



## SECRETARIAT

UNIDO/DGB/(M).118  
4 May 2010

Distribution: All staff members at Headquarters  
and established offices

Staff Regulations: 1.3 & 1.5  
Staff Rules: 101.01, 201.02  
& 301.02

### DIRECTOR-GENERAL'S BULLETIN

#### UNIDO Policy for Financial Disclosure and Declaration of Interests

1. For the purpose of implementing the relevant provisions of Staff Regulations 1.3 and 1.5, Staff Rules 101.01, 201.02 and 301.02, and the UNIDO Code of Ethical Conduct, the Director-General hereby promulgates the following Policy.

#### Section 1 - Purpose

2. The purpose of the present Policy is to ensure that, in the best interests of the Organization, actual, perceived or potential conflicts of interest arising from staff members' or employees' official position and duties on behalf of UNIDO, on the one hand, and their personal financial or other related interests on the other, can be timely identified, reviewed, managed and resolved.

#### Section 2 – Definitions

3. The following definitions shall apply for the purpose of the present bulletin:
  - (a) *Ethics Office*<sup>1</sup>: the office responsible for administering this Policy;
  - (b) *Staff member*: any individual serving UNIDO on an appointment under the 100-, 200- or 300-series of the Staff Rules;
  - (c) *Employee*: any individual serving UNIDO on a contract or arrangement other than an appointment under the 100-, 200- or 300-series of the Staff Rules;
  - (d) *Spouse*: an individual whose personal status has been recognized as such by UNIDO for the purposes of UNIDO entitlements and/or other official purposes;
  - (e) *Dependant*: any individual other than a spouse whose personal status has been recognized as such by UNIDO for the purposes of UNIDO entitlements and/or other official purposes;
  - (f) *Relative*: a spouse, a child, a parent, a brother, a sister;
  - (g) *Conflict of interest*: situations that may give rise to conflicts of interest are described in Section 10 of Part III of the UNIDO Code of Ethical Conduct, which is reproduced as Annex I to this Policy.

<sup>1</sup> Under the 2010 Secretariat Structure (DGB/(O).95/Add.7), this function is carried out by the Focal Point for Ethics and Accountability.



### **Section 3 - Parties required to make disclosures and declarations**

#### *Financial disclosure statement (hereinafter "FD statement")*

4. The Director-General;
5. The following staff members and employees, except those employed under the 300-series of the Staff Rules, are obliged to file a FD statement:
  - (a) All staff members at the P-5 or L-5 level and above;
  - (b) Allotment holders and alternate allotment holders;
  - (c) All staff members whose principal occupational duties are the procurement of goods and services, including the procurement of services of individual consultants and experts;
  - (d) All staff members whose occupational duties relate to the investment of financial assets of UNIDO or management of any accounts for which UNIDO has fiduciary or custodial responsibility;
  - (e) All employees whose duties include those described under (b) to (d) above;
  - (f) Members of the Procurement Committee, their alternates and the secretariat thereof;
  - (g) The Professional staff of the Ethics Office.
6. The Director-General may from time to time determine additional staff members or employees as having to file a FD statement under the provisions of this Policy.
7. In case of doubt whether required to file a FD statement under paragraph 5 above, the staff member or employee shall consult the Ethics Office and shall act accordingly.

#### *Declaration of interests statement (hereinafter "DI statement")*

8. The following staff members and employees are obliged to file a DI statement:
  - (a) All individuals who are required to file a FD statement;
  - (b) Staff members employed under the 300-series of Staff Rules whose duties are described under paragraph 5(b) to (d) above.
9. The Director-General may from time to time determine additional staff members or employees as having to file a DI statement under the provisions of this Policy.
10. In case of doubt, whether required to file a DI statement under paragraph 8 above, the staff member or employee shall consult the Ethics Office and shall act accordingly.
11. Exempt from filing a FD and/or a DI statements are:
  - (a) UNIDO Goodwill Ambassadors;
  - (b) Individuals serving UNIDO on reimbursable or non-reimbursable loan agreements from their employers.

#### **Section 4 - Prohibited personal interests**

12. Prohibited personal interests are described in Sections 10 and 11 of the UNIDO Code of Ethical Conduct, which are reproduced as Annex I to this Policy.

