us to maintain integrity, independence, and impartiality in discharging our duties and not be swayed by personal or outside interests. Each of us signed the UN Oath of Office (which is Staff Regulation 1.1(b)) when we took on these roles.

United Nations Oath of Office

“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.”

The UN Oath of Office directly relates to this year’s Leadership Dialogue discussion topic: conflicts of interest.

➔ Advance to slide 3.



➔ Continue reading or summarizing the following script:

Conflicts of interest can occur in any part of our professional lives as circumstances change. However, discovering a conflict of interest does not necessarily mean wrongdoing and conflicts of interest could be mitigated and managed if disclosed promptly. But not disclosing it or having it properly managed could amount to misconduct, leading to administrative or disciplinary sanctions.

Within the UN, we define conflict of interest as when a staff member's personal interests interfere with the performance of their official duties and responsibilities – or with the integrity, independence, and impartiality required by the staff member's status as an international civil servant.

➤ Advance to slide 4.



➤ Continue reading or summarizing the following script:

Our duty is to resolve any conflicts of interest – in the interests of the Organization – above any personal interests.

As such, we must avoid situations in which our personal interests may conflict, or appear to conflict, with the interests of the United Nations.

In practical terms, this means that we must identify and resolve conflicts of interest, putting the interests of the Organization first when managing them. To do so, we must understand those conflicts of interest typically present in day-to-day UN operations, how they may impact our work, and how best to manage or resolve these.

Our goal for today's dialogue is to reach a common understanding of how to identify a conflict of interest and how best to resolve conflicts of interest we encounter.

➡ Advance to slide 5.



➡ Continue reading or summarizing the following script:

The Secretary-General has asked us to engage in a discussion about important ethical issues like this, once a year. So, please participate and ask questions.

If you don't feel comfortable talking in front of others, please speak to me after this session.

➡ Advance to slide 6.



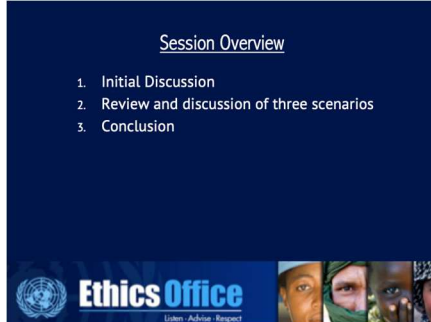
➡ Continue reading or summarizing the following script:

I want to take this opportunity to highlight the many resources available to UN staff members seeking assistance in managing conflicts of interest. These include supervisors, executive officers, HR partners, the Ethics Office, Department of Management, Strategy, Policy and Compliance (DMSPC), and the Office of Legal Affairs.

Another resource, published by the Ethics Office, is the [Putting Ethics to Work: A Guide for UN Staff](#). It is a guide for those seeking assistance and is available on the Ethics Office website. This is helpful for staff seeking assistance in any topic.

In addition to the UN Oath of Office, which we read together, you may wish to review the [Standards of Conduct](#), Secretary-General bulletins [ST/SGB/2018/1](#) “Staff Regulations and Rules ” and [ST/SGB/2016/9](#) “Status, basic rights and duties of United Nations staff members” as well as [A/66/98](#) “Personal Conflict of Interest”, Report of the Secretary-General to familiarise yourself with some of the topics that we will discuss today.

➔ Advance to slide 7.



➔ Continue reading or summarizing the following script:

Our colleagues at the Ethics Office have developed materials to guide our discussion. My supervisor has conducted a similar session with me, so I am familiar with the materials. I think you will find them interesting.

Here is an overview of our session today:

1. We will have an initial discussion about conflicts of interest using a personal example as a starting point.
2. Then we will discuss two out of the three scenarios provided. If there is time left, we can move on to the third scenario.
3. Finally, we will conclude with a summary of today's discussions.

Let's get started.

➔ Assure participants that this session will help them become better informed about how to identify and resolve conflicts of interest and applicable UN policies, regulations, rules and administrative issuances to the topics of discussion.

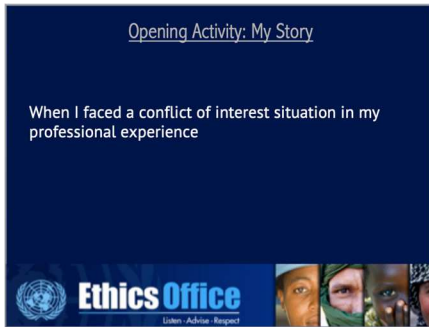
➔ Advance to slide 8 for the Opening Activity.

Opening Activity

➡ Time requirement: 5 minutes

This part of the dialogue discussion consists of 5 steps:

1. Recount a situation from your professional experience about a time where you were faced with a conflict of interest.



➡ Explain the plan for the session by reading or paraphrasing the following:

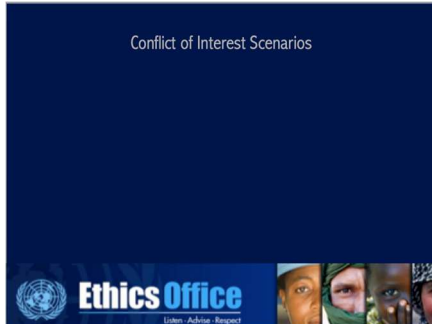
For our first activity, I will share a personal story about a time I faced a conflict of interest situation in my own professional experience.

- ➡ Tell the participants the details about a time you faced a conflict of interest situation in your own professional experience. Encourage them to ask questions and participate.
- ➡ Explain how the situation was resolved and any action you took to resolve the conflict of interest.
- ➡ Address the following questions:
- What were the details of the situation?
 - How did you know there was a conflict of interest?
 - How did you handle it?
 - What factors did you consider?
 - What were the consequences of your actions?
 - Would you have done anything differently in hindsight?

2. Ask participants to suggest what they would do if they found themselves facing a similar dilemma.

- What key factors are involved in the situation described?
- What guidance does the Organization provide to help them in such situations?
- Do they see any other potential consequences, both negative and positive?

- ➔ After the group has discussed these questions and points, advance to slide 9, moving on to the next phase of the dialogue.



