

UNITED NATIONS ORGANIZATIONAL INTEGRITY SURVEY

2004

Final Report

Report prepared by Deloitte Consulting LLP

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EXECUTIVE SUMMARY

Purpose and Background of the Study

The Office of Internal Oversight Services (OIOS), as part of a process to develop an Organizational Integrity Initiative (OII), contracted with Deloitte & Touche LLP to conduct an Organizational Integrity Perception Survey. The purpose was to measure both attitudes and perceptions about integrity among UN staff. Integrity is a core value of the UN and embraced as one of its core competencies. The UN wanted to operationalize integrity so that it could measure and manage it with improved effectiveness. OIOS engaged Deloitte's Human Capital practice—now part of Deloitte Consulting LLP—to help design, test, and administer a survey instrument administered to a census of the Secretariat staff at all levels. Following administration of the survey, Deloitte Consulting would prepare a full report of the results.

These survey results are integral to planning and managing the OII effectively and efficiently. Also, these results will play an important role in designing improvement strategies and developing staff.

Methodology

Questionnaire Development

The UN Integrity Perception Survey content was developed based on focus groups and interviews with the UN staff and leaders in a variety of duty posts. Focus groups were conducted in the US, Kenya, Thailand, and Kosovo. Subsequently, a draft pilot questionnaire was developed, with guidance from the OII Working Group, and pretested with staff at Departments/Offices/Programmes in the same geographical locations. A second pre-test/pilot of the survey was then administered using the Web-based survey technology. Finally, minor edits were made to the questionnaire prior to the full administration in early February, 2004.

Responses

The survey was administered to all UN staff and leaders in the Secretariat; a population of 18,035 employees according to the Office of Human Resources Management. A total of 6,086 responses were received, a 33% response rate. This response rate is sufficient for results to be generalizable to the overall UN population and among the highest participation rates of any large-scale employee survey conducted by or for the United Nations. Both English and French language surveys were administered; eighty-eight percent (88%) of the responses returned were in English.

Measures¹

The questionnaire answers yielded 22 distinct factors or scales, including a very strong overall scale measuring the perception of organizational integrity. An Organizational Integrity index (OI) comprised of eight items from the questionnaire, six of which are the elements defined in the UN's integrity competency, was created. This OI Index can serve as a single "barometer" of overall perception by the UN staff and can be measured periodically as one indicator of effectiveness of the UN's improvement efforts. All factors were converted to a "performance" or "favourability" score based on the actual responses of UN staff. All index and factor scores have a range of 0-100 with a midpoint of 50.

¹ Throughout this Report, there are references to technical terms (e.g., principal components factor analysis, regression analysis, factors). For definitions of these terms, please see Appendix D - Glossary of Technical Terms.

Demographic Variables

There were eight (8) key employee demographic variables on which the overall measures were analyzed including:

1. Gender
2. Current level of responsibility
3. Type of appointment
4. Contractual status
5. Supervisory responsibility
6. Tenure with the UN
7. Organizational Unit
8. Location of duty station

Findings

Leverage Analysis

Our recommendations are primarily derived from an important type of analytic called “leverage analysis.” *Leverage Analysis* is a quantitative method to help prioritize areas that can increase the effectiveness of the UN’s follow-up effort to improve integrity. It helps answer the question, “What should we focus on first?” In other words, what key efforts will provide the UN its greatest *leverage* in improving integrity? Leverage analysis incorporates this information and combines both results to show which among these factors are most effective for improving organizational integrity perceptions.

Exhibit 1: Factor Leverage Analysis Matrix

	High			
Relative Impact	High	<ul style="list-style-type: none"> • Supervisory Commitment 	<ul style="list-style-type: none"> • Tone at the Top • Staff Accountability 	
	Med	<ul style="list-style-type: none"> • Compromised Behavior • Controls Effectiveness 	<ul style="list-style-type: none"> • Persistence • Member Influence • Paradox 	<ul style="list-style-type: none"> • Ethnocentrism • Resource Allocation
	Low	<ul style="list-style-type: none"> • Management Rights 	<ul style="list-style-type: none"> • Productivity Values • Training Adquacy • Reporting Process • Stakeholder Access 	<ul style="list-style-type: none"> • Breach FollowUp • Performance Management • Policy Simplification
		High	Medium	Low
		Relative Performance		

The table above helps point out those areas in which to focus follow-up efforts. The left column, points out those factors that are the most positive or favourable; the center column shows those in the middle or neutral; the right column shows those that are most negative or unfavourable. The second dimension of this table shows the factor scores' relative impact on integrity perceptions. The top row hold high impact factors, the middle row medium impact factors, and the bottom row low impact factors.

The high impact-low performance factors, the top right (bright green) cell, are the highest priority for follow-up efforts. At the UN these are *Tone at the Top* and *Staff Accountability*. Moving across this row, from right to left, we find that the high impact-medium performance cell is empty. The next cell in the priority list (darkest green) contains Supervisory Commitment which is relatively high in performance and high in its impact on integrity perceptions. This indicates that the UN is performing relatively well in this area and that the factor has a high impact on integrity.

We next move back to the cell that is medium in impact and low on performance (bright yellow). We move to this area after moving along the top of the chart because impact takes precedent over performance when making a decision on which area to focus. In this cell we find Ethnocentrism and Resource Allocation.

We have determined that these five factors, Tone at the Top, Staff Accountability, Supervisor Commitment, Ethnocentrism, and Resource Allocation, are the most important priorities for the UN's effort to improve perceptions of integrity. This is not to say that the other factors should not be explored to make improvements. These may be areas on which the UN chooses to focus; however, they may prove to have a lower "return on investment."

Tone at the Top

Changing *Tone at the Top* will improve staff perceptions of Organizational Integrity. To improve *Tone at the Top* means the UN must focus on changing staff perception of senior leaders. This is particularly true of staff perceptions of how senior leaders place their values and ethics ahead of their personal interests, aspirations or prior relationships. This can be achieved through acts and statements that set an appropriate example of ethical behavior, as well as an effort to communicate these behaviors to staff. In other words, leaders must lead by example and be held to an even higher standard regarding all things ethical. In addition, leaders must take prompt and decisive actions against those who breach the professional guidelines regardless of prior personal or professional relationships.

Staff Accountability

Because of its high relative impact, improving the *Staff Accountability* factor will improve staff perceptions of integrity. The data suggest several areas that will increase perceptions of Staff Accountability. These include: increasing the level of protection against reprisals for staff reporting violations of the guidelines on professional conduct; improving the fairness in which performance—both ethical and accountable—is recognized; improving employee vigilance (and follow-up) in ensuring others adhere to ethical standards of conduct: conducting (and communicating) that a proper review or investigation of breaches of conduct has occurred; and disciplining (swiftly and summarily) those who violate guidelines on professional conduct. These activities will improve perceptions of Organizational Integrity if they are made known to staff members. For example, it may be that proper investigations are made after a reported breach of ethical guidelines. However, this fact may not be well communicated to the staff affected.

Supervisory Commitment

Supervisory Commitment falls in the relatively high range of performance scores but its impact is also very high. Improving the *Supervisor Commitment* factor will occur by: encouraging the level and quality of dialogue about ethics and integrity issues, including day-to-day interactions and decision making. Also, the extent to which a supervisor is seen to place the UN's values and ethics ahead of his/her personal interests greatly influences staff perception of Organizational Integrity. Finally, when UN employees feel comfortable approaching their supervisor about an ethical concern, regardless of that individual's formal role or level, perception of Supervisor Commitment and Organizational Integrity improve.

Ethnocentrism

The *Ethnocentrism* performance rating is relatively low compared to other factors meaning staff views the current situation unfavorably; its impact on Organizational Integrity is medium relative to other factors. Improving staff perception of Ethnocentrism performance will improve Organizational Integrity, but not as greatly as the above three factors. The required actions include changing staff perception that: political pressure shapes the meeting of justice under the guidelines of professional conduct and people of the same cultural background favour their own.

Resource Allocation

Resource Allocation performance is the lowest of all factors; its impact on Organizational Integrity is medium. In addition, caution needs to be exercised when interpreting this factor because it is based on a single item making it less stable than factors composed of multiple items. Improving *Resource Allocation* can occur by communicating how time and money are allocated and ensuring that staff understands resource allocation changes resulting from their survey input.

None of these improvements can be achieved through mandate, but will require a very concerted effort, mostly on the part of supervisors, and those who train and manage them. Changing supervisor behavior will require both reward and discipline beginning at the highest levels and cascading throughout the Organization to even the most remotely located duty station and work group supervisor. Promoting and making public positive role models and consistently disciplining those who violate ethical standards will enhance staff perceptions over time.

The Relevance of Trust

It is noteworthy that the perception of Trust significantly moderates employee perception of integrity. The survey findings offer a unique opportunity to increase the Trust factor. The results show that the Trust factor can be greatly influenced by the extent to which office heads, managers, and supervisors are seen: seeking to understand the results of the survey, acting on problems raised by the survey, and communicating with staff on the results of the survey.

The manner in which individual leaders behave in response to survey results, then, will likely influence the level of Trust and, consequently, Organizational Integrity. Because this is the first time the UN has administered this survey, this represents its greatest opportunity.

The Relevance of Traditional Methods of Promoting Integrity

Factors that do not predict UN staff perceptions of Organizational Integrity are also important to note. Similar to Employment Satisfaction, none of these factors currently has a significant impact on UN staff perceptions of Organizational Integrity. These findings may be counterintuitive.

Breach Follow-Up performance is rated at 39, low among the predictive factors. (Generally, staff perceive this factor “unfavourably” meaning that when guidelines are breached, the breach is neither reported nor investigated.) Based on survey results the impact on Organizational Integrity is low.

Reporting Process for violations and **Integrity Training Adequacy** are rated neutral among the predictive factors. Based on the survey results, however, neither has much impact on perceptions of Organizational Integrity.

Limiting **Management Rights** to conform to established UN guidelines for promotion and hiring is rated relatively “favourable”, based on the survey results; however, it has little impact on staff perceptions of Organizational Integrity.

The Big Picture: What Is Important

Staff care most about what they “see” others doing and saying. Organizational Integrity is about: eliminating discrepancies in what leaders and supervisors say and do; living the UN’s vision, mission and values while limiting political and cultural influences; doing the right things even when its inconvenient, uncomfortable or without precedent; demonstrating the value of integrity by rewarding those who do while disciplining those who do not.

It is all about execution living the values of integrity and ethics at the workplace and being lead by those who do. While many of the issues raised in this report are associated with human resources practices; this should not be perceived as an indictment of the Office of Human Resources Management. Human resources management is an activity even more important than, planning, serving clients, etc. It is the responsibility of every supervisor and manager and it is in the sphere of influence of every staff member. And there are no fool proof systems (HR practices) although the sentiments of staff seem inclined to believe that there is. Any system women and men can create, men and women can corrupt. And to the extent that failings in HR practices have been identified as predictive of unfavourable perceptions of organizational integrity, the remedies are related to improving the accountability of leaders, managers and staff, not necessarily OHRM.

Staff has a relatively low level of Trust and this colors their perceptions.. But the relatively low level of Trust is because they have high expectations that, to a greater or lesser extent, have been disappointed. Staff seems highly skeptical of more or different rules—although they agree that the rules should be simplified—or more training about the rules or more investigative resources focused on the staff.

In summary, the staff perspective appears to be this:

Most of the infrastructure to support ethics and integrity is in place; accountability is not. There are perceived weaknesses, (e.g., protection from reprisal for identifying those who violate the guidelines on professional conduct) but such weaknesses may be...perceptions only. More importantly, staff seems to wonder: Who can (or should) be held accountable if leaders and supervisors are not? Who can care much about ethics and organizational integrity if leaders, supervisors and staff appear to not care and not caring has little impact on career success?

Staff Speak Out—Natural Language Expressions

An open-end question was included in the survey questionnaire. The item required a natural language answer, i.e. in the respondents' own words. The item asked: "What suggestions or comments would you like to offer to improve integrity within the UN?"

Of the responses submitted, 270 were in the French language and 2,093 were in English. The total of 2,363 comments means almost forty percent (40%) of those responding to the survey added comments. Those submitting comments were about 10% less favourable than the UN in total when compared on the Organizational Integrity and Trust indices.

Four strong themes are apparent from reviewing the comments:

(1) Improve the management system to enhance integrity; the focus is on human resources management systems more so than controls for managing fraud, criminal conspiracy, corruption, etc.

(2) Supervisors and Managers should be more closely supervised by senior management; the perception is that supervisors and managers are not as well supervised regarding guidelines on professional conduct as are General Services and Field Services Staff.

(3) Management accountability should be better developed; the need for substantial training and or retraining of managers on actively rewarding those who conform to the guidelines on professional conduct and punishing those who do not, as well as a reminder regarding personal decorum seems to be the twin focus of these comments.

(4) Senior leaders' personal commitment to integrity and ethical conduct should be more clearly stated and monitored for compliance; a dual focus as in (3) above, senior leaders are expected to publicly commit to ethical values (word and deed), enforce this with those they manage and/or support, and act as personal role models with regard to the guidelines of professional conduct.

In both (3) and (4) above, the focus is on internal policies, practices and programs, especially human resources management practices, in the area of promotions, assignments, recruitment and selection, and rewards (benefits and perquisites). **There are almost no comments suggesting wide scale fraud, corruption, financial malfeasance, etc.**

Negative comments to the open-end question represent a clear majority. As one analyst has observed "Even though the open-end question is positive and proactive, the majority of the answers are rather negative. Some respondents go beyond light criticism and take an aggressive, bitter [tone]."

Furthermore, the analyst noted "Positive comments and suggestions mainly focus on 'systems', and negative comments focus on 'organization' and 'management': it may suggest that, in the mind of respondents, 'organization' and 'management' are problems, and 'systems' are solutions."