#### **Section 5 - Guiding principles for review and resolution of conflicts of interest**

13. The disclosure, review and resolution of conflicts of interest shall be governed by the following principles:
- (a) The disclosures required of staff members and employees will be the minimum needed by UNIDO to identify and resolve actual, perceived or potential conflicts of interest;
  - (b) The procedures for disclosing, reviewing and resolving conflicts of interest will keep to a minimum the administrative workload for both, staff concerned and the Ethics Office;
  - (c) The disclosures will only be used as prescribed by the Director-General in the present Policy;
  - (d) The staff members and employees will, to the best of their knowledge and ability, assist the Ethics Office in verifying the accuracy of the submitted information;
  - (e) Failure to disclose actual, perceived or potential conflicts of interest as defined in the present Policy or lack of cooperation in assisting UNIDO with verifying the accuracy of the submitted information or intentional submission of misrepresented or falsified information or failure to resolve the conflict as directed by the Ethics Office may constitute misconduct, for which disciplinary measures may apply.
14. FD or DI statements shall be certified by the staff member or employee concerned, confirming, *inter alia*, that the submitted disclosure or declaration is true, correct and complete to the best of his/her knowledge and belief.

#### **Section 6 - Scope of the FD statement**

15. Individuals who are required to file a FD statement shall declare the following in respect of themselves and, if any, their spouse and dependants:
- (a) Real estate of an acquisition value<sup>2</sup> of €10,000 or more per item;
  - (b) Financial assets that include, but are not limited to, stocks, bonds and mutual fund investments having an aggregate acquisition value of €10,000 or more. In addition, aggregated value of all bank deposits and cash holdings of €10,000 or more as of 31 December of the reporting year;
  - (c) Other personal property<sup>3</sup>, held for investment or business purposes, of an acquisition value of €10,000 or more per category;
  - (d) All stock options, publicly listed or private, regardless of value;<sup>4</sup>
  - (e) Income earned from sources other than UNIDO, excluding UN pension benefits, if the total of all such gross income in the reporting period is €10,000 or more;

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<sup>2</sup> Acquisition value on the date of purchase, inheritance or transfer of property.

<sup>3</sup> Such as motor vehicles, boats, livestock, furniture, carpets, jewellery, art, etc. For multiple items of the same category of movable items, the total value held in each category must be reported. E.g., for a collection of valuable items held for investment purposes, the total value of the collection, i.e. of all items together. Property such as a private ownership of a business entity is also to be disclosed.

<sup>4</sup> Stock option means a right or option to buy a specific number of shares at a later date and price.

- (f) Aggregate liabilities<sup>5</sup> of €50,000 or more as at 31 December of the reporting year, excluding liabilities owed to a parent, sibling, or dependent child.
16. In case of doubt, whether to make a particular financial disclosure under any of the categories described in paragraphs 15(a) to (f) above, the individual shall consult the Ethics Office and shall act accordingly.
17. For the purposes of disclosing the personal financial interests described in paragraphs 15(a) to (f) above in the FD statement, the applicable date for all values shall be the date specified in the respective paragraph above and the rate of exchange shall be the UN operational rate of exchange<sup>6</sup> for the Euro as at 31 December of the reporting year.

## **Section 7 - Scope of the DI statement**

18. Individuals who are required to file a DI statement shall declare the following:
- (a) Any personal interest, which may constitute an actual, perceived or potential conflict of interest as described in Section 10 of the UNIDO Code of Ethical Conduct, that is reproduced as Annex I to this Policy;
  - (b) Any leadership or policymaking role of the individual, his/her spouse and dependants in any non-UNIDO entity (including membership on any corporate board);
  - (c) Current or past involvement of the individual in any outside activity, whether or not the activity is subject to approval by the Director-General under the applicable Staff Regulations and Rules, which could have an impact on the objectivity and independence of the individual in the performance of his or her functions in UNIDO, or otherwise affect the image of the Organization;
  - (d) Any relatives employed in the United Nations system;
  - (e) For individuals also required to file an FD statement, whether they wish or not to be notified by the Ethics Office about the opening and start of the review of their FD statement(s) and whether they wish or not to participate in the opening and the start of the review of their FD statement.
19. In case of doubt, whether to declare a particular interest under any of the categories described in paragraphs 18(a) to (d) above, the individual shall consult the Ethics Office and shall act accordingly.