- ➔ Read or paraphrase the following script:

Now, we will discuss today's specific scenarios, carefully considering what are our obligations in identifying, disclosing and resolving conflicts of interest when facing complex situations.

Scenario Discussions

There are three discussion scenarios. Each scenario is designed as a discussion activity that can be completed within 15 - 30 minutes.

1. Choose two scenarios to discuss.
2. If there is time left over, discuss the remaining scenario.
3. For each scenario discussion, ask the guiding questions, designed to address the complexity and variety of conflicts of interest present.

The purpose of this exercise is to have a meaningful dialogue with colleagues regarding conflicts of interest, not to cover all of the material in detail or to find the right answers. Indeed, while talking points are provided, there are no “perfect” answers to these topics. These are not easy issues for most people to discuss in a group setting.

We suggest the following approach when leading each discussion:

- Encourage peer learning or sharing by soliciting the opinions of participants.
- Be aware that some participants will be more comfortable than others when speaking in front of the group.
- Encourage the quieter members to participate by asking them to offer their views on the case being discussed.
- Emphasize the importance of each staff member’s role in identifying and resolving conflicts of interest beginning with disclosure and seeking assistance when one is unsure.
- Should you find yourself unable to answer a particular question, admit to the group that you do not have the answer, note the question, and after the workshop is completed, promptly forward any unanswered questions to the Ethics Office.

Below is a list of questions to draw on to encourage open dialogue:

- What do you think about the situation?
- Has anyone faced a similar situation they would like to share with the group?
- How would you resolve the situation?
- What do the Staff Regulations and Rules say?
- What would you do in a similar situation?
- What do you think is the right thing to do in this situation?
- If you were unclear on handling this situation, where could you go for help?

The table below provides a brief synopsis of each of the discussion topics.

Discussion Topic	Key Issue	Suggested Allotted Time
1. Scenario 1	Welcoming Ricardo	15 - 30 minutes
2. Scenario 2	Tomás the Fiancé	15 - 30 minutes
3. Scenario 3	Pamela's Writing	15 - 30 minutes

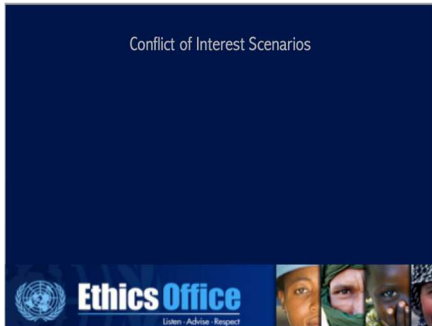
Instructions

Project the PowerPoint presentation as you lead the Dialogue. It serves to guide you and help your group follow along in the discussions. The Participant's Guide contains the discussion scenarios, resources and references related to each scenario. Follow the steps below:

1. **Introduce the scenario:** Each scenario includes a small introduction you can read or paraphrase to the group.
2. **Read:** Display the discussion topic on PowerPoint and read aloud to participants, or ask for a volunteer from the group to read the scenario aloud. Each of the scenarios can also be found in the Participant's Guide provided to your staff.
3. **Ask questions:** The scenarios contain several discussion questions. Ask a question, and allow participants to discuss it fully before moving on to the next question.
4. **Wait:** Give participants time to consider each question and potential answers. It can take several seconds for a person to hear a question and formulate an answer. Ask for volunteers to offer their thoughts. Encourage group members to share what they would do if faced with a similar conflict of interest situation.
5. **Conclude:** Once you have discussed each of the questions, conclude by reviewing the key discussion points provided at the end of each discussion activity. If participants are still actively discussing, say, "Let's hear one more comment before we move forward." After discussing the individual scenarios, close with concluding remarks and thank everyone for their participation.

Introduction to Conflict of Interest Scenarios

- Time requirement: 5 - 10 minutes
- Display slide 9 of the PowerPoint.

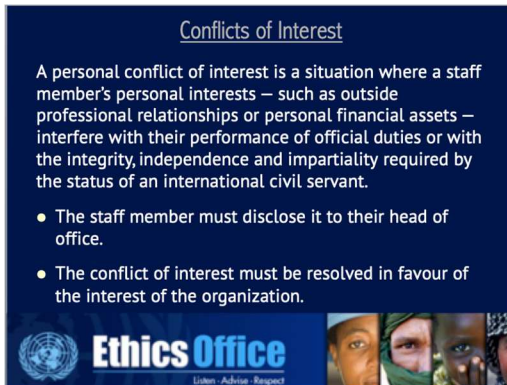


- Read or paraphrase the following introduction to the scenarios:

The two scenarios we will read today relate to conflicts of interest. If there is time left, we will discuss the third. Each scenario contains different conflicts of interest for us to identify and discuss.

Before we begin, let's review the UN's definition of a conflict of interest.

- ➔ Display slide 10 of the PowerPoint.



- ➔ Read or paraphrase the following introduction to the scenario:

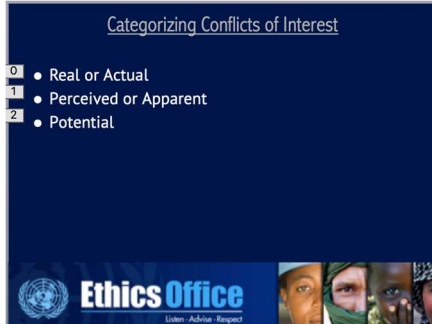
A personal conflict of interest is a situation where a staff member's personal interests — such as outside professional relationships or personal financial assets — interfere with their performance of official duties or with the integrity, independence and impartiality required by the status of an international civil servant.

Please note that:

1. The staff member must disclose it to their head of office.
2. The conflict of interest must be resolved in favour of the interest of the organization.

Let's go a little deeper into this before looking at our scenarios.

➔ Display slide 11 of the PowerPoint.



➔ Read or paraphrase the following introduction to the scenario:

Conflicts of interest can be real or actual, perceived or apparent or they can be potential conflicts of interest.