Overall, the French language responses are consistent with those proffered in English. Only points of emphasis are different. If anything, the French language responses are even more focused on career management practices including assignments, promotions and selection than English language respondents.

Summary of Recommendations

Deloitte has identified potentially high impact actions derived from the research findings. These actions include: providing a safe milieu, following up on survey findings, improving the performance management system, providing continuous employee feedback, and enhancing integrity training and development.

1. Provide a Safe Milieu

Staff members feel unprotected from reprisals for reporting violations of the codes of conduct. This is not a perception confined to a few staff in remote locale and/or dangerous circumstances. Forty-six percent (46%) gave unfavourable response to this item while only 12% gave favourable responses. The causes of this perception have at least two sources: experience and/or mistrust. The basis for these perceptions has got to be determined and remediation must be made.

To determine the basis for these perceptions, ask staff to give examples of past or current reprisals. When incidences are found, correct them immediately; if determination of an incidence is in process, fast track the matter to conclusion. For all cases, both past and current, remediate and communicate with staff both the incidence and the remediation.

If incidences are very infrequent and/or very old, then the cause of the perception is an example of mistrust. Overcoming mistrust is more difficult than remediating incidences, but a combination of policy review and training and development efforts will help. Begin by reviewing current UN whistleblower protection policies and reporting processes compared to best practices. Follow the review with a training effort that informs staff and management of the policies and practices, the protections that exist, the remediation for violations, etc. Training then would include examples of how such matters are handled, who is the principal point of contact and what alternatives are available, description of protections for whistleblowers including actions available to them should they become the object of reprisals, and examples of actions taken against those who would violate the whistleblower policy.

2. Survey Follow-up

Widely distribute the survey report in total or perhaps the executive summary, as a start. Give the OII working group (or similar group) the authority to collect, synthesize and distribute more information as part of the follow-up.

Conduct follow-up talk-back sessions throughout the UN on a working group/unit, department, office, programme and duty station basis. These “high touch” meetings are an appropriate and effective method for sharing detailed information from the survey and for beginning a dialogue directed at pinpointing the root causes. Make sure the information/findings from these meetings are shared with the OII membership for coordinating actions. These meetings should be facilitated so that they are focused at root causes and productive at identifying solutions.

The OII should consider bringing in a facilitator to provide this kind of guidance. This step might be considered a “first act” following the results of the survey. How these sessions are handled will set the tone and make a lasting impression on people. Doing this right is critical.

Seek the continuing involvement of staff at all levels with finding solutions that work. Create small working groups of staff throughout the Secretariat and direct them to help leadership identify Organization-wide and more locally focused remedies. These activities can stimulate

interactions between supervisors and staff regarding ethics and integrity in daily activities and decision making.

Following up on the survey results will help build trust within the UN and ultimately people's perception of integrity.

3. Training

We learned that the vast majority of leaders and employees feel they understand the right and the wrong way to behave. Only 5% reported that they did not understand what is expected of them regarding integrity and ethical behavior. Yet, situations arise that invite employees to behave unethically, e.g., the travel and education reimbursement programs. While some of these situations may be due to lack of knowledge, most often it is not. That is, very infrequently will employees not be conscious of the intention of the guidelines--although they may be ignorant of the application to their current situation.

Acting on situations that invite misconduct is frequently based on: 1) observation of others (i.e., "Everyone is doing it." Sixty-five percent of UN staff has observed breaches.), 2) failure to confront/lack of commitment (i.e., "That's not my job." Only fifteen percent agree that breaches are reported and seventeen percent agree that they are investigated.), 3) absence of incentives (i.e., "What's in it for me." Less than fifteen percent believes GSS, professionals, supervisors and leaders are disciplined fairly and consistently and forty-four percent believe reporting violations is career limiting.) and/or 4) fear of reprisals (e.g., only ten percent feel protected from reprisals, seven percent perceive protections that encourage me to report violations).

Employee training and development should focus on: identifying clear and realistic examples of situations that can lead to misconduct, helping clarify what is acceptable and what is not acceptable behavior for persons in those realistic situations, those who observe the misconduct and those who supervise persons acting badly. Also, training should focus on individual and work group obligations to be vigilant, how to be vigilant, what to do and what not to do when observing misconduct, and available protections from reprisals. Finally, training should help the UN maintain consistency in the way reports of misconduct are handled since there is the perception that the guidelines need to be simplified and only eight percent agree that employees who report breaches are kept informed of progress and resolution.

Training on ethics and integrity should not be treated exclusively as an independent subject, but should be integrated into as many learning experiences as possible. This could start with educating employee candidates and continue throughout an employee's career. This might be included in formal (e.g., training on performance management, supervision) and informal (e.g., feedback on stretch assignments) development opportunities.

4. Performance Management

Where the survey data indicate particularly weak results, act to remediate through retraining, reassigning or transitioning supervisory personnel. Make staff at all levels accountable for integrity perception improvements...now and in the future.

Revise the current performance appraisal system (PAS) to incorporate better measures of ethics and integrity; this action may be more symbolic than substantive but it is relatively easy to achieve quickly and sets the stage for more substantive changes to come.

Revise the PAS to include performance appraisals using one-eighty degree feedback with supervisors rating subordinates and subordinates rating supervisors and managers. This recommended action is consistent with issues raised by the Tone at the Top, Supervisory Commitment and Ethnocentrism factors. And, this recommendation was one of the better suggestions from the Staff Speak Out results. When supervisors, managers and leaders are soliciting and receiving feedback about their acts; when that feedback is potentially tied to pay and/or promotion and/or retention decisions; then, behavioral change is more likely.

5. Continuous Feedback

Look within the Organization for answers; there are sources of internal best practices that the survey data can help pin point. Determine how things are done in regions, departments and programmes that are relatively high on the major indices. Then share that information with all regions and departments. These are very constructive follow-up activities.

Keep taking the pulse of staff with an annual survey update. Track the outcome measures over time looking for improvement; reward senior leaders and management who do, and punish those who don't.

BACKGROUND

The United Nations (UN) issued a request for proposal (RFP) in early 2003. The stated purpose was to conduct a study of staff (employee) perceptions of integrity. Deloitte & Touche LLP, a global professional services firm, responded to the request and was engaged in July 2003, to conduct the study. The work was conducted in accordance with the United Nations' request for proposal (RFPS-473), issued on behalf of the United Nations Office of Internal Oversight Services (OIOS) which sought a consultant to design, test, implement and analyze a survey of the staff's perceptions of integrity. OIOS engaged Deloitte's Human Capital practice—now part of Deloitte Consulting LLP—to help design, test, and administer a survey instrument to all employees (staff and leaders) of the UN Secretariat. Following administration of the survey, Deloitte Consulting would prepare a full report of the results. This is the Report.

The study was conducted on behalf of the Organizational Integrity Initiative (OII), members of which are from several United Nations' departments/programs. It was the members of OII and the OII Working Group that helped shape the final study design and execution.

Purpose of the Study

The primary purpose of the study was to assess perception of integrity at the United Nations and to develop appropriate actions relevant to the Organizational Integrity Initiative.

The Office of Internal Oversight Services (OIOS), as part of a process to develop an Organizational Integrity Initiative (OII), sought an Integrity Perception Survey that would measure both attitudes and perceptions about integrity among the UN staff members. Although "integrity" is a core value of the UN, it was thought that there is little evidence of how this value is "operationalized" within the Organization.

It was expected that the survey results would help to:

1. Gain a sense of how staff members perceive the integrity of the UN.
2. Obtain data to help develop preventative remedies to improve the overall level of integrity at the UN.
3. Use the results as input in the ethical training courses being developed in partnership with OHRM.
4. Use the results to inform the planning and managing of the Organizational Integrity Initiative to ensure it is effectively and efficiently implemented in the UN.

Relevance of Integrity

Integrity, meaning "...strength and firmness of character or principle; honesty that can be trusted..." has been an issue of relevance for governmental, quasi-governmental, and other not-for-profit organizations because of their dependence on the public's trust. When trust is high, funding and other forms of direct support like volunteerism are relatively high. When scandal is afoot, the public's trust can be badly damaged and economic and other support reduced or withdrawn. In recent years the relevance of integrity in the corporate world has gained special attention in light of several well publicized scandals.

In addition, the United Nations has a special role in the area of promoting and sustaining integrity because of its commitment to assisting the resolution of international problems and promoting respect for human rights. In this regard, the United Nations has indeed sought to take a leadership position in the advancement of integrity and ethical behavior and in the fight against corruption. The OIOS-OII survey should help solidify the UN's leadership as an organization

committed to advancing the global fight against corruption and for organizational integrity and ethical behavior. Having undertaken this survey is yet another opportunity to lead by example; hopefully an example other organizations will emulate.

METHODOLOGY

This section describes the methodology used in the survey process. The process involved several key phases:

1. Questionnaire Development
2. Population and Respondent Demographics
3. Measures and Reporting
4. Survey Administration
5. Data Analysis

Note: Throughout this Report, there are references to technical terms like principal components factor analysis, regression and regression analysis, correlation and correlation coefficients, standardized Beta coefficients, etc. For definitions or descriptions of technical terms, please see Appendix D - Glossary of Technical Terms.

Questionnaire Development

Leadership Interviews

Following a project kick-off meeting with the OII Working Group, the questionnaire development process began with interviews of leaders from offices/programmes within the UN Secretariat. The participating offices/programmes included:

- Executive Office of the Secretary General
- Department of Peacekeeping Operations
- Department of Economic and Social Affairs
- United Nations Environment Programme
- Economic Commission for Latin America and the Caribbean
- Office of Human Resources Management, Special Services Division
- Office of the High Commissioner for Refugees
- United Nations Conference on Trade and Development
- Department of Public Information
- Department of Management
- Office of Programme Planning, Budget and Accounts
- UN Office at Nairobi
- Office of Internal Oversight Services

Face-to-face interviews were conducted at New York City headquarters, telephone interviews were conducted with leaders located outside New York. It was typical that the interviewee would be accompanied by his/her Chief of Staff. In total about 20 individuals were interviewed.

Interviews were scheduled for 45-60 minutes using an interview guide composed of ten (10) open-end items. Item content included asking how integrity is, or should be, defined at the UN and how did/would the interviewee know when that definition was being met? Also, items covered the degree to which integrity is integrated into the fabric of the Organization and if not well integrated, was this an issue? We also inquired about individuals' knowledge of violation reporting, leadership responses to violations, possible causes of recent increases in reported

violations (both criminal and non-criminal), and past successes and failures by the UN to promote integrity.

A summary of the executive interviews was prepared and shared with the OII Working Group. The summary identified themes and was used by the Deloitte Consulting survey team to help prepare a focus group guide for staff meetings to come.

Focus Groups with General Services Staff and Professionals

Ten focus groups were conducted in four geographical locations:

- Bangkok – 2 groups
- Kosovo – 2 groups
- Nairobi – 2 groups
- New York – 4 groups

Each group consisted of 10-13 participants. Half of the groups were composed of Professionals only and half was composed of General Services Staff only. Focus group facilitation guides were prepared covering topics similar to those included in the leadership interviews. Each focus group was scheduled for 90 minutes.

As a result of both the leadership interviews and focus groups, the following 11 themes emerged:

1. Employees support a single standard of conduct for all UN employees
2. There is inconsistent adherence and application of rules and policies
3. Frustration over a lack of career mobility and the promotion/selection processes
4. Personnel disciplinary actions are rare and focused on the staff
5. The UN's culture and organization is hierarchical and too much like a class system composed on haves and haves-not
6. Most staff are unable to identify a formal point-of-contact for ethical and criminal issues
7. Some cited discrimination and harassment in the workplace as the most pressing integrity issues
8. Timely decision making is thwarted because of a command and control mentality that minimizes delegation of authority
9. Unique integrity issues exist because of global deployment of staff, highly diverse staff demographics, and the nature of military personnel in peacekeeping operations
10. There exists a perceived lack of accountability throughout the organization
11. Some inconsistency in what is said vs. what is done (expressed as inconsistent communication) regarding the UN's values

Questionnaire Drafting and Vetting

A draft survey questionnaire was developed by Deloitte Consulting survey team members based on information from the confidential leadership interviews and focus groups conducted with the United Nations' staff and a literature search of ethics and integrity research. Deloitte Consulting's initial draft was reviewed by a combination of outside experts and several members of the Organizational Integrity Initiative (OII) Working Group. Based on that review, a re-drafted questionnaire was vetted by the full OII Working Group. Following this review, a first draft questionnaire was prepared for pretesting at several field locations.

Pilot Survey 1-Pretesting phase

The first pilot survey was administered to groups of Professionals and General Services Staff in the following geographical locations:

- Bangkok – 1 group
- Kosovo – 1 group
- Nairobi – 1 group
- New York – 4 groups

Most who participated had been invited previously to participate in information gathering through focus groups. Not all the same personnel were in each phase. For example, staff invited but unable to attend the focus groups participated in the pilot survey. And some staff who had previously attended a focus group session was unavailable for the pilot survey. Still, one hundred and thirteen (113) staff completed the pilot survey questionnaire and participated in the “talk-back” sessions as explained below.

The pilot survey consisted of three main exercises. First, one or more Deloitte Consulting facilitators described the process for the session including instructions to read the introduction, purpose of the study, assurance of confidentiality, and the definition of terms sections of the draft questionnaire. Second, participants were asked to answer all items on the draft questionnaire and instructions and to make notes in the margins of items that were “difficult to understand”, “difficult to answer” and/or “particularly appropriate for the survey”, i.e., really good items. Third, after completing the questionnaire, all participants were engaged in a “talk-back” session facilitated by Deloitte consultants. The purpose of a talk-back session is to share information regarding the difficult to answer, difficult to understand and really good items and instructions.