## **Section 8 - Administration and review of the FD and DI statements**

20. Administration of the present Policy will be carried out by the Ethics Office.

### ***Filing procedures***

21. Forms. To file FD and DI statements, forms are annexed to the present Policy in Annex II and III and are available for downloading on the UNIDO Intranet.

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<sup>5</sup> Such liabilities may include mortgage(s) on real estate, as well as liability to a former spouse.

<sup>6</sup> See website of the International Civil Service Commission.

22. When to file.

- (a) In the case of individuals already in UNIDO service, the statements shall be filed once a year by 31 March of each year in respect of the period from 1 January to 31 December of the previous year. If the statement(s) is(are) not received by the established deadline, the individual concerned will receive from the Ethics Office a single written reminder to that effect. Such a reminder will, however, be without prejudice to the provisions of paragraph 37 below.
- (b) In the case of an individual offered an appointment/contract who would be required to file a FD and/or a DI statements, he/she shall file such statement(s) in respect of the immediately preceding 12-month period at the time of his/her initial appointment/contract within the time frame to be established by the Human Resource Management Branch. The statement(s) shall be submitted to the Ethics Office and the individual concerned shall, if requested, assist the Ethics Office with the review and verification of the completeness and accuracy of the disclosed/declared information and, in case a conflict(s) of interest has(ve) been identified, in resolving it(them) in the best interests of UNIDO and in accordance with the Ethics Office's advice. Failure to submit the statement(s) within the established time frame and/or to cooperate with the Ethics Office in reviewing and verifying the statement(s) and/or in resolving the identified conflict(s) of interest may result in a withdrawal of the offer of appointment/contract.
- (c) The Director-General may require an individual to submit a DI or FD statement or both on an *ad hoc* basis.

23. How and where to file.

- (a) Each statement shall be filed in a separate envelope addressed to the Ethics Office;
- (b) Each envelope shall be sealed, dated and clearly marked "Personal and Confidential – FD statement of [full name of the individual]" or "Personal and Confidential – DI statement of [full name of the individual]";
- (c) The statement(s) shall be submitted to the Ethics Office by the individual concerned either in person or, in the case of an individual whose duty station is away from Headquarters, by UN/UNIDO pouch or registered mail;
- (d) The Ethics Office shall, upon request, acknowledge receipt of the statement(s) in writing;
- (e) The Professional staff of the Ethics Office shall submit their statements to the Director-General.

***Procedures for the review of FD and DI statements and resolution of identified conflicts of interest***

- 24. The Ethics Office will maintain a register of all filed statements to monitor compliance with the Policy.
- 25. The Ethics Office will also review all received DI statements in consultation, if necessary, with the individual concerned. In this regard, the individual concerned shall assist the Ethics Office with the review of his/her DI statement and with verifying the completeness and accuracy of the declared information including, *inter alia*, by providing explanations, clarifications and supporting documentation, if and as requested.
- 26. In the case of individuals who are required to file both statements, the Ethics Office will decide, based on its review of the individual's DI statement, whether it is also necessary to review the individual's FD statement. The FD statements of other individuals shall otherwise be reviewed by the Ethics Office on a selective basis in such a manner that statement(s) of each individual has(ve) been reviewed at least once within a five year period.
- 27. The individual concerned shall assist the Ethics Office with the review of his/her FD statement and with verifying the completeness and accuracy of the disclosed information including, *inter alia*, by

providing the necessary explanations, clarifications and/or supporting documentation, if and as requested.