- A real or actual conflict of interest involves a direct conflict between current UN duties and responsibilities and existing personal interests; it interferes with the integrity, independence and impartiality required by a staff member's status as an international civil servant.
- An apparent or perceived conflict of interest exists in situations where a reasonable person would think that a staff member's judgment is likely to be compromised by personal interests that could improperly influence the performance of their duties – whether or not this is in fact the case.
- A potential conflict of interest involves a situation that may develop into an actual conflict of interest if the staff member has personal interests that could conflict with their official duties in the future.

Understanding the differences between actual, apparent and potential conflicts of interest helps us identify when a conflict exists and the best approach to resolve or manage the conflict of interest.

➡ Display slide 12 of the PowerPoint.



Managing Conflicts of Interest

Management and Monitoring – managers may seek assistance from the Ethics Office regarding the management of possible conflicts of interest.

Measures to Mitigate and Manage Conflicts of Interest

- Restriction of access to related information
- Recusal – no decision making in relation to the entity or activity
- Divestment
- Resignation from outside positions

 **Ethics Office**
Listen · Advise · Respect



➡ Read or paraphrase the following script:

How we manage conflicts of interest is very important. The first step is disclosure. We must disclose all possible conflicts of interest as we become aware of them to our supervisor and seek advice from the Ethics Office, when needed. (For prompt advice, staff members should come to the Ethics Office as soon as possible with all relevant information.) Many conflicts of interest need to be further managed.

Management and Monitoring – managers may seek assistance from the Ethics Office regarding the management of possible conflicts of interest, if needed. (For timely advice, managers should approach the Ethics Office as soon as possible with all pertinent information.)

Measures to Mitigate and Manage Conflicts of Interest

- Restriction of access to related information
- Recusal statement – no decision making in relation to the entity or activity
- Divestment
- Resignation from outside positions

Please feel free to ask any questions now and throughout the Dialogue. We should feel comfortable expressing our views and opinions, even when they differ from those expressed by supervisors or colleagues. We should also feel confident that our ideas will be heard, considered and recognized.

We will read and discuss the first scenario now.

Scenario 1: Welcoming Ricardo

- Time requirement: 15 - 30 minutes
- Advance to slide 13 of the PowerPoint.



- Read the following scenario or invite a participant to read it to the group. This scenario can be found on page 7 of the Participant's Guide.

Ricardo recently joined UNITY Mission as a Procurement Officer and has been living in a hotel. He has spent much of his free time excitedly exploring and writing in his personal Facebook and Twitter accounts about his experiences, observations, and hardships while living in a new country.

After meeting with a host government counterpart, in which Ricardo's personal social media activity was criticized, Ricardo's supervisor Vivian, invited Ricardo to a casual lunch at her home on the weekend. When Vivian raised the issue of his personal social media postings, Ricardo was surprised that his personal social media activity was cause for concern because he never posted about his specific UN work and did not include personal identifiable details.

They had a lovely meal, and Vivian encouraged Ricardo to rent an apartment in the complex where she lived, upon learning that he was seeking a place. After all, it was already cleared by security. Ricardo also brought up possibilities of career advancement in his new mission, highlighting the recent job posting at a higher level for which he felt qualified. Vivian advised him to work hard and prove himself to be a reliable professional since he had just arrived and also apply if he was interested.

On Monday, Ricardo told Ndiaye, a local staff member, about the possibility of renting an apartment in the same complex as Vivian. Ndiaye told Ricardo that he heard that Vivian's complex was very nice but cautioned

Ricardo that the Mission's largest vendor owned several buildings in the complex.

That evening, while having tea with his own country's ambassador at her residence, Ricardo mentioned his on-going housing search as well as the lunch he had with his supervisor. The Ambassador suggested that he stay in her empty guesthouse, free of charge, and avoid the complex altogether. Ricardo also sought her support in advancing his career advancement, including speaking to the head of his mission to hire him for the upcoming job posting at the higher level, for which he had applied.

Discussion Questions – Scenario 1- Welcoming Ricardo

➡ Use the following questions to guide your discussion. Ask the group or draw on volunteers.

Discussion Question	Follow Up Questions	Important Points
<ul style="list-style-type: none">• What is happening in this scenario? What are the relevant facts?	<ul style="list-style-type: none">• What conflicts of interest can you identify in this scenario?	<ul style="list-style-type: none">• Personal social media usage• Relationships with host government counterparts• Relationships with vendors• Favours from governmental sources, including pressuring managers on career advancement

Discussion Question	Follow Up Questions	Important Points
<p><i>Personal Use of Social Media</i></p> <ul style="list-style-type: none"> • What problems can arise from Ricardo writing in his personal accounts on various social media platforms about his experiences, observations, and hardships while living in a new country? 	<ul style="list-style-type: none"> • What are the reputational risks associated with personal use of social media as described? • How can this impact the UN's relationship with the host government counterparts? • If you were Ricardo's manager or supervisor, how would you handle this situation? 	<ul style="list-style-type: none"> • UN staff have an important role to play as the face of the Organization, including in personal social media accounts. • Staff member participation in social media activities is subject to the principles set out in the United Nations Charter, and must comply with the United Nations Standards of Conduct for the International Civil Service, United Nations Staff Regulations and Rules, Status, basic rights and duties of United Nations staff members (ST/SGB/2016/9), Guidelines for the Personal Use of Social Media and with the Media Guidelines for United Nations Officials. • Posting personal or identifiable information may raise safety and security risks. • When using social media for personal purposes, it is advisable to add a disclaimer in your social media profile that your views are personal and do not necessarily reflect the endorsement of your employer. • Avoid political or other controversial or offensive statements, or criticisms of any government, and remember that your statements should reflect your independence, impartiality and loyalty to the UN.