The pilot survey groups were scheduled for two hours. At the end of the talk-back session, the draft questionnaires including the margin notes were collected and sent to the Deloitte Consulting survey team. Deloitte Consulting pilot survey facilitators compiled scripts of the facilitated interactions. The combination of questionnaire notes and facilitation scripts were summarized in a presentation to the OII Working Group and was used as the basis for a second draft of the questionnaire. The data from the talk-back session questionnaires was also coded for analysis using software licensed by Deloitte from SPSS (Statistical Package for the Social Sciences).

The results of the pilot survey confirmed that the questionnaire items, instructions, etc., were sound although a number of items were dropped or modified. The statistical analysis demonstrated that the questionnaire would produce a number of relevant factors for understanding and measuring organizational integrity.

Pilot Survey 2—Web-based Delivery Simulation

Following Pilot Survey 1, a second draft questionnaire was written. An English language version of the second draft questionnaire was placed on a Deloitte hosted Web site. (The full survey was to have both an English and French language version of the questionnaire but translation to French would be the final step.) An invitation was written by the OII Working Group to the leaders of several departments/programmes/ offices asking them to participate in the pilot. UNMAIL, ECLAC and ECE were included in the pilot. Each leader was asked to support the pilot survey by encouraging completion of the on-line questionnaire via email and personal meetings and by identifying a point-of-contact from among department staff to serve as a “local” coordinator.

Deloitte Consulting corresponded with each department’s point-of-contact to describe their role and to offer assistance during the pilot survey. Staff of each pilot group was sent an email invitation by Deloitte Consulting to participate in the survey. (Email invitations were sent to UN IT points-of-contact who in turn, passed on the emails to pilot department staff members.) Contained in the invitation was a brief description of its purpose, an appeal to respond, the web-site URL for accessing the questionnaire, and a list of Deloitte Consulting contacts for technology questions or comments regarding the survey items or process.

The initial invitation was followed shortly by a second and third invitation/reminder to participate. Department points-of-contact were kept apprised of the rates of response for their group and the others in the pilot. All together, the pilot survey was “in the field” approximately 12 days. No major problems were discovered during the simulation and virtually no change was made to the questionnaire. This made it possible for the Pilot Survey 2 data to be retained as responses to the final survey. Thus, Pilot Survey 2 respondents did not have to re-submit answers to the 110-item final questionnaire which explains higher than average final response rates for these groups.

Measures and Reporting

Based on the development process, the final questionnaire was comprised of five thematic sections and one demographic section (see *Appendix B*).

1. Section I—Organizational Values
2. Section II—Rules and Standards of Conduct
3. Section III—Organizational Practices
4. Section IV—Organizational Culture
5. Section V—Leadership
6. Section VI—Demographics

Each section, (I-VI) is preceded by a brief chapeau setting context for completing the items in that section.

Relevance of Questionnaire Items

Inclusion of a section on Organizational Values is suggested by the work of the Ethics Resource Center (ERC) titled “National Business Ethics Survey 2003”. In 2003, 85% of employees indicated that **honesty** is practiced “frequently” among four answer choices including “occasionally”, “rarely” or “never”. This percentage is up from 78% in 2000. Also, 78% of survey respondents indicated that **respect** is practiced frequently, up from 71% in 2000. The authors conclude at page 51: “Rising perceptions among employees that basic values like honesty and respect are practiced frequently at work are [sic] a positive indicator for organizations.”

In addition to the ERC, the importance of values is part of the Control Environment under COSO (Commission of Sponsoring Organizations) guidelines. COSO sponsors the National Commission on Fraudulent Financial Reporting and provides a framework for eliminating fraud. The Control Environment, one of five elements in the COSO framework, is composed of several factors including: *integrity and ethical values*, commitment to competence, management’s philosophy and operating style, assignment of authority and responsibility, human resource policies and practices.

The UN’s OII Working Group members were interested in determining the extent to which values can be used to understand employee perceptions of organizational integrity.

Seventeen values are included in Section I, all prefaced by the question: “To what extent are these values practiced in the way people work?” There are six answer choices including “Don’t know”—a format followed throughout the questionnaire.

In Section I, the answer choices are: “great extent”, “large extent”, “some extent”, “small extent”, “not at all” and “don’t know”. **When reporting the data from this section, Deloitte Consulting uses four (4) categories: “favourable” (great extent + large extent), “neutral” (some extent), “unfavourable” (small extent + not at all) and “don’t know”.**

Sections II, III, IV and V are consistent with the literature on ethics and integrity research, as well as the literature on fraud prevention and detection. Deloitte Consulting found the COSO framework, the publication of Transparency International's Global Corruption Report, the report of Arthur Andersen & Co. conducted for U.S. Office of Government Ethics, and the Deloitte Environmental Assessor used for Sarbanes-Oxley compliance all very helpful.

Section IV of the questionnaire begins with six items currently used as behavioral anchors in the UN's competency of "Integrity" developed in 2001. Each statement is taken verbatim from the UN's competency definition. The survey questionnaire item is: "All, most, some, few, or no UN employees that I work with..." followed by the six statements, e.g. "...act without consideration of personal gain." **For purposes of reporting, Deloitte Consulting has collapsed the answer choices into four categories: "favourable" (all + most), "neutral" (some), "unfavourable" (few + no) and "don't know".**

The remaining items in sections II, III, IV and V use six answer choices: "strongly agree", "agree", "neither agree nor disagree", "disagree", "strongly disagree" and "don't know". Most items were written such that a "strongly agree" response reflects favorably on the UN, e.g., "When breaches of regulations and rules are reported, a proper review or investigation is conducted." **For reporting purposes, Deloitte Consulting has collapsed the answer choices into four categories: "favourable" (strongly agree + agree), "neutral" (neither agree nor disagree), "unfavourable" (strongly disagree + disagree) and "don't know".**

Twenty items in sections II, III, IV, and V use "reverse-worded" statements in which a "strongly disagree" response reflects favorably on the UN, e.g., "Too frequently, staff and management say they care about ethics but act differently." **For reporting purposes, Deloitte Consulting has collapsed the answer choices of reversed and negatively worded items into four categories (similar to the above) except "favourable" combines strongly disagree with disagree, and "unfavourable" combines strongly agree with agree.**

Section VI—Demographics is composed of items that ask for respondents' gender, role level, location of duty station, years of service, and organizational unit.

Organizational Integrity Index (OI)

The major outcome of interest in this survey is UN staff perceptions of organizational integrity. Our intention was to create a scale that could be converted into an index of Organizational Integrity—a barometer that would be used to track change over time. The index was calibrated to a range of 0-100; and the midpoint is 50. To give some context to any indicator, consider the following ranges of the factor performance scores:

0-25	=	extremely unfavourable
26-35	=	highly unfavourable
36-45	=	moderately unfavourable
46-55	=	neutral
56-65	=	moderately favourable
66-75	=	highly favourable
76-100	=	extremely favourable

Deloitte Consulting expected that seven items would measure the perception of organizational integrity: the six items in Section IV (items 4.1-4.6) based on the UN's competency definition of organizational integrity and item 4.22 ("The ethical practices of the UN compare favorably to other organizations for which I have worked.").

Following data analysis using principal components factor analysis with orthogonal rotation we discovered an eighth scale item: 1.08, the "integrity" value, from Section I. (See Appendix A for a complete listing of items included in all indices and factors.) Deloitte tested the eight items for

scale reliability using Cronbach's alpha. The calculated alpha was = .91 indicating statistically a very reliable scale.

Trust Index (T)

During the questionnaire development, Deloitte Consulting identified a basic issue that could affect staff perceptions of organizational integrity: trust. Deloitte Consulting consultants were concerned that a general lack of trust could influence UN staff perceptions of integrity. As a result, two questionnaire items were included to measure trust: item 1.15 ("trustworthiness" is practiced at work) and item 4.14, ("People trust one another at the UN").

Following data analysis using principal components factor analysis with orthogonal rotation, we identified three more items (3.25, 3.26 and 3.27) that, when combined with 1.15 and 4.14, created a very reliable scale of the trust factor. (See *Appendix A* for the items included in each index and factor, as well as its reliability measured by alpha.) This allowed Deloitte to create a Trust Index with a range of 0-100. As with the Organizational Integrity Index, the context for interpreting the Trust Index is based on similar ranges. See the sub-section *Organizational Integrity Index* in this report.

Also see John O. Whitney's *The Trust Factor: Liberating Profits & Restoring Corporate Vitality* (1994) for an exposition on the five sources of mistrust in organizations, one of which is integrity.

Employment Satisfaction Index (ES)

During one scheduled meeting with the OII Working Group, members helping to develop the questionnaire expressed concern that the survey respondents might be overly representative of disgruntled staff "with an axe to grind". Some members reasoned that staff perceptions of organizational integrity might be clouded by a general dissatisfaction with the work environment. There had been enough unhappiness expressed by focus group participants during the questionnaire development phase to be concerned that such a relationship might exist.

To test the hypothesis that low employment satisfaction leads to negative perceptions of organizational integrity, we included items for measuring employment/job satisfaction.

Three items in Section IV—Organizational Culture were included in the questionnaire for assessing employment satisfaction: items 4.07, 4.08, and 4.09. We anticipated that these three items would produce a scale and, in turn, could be calibrated as an index with a range of 0-100. Using principal components factor analysis the three items appear to scale reliably. The calculated Cronbach's alpha equals .82.

Finding a relationship between perceptions of organizational integrity and employment satisfaction is problematical. If the scales proved to be positively correlated, would it mean that low employment satisfaction causes perceptions of weak organizational integrity or, does weak organizational integrity cause low employment satisfaction? Based on the data collected from United Nations staff, the answer may be surprising: the Employment Satisfaction Index and the Organizational Integrity Index are essentially independent ($r = .03$). That is, **staff reporting high employment satisfaction are equally likely to rate organizational integrity low as they are to rate it high and vice versa.**

Other Factors

Deloitte's data analysis of the full questionnaire using principal components factor analysis with orthogonal rotation extracted 17 other indices and factors. Four survey items did not "load" with other items in the questionnaire. All were named and, where appropriate, scale reliability was

tested using Cronbach's alpha. A complete mapping of the questionnaire items and the factors or indices is presented in *Appendix A*.

Population and Respondent Demographics

The survey was conducted to ascertain the perceptions of all Secretariat staff—over eighteen thousand (18,015) employees and managers located throughout the globe. The Secretariat, then, is the relevant population. The survey was designed as a census, not a sample survey, and the goal was to get information from every member of the staff. Deloitte Consulting received more than six thousand (6,086) survey responses—a response rate of 33%—the most for an organization-wide survey conducted at the UN.

The thirty-three percent (33%) response rate is a function of several conditions. First, most highly successful employee surveys offer modest inducements to increase the response rate; in this survey, no inducements were offered. Second, the subject matter is fairly controversial and offers the potential to attract or stifle participation. Third, and related to the second point, high employee survey response rates occur in organizations where the most senior of leadership actively solicits employee participation and holds managers accountable for “getting out the vote”; that approach was not used. Fourth, there exists a fairly high degree of distrust and pessimism regarding organizational change based on UN employee surveys; this represents a significant opportunity for the future as explained elsewhere in this report. And fifth, the Organizational Integrity Survey was one among several administered recently to some of the target employee group; with several surveys competing for scarce time and attention, we were probably fortunate to have such a good response.

Of the 6,086 responses submitted, only eleven (11) were duplicates. Duplicate questionnaires were eliminated from the final analysis so final data are based on 6,075 responses.

No respondents completed the survey by checking the same answer choice for every item in one or more sections, e.g., every item was checked “agree”. In Section I of the questionnaire, this pattern of response was not a concern; in Sections II, III, IV and V, however, there were several “reversed” or “negatively” worded items that would have required the respondent to answer “disagree” if they were going to continue with responses favorable to the Organization. We suspected that had respondents chosen the same answer category for all items in Sections II-V, then they had failed to read every question. Following a pattern analysis, we concluded that all respondents had made a good faith effort to read and respond items.

Exhibit 2 is a comparison of the characteristics of the survey respondents (based upon their answer choices to Section VI, Demographics, and the population of the United Nations (based on reports generated by OHRM and Information Services).

Exhibit 2: UN Organization Population and Survey Respondents Population

Gender	UN	Survey
Male	54%	51%
Female	46%	49%
Level of responsibility		
Director (D) category or above	3%	3%
Professional (P)	33%	44%
General Service	43%	40%
Field Service	10%	8%
Other, not listed above	11%	5%
Contractual status		
100 Series	77%	73%
200 Series	5%	10%
300 Series	18%	13%
Consultancy	Not Known	4%
Management/supervisory responsibilities		
Yes	Not Known	47%
No	Not Known	53%
Years at the UN Secretariat		
Less than 6 months and 6 to 12 months	16%	9%
1 year but less than 3 years	20%	15%
3 years but less than 5 years	12%	16%
5 years but less than 10 years	10%	16%
10 years but less than 15 years	10%	16%
15 years but less than 20 years	4%	8%
20 years or more	28%	20%
Location of the duty station.		
Africa	11%	17%
Asia-Pacific	5%	7%
Europe	23%	38%
Latin America/Caribbean	4%	3%
North America	54%	30%
Western Asia	3%	5%

The only substantially underrepresented sub-group is staff deployed at North American duty stations; the only substantially overrepresented sub-group is staff deployed at European duty stations.

The survey questionnaire was written in both English and French language versions. Approximately seven hundred thirty (730) responses were in the French language version.

SURVEY ADMINISTRATION

Web-based Questionnaire

The survey was conducted using a Web-based questionnaire hosted by Deloitte Consulting. The survey software is licensed to Deloitte Consulting by Perseus, an independent vendor. The Tyson Corner Office (Washington D.C., USA) of Deloitte Consulting managed the technical aspects including posting the questionnaire to the hosting site. The site address for Perseus is available through the internet, but the survey site URL was protected. Both access to the questionnaire and data were well protected.