28. Those individuals who under paragraph 18 e) expressed their wish to be notified of and participate in the opening and start of the review of their FD statements, will be notified by the Ethics Office in writing about the proposed date and time of the opening and the start of the review of their FD statement(s) inviting them to participate on that occasion, and subsequently as necessary. In the case of individuals at Headquarters, he/she shall make himself/herself available as proposed or within six weeks from the notification date as agreed by the Ethics Office. In the case of individuals whose duty station is away from Headquarters, he/she can organize his/her participation by means such as (i) an already planned official<sup>7</sup> or private travel to Vienna; (ii) in connection with an official travel of the Ethics Office; (iii) video- or teleconference, etc. The individual must respond to the notification and make himself/herself available within six weeks from the date of the notification. Otherwise, the Ethics Office shall proceed with the opening and the start of the review without the individual's participation.
29. In those cases, where the review of the statements results in the identification of actual, perceived or potential conflict(s) of interest, the individual concerned shall fully cooperate with the Ethics Office in identifying the most appropriate form of its (their) resolution and in resolving, expeditiously, within the agreed time frame, the identified conflict(s) of interest in the best interests of UNIDO and in accordance with the Ethics Office's advice. Once the conflict(s) in question has(ve) been resolved, the individual concerned shall report the fact to the Ethics Office in writing, together with the appropriate documentary evidence. Where the identified conflict(s) of interest has(ve) been resolved, if applicable, by the organization, the Ethics Office shall acknowledge this to the individual in writing.
30. Cases where the individual concerned fails to file the necessary FD and/or DI statement or does not cooperate with the Ethics Office in the review of the statement(s), or in verifying the completeness and accuracy of the declared information, or in identifying or resolving the actual, perceived or potential conflict(s) of interest in the best interests of UNIDO or has intentionally submitted misrepresented or falsified information, shall be reported by the Ethics Office to the Director-General.
31. The Ethics Office shall inform the individual in writing of the completion of the review and retain and safe keep both the original statement(s) and all supporting documentation in re-sealed confidential envelopes. Should the individual in question subsequently separate from the Organization, his/her statements and all supporting documentation shall be kept for three more years beyond the individual's separation before being destroyed.

#### ***Security, confidentiality, access to, and use of statements***

32. The FD and DI statements are privileged and confidential documents.
33. The FD and DI statements, their content as well as information obtained in the course of the review shall be accessible to and used only by the Ethics Office. Nevertheless, access to and use thereof may be authorized by the Director-General, on a case-by-case basis, for the purposes of fact-finding, internal audit, investigation, disciplinary or appeal proceedings.
34. No copies shall be made except for the purposes listed in paragraph 33 above or as required for the effective review and implementation of this Policy by the Ethics Office. Any copy made has to be logged in a record on file showing the date it was produced, a sequential number, and marked with initials by a staff member of the Ethics Office. Copies no longer needed for the purposes for which they were produced are to be destroyed permanently and the date of destruction logged in the file, marked with initials by a staff member of the Ethics Office.

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<sup>7</sup> The wish of the individual to participate in the opening and start of the review of his/her FD statement(s) does not constitute grounds for the Organization to bear his/her travel costs to UNIDO Headquarters.

35. The recipient of a copy of the statement produced under paragraph 34 shall bear full responsibility for confidentiality of his/her copy and the information contained therein and shall keep it in a secure and safe location. The recipient must not produce additional copies of the statement.
36. The Ethics Office shall bear full responsibility for confidentiality of the statements and the information contained therein. Accordingly, the envelopes with the FD and DI statements shall at all times be kept by the Ethics Office in a secure and safe location.

### ***Sanctions***

37. Failure by the individual already in UNIDO service to file the required statement(s) within the established timeframe or submission of misrepresented or falsified information may result in disciplinary measures or administrative action(s) under the terms of the individual's appointment/contract.
38. Failure by the individual to cooperate with the Ethics Office, for example, in reviewing the statement(s), in verifying the completeness and accuracy of the declared or disclosed information or in identifying/resolving actual, perceived or potential conflict(s) of interest may also result in disciplinary or administrative action(s) under the terms of the individual's appointment/contract.

**Code of Ethical Conduct**

**10) Conflict of Interest**

- (a) Conflicts of interest arise when personnel benefit improperly – directly or indirectly – or allow a third party to benefit improperly, from their association in the management or holding of a financial or other private interest in an entity that engages in business or transactions with UNIDO.
- (b) Personnel must carry out their official duties in a manner that prevents real, apparent or potential conflicts of interest from arising.
- (c) Personnel must disclose to their supervisor and/or the Director-General in advance or as soon as they become aware of it, any potential or actual conflict of interest that arises in the course of carrying out their duties. If in doubt about disclosing information, personnel shall initially consult the Ethics Office for advice.
- (d) In addition, concerned personnel must also comply with the UNIDO Policy for Financial Disclosure and Declaration of Interests.
- (e) In particular:
  - 1) Personnel must not solicit or accept any benefits including economic benefit, for themselves or allow a third party to benefit improperly, directly or indirectly;
  - 2) Personnel must not assist private entities, governments or persons in their dealing with UNIDO where this would result in their preferential treatment;
  - 3) Personnel must not take advantage of or benefit or allow a third party to benefit improperly, directly or indirectly, from information obtained in the course of their official duties and that is not generally available to the public;
  - 4) Personnel must not directly or indirectly use, or allow the use of, UNIDO property and that entrusted to UNIDO of any kind, for anything other than officially approved activities;
  - 5) Personnel must not allow their actions and decisions to be influenced by the prospect of employment for themselves and their family members with parties who have dealings with UNIDO.