Discussion Question	Follow Up Questions	Important Points
<p><i>Personal financial relationship with a UN vendor</i></p> <ul style="list-style-type: none"> • Ndiaye cautioned Ricardo that the Mission’s largest vendor owned several buildings in the complex. Why did Ndiaye caution Ricardo about renting from a UN vendor? 	<ul style="list-style-type: none"> • What are the issues? • How could renting from a UN vendor impact Ricardo or the Organization? • Would renting the apartment from a UN vendor be a real conflict of interest? • How would Ricardo’s roles and responsibilities as a Procurement Officer relate? • Is it possible that it may appear to some that Ricardo was using his position in procurement to gain a sweetheart rental deal with a vendor? 	<ul style="list-style-type: none"> • The building owner has a contractual relationship with the Organization. If Ricardo rented from this owner, the situation could give rise to an actual, potential or an apparent conflict of interest in the performance of Ricardo’s procurement duties and his required integrity, independence and impartiality. • It may create a public perception of undue influence or quid pro quo, thus reflecting adversely on the Organization and giving rise to reputational concerns. • Pursuant to Staff Regulation 1.2(m), actual, as well as potential conflicts must be avoided, disclosed and resolved in the interests of the Organization. Staff are obliged to disclose even possible conflicts and to follow instructions on resolving the situation, including to avoid and remove the conflict or the circumstances that make it a possible conflict. • Additionally, those UN staff currently renting from the same owner/vendor would face the same risks and should terminate leases with the vendor as soon as practicable. It is recommended that they disclose the situation to the Head of Mission. Pending the termination of the lease, they should submit a recusal statement that they will recuse themselves from matters relating to the Vendor.

Discussion Question	Follow Up Questions	Important Points
<p><i>Favours from a Government Entity</i></p> <ul style="list-style-type: none"> • Ricardo was offered a room in the Ambassador’s guesthouse. Why could this be seen as a problem? • Ricardo also seeks the assistance of the Ambassador for his career advancement or personal gain. • How or why could these situations create a conflict of interest or an appearance thereof? 	<ul style="list-style-type: none"> • Why would the Ambassador offer to house Ricardo? • How could the Ambassador benefit from housing a UN employee? • Is it possible that accepting free housing from a government counterpart could lead someone to conclude that the UN was not impartial or independent? • Why would Ricardo seek the intervention of the Ambassador for his career advancement? • What does Staff Rule 1.2 (j) say about staff members influencing Member States for personal gain? • What could happen to Ricardo if he were to accept the free room or his Ambassador were to pressure the head of his mission to select him for the promotion? 	<ul style="list-style-type: none"> • We cannot accept any honours, decorations, favours, remuneration or gifts from <u>Government sources (Staff Regulation 1.2 (j) (k) and Staff Rule 1.2 (l))</u>. He should politely decline the offer. • While the Ambassador’s intention may only be to help solve Ricardo’s housing problem, were Ricardo to accept the offer to stay in the Ambassador’s house, this situation would give rise to an actual conflict with the performance of Ricardo’s duties and his required integrity, independence and impartiality. • It may create an appearance or at least a perception of undue influence or lack of independence or impartiality, thus reflecting adversely on the Organization. • It is possible that living in the Ambassador’s house would give the Ambassador undue influence and access to information related to UN activities. • Ricardo should not seek the assistance of his Ambassador to pressure UN officials to favour him over other candidates for his career advancement. • Ricardo would feel indebted to the Ambassador and it may interfere with his ability to make decisions purely in the interest of the Organization.

Key Messages Scenario 1- Welcoming Ricardo

- Once the discussion is complete, wrap up by reading or paraphrasing the key messages below.

Reviewing Ricardo's scenario, we identified several conflicts of interest. We were able to see from these how the conflicts of interest could impact Ricardo and the Organization.

The complexity of Ricardo's situation is not unique. All of the situations Ricardo faced are based on actual experiences UN staff members have faced when beginning a new position in a new location.

As a Procurement Officer, because of Ricardo's roles and responsibilities, he was at a greater risk for conflicts of interest and not being independent and impartial in carrying out his function.

As UN staff members, we must avoid situations where we benefit personally or allow others to benefit personally, financially or otherwise, from the decisions we make on behalf of the Organization. This is especially important in matters related to financial interests. We should not influence Member States for personal gain.

Scenario 1- Welcoming Ricardo – Taking Action

➡ Display slide 15



➡ Close out this scenario discussion by paraphrasing the Taking Action messages below.

- Remember that official information that has not been made public cannot be disclosed through social media, except with prior authorization.
- Anticipate and proactively avoid situations where you may face competing interests that risk influencing our impartiality.
- Best practice dictates that we disclose any possible conflict of interest upon discovery to minimize risks.
- Be mindful of how your own special roles and responsibilities may increase the risk of a conflict of interest situation.

Scenario 1 – Welcoming Ricardo - Related Resources and References

Related resources and references are included in the Participant’s Guide.

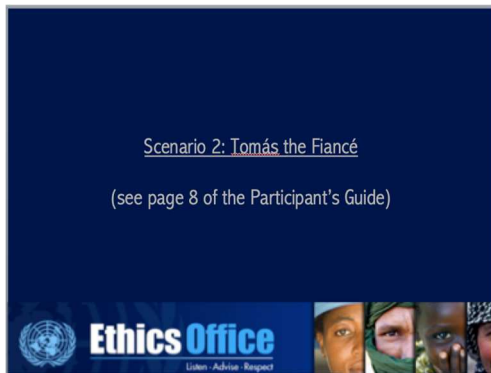
- [Principles, United Nations Charter](#)
- [United Nations Standards of Conduct for the International Civil Service](#)
- [ST/SGB/2018/1](#) – “Staff Regulations and Rules”
- [ST/SGB/2016/9](#) – “Status, basic rights and duties of United Nations staff members”
- [A/66/98](#) – “Personal Conflict of Interest”, Report of the Secretary-General
- [ST/AI/2010/1](#) – “Administrative instruction: Reporting, retaining and disposing of honours, decorations, favours, gifts or remuneration from governmental and non-governmental sources”
- [ST/SGB/2006/5](#) – “Secretary-General’s bulletin: Acceptance of pro bono goods and services”
- [Media Guidelines for United Nations Officials](#)

- [Guidelines for the Personal Use Social Media, February 2019](#)

➤ Allow time for participants to share their points of view and ask if there are any questions before moving onto the second scenario.

Scenario 2 – Tomás the Fiancé

- Time requirement: 15 - 30 minutes
- Display slide 16 of the accompanying PowerPoint.