To gain access to the questionnaire, respondents needed the exact URL (web-site address). An invitation was sent to all staff of the UN Secretariat that included the URL for accessing the survey. To assure the highest level of confidentiality (i.e., anonymity), the site was not password protected. The assumption was that a password protected site would appear to make employee identification easy to achieve. Without password protection, the site could be entered multiple times by UN staff or by persons other than UN staff, which was not the intention. Also, if a staff member had shared the URL with individuals outside the Secretariat, they, too could complete the questionnaire. Based on our review of the data, it appears now outside individuals accessed the site and that only eleven (11) responses were duplicates. The duplicates appear to have been submitted accidentally.

Responses entered each day were encrypted and downloaded each evening to a protected Deloitte Consulting server. By having nightly downloads, Deloitte Consulting was able to monitor daily activity and complete reports regarding the total response by departments. Each evening then, a report was sent via email to all UN department points of contact showing the numbers of new responses from all departments. Department points of contact were assigned by department/office/programme heads to take on the local responsibility of answering staff's questions regarding the survey, notifying Deloitte Consulting of any technical problems with access to and/or completion of the questionnaire and encouraging staff participation.

Reminder-to-participate emails were sent periodically throughout the open period. The appeal was changed when daily responses declined. And, the reporting of response rates by department was to promote competition for the highest rate. Also, a Deloitte Consulting manager would contact department points of contact to discuss (or exchange emails with) barriers to participation and/or tactics to promote greater participation.

Survey administration was mostly free of difficulty with one exception. In spite of many quality checks, the French language version of the questionnaire was posted with an error in the header of Section III. The error was quite minor; the five answer choices were in English for Section III. However, we received more than one email regarding the error and Deloitte Consulting made a correction less than halfway through the data collection period.

The English answer choices were replaced with the correct French. Unfortunately, and unbeknownst to Deloitte Consulting, the French language questionnaire file was corrupted. The result of the corruption was no answers to sections I and II were recorded for subsequent respondents using the French language version of the survey. We are unsure about the scenario but two seem plausible: one, French language respondents never saw sections I and II because the questionnaire skipped past both and went directly to Section III; or two, the full questionnaire appeared as before but the answers were not retained when respondents clicked the "submit" button at the end of each page. Regardless, the Section I and Section II data for almost 400 of the 740 French language questionnaires was unrecoverable, however, overall UN outcomes are well established without the missing data. We conclude that no harm has been done to the results.

Data Analysis

The structured questionnaire items were converted to SPSS files for data analysis. SPSS (Statistical Package for the Social Sciences) version 12 is licensed to Deloitte consultants and was used for running applications and routines including frequencies, cross tabs, principal components factor analysis and multiple regressions. Factors were extracted and named, reliability coefficients were calculated and tables were created. A total of 6,086 responses were submitted (5,346 English language and 740 French language) and all or part of 6,075 non duplicated responses were included in the analysis.

Data was converted to an access data base for content analysis of both the open-end “Comments” and the structured questionnaire. Trivium S.A. (a.k.a. Trivium) was subcontracted by Deloitte Consulting to analyze the data using their proprietary software: Triviumsoft Information Mapper and Decision Map. Almost 40% of the responses included comments: 2,093 in English and 270 in French. The 40% comments is a high average when compared to similar surveys.

The primary outcome measure (dependent variable) is organizational integrity. A secondary outcome measure is employment satisfaction; an analysis of the satisfaction index was not attempted after its absence of relationship to organizational integrity—discussed elsewhere in this report—was established.

A basic summary of response for all questionnaire items was prepared and appears in Appendix B. That summary is based on the percentage of responses categorized as “favourable” (to the UN or the current situation), “neutral”, “unfavourable” and “don’t know”. The conversion of data to this categorization scheme is widely accepted for perception surveys. As we explain in the next section, however, some items are difficult to interpret using the favourable percentage categorization scheme.

FINDINGS

This section presents the survey findings for the full United Nation’s Secretariat.

Key measures used in this survey are the Organizational Integrity Index, (the outcome to be explained, i.e., the dependent variable) and its relationship to other organizational outcomes e.g., Trust, etc.). Employment Satisfaction appears to be a second outcome measure that we will spend little time attempting to explain since it is not our primary focus.

Item By Item Summary

Appendix B is a report of the item-by-item outcome for the full survey. As described in **Measures and Reporting** above, the answer choices have been consolidated into four categories: “favourable”, “neutral”, “unfavourable”, and “don’t know”. The percentage of responses falling into each category is reported as a three-digit number, e.g., 25.4%. The layout of these data is in the survey questionnaire format which also includes the original instructions, definition of terms, chapeau and the items’ wording.

A word of caution: Individual items should be interpreted with great care. For example, some items exhibit a pattern of highly favourable responses (item 2.14, “I understand what is expected of me regarding integrity and ethical behaviour.”) and some items exhibit a pattern of highly unfavourable responses (item 4.14, “The UN’s formal performance appraisal system (PAS) is effective in evaluating integrity.”). However, the importance of any one item cannot be known from this summary. In fact, all but four questions are in factors with multiple items. And it is on the factors that we will concentrate our analysis.

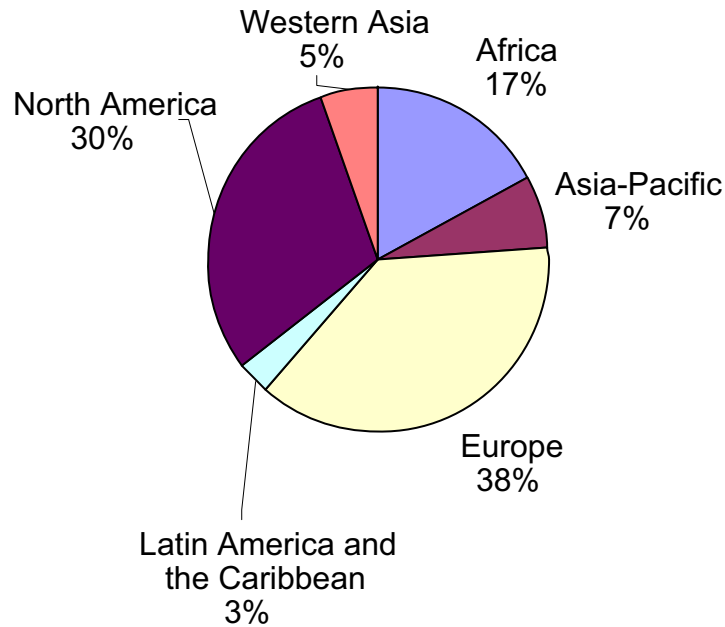
Characteristics of Respondents

The overall response rate for the survey was 33%.

The number of responses was fairly evenly distributed for both genders (51% male and 49% female) and supervisory/non-supervisory responsibilities (53% respondents with supervisory and 47% with no supervisory responsibilities).

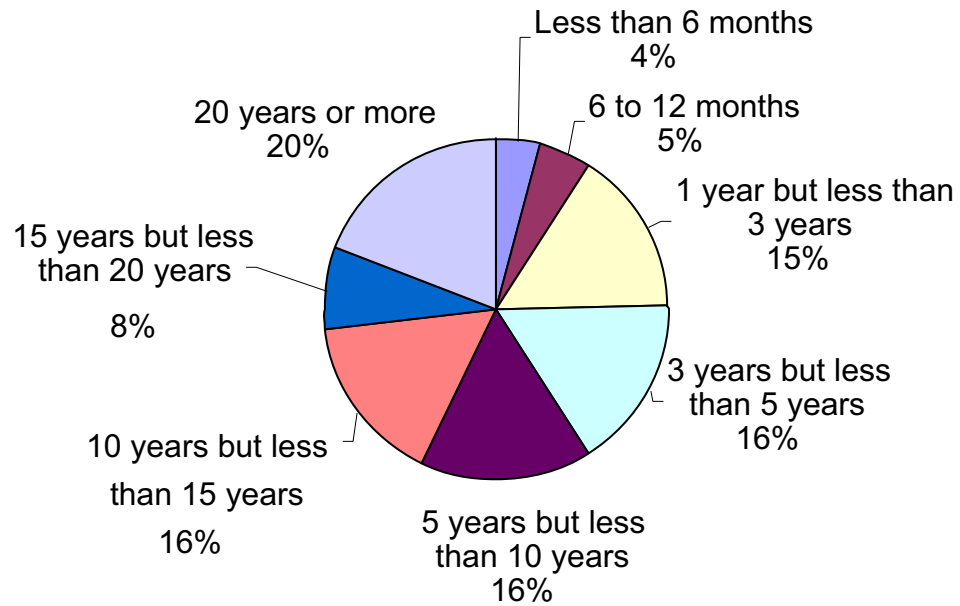
In terms of duty station location, the largest response (38%) came from Europe, followed by North America (30%), and Africa (17%).

Exhibit 3: Respondent Distribution by Geographical Location



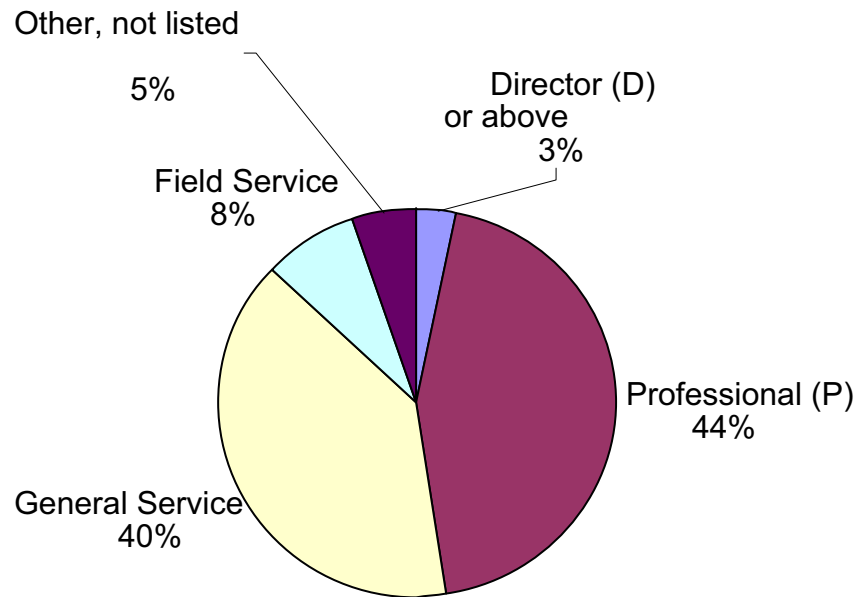
When looking at number of respondents by years/months of tenure, most responses came from employees with 20 or more years of seniority (20%), and the smallest was from employees who have been with the UN for 6 months or less.

Exhibit 4: Respondent Distribution by Tenure



In terms of level of responsibility, over 88% of responses came from the Professional and General Service staff.

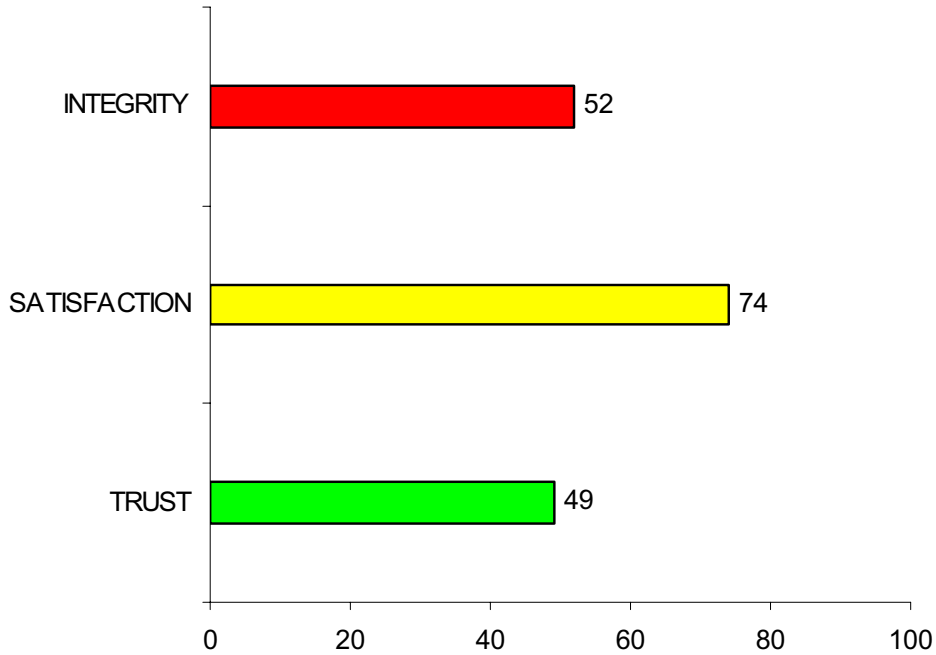
Exhibit 5: Respondent Distribution by Level of Responsibility



INTEGRITY, EMPLOYMENT SATISFACTION AND TRUST INDICES

Looking at the three measures of organizational outcomes: Organizational Integrity Index, Employment Satisfaction, and Trust, the Employment Satisfaction Index had the highest score among the three indices: (74) followed by the Organizational Integrity Index at (52) and Trust at (49). Satisfaction with work including access to perks, promotion opportunities, the process for advancement, degree of professional autonomy are recurring themes that Deloitte Consulting finds enhances UN employee perceptions of satisfaction.