**11) Outside Employment and Activities**

**Staff members**<sup>8</sup>

- (a) It is the obligation of staff members to devote their energies to the work of UNIDO. It is therefore improper for staff members to engage, without prior authorization, in any outside activity, whether remunerated or not, that interferes with that obligation or is incompatible with their employment status with UNIDO or conflicts with the interests of the Organization. Any questions on this point should be referred to the Ethics Office for advice.

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<sup>8</sup> Staff Rules 101.01, 201.01, 301.02.

- (b) Staff members, subject to the provisions of (a) above, are encouraged to participate in outside professional activities that foster contacts with private and public bodies and thus serve to maintain and enhance their professional and technical competencies.
- (c) When requesting authorization for engagement in an outside activity under paragraph (a) above, staff members must disclose the nature and scope of the activity and whether any honorarium or other compensation will be received.
- (d) Staff members on leave, with or without pay, must bear in mind that while on approved leave of absence they remain subject to the terms of their appointments and contracts with UNIDO. Accordingly, staff members may only engage in outside activities during leave, paid or unpaid, after receipt of a written authorization.
- (e) While retaining the right to vote, in view of the independence and impartiality that staff members are expected to maintain, they must not participate in political activities, such as standing for election or holding a political office. Staff members must exercise discretion in their support for a political party or campaign, and must not accept or solicit funds, write articles, or make public speeches, statements or endorsements to the press for this purpose. This does not, however, preclude participation in local community or civic activities, provided that such participation is consistent with service in UNIDO. These cases require the exercise of judgment and where there is any doubt, staff members must seek advice of the Ethics Office.
- (f) In general, staff members may be members of a political party provided that its prevailing views and the obligations imposed on its members are consistent with the staff's status as international civil servants.

#### Other personnel

- (g) UNIDO personnel other than staff as defined in Section I (c) above while performing their work for UNIDO may, without prior written authorization from UNIDO, engage or continue to be engaged in the outside employment or activities subject to the terms of their respective contracts with UNIDO or similar arrangement. In this regard, personnel is also expected to disclose any such employment or activity and its nature and scope to UNIDO prior to the commencement of their relationship with UNIDO and/or prior to the commencement of the outside employment or activity. Any such outside employment or activity must be compatible with the purposes and principles of the United Nations and UNIDO and the proper discharge of the duties by such personnel on behalf of UNIDO. Without prejudice to this principle, such other personnel who are employed by UNIDO on a full-time basis for continuous periods of six months or longer may engage in a new outside employment or activity during the course of their relationship with UNIDO only upon a written authorization from their UNIDO supervisor(s), which shall be granted in accordance with the principles and conditions outlined in paragraphs (a) to (f) above.

**FINANCIAL DISCLOSURE FORM**

This form is based on section 6 of the UNIDO Policy for Financial Disclosure and Declaration of Interests (UNIDO/DGB/(M).118, hereinafter “the Policy”) and it is to be used by staff members or employees who are required to file a Financial Disclosure Statement under paragraphs 4 to 6 of section 3 of the Policy.

For the purposes of making financial disclosures in this Form, the applicable date for all values shall be the date specified in the respective parts of this Form. The rate of exchange to the Euro shall be the UN operational rate of exchange as at 31 December of the reporting year (see website of the International Civil Service Commission). Estimation of values must be as accurate as possible as assessed by the staff member to the best of his or her knowledge.