- Read the following scenario or invite a participant to read it aloud to the group. The Scenarios can also be found in the Participant's Guide.

Laila, Tomás' fiancé, is excited about Tomás' new assignment in her duty station with the Regional Office of her Entity. It means he will be joining her in her home country, near her friends and family. Even though they work in the same Regional Office, they are in different units and not reporting to one another. Tomás is in charge of an environment project to advance the SDGs at the Regional Office. Laila approached Tomás about helping her cousin, Nabil Zaitun, find a position with the UN. She assured him that Nabil is very qualified and hard working. Laila also mentioned that Nabil's father, the head of Solaire Foundation, a local NGO, which deals with environmental issues, would be “very” grateful.

A week later, Tomás attended a conference organized by Solaire Foundation. During the reception, he meets Ali Zaitun, Head of Solaire Foundation and Nabil's father, and, among many things, they discuss their mutual interest in art and the local art scene. They never discuss Nabil's interest in joining the UN.

On Monday, when Tomás arrives in the office, he finds a package from Ali containing a beautiful and expensive painting by a rising local artist. Tomás calls Ali and respectfully declines the gift. A week later, he receives an invitation to become a member of the board for Solaire Foundation.

Laila recently set up a small computer repair store near the UN premises, which she oversees during the weekend while her two brothers manage its daily operations. Laila has been sending emails during office hours to her colleagues encouraging them to use the store's services and offering a discount to UN personnel.

Discussion Questions – Scenario 2 – Tomás the Fiancé

➔ Display slide 17.



➔ Use the following questions to guide your discussion. Ask the group or draw on volunteers.

Discussion Question	Follow Up Questions	Important Points
<ul style="list-style-type: none"> • What is happening in this scenario? What are the relevant facts? 	<ul style="list-style-type: none"> • What potential or actual conflicts of interest can you identify in this scenario? 	<ul style="list-style-type: none"> • Family and close personal relationships • Gifts • Outside activities – board participation

Romance in the workplace

- Even though Laila and Tomás work in the same Regional Office, they are in different units and not reporting to one another.

- Is a family relationship in the workplace, or a close personal relationship such as an engagement or co-habitation, a potential conflict of interest?
- What would be the effect of Laila and Tomás to have direct official dealings with one another, even if there is no reporting relationship?

- Staff members must disclose personal interests that could affect performance of official duties, such as family relationships and other close personal relationships that could impact upon the performance of their duties (Staff Regulation 1.2 (m) and Staff Rule (1.2 (q))).
- While Tomas and Laila do not come into routine professional contact as they work in different units, it may be helpful to them and to their work unit to transparently disclose to the regional unit head and their supervisors of their engagement. Following up by signing a proactive recusal statement could also protect them from unfounded allegations of a conflict of interest in the future. A sample proactive recusal statement can be found in the Participant's Guide.

Hiring of family

- Laila has asked Tomás for help getting her cousin a UN job.

- Would Tomás be acting in the interests of the Organization helping his fiancé's cousin get a job?
- Would it be acceptable to Tomás to introduce Nabil to UN staff socially or for Tomás to email Nabil's CV to colleagues? Why or why not?
- What are the risks for Tomás helping Nabil get a job?
- What do the staff rules say about helping friends gain UN

- As UN staff members we owe our loyalty to the UN first and we must always act in the interest of the Organization (Oath of Office: Staff Regulation 1.1 (b)).
- By helping Nabil obtain UN employment, Tomás would act in the interest of his future family and thus would further his own interests, in contravention with the UN values and principles of integrity.
- Seeking employment for family members within the UN would create a conflict of interest.
- Staff members cannot use their office or knowledge gained from official functions for private gain,

Discussion Question	Follow Up Questions	Important Points
	employment?	financial or otherwise, or for the private gain of any third party, including family, friends and those they favour. (See Staff Regulation 1.2 (g).)
<p>Gifts</p> <ul style="list-style-type: none"> Tomás found a gift from Ali Zaitun who is also Nabil's father and his fiancé's cousin and the head of a local NGO dealing with environmental issues. 	<ul style="list-style-type: none"> Tomás called Ali and respectfully declined the gift. Why do you think Ali gave Tomás a painting? How should Tomás have handled this situation? Was declining the gift enough? Is there anything more you would have wanted Tomás to do had you been his manager? 	<ul style="list-style-type: none"> Tomás declined the gift respectfully and immediately. This was the correct course of action. Best practice shows that Tomás could also disclose to his manager that Ali sent the painting as a gift, even if Tomás had declined the gift. Receiving honours, favours, gifts or remuneration from <u>non-governmental sources</u> is permitted with the prior approval of the Secretary-General and approval is only granted in exceptional cases (Staff Regulation 1.2 (l) and Staff Rule 1.2 (m) and (n)). Accepting gifts from <u>a person or entity doing business with or seeking to have any sort of contractual relationship with the UN</u> is prohibited, as it constitutes a conflict of interest (Staff Rule 1.2 (p)).

Outside Activities

Tomás was offered a position as a member of the board for Solaire Foundation, in his official capacity.

- What potential risks or problems can you expect for Tomás should he accept the board position, even in his personal capacity?
- Should Tomás wish to serve on this board in a personal capacity, what approval would he require?

- It is possible that Ali is seeking to put his organization, Solaire, in a position to benefit from Tomás' UN position and potentially non-public information or maybe help with contracts for Solaire on projects.
- Even if Tomás wished to accept the Board position in his personal capacity, he would need to seek prior authorization from his Head of Office or responsible official (Staff Regulation 1.2 (o), (p), and Staff Rule 1.2 (s) and (t)). However, the taking on of fiduciary duties required for external board membership is discouraged due to a conflict of loyalty that such an external appointment creates.

Outside occupation

Laila recently set up a small computer repair store near the UN premises, which is managed by her two brothers.

- Is Laila required to obtain prior authorization for this outside occupation?

- Pursuant to Staff Regulation 1.2 (p), Laila's ownership of an entity and her involvement in its management constitute an outside occupation requiring prior authorization. Laila must submit a request for approval to her head of entity/mission prior to engaging in this business.