Exhibit 6: UN Overall Index Scores for Organizational Integrity Index, Employment Satisfaction, and Trust

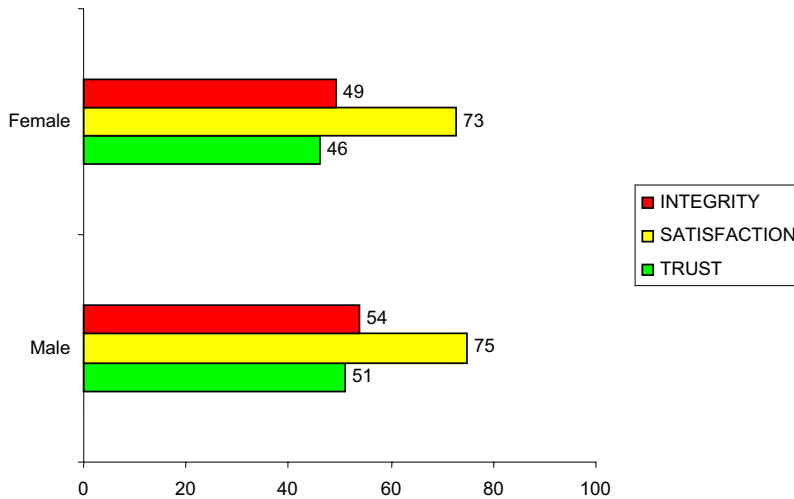


Organizational Indices and Demographics

The analysis of demographic data revealed several differences in Organizational Integrity, Employment Satisfaction, and Trust indices with respect to gender, geographic location, and years of employment with the UN.

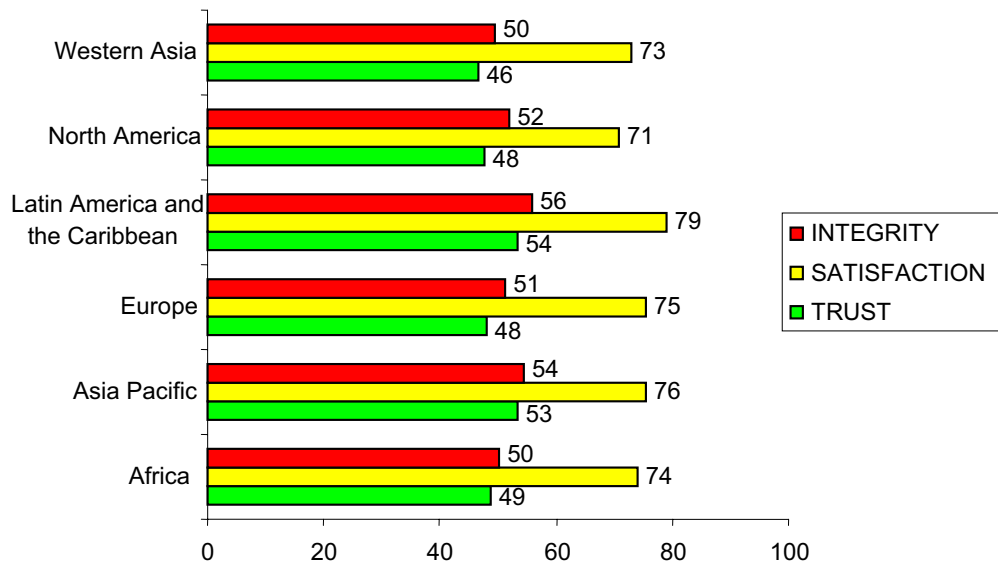
In terms of gender, women gave significantly lower scores on Integrity, Satisfaction, and Trust than men. There is no data available to explain why the male employees have higher scores on all three indices. We can speculate that women employees are disproportionately represented in other demographic categories that display lower favourable responses, e.g., General Services Staff and North American duty station positions.

Exhibit 7: Index Scores on Organizational Integrity, Employment Satisfaction, and Trust by Gender



With respect to the geographical location, staff working in Latin America scored higher than any other region on all three indices (56 for Integrity, 79 for Satisfaction, and 54 for Trust). Previous research conducted with other organizations found generally higher employment satisfaction scores for the Latin America region than other geographical regions. However, there is no UN specific research to explain this finding. Also, North America had the lowest index score on ES from all other groups.

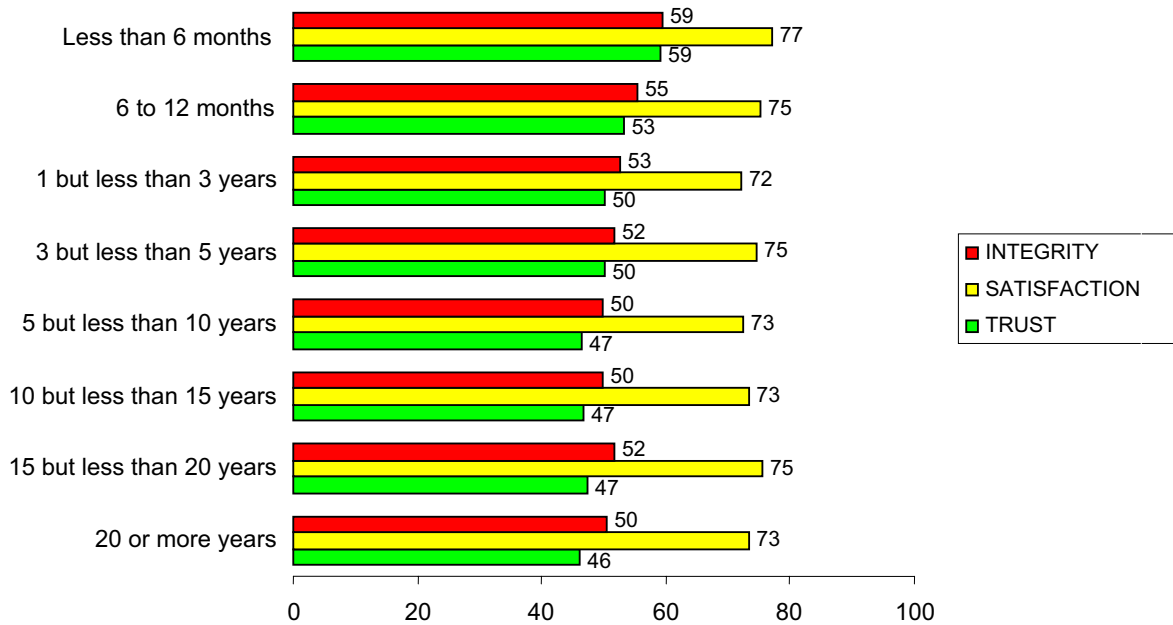
Exhibit 8: Index Scores on Organizational Integrity, Employment Satisfaction, and Trust by Geographical Location



When looking at the relationship of tenure with OII, ES, and TI, employees who have been with the UN “Less than 6 Months” gave the highest performance scores for all three indices; and employees who have been with the UN “More than 6 but less than 12 months” rank second on all three indices. Subsequent correlation analysis reveals that both trust and integrity (but not satisfaction) are negatively correlated with tenure. This indicates that perceptions of integrity and trust decrease with the years of employment at the UN. This finding is not surprising.

In a recent Towers Perrin publication, “Is It Time to Take the ‘Spin’ Out of Employee Communication?” (based on 2002 data) the authors report: “short service employees (with less than five years of service) are more likely than longer-service employees to view the [organization’s] communications as credible”. Towers Perrin authors suggest that “familiarity does breed contempt”. Although, employee perception of organization communications and integrity are entirely different constructs, the fact that favourable employee perceptions are inversely related to employment tenure in more than one area of inquiry is of some interest.

Exhibit 9: Index Scores on Organizational Integrity, Employment Satisfaction, and Trust by Tenure



Organizational Integrity, Employment Satisfaction, and Trust by Questionnaire Language

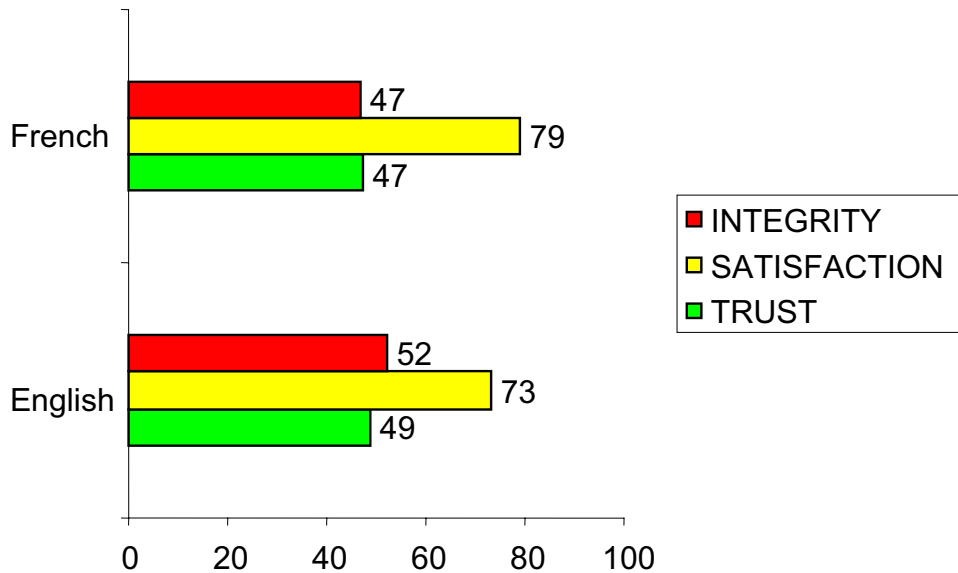
Deloitte Consulting sought to determine if there are differences between those completing French language and English language questionnaires. The results revealed that French language respondents report higher Employment Satisfaction than English language respondents, but their perceptions of integrity and trust are lower than those of English language respondents (See Exhibit 10)

Overall, there were several emerging themes driving Integrity for English and French language respondents were based on the content analysis of Trivium:

- **French** : Trust, “Truthfulness”, and “Honesty”
- **English**: Practicing integrity at the UN, holding people accountable, and being able to seek advice regarding ethical issues.

For both English and French responses, a major driver of Employment Satisfaction was whether the “UN is committed to making integrity a requisite for career success”.

Exhibit 10: French and English Language Questionnaire Index Scores on Organizational Integrity, Employment Satisfaction, Trust



Department Differences—Organizational Integrity, Employment Satisfaction, and Trust

We examined the performance scores of departments on the three major indices: Organizational Integrity, Employment Satisfaction, and Trust. The following ranges were found for departmental data (the average is the overall UN score):

Exhibit 11: Range of Index Scores on Organizational Integrity (OI), Employment Satisfaction (ES), and Trust (T) by Department

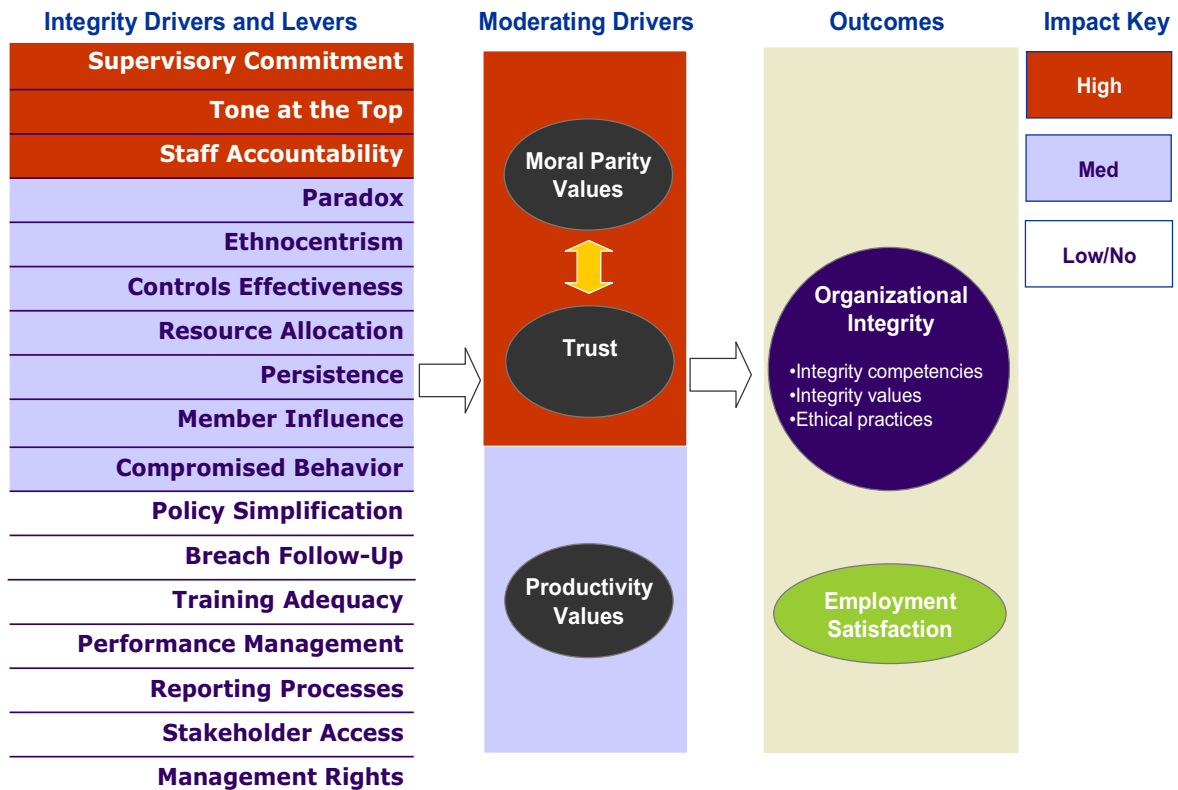
	Highest	Average	Lowest
OI	66	52	42
ES	82	74	56
T	64	49	39

These variations are the largest for any demographic comparison.

Organizational Integrity Model

The model of Organizational Integrity reads from left to right (see *Exhibit 12*). Some factors drive integrity more than others, and all factors having a relationship with integrity are dependent on some level on the Moral Parity and Trust. From a practical standpoint, factors that have high impact and low performance ratings should be at the top of the priority list for improving Organizational Integrity. We more completely examine the priority actions elsewhere in our report.