This Form shall be completed as fully as possible and certified on the last page. All other pages in this Form shall be initialled by the individual and dated. Additional pages may be inserted, if need be and as appropriate. Upon completion, the form shall be put into an envelope addressed to the Ethics Office, which shall be sealed, dated and clearly marked “Personal and Confidential – Financial Disclosure Statement of [full name of the individual]”. The envelope with the enclosed duly completed and certified Financial Disclosure Form shall be submitted to the Ethics Office either in person or, in the case of an individual whose duty station is away from UNIDO Headquarters, by UN/UNIDO pouch or registered mail.

You may request the Ethics Office to provide you with a written acknowledgement of receipt of your submission.

**Section I: Personal Information**

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Reporting Period: From: \_\_\_\_\_ To: \_\_\_\_\_

1. Full Name (First, Middle, Last): \_\_\_\_\_
2. Personnel Number: \_\_\_\_\_
3. Functional Title(s): \_\_\_\_\_  
Organizational Unit(s): \_\_\_\_\_  
Grade level(s) (or SSA/SA): \_\_\_\_\_
4. Marital Status:  Married  Single  Widowed  Divorced/Legally separated

If married or divorced/legally separated, full name of the spouse(s) or former spouse(s): \_\_\_\_\_

5. Dependents:  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_  
Full name: \_\_\_\_\_, Relationship: \_\_\_\_\_, Age (if a child): \_\_\_\_\_

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



**Part 2:** Do you, your spouse and/or dependants possess any financial assets<sup>10</sup> with the aggregate acquisition value of EUR10,000 or more?

Yes  No

If yes, please fill out the table below:

Type of the financial asset	Name of the asset owner (you, spouse, dependant)	Aggregate acquisition value (EUR)						
		10,000-50,000	50,001-100,000	100,001-150,000	150,001-200,000	200,001-250,000	250,001-300,000	over 300,000
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>10</sup> Financial assets include but are not limited to: stocks, bonds and mutual investment funds.

**Part 3:** Do you, your spouse and/or dependants possess any bank accounts and cash holdings with the aggregate value of €10,000 or more as at 31 December of the reporting year?

Yes  No

If yes, please fill out the table below:

Brief description <sup>11</sup> of the bank account/cash holding	Name of the account/cash holding owner	Aggregate value (EUR)						
		10,000-50,000	50,001-100,000	100,001-150,000	150,001-200,000	200,001-250,000	250,001-300,000	over 300,000
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						

<sup>11</sup> Description of a bank account should include a type of the account, the name and/or location of the bank, etc. Please do not disclose in this Form the bank account number.





**Part 6:** Do you, your spouse or dependants have any income earned from sources other than UNIDO, excluding UN pension benefits, with the total of such gross income in the reporting period of EUR 10,000 or more?

Yes  No

If yes, please fill out the table below:

Type and source of income	Name of the income holder (you, spouse, dependant)	Gross income (EUR)						
		10,000-40,000	40,001-80,000	80,001-120,000	120,001-160,000	160,001-200,000	200,001-240,000	over 240,000
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						

**Part 7:** Do you, your spouse or dependants have, as at 31 December of the reporting year, any aggregate liabilities of EUR50,000 or more, excluding liabilities owed to a parent, a sibling, or a dependent child?

Yes  No

If yes, please fill out the table below:

Type of liability	Date incurred	Term (if applicable)	Name of debtor (self, spouse, dependant)	Value EUR (check box)			
				50,000-100,000	100,001-250,000	250,001-500,000	over 500,000
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Section III: Certification and Affirmation**

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I certify and affirm that the disclosures I have made in this Form, including this Certification and Affirmation, are true, complete and correct to the best of my knowledge and belief.

I understand that I may be requested to assist the Ethics Office with the review and verification of my Financial Disclosure Statement as well as with resolving the identified conflict(s) of interest, if any, in the best interests of UNIDO and in accordance with the Ethics Office's advice.

I understand that failure to provide true, complete and correct information in this Form to the best of my knowledge and belief, failure to cooperate in good faith with the Ethics Office in reviewing and verifying my FD statement or in resolving the identified conflict(s) of interest, if any, may result in serious consequences for me, including sanctions as defined in the Policy.

Signature \_\_\_\_\_

Please print your full name

Date and Place

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

**DECLARATION OF INTERESTS FORM**

This form is based on section 7 of the UNIDO Policy for Financial Disclosure and Declaration of Interests (DGB/DGB/(M).118, hereinafter “the Policy”) and it is to be used by staff members and employees who are required to file a Declaration of Interests Statement under paragraphs 8 and 9 of section 3 of the Policy.