Use of UN resources for personal gains

Laila has been sending emails during office hours to her colleagues encouraging them to use the store's services and offering a discount to UN personnel.

- Is there any problem with Laila sending emails to her colleagues during the office hours encouraging them to use the store's services?
- What risks or potential conflicts of interest would

- Even if she were to have received prior approval for her limited outside occupation, Laila should not be using her official (UN) position to seek favours from or give favours to UN colleagues in relation to an activity she is engaging in her personal capacity.
- Laila should not use her UN affiliation and access to UN

Discussion Question	Follow Up Questions	Important Points
	<p>arise when Laila offers a discount to UN personnel?</p>	<p>personnel or UN premises and facility to promote, market or sell her private business services.</p> <ul style="list-style-type: none"> • Office time constitutes UN resources which should be devoted to performing work for the Organization. By sending emails about her computer store (i.e. marketing her outside personal business) to UN colleagues during office hours, Laila is using UN resources (time and facility) and her access to UN personnel (affiliated with her official functions) for her private gain, in contravention of Staff Regulation 1.2 (g). • By offering a discount and encouraging UN personnel to use the store's services, Laila may appear as giving favours to or exchanging favours with certain colleagues through her personal business, which would impact upon her integrity, independence and impartiality in the performance of her UN functions, especially if/when she interacts with these UN personnel at work. • Laila must not use office time or facility for her personal interests and must take proactive measures to avoid conflicts of interest, or even an appearance or perception thereof.

Key Messages – Scenario 2 – Tomás the Fiancé

➡ Display slide 18



➡ Once the discussion is complete, wrap up by reading or paraphrasing the key messages below.

Conflicts of interest include circumstances in which international civil servants, directly or indirectly, may benefit improperly, or allow a third party to benefit improperly, from their association with their organization.

Conflicts of interest can arise from an international civil servant's personal or familial dealings with third parties, individuals, beneficiaries, or other institutions. Thus we may be required to disclose family or close personal relationships and certain personal assets if this is necessary to enable the UN to make sure that there is no conflict of interest.

Scenario 2 – Taking Action

➡ Close out this scenario discussion by paraphrasing the Taking Action messages below.

- Anticipate and avoid situations where you may face competing interests that risk impacting our impartiality.
- Proactively disclose to managers any information related to situations that may give rise to a real, perceived or potential conflict of interest so that any such conflict may be assessed and appropriately addressed.
- Avoid situations where you are seen to benefit, directly or indirectly, or allow a third party to benefit, from the decisions you make.
- If you think that you have a possible conflict of interest, seek assistance from the Ethics Office.

➡ Allow time for participants to share their points of view and ask if there are any questions before moving onto the third scenario.

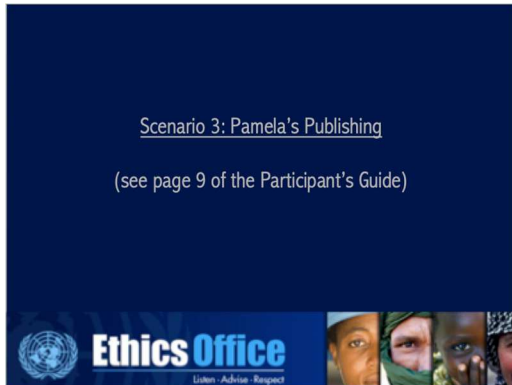
Scenario 2 – Related Resources and References

Related resources and references are included in the Participants Guide.

- [Standards of Conduct for the international civil service](#)
- [ST/SGB/2018/1](#) – “Staff Regulations and Rules”
- [ST/SGB/2016/9](#) – “Status, basic rights and duties of United Nations staff members”
- [A/66/98](#) – “Personal Conflict of Interest, Report of the Secretary-General”
- [ST/AI/2010/1](#) – “Administrative instruction: Reporting, retaining and disposing of honours, decorations, favours, gifts or remuneration from governmental and non-governmental sources”
- [ST/SGB/2006/5](#) – “Secretary-General’s bulletin: Acceptance of pro bono goods and services”
- Sample recusal statement to the Head of Entity or Responsible Official regarding family relationships (see page 8 of Participant’s Guide)
- Sample letter politely declining an anticipated gift (see page 9 of Participant’s Guide)

Scenario 3 – Pamela’s Publishing

- Time requirement: 15 - 30 minutes
- Display slide 19 of the accompanying PowerPoint.



- Read the following scenario or invite a participant to read it aloud to the group. The scenario can be found on page 9 in the Participants Guides.

Prior to joining the UN, Pamela, who now works as a Human Rights Officer, co-authored a significant paper on the sustainability of democracy in Latin America. The paper received much attention in the media, from both academia, and outside stakeholders. Pamela has since decided to write and publish a broader academic thesis on the subject, including updates to her initial work based on two UN projects that she worked on during the last year.

Pamela worked on her new thesis in her office every night after official working hours. She emailed select colleagues inviting them to be interviewed in connection with her research.

Pamela’s supervisor, Zheng, noticed her long days in the office and scheduled a meeting to check in with her. During the meeting, Pamela explained that she had been working on an academic thesis on her own time and after hours. Pamela told Zheng that: “I sincerely believe that it will not interfere with my UN duties”. Zheng expressed concern about balancing her workload and the potential for the perception of a conflict of interest, as her thesis would be directly related to her responsibilities at the UN. Pamela later revealed that she had submitted the abstract of her prospective paper for a writing prize administered by the Organization of American States (OAS) and that, if selected, she would be given a monetary prize upon completion of the thesis.