Exhibit 12: Organizational Integrity Drivers and Levers



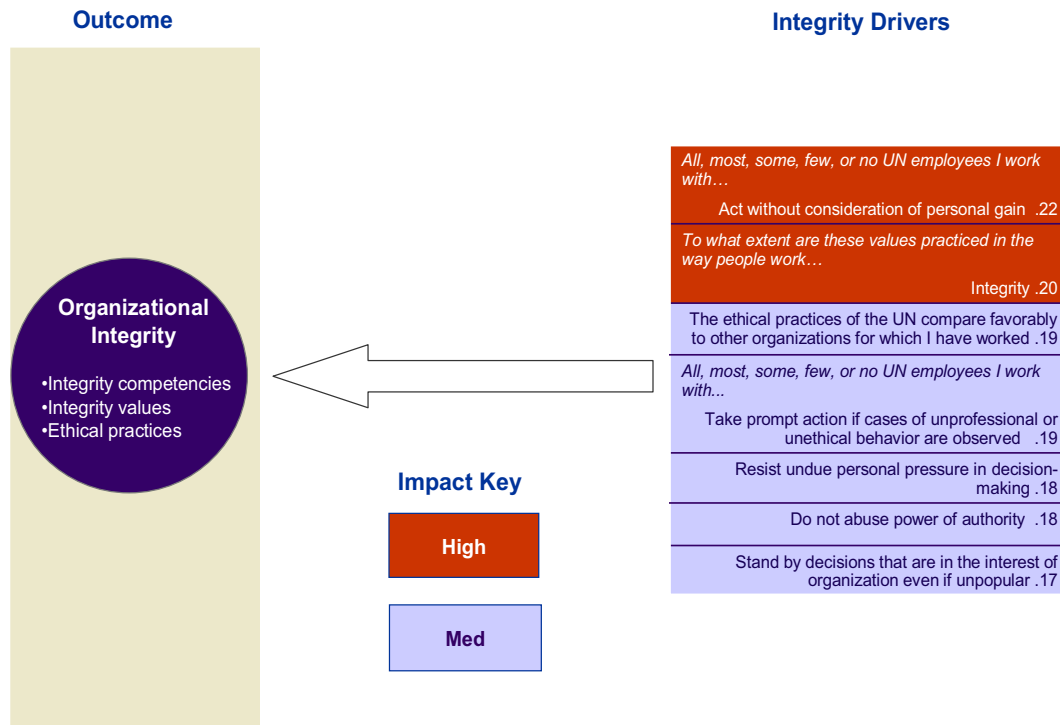
Additional analyses helped determine which factors offer the best opportunity for improving perceptions of Organizational Integrity. Since single items are statistically less stable than scaled factors, it was determined that a Beta coefficient—higher than required for classifying factor impact—was required for the item to be classified as “High, Medium, or Low Impact”. The following convention was established for classifying item Betas into “High,” “Medium” and “Low” impact:

- High Impact Betas = .20 and higher
- Medium Impact Betas = between .19 to .09
- Low/No Impact Betas = .08 and lower

Item Impact on Organizational Integrity

Item analysis demonstrates that the extent to which employees “Act without consideration of personal gain” drives most of the explained variation in the *Organizational Integrity* outcome, This item is followed by “Integrity” [value] being practiced in the way people work.”” This means that UN staff is heavily influenced by dedication to the values of integrity and following ethical guidelines regardless of personal interest (See *Exhibit 13*).

Exhibit 13: Item Impact on Organizational Integrity



Following the simple item analysis, a model of integrity drivers based on the survey factors and indices was built. This model revealed that Organizational Integrity is driven by several factors. A factor impact analysis was performed to determine how much variation in integrity is driven by each of the factors in the model. The degree of impact for each factor was then determined by the relative size of the standardized Beta coefficients in regression equations. Standardized Beta coefficients help estimate the relative predictive power of each of the factors in the model.

The values of the standardized Beta coefficients were used to anchor the taxonomy of factor impact. There are three categories: high, medium, and low on the “impact” dimension. Factors with statistically significant Betas of .09 or higher were classified as “High Impact” factors. The three factors having high impact on integrity were:

- *Supervisory Commitment*
- *Tone at the Top*
- *Staff Accountability*

Seven factors with Betas ranging from .07 to .04 were classified as “Medium Impact”:

- *Paradox*
- *Ethnocentrism*
- *Controls Effectiveness*
- *Resource Allocation*
- *Persistence*
- *Member Influence*
- *Compromised Behavior*

Finally, seven factors with Beta coefficients lower than .03 were classified as “Low/No impact” factors. These factors were:

- *Policy Simplification*
- *Management Rights*
- *Training Adequacy*
- *Reporting Process*
- *Breach Follow-Up*
- *Stakeholder Access*
- *Performance Management*

In addition, analysis revealed that Moral Parity and Trust were moderators of the relationship between high and medium impact factors and Organizational Integrity. (See *Appendix A* for the list of factors and the items that comprise them.) That means that the strength of the relationship between any of the high or medium impact factors and Organizational Integrity might depend on perceived level of Moral Parity or Trust. For example, the relationship between the predictive factor Supervisory Commitment and Organizational Integrity would be higher if the Moral Parity factor performance is perceived as highly favourable. On the other hand, the relationship between Supervisory Commitment and Organizational Integrity would be lower if Moral Parity is not favourably perceived. These findings demonstrate that improving perceptions of Moral Parity and Trust will help improve the staff perception of organizational integrity.

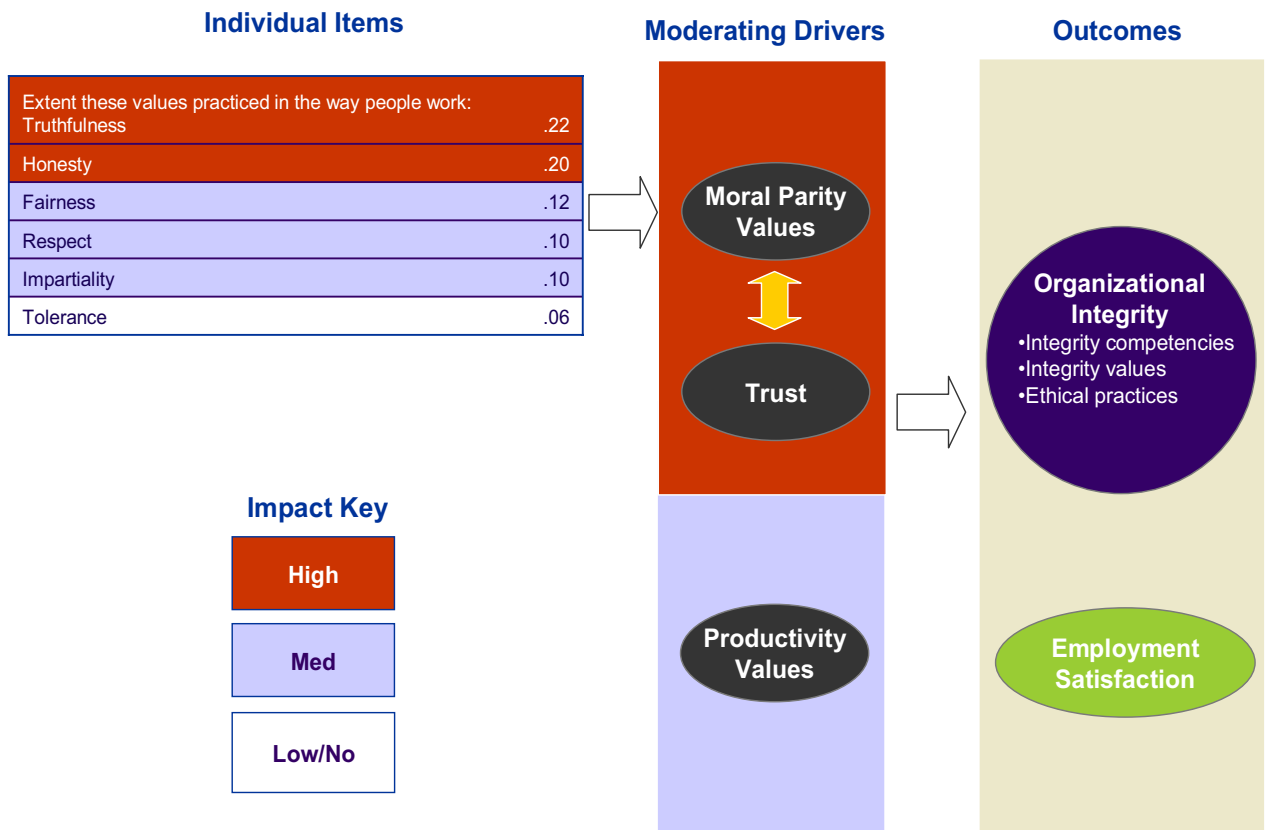
Moral Parity and Trust are also related to each other such that improving the level of Trust among UN employees would also facilitate improving perceptions of Moral Parity.

Productivity

Productivity is a factor describing values in the way people work. These values included: “Professionalism”, “Efficiency”, “Effectiveness”, “Accountability”, “Responsiveness”, “Competence”, and “Reliability”. Regression analyses revealed that Productivity did not have a significant impact on integrity. Despite the fact that Productivity is not a strong driver, its high correlation with integrity suggests that practicing productivity values is desirable since it would most likely lead to other positive organizational outcomes such as more output and lower operating costs. The survey data reveal that the values that UN employees perceive as most indicative of Productivity are “Reliability” and “Efficiency”.

The item impact analysis revealed that most of the variance in Moral Parity is explained by perceptions of the way people practice **Honesty in their work**. This means that the more employees perceive their coworkers to be honest in the way they work, the higher the overall perception of Moral Parity.

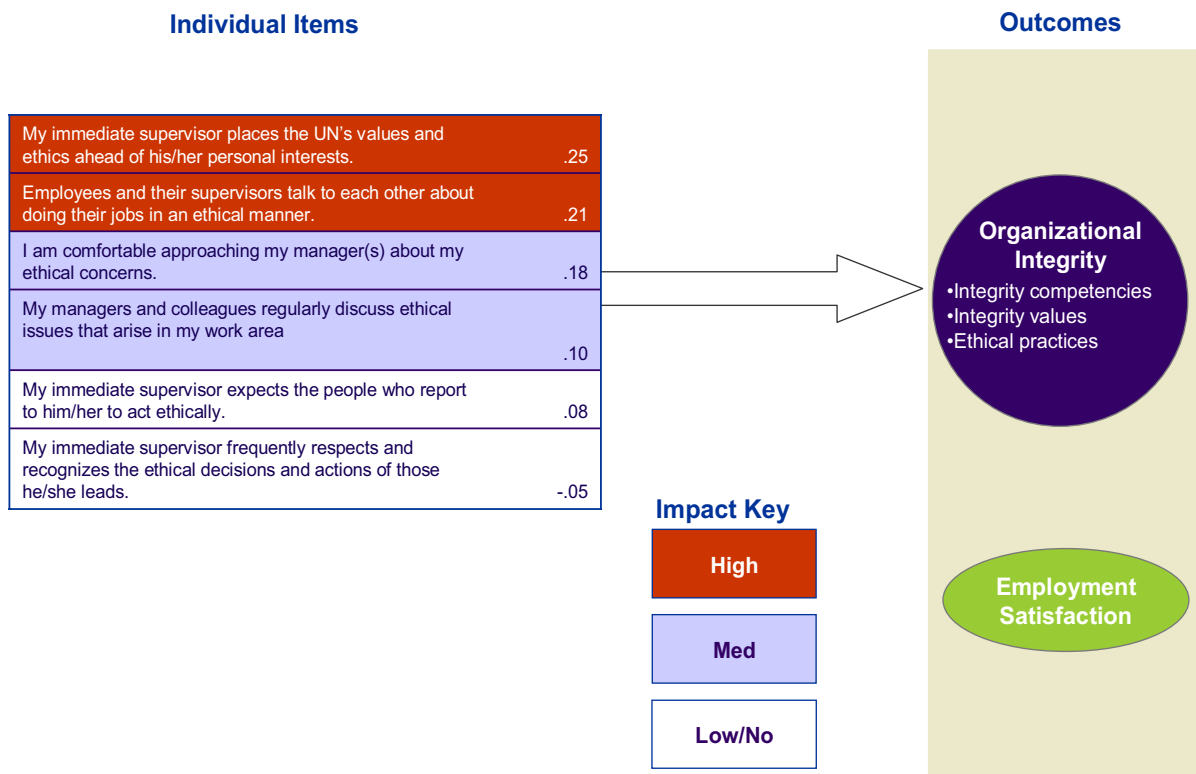
Exhibit 14: Item Impact on Moral Parity



Item Impact Analysis of Supervisory Commitment, Tone at the Top, and Staff Accountability