This Form shall be completed as fully as possible and certified on the last page. All other pages in this Form shall be initialled by the individual and dated. Additional pages may be added, if need be and as appropriate. Upon completion, this Form shall be put into an envelope addressed to the Ethics Office, which shall be sealed, dated and clearly marked “Personal and Confidential – Declaration of Interests Statement of [full name of the individual]”. The envelope with the enclosed duly completed and certified Declaration of Interests Form shall be submitted to the Ethics Office either in person or, in the case of the individual whose duty station is away from UNIDO Headquarters, by UN/UNIDO pouch or registered mail.

You may request the Ethics Office to provide you with a written acknowledgement of receipt of your submission.

**Section I: Personal information**

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Reporting period: From: To:

1. Full Name (First, Middle, Last):
2. Personnel Index Number:
3. Functional Title(s):  
Organizational Unit(s):  
Grade level(s) (or SSA/SA):
4. Marital Status:  Married  Single  Widowed  Divorced/Legally separated

If married or divorced/legally separated, full name of the spouse(s) or former spouse(s):

5. Dependents:

- |            |                 |                     |
|------------|-----------------|---------------------|
| Full name: | , Relationship: | , Age (if a child): |
| Full name: | , Relationship: | , Age (if a child): |
| Full name: | , Relationship: | , Age (if a child): |
| Full name: | , Relationship: | , Age (if a child): |
| Full name: | , Relationship: | , Age (if a child): |
| Full name: | , Relationship: | , Age (if a child): |

**Section II: Declarations in respect of self, spouse or a dependant:**

**Part 1:** Have you, your spouse or a dependant had any personal interest(s) during the reporting period, which may constitute or which may be perceived as actual or potential conflict of interest as described in Section 10 of the UNIDO Code of Ethical Conduct?

Yes  No

If yes, please provide details in the box below.

Details of the Personal Interest	Name of the personal interest holder (you, your spouse or dependant)

**Part 2:** Have you, your spouse or a dependant had any leadership or policymaking role during the reporting period in any non-UNIDO entity (including membership in a corporate board)?

Yes  No

If yes, please give details in the box below.

Details of the leadership/policy-making role	Name of the role holder (self, spouse, dependant)

**Part 3:** Are you currently and/or have you been during the reporting period involved in any outside activity, whether or not the activity is subject to approval by the Director-General under the applicable Staff Regulations and Rules, which could have an impact on your objectivity and independence in the performance of your official duties or otherwise affect the image of the Organization?

Yes  No

If yes, please give details in the box below:

Details of the activity	Approved by (Name of the UNIDO official, date)

**Part 4:** Do you have any relatives employed in the United Nations system?

Yes  No

If yes, please give details in the box below.

Full name of the relative	Relationship	Name of the Organization	In which function	Since when

**Please note: Section III applies only to staff members required to file a Financial Disclosure Statement.**

**Section III: Participation in opening and start of review of FD statement, if applicable:**

- I wish to participate in the opening and start of the review of my FD statement. I understand that I will be notified in writing about the proposed date and time of the opening and start of the review as per paragraph 28 of the Policy.
- I do not wish to be notified of and participate in the opening and start of the review of my FD statement, unless otherwise requested by the Ethics Office. I understand that I will be in any case notified in writing of the completion of the review.

(Please mark one box only)

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

**Section IV: Certification and Affirmation**

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I certify and affirm that the declarations I have made in this Form, including this Certification and Affirmation, are true, complete and correct to the best of my knowledge and belief.

I understand that I may be requested to assist the Ethics Office with the review and verification of my Declaration of Interests Statement as well as with resolving the identified conflict(s) of interests, if any, in the best interests of UNIDO and in accordance with the Ethics Office's advice.

I understand that failure to provide true, complete and correct information in this Form to the best of my knowledge and belief, failure to cooperate in good faith with the Ethics Office in reviewing and verifying my Statement or in resolving the identified conflict(s) of interests, if any, may result in serious consequences for me, including sanctions as defined in the Policy.

Signature \_\_\_\_\_

\_\_\_\_\_ Please print your full name

\_\_\_\_\_ Date and Place

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