Discussion Questions – Scenario 3 – Pamela’s Publishing

➡ Display slide 20



➡ Use the following questions to guide your discussion asking the group or drawing on volunteers:

Discussion Question	Follow Up Questions	Important Messages
<ul style="list-style-type: none"> • What is happening in this scenario? • What are the relevant facts? 	<ul style="list-style-type: none"> • What conflicts of interest can you identify in this scenario? 	<ul style="list-style-type: none"> • Pre-UN work • Publishing in personal capacity • Overlap between personal and official activities • Requesting colleagues to participate in her study • Interfering with UN work • Using UN equipment and facilities for personal activities • Submitting the paper to the OAS for a monetary prize

Discussion Question	Follow Up Questions	Important Messages
<p><i>Pre-UN Work</i></p> <p>Pamela co-authored a paper on the sustainability of democracy in Latin America prior to joining the UN and is writing a broader academic thesis on the subject, including updates to her initial work based on two UN projects that she worked on during the last year.</p>	<ul style="list-style-type: none"> • What authorizations would Pamela need to engage in this activity? • Is it possible for Pamela to both write the paper in a private capacity and also include information related to UN projects she’s involved in? • How else might Pamela be able to carry out this activity? 	<ul style="list-style-type: none"> • Pamela should not be using her official position to seek cooperation of UN colleagues on an activity she is engaging in her personal capacity. • Staff must obtain prior authorization from the Secretary-General to publish materials, which relate to the purpose, activities and interests of the United Nations (Staff Rule 1.2 (t) and ST/AI/2000/13, section 4.1(d)). Pamela’s writings address human rights and democracy, which are related to the purpose, activities and interests of the United Nations and therefore require prior authorization. • Pamela would need to submit a request in writing to the Head of Office/entity, through her supervisor to the executive officer at United Nations Headquarters, or to the local chief of personnel at United Nations offices away from Headquarters. (ST/AI/2000/13 (Section 6)) • Pamela could also seek authorization from her manager to write the paper in her official capacity, if it is considered to be in line with her Office’s work and in the best interest of the Organization to do so. However, the views expressed in the paper would represent the views of the United Nations on the matters under examination.

Discussion Question	Follow Up Questions	Important Messages
<p><i>Use of UN Staff and Resources</i> Pamela has sought interviews with UN colleagues for the paper she is writing.</p>	<ul style="list-style-type: none"> • How might UN colleagues feel if asked to be interviewed for such a paper? 	<ul style="list-style-type: none"> • Pamela should not be seeking cooperation of UN colleagues on an activity she is engaging in in her personal capacity. • Pamela should not use information or knowledge gained from her official function, or her access to officials of the Organization and the information provided by them in connection with their service for the Organization, for her private gain (Staff Regulation 1.2 (g)). • Staff members can only use the Organization’s property or assets (human, financial and material) for official or authorized purposes (Staff Regulation 1.2 (q)). Pamela must ensure that any ‘insider or confidential’ information (information not yet readily available to the public) to which she is privy as a result of discharging her UN duties, remains in confidence (Staff Regulation 1.2 (i)).


Discussion Question	Follow Up Questions	Important Messages
<p><i>Submitting the paper to the OAS for a monetary prize</i></p> <p>Pamela entered an abstract of her prospective paper for a writing prize administered by the Organization of American States (OAS) and that, if selected, she would be given a monetary prize upon completion of the thesis.</p>	<ul style="list-style-type: none"> • Can staff members accept honours from Governmental sources? What about intergovernmental sources? • Can UN staff accept compensation or a monetary prize from an outside source? 	<ul style="list-style-type: none"> • “No staff member shall accept any honour, decoration, favour, gift or remuneration from any Government.” (Staff Regulation 1.2 (j) - unless refusal of an unanticipated honour would cause embarrassment to the Organization (Staff regulation 1.2 (k). This prohibition applies whatever the reason for the honour, benefit, favour or remuneration, even if it is unrelated to the staff member’s service with the Organization, since it is imperative that an international civil servant be perceived as independent from any national Government. • The United Nations does not encourage its staff or offices to actively pursue recognition from external sources for their official work or work related to the UN as this would undermine the independent and impartial status of the Organization. • An honour, decoration, favour or remuneration relating to the performance of official functions should be directed to the Organization, not to an individual staff member and should be so designated.

Key Messages – Scenario 3 – Pamela’s Publishing

➡ Display slide 21.

Scenario 3: Pamela's Publishing— Key Messages

- Seek and receive prior authorization before engaging in certain outside activities including publishing, issuing statements, public speaking, participating in audio or video broadcasts, outside work, and teaching, among other activities.
- Anticipate and avoid situations where you may face competing interests that risk impacting our impartiality.
- Avoid situations where you are seen to benefit, directly or indirectly, or allow a third party to benefit, from the decisions you make.
- If you think that you have a possible conflict of interest, seek assistance from the Ethics Office.

 **Ethics Office**
Listen · Advise · Respect 

➡ Once the discussion is complete, wrap up by reading or paraphrasing the key messages below.

A conflict of interest occurs when our personal interests, such as outside professional relationships or personal financial assets, interfere—or appear to interfere—with the performance of our official duties or with the integrity, independence or impartiality required by our status as international civil servants.

Our professional decisions must be based solely on the UN’s, must be guided by the best interest of the United Nations, and we have a duty to avoid even an appearance or perception of a conflict between our personal interests and those of the UN. We are expected to arrange our personal matters so that we can provide our loyalty first to the UN.

It is common for opportunities to engage in outside activities to arise. Before agreeing to participate in an outside activity, check to see if is allowable – whether it would conflict with a staff member’s official functions or the status of an international civil servant, or whether it would be against the interest of the United Nations and whether it is permitted by local law at the duty station or where the activity occurs. Additionally, it should be considered whether it is something to be done in a personal capacity or as part of your UN normal course of duties, in an official capacity.

Included in the Participant’s Guide is a template for seeking authorization from the Secretary-General to participate in outside activities.

Scenario 3 – Pamela’s Publishing Taking Action

- ➡ Close out this scenario discussion by paraphrasing the Taking Action messages below.

As staff members, we are expected to devote our time and energy to the work of the Organization. Outside employment, occupation and activities, paid or unpaid, may interfere with our ability to serve the UN.