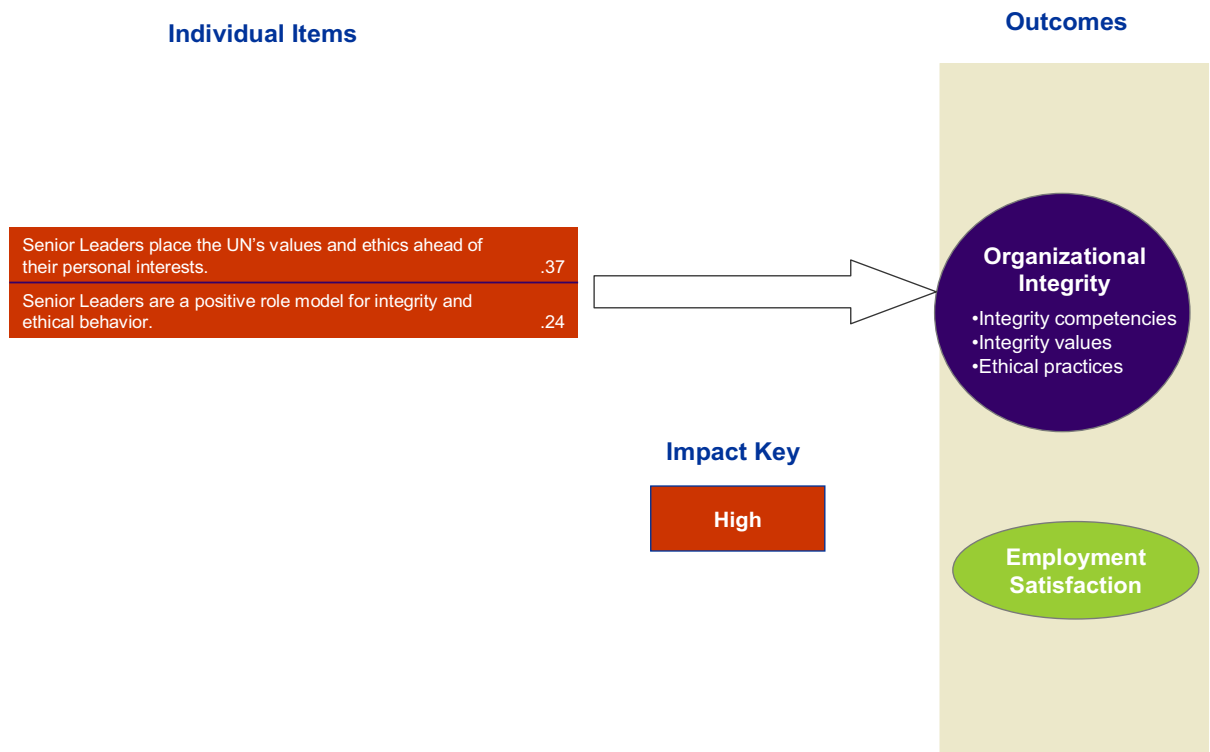
Items that would improve employee perceptions of Supervisory Commitment include favourable perception of “My immediate supervisor places the UN’s values and ethics ahead of his/her personal interests”, and “Employees and their supervisors talk to each other about doing their jobs in an ethical manner”. In addition, the extent to which “I am comfortable approaching my manager(s) about my ethical concerns”, and the extent to which “My managers and colleagues regularly discuss ethical issues that arise in my work area” are also important drivers of Supervisory Commitment. (See *Exhibit 15*.)

Exhibit 15: Supervisory Commitment Item Impact



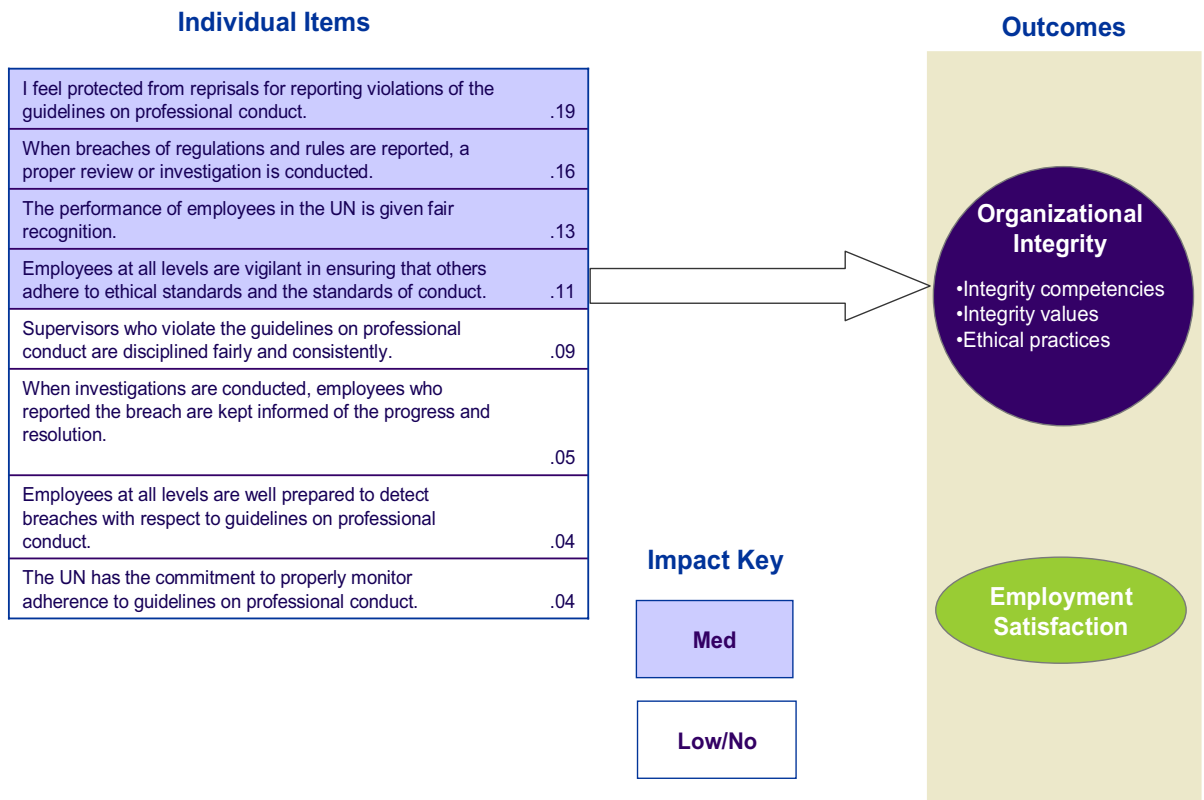
Tone at the Top describes the extent to which senior leaders have a positive influence on the organization by modeling ethical behavior and placing ethical values ahead of personal interests. Both of the items included in this factor have high impact on Organizational Integrity. For example, a ten (10) point increase in employees' perceptions of how "Senior Leaders place the UN's values and ethics ahead of their personal interests" would result in four (4) point increase in Organizational Integrity based on the regression equation. In addition, every ten (10) unit improvement in "Senior Leaders being a positive role model for integrity and ethical behavior" would result in a 2.4 point increase in Organizational Integrity (see *Exhibit 16*).

Exhibit 16: Tone at the Top Item Impact



The Staff Accountability factor describes organizational practices that help staff account for their own ethical behavior and the behavior of others. This is a high impact factor for improving Organizational Integrity. In order to improve staff accountability “(staff members) must feel protected from reprisals for reporting violations of the guidelines on professional conduct”. Also, “When breaches of regulations and rules are reported, a proper review or investigation is conducted” and “The performance of employees in the UN is given fair recognition” have strong influence on Organizational Integrity. (See *Exhibit 17.*)

Exhibit 17: Staff Accountability Item Impact



RESULTS OF FACTOR PERFORMANCE

The 17 predictive factors and the constructs they measure are defined in the table below. A factor performance score is based on the computed mean of a set of survey items that make up a factor. These were converted to a scale of 0 – 100 with a midpoint of 50. The higher the score, the more positive the respondents rated the items that make up each factor. They are listed from highest to lowest factor scores.

Exhibit 18: Factor Performance

Management Rights —staff agreement that managers should <i>not</i> have the right to select people by bending the selection and promotion process rules.	65	Relatively Favourable Scores
Controls Effectiveness —the extent to which guidelines on professional conduct are routinely used, easy to find and understand, consistent with actual practice and are disseminated well.	63	
Compromised Behavior — staff agreement that supervisors and senior leaders do <i>not</i> override the rules and regulations in order to get things done.	57	
Supervisory Commitment —the extent to which supervisors create an environment to encourage ethical behavior, as well as behave ethically themselves.	57	
Member Influence —the extent to which immediate supervisors do not make decisions based on the special interests of member states.	54	Relatively Neutral Scores
Persistence —the extent to which ethical standards and integrity continues when management and senior management change.	53	
Training Adequacy —the extent to which training helps people value, understand the guidelines on professional conduct, and reduce their violations.	50	
Paradox —the extent to which the actual behaviors at the UN are not contradictory to espoused values or beliefs.	49	
Reporting Processes —the extent to which people know how to report suspected criminal activities and the process is easy to use and effective.	49	
Stakeholder Access —The extent to which external clients, vendors, partners, and outside stakeholders are able to report breaches of UN integrity that is effective.	48	
Tone at the top —the extent to which senior leaders are positive role models and place ethics ahead of their personal interests.	45	
Ethnocentrism —the extent to which ethical practices of the UN are guided by the values of local culture/station instead of being guided by the overall UN practices.	44	Relatively Un-favourable Scores
Performance Management —the extent to which being ethical helps one advance in their career through the selection and promotion process	41	
Breach Follow-up —the extent to which breaches of guidelines on professional conduct are reported and investigated.	39	
Staff Accountability — practices that help staff be accountable for their own ethical behavior and the behavior of others.	39	
Policy Simplification —the extent to which staff perceive the guidelines on professional conduct are simple .	35	
Resource Allocation —the UN has allocated sufficient resources to ensure adherence to guidelines on professional conduct.	34	

Relatively Favourable Performance Scores

The most favorable factor Management Rights (65) is represented by a single item, “I believe UN managers should have the right to select “their team” even if doing so bends the selection and promotion process rules.” A high performance score indicates that the majority of respondents disagreed with this statement.

The second highest, Controls Effectiveness (63), indicates that the majority of respondents believe that the guidelines on professional conduct are easy to find and understand, consistent with UN practices, and are disseminated well.

Compromised Behavior (57) is a factor made up of reverse worded items. A high score indicates respondents had **not** seen their supervisors and senior leaders override the rules and procedures in order to get things done. Supervisory Commitment (57) indicates that more respondents feel that their supervisors create an environment that encourages ethical behavior, as well as behave ethically themselves.

Relatively Unfavourable Performance Scores

The two lowest factor scores on the survey are Resource Allocation (34) and Policy Simplification (35) and both are based on single items. The conclusion is that respondents perceive more resources should be allocated to ensure adherence to ethical guidelines and that these guidelines should be simplified. A low Policy Simplification score might appear contradictory to a high Controls Effectiveness score. However, the interpretation is that although people find that controls are relatively effective (easy to find, understand, well-disseminated), they still feel there is room for improvement in simplifying the content.

Staff Accountability (39) is alarmingly low, indicating respondents perceive those who violate guidelines are not disciplined fairly and consistently. Also staff perceive they are unprotected from reprisals for reporting violations. The low Breach Follow-Up (39) score indicates that breaches of conduct are not reported and not investigated. This does not necessarily indicate breaches go undetected or uninvestigated, only that survey respondents don't perceive this.

Performance Management (41) is low because of two items in the factor regarding the PAS and the candidate selection/promotion process. Both are perceived as being ineffective for evaluating integrity. Ethnocentrism (44) is low because the majority of respondents feel people of the same cultural background tend to favor their own regardless of whether it is in the best interest of the UN. They also report it is difficult to deal with unethical behavior because of internal political pressure.

Tone at the Top (45) indicates that respondents frequently do not see senior leader as positive role models for integrity and ethical behavior.

It should be noted that the performance results of the seventeen (17) predictive factors should not be acted on without understanding their impact on integrity. A low score does not necessarily require immediate action, particularly if it has a low probability of improving integrity. For example, Policy Simplification is relatively low. However, it also is not a strong predictor of organizational integrity perceptions. Simplifying policies may be a worthwhile endeavor; however, it is less likely to improve integrity perceptions than taking action in other areas. The recommended priorities for UN to focus its efforts will be covered in the Recommendations section.

Leverage Analysis

Our recommendations are primarily derived from an important type of analytic called “leverage analysis.” *Leverage Analysis* is a quantitative method to help prioritize areas that can increase the effectiveness of the UN’s follow-up effort to improve integrity. It helps answer the question, “What should we focus on first?” In other words, what key efforts will provide the UN its greatest *leverage* in improving integrity? We have pointed out in the previous sections the *factor performance scores* (see Exhibit 18) and the relative impact on integrity of factors (see Exhibit 12). Leverage analysis incorporates this information and combines both results to show which among these factors are most likely to prove effective for improving organizational integrity perceptions.

Exhibit 19: Factor Leverage Analysis Matrix

Relative Impact	High	<ul style="list-style-type: none"> Supervisory Commitment 		<ul style="list-style-type: none"> Tone at the Top Staff Accountability
	Med	<ul style="list-style-type: none"> Compromised Behavior Controls Effectiveness 	<ul style="list-style-type: none"> Persistence Member Influence Paradox 	<ul style="list-style-type: none"> Ethnocentrism Resource Allocation
	Low	<ul style="list-style-type: none"> Management Rights 	<ul style="list-style-type: none"> Productivity Values Training Adquacy Reporting Process Stakeholder Access 	<ul style="list-style-type: none"> Breach FollowUp Performance Management Policy Simplification
		High	Medium	Low

Relative Performance

The table above helps point out those areas in which to focus follow-up efforts. The left-hand column points out those factors that are the most positively rated; the middle column shows those that are medium; the right-hand column shows those that are most negatively rated. The color-coding scheme is deliberate: Green means “Go.” The second dimension of this table shows the factor scores’ relative impact on integrity perceptions. The top row (three shades of green) holds high impact factors, the middle row (three shades of yellow) holds medium impact factors, and the bottom row (three shades of red) holds low impact factors.

The high impact-low performance factors are in the top right cell (bright green) and are the highest priority for follow-up efforts. At the UN this includes *Tone at the Top* and *Staff Accountability*. Moving across this row, from right to left, we find that the high impact-medium performance cell is empty. The next cell (darkest green) in the priority list contains Supervisory Commitment which is relatively high in performance and high in its impact on integrity perceptions. This indicates that the UN is performing relatively well in this area and the factor has a relatively high impact on integrity.

We next move back to the cell (bright yellow) that is medium in impact, and low on performance. We move to this area after moving along the top of the chart because impact takes precedent

over performance when making a decision on which area to focus. In this cell we find Ethnocentrism and Resource Allocation.