- Seek and receive prior authorization before engaging in certain outside activities including publishing, issuing statements, public speaking, participating in audio or video broadcasts, outside work, among other activities if such activities relate to the purpose, activities and interests of the United Nations.
- Anticipate and proactively avoid situations where you may face competing interests that risk impacting your independence and impartiality.
- Avoid situations where you may be seen to benefit, directly or indirectly, or allow a third party to benefit, from the decisions you make.
- If you think that you have a possible conflict of interest, disclose and discuss the situation with your supervisor/head of office and/or seek assistance from the Ethics Office.

- ➡ Be sure to allow everyone an opportunity to speak up and participate in the discussion. Once you believe everyone has participated sufficiently, ask if there are any questions before moving to the conclusion section.

Scenario 3 – Related Resources and References

Related resources and references are included in the Participant’s Guide as well.

- [Standards of Conduct for the international civil service](#)
- [ST/SGB/2018/1](#) – “Staff Regulations and Rules”
- [ST/SGB/2016/9](#) – “Status, basic rights and duties of United Nations staff members”
- [A/66/98](#) – “Personal Conflict of Interest, Report of the Secretary-General”
- [ST/AI/2010/1](#) – “Administrative instruction: Reporting, retaining and disposing of honours, decorations, favours, gifts or remuneration from governmental and non-governmental sources”
- [ST/SGB/2006/5](#) – “Secretary-General’s bulletin: Acceptance of pro bono goods and services”
- Sample memo for requesting approval of outside employment/ occupation/ activities (see page 7 of Participant’s Guide)

- Ask participants if they have any questions. If you are unsure of how to answer a question from a participant, write that question down for follow-up with the Ethics Office. (Kindly ensure that you give sufficient time for the Ethics Office to conduct its review of the question and related information before you pledge to get back to a participant by a promised date.)

Closing Activity – Concluding the Dialogue

- ➡ Display slide 22.



- ➡ After concluding the scenarios, read or paraphrase the following:

That was an excellent discussion. You made very interesting points.

Each of us plays a role in speaking up in order to support those ideals and fulfil our mission.

As we discussed today, if there is an issue you did not feel comfortable talking about in front of others, please speak to me after this session.

If you are not comfortable speaking to me, there are a variety of other resources. A list of resources can be found in your Participant's Guide.

[Putting Ethics to Work](#), published by the Ethics Office, is a guide for those seeking assistance.

As we conclude this year's Dialogue, the message I want to emphasize is that **conflicts of interest must be properly managed to avoid adversely impacting public trust in the UN or on the Organization's integrity**. Not doing so could expose you to risk of misconduct and administrative or disciplinary consequences. Our first duty, as international civil servants, is to prevent and/or resolve any conflicts of interest in the interests of the Organization. Taking proactive steps, such as avoiding circumstances, which may give rise to a conflict of interest and disclosing any conflicts of interest, protects both the Organization and involved staff members from risk.

- ➡ Take suggestions and offer encouragement to share more ideas going forward.

- Thank participants for their willingness to engage in an important discussion.
- Read or paraphrase the following final remarks:

This concludes our Dialogue. I want to thank you for your participation today. I hope you found it useful. I appreciated your enthusiasm for the discussion and your ideas and comments.

Before we close the session, are there any final questions or comments?

- Take any final questions. Do not be concerned if there are questions you cannot answer. Contact the United Nations Ethics Office for a definitive response (please ensure there is sufficient time for the Ethics Office to consider the question and related information) and get back to the questioner.
- Close the session.

Leadership Dialogue Appendices

Appendix A: Leadership Dialogue Sign-In Sheet

Date of Session:
Discussion Leader:
Department:
Office/Mission:

- | | |
|-----|-----|
| 1. | 14. |
| 2. | 15. |
| 3. | 16. |
| 4. | 17. |
| 5. | 18. |
| 6. | 19. |
| 7. | 20. |
| 8. | 21. |
| 9. | 22. |
| 10. | 23. |
| 11. | 24. |
| 12. | 25. |
| 13. | |

Please provide feedback in your own words to the following questions:

1. What went well during your session?
2. What did not go well during your session?
3. Were there any questions or issues that you could not answer during the session?
4. What changes would you recommend for future Leadership Dialogues?
5. What topics would you recommend for future Leadership Dialogues?

Appendix D: Hand-outs

Standard of Conduct

ST/SGB/2018/1 – “Staff Rules and Regulations”

ST/SGB/2016/9 – “Status, basic rights and duties of United Nations staff members”

A/66/98 – “Personal Conflict of Interest, Report of the Secretary-General” (attached)

ST/AI/2010/1 – “Administrative instruction: Reporting, retaining and disposing of honours, decorations, favours, gifts or remuneration from governmental and non-governmental sources”

ST/SGB/2006/5 – “Secretary-General’s bulletin: Acceptance of pro bono goods and services”

Putting Ethics to Work: A Guide for UN Staff :
https://www.un.org/en/ethics/pdf/Attachment_2_EN_Putting%20Ethics%20to%20Work.pdf

Appendix E: Roll up of Session Feedback Forms

This is to be completed by the Executive Office or Administrative Office.

Please complete this summary form and send it to your Executive Office. This form has been designed to assist the Executive Office or Administrative Office in compiling and summarizing all of the feedback forms from the various Leadership Dialogue sessions conducted in your Organization.

You can send this form from your printed guide, or cut and paste the form from the online version of this guide and email it as an electronic document. Feel free to provide additional comments and questions in addition to this form.

For Executive Offices: Please compile overall statistics for your department. Peacekeeping missions should submit their inputs to the Executive Office of DPKO, DFS. Special Political missions should submit their inputs to the Executive Office of DPA.

Leadership Dialogue 2019 – (Name of Department)				
No.	Name of Unit	Total personnel in Unit/Section	Total number completed	Percent of personnel completed
1.				
2.				
3.				
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18.				
19.				
20.				
	Total			

LEADERSHIP DIALOGUE CONTACT INFORMATION

For more information, or to comment, contact:

United Nations Ethics Office

www.un.org/en/ethics

(Available via iSeek or the public United Nations site)

Email: ethicsoffice@un.org

Phone +1-917-367-9858

Also, please consult these resources, available on our website:

Putting Ethics to Work: A Guide for UN Staff

The Roadmap: A Staff Member's Guide to Finding the Right Place