We have determined that these five factors, Tone at the Top, Staff Accountability, Supervisor Commitment, Ethnocentrism, and Resource Allocation in that order, are the most important priorities for the UN’s effort to improve perceptions of integrity. This is not to say that the other factors should not be explored to make improvements. These may be areas on which the UN chooses to focus; however, they may prove to have a lower “return on investment.”

The Top Priorities

Tone at the Top

Results of the analyses indicate that *Tone at the Top* has a relatively low “favorability” score and a high impact on Organizational Integrity, indicating that the views of UN leadership have to improve in order to improve perceptions of integrity at the UN.

Exhibit 20: Tone at the Top Item Leverage Analysis

Tone at the Top	Unfavorable	Impact	Priority	Rank
5.11 Leadership: Senior leaders place the UN's values and ethics ahead of their personal interests	34	0.37	12.69	1
5.10 Leadership: Senior leaders are a positive role model for integrity and ethical behaviour	35	0.24	8.25	2

The table above breaks down the individual items. This is called a “drill-down” of the leverage analysis. We take the percent of those who rated the item as unfavorable and multiply it by its impact on employee commitment. Impact is determined by entering the scores from a multiple regression equation. The impact scores are the standardized beta coefficients. In turn, this means they show proportionately their weight in influencing integrity perceptions. In the example above, Item 5.11 “Senior leaders place the UN’s values and ethics ahead of their personal interests” has an impact score of .37, while item 5.10 “Senior Leaders are a positive role model for integrity and ethical behavior” has an impact score of .24. This means that Item 5.11 has approximately 50% higher influence on integrity perceptions than does Item 5.10. The multiple of the percent unfavorable by the impact score yields a priority score. The items are then rank ordered according to their priority scores.

To improve *Tone at the Top* the UN should:

1. Focus on changing staff perception of senior leaders placing values and ethics ahead of their personal interests, aspirations or prior relationships and being positive role models in integrity and ethical behavior. This can be achieved through acts and statements that set an appropriate example of ethical behavior, as well as an effort to communicate these behaviors to staff. In other words, leaders must lead by example and be held to an even higher standard regarding ethics and integrity. Senior leaders should be held accountable, in writing, through their compact with the Secretary General.
2. Ensure senior leaders take prompt and decisive actions against those who breach the professional guidelines regardless of prior personal or professional relationships.

There is an old saying that “rank has its privileges”. Senior leaders may be well served if they will refrain in word and deed from “pulling rank” or allowing their direct reports to do so in service to their leader or themselves. Deloitte Consulting has heard in its meetings and interactions with

UN staff during meetings/interviews and correspondence that leaders (also managers, supervisors) are perceived to regularly disregard established formal procedures, rules, and the intentions of both in their work day activities. Much of this criticism is directed at the use of perquisites, the travel and education budgets and allowances. And the other source of criticism is the use of political power in hiring and promotion of staff (i.e., Ethnocentrism, Member Influence).

Staff Accountability

The Staff Accountability factor score is low (39), while its relative impact on Organizational Integrity (measured by the factor's contribution to integrity) is high. Thus, improvements in behaviors associated with the Staff Accountability factor are likely to improve staff perceptions of Organizational Integrity. As seen in *Exhibit 21*, the data suggest that there are several areas that can increase perceptions of Staff Accountability. These include: (ranked in order of importance):

Exhibit 21: Staff Accountability Item Leverage Analysis

Staff Accountability	Unfavorable	Impact	Priority	Rank
3.20 Org Practices: I feel protected from reprisals for reporting violations of the guidelines on professional conduct	46	0.19	8.49	1
3.05 Org Practices: The performance of employees in the UN is given fair recognition	59	0.13	7.54	2
3.11 Org Practices: Employees at all levels are vigilant in ensuring that others adhere to ethical standards and the standards of conduct	45	0.11	4.96	3
3.23 Org Practices: When breaches of regulations and rules are reported, a proper review or investigation is conducted	29	0.16	4.70	4
3.10 Org Practices: Supervisors who violate guidelines on professional conduct are disciplined fairly and consistently	46	0.09	4.00	5
3.12 Org Practices: Employees at all levels are well prepared to detect breaches with respect to guidelines on professional conduct	45	0.04	1.91	6
3.08 Org Practices: Professionals who violate guidelines on professional conduct are disciplined fairly and consistently	43	0.04	1.67	7
3.24 Org Practices: When investigations are conducted, employees who reported the breach are kept informed of the progress and resolution	27	0.05	1.32	8
3.15 Org Practices: The UN has the commitment needed to properly monitor adherence to guidelines on professional conduct	28	0.04	1.11	9
3.07 Org Practices: General Services staff members who violate guidelines on professional conduct are disciplined fairly and consistently	34	0.03	0.99	10
3.06 Org Practices: Everyone is held accountable for following the UN's guidelines of professional conduct	43	0.01	0.54	11
3.09 Org Practices: Leaders who violate guidelines on professional conduct are disciplined fairly and consistently	45	-0.01	-0.55	12
3.22 Org Practices: The UN has strong whistleblower protections that encourage me to report violations I see	45	-0.04	-1.76	13

The first two items have relatively high priority, followed by three items with strong priority scores. To improve, the UN must focus on changing perception of *Staff Accountability* by increasing protection from reprisals for reporting violations. Notice how this item is similar to, but also different from "The UN has strong whistleblower protections". This latter item is ranked thirteenth (13th) in priority. Strengthening protections may require two coordinated activities: increase protections for whistleblowers and strong sanctions against those who threaten the whistleblower. If the UN has adopted strong whistleblower rules in the past, then a productive course of action might be follow-up focus groups with staff that asks for clarification and elaboration.

The other item in this factor has to do with performance being given fair recognition. This also suggests two coordinated activities: strengthen elements of formal performance appraisal tools and processes for measuring ethics and integrity and enforce the application of both. In his book, *The Trust Factor* (1994), John Whitney identifies "Misalignment of measurements and rewards pitting people against one another and against the [organization]" as a major source of mistrust. Whitney suggests "Accountability, then, is a very difficult subject that is made more difficult when tied to the distribution of rewards. Even so, accountability is observable, perhaps even measurable over time" (Pg.70-71). Whitney finishes with this directive:

“HOLD PEOPLE ACCOUNTABLE: (1) For activities over which they have nominal control; (2) For activities in their spheres of influence which they do not control; (3) For proficiency in their specialty or area of activity; (4) For continued improvement in their specialty; (5) For readiness to take on new assignments; (6) For working cooperatively, with their colleagues; (7) For keeping the internal and external customer in view; (8) For performing their jobs in a manner that will build trust.”

And, if/when staff fails: retrain, reassign, or remove from the organization.

Supervisory Commitment

Supervisory Commitment is a strength that should be leveraged. This factor ranked relatively high in performance (57) and received a high relative importance ranking in terms of its contribution to Organizational Integrity. It should be noted that the operative term is *relative*, as this score is just slightly above the neutral on the scale in the area we have described as moderately favorable. Nonetheless, this indicates there are many positive examples of supervisors as role models for integrity.

Exhibit 22: Supervisory Commitment Item Leverage Analysis

Supervisory Commitment	Unfavorable	Impact	Priority	Rank
5.02 Leadership: Employees and their supervisors talk to each other about doing their jobs in an ethical manner	32	0.29	9.31	1
3.17 Org Practices: I am comfortable approaching my manager(s) about my ethical concerns	30	0.18	5.31	2
5.07 Leadership: My immediate supervisor places the UNs values and ethics ahead of his/her personal interests	21	0.25	5.25	3
3.28 Org Practices: My managers and colleagues regularly discuss ethical issues that arise in my work area	46	0.10	4.63	4
5.04 Leadership: My immediate supervisor expects the people who report to him/her to act ethically	10	0.08	0.79	5
5.01 Leadership: My immediate supervisor regularly shows that he/she cares about integrity and the UNs values	20	0.02	0.37	6
5.05 Leadership: My immediate supervisor frequently respects and recognizes the ethical decision and actions of those he/she leads	18	-0.05	-0.90	7
5.03 Leadership: My immediate supervisor is a positive role model for integrity and ethical behaviour	21	-0.05	-0.98	8

As can be seen in the table above most items have relatively low unfavorable scores. For example, only 1 out of 10 respondents do not feel their immediate supervisor expects their subordinates to act ethically (Item 5.04). The item that stands out as having the most impact on improving integrity is 5.02, “Employees and their supervisors talk to each other about doing their jobs in an ethical manner.” This item has almost twice as much impact as the next three items in their rank order of impact.

Improving the *Supervisory Commitment* will require:

1. Encouraging the level and quality of dialogue about ethics and integrity issues, including day-to-day interactions and decision making.
2. Creating an environment where employees feel comfortable approaching their manager(s) about their ethical concerns.
3. The extent to which a supervisor is seen as placing the UN's values and ethics ahead of his/her personal interests.
4. Regularly discussing ethical issues that arise in my work area.
5. Evaluating supervisors in their PAS on the extent to which they do 1 through 4 above. This will require input from their supervisors, but also and more importantly, input from their subordinates.

6. Rewarding those supervisors who are positive role models of commitment to integrity. Internally, publicize their behavior in a tactful and meaningful way.

Ethnocentrism

The *Ethnocentrism* factor falls on the low end of overall performance, i.e., “favorability”, with a score of forty-four (44). The factor has a medium impact on Organizational Integrity. The top two items, base on impact for integrity, show that political pressure and cultural background are significant issues. Based on the focus groups we had conducted, these issues are woven into the fabric of the UN. Although, efforts in these areas could have a significant impact on improving integrity perceptions, they may be much more difficult to change quickly than some others. Nonetheless, these are issues that are absolutely contrary to the UN guidelines on professional conduct and must be changed.

Exhibit 23: Ethnocentrism Item Leverage Analysis

Ethnocentrism	Unfavorable	Impact	Priority	Rank
4.11 Org Culture: It is difficult to deal appropriately with unethical behaviour because of internal political pressure	51	0.19	9.96	1
4.10 Org Culture: People of the same cultural background tend to favour their own, regardless of whether or not it is in the best interest of the UN	58	0.13	7.52	2
4.21 Org Culture: In my duty station ethical practices are bent to accommodate the head of the Office/Department	30	0.23	6.98	3
4.12 Org Culture: Managers/supervisors bend organizational rules in the name of local country/regional practices	31	0.16	4.89	4
4.20 Org Culture: In my duty station ethical practices are bent to conform to the local culture	19	-0.03	-0.64	5

To improve integrity, the following behaviors need to be changed:

1. Political pressure is a reality of public service. Unethical behavior should not be a consequence of that. Training employees by identifying clear and realistic examples of unethical behavior should help clarify what is acceptable and what is not acceptable behavior. Appropriate action can then be taken by individuals recognizing the distinction.
2. Upward feedback may help curb the behavior to favor subordinates of one’s own cultural background. This may come in the form of upward feedback evaluations of supervisors. The UN can aggregate the feedback scores and allocate a proportion of a supervisor’s performance rating based on this feedback.
3. Use the results of this survey to identify the departments where this is perceived to occur and identify the causes of why these scores are low. There may be only a handful of individuals who are creating this perception within the UN.
4. Annual administration of this survey will help monitor political pressure perceptions. More frequent “pulse” surveys targeted at particularly poor performance areas might also help.

Resource Allocation

Resource Allocation is the only high priority factor that is based on a single item. Some caution should be exercised in interpreting its meaning as it is a somewhat broad item. The majority of respondents (57%) feel that more resources should be allocated to ensure adherence to guidelines on professional conduct (note this is a “negatively” worded item and its scores were reversed). Thirteen percent felt the UN should not allocate more resources, 22% were neutral to the idea, and 8% did not know. This indicates that should the UN allocate resources, more than half would probably endorse the effort, and a small percent would not support this. In addition, the allocation of resources would potentially have a positive impact on improving integrity perceptions.

Exhibit 24: Resource Allocation

Resource Allocation	Unfavorable	Impact	Priority	Rank
3.14 The UN should allocate more resources to ensure adherence to guidelines on professional conduct	57	0.14	7.72	N/A

To improve integrity via Resource Allocation:

1. Allocate according to the priorities identified in this report and through further counsel of the OII Working Group.
2. Publicize how the resources have been allocated to the general workforce and to ensure they understand that they were allocated as a result of this survey and their input.
3. Recognize perceptions of fraud, corruption, and/or criminal behavior are not top of mind for UN employees. Fairness, honesty, leadership by example, and effective human resources practices are top of mind. And from the UN staff perspective, it's about execution, not design; by way of metaphor, building a better mouse trap is not nearly as effective as baiting, arming and placing an old one where hungry mice congregate.

Staff Speak Out – Natural Language Expressions

An open-end question was included in the survey questionnaire. The item required a natural language answer, i.e. in the respondents own words. The item asked: “What suggestions or comments would you like to offer to improve integrity within the UN?” The question followed the 102 structured-answer items on staff perceptions and preceded the structured answer items on demographics.

The submitted responses (n = 2,363) were reviewed by Deloitte Consulting analysts who removed self disclosing references, proper names etc. from the text. Of the responses submitted, 270 were in the French language and 2,093 were in English. This represents a response rate of almost 40%. The length of the answers was quite variable ranging from very few words to 68 lines. Long answers were truncated to 250 characters when we performed our data analysis using SPSS software; otherwise we had no difficulties with the data.

One result of our analyses using SPSS is that Deloitte Consulting identified substantial differences in the three outcome variables between those submitting comments and those not submitting comments. Respondents who completed the open-end item are more negative in their perceptions than those who did not submit an answer. Measured using the Organizational Integrity and Trust indices, survey respondents making comments are 10% more negative than those not making comments. On the Employment Satisfaction Index, survey respondents making comments are 3% more negative. Therefore, it is reasonable to assume that the comments are more negative than would be expected from a random sample of UN staff.

A copy of the data file including full text responses to the open-end item was also analyzed by Deloitte’s sub-contractor Trivium SA. Using the Triviumsoft Decision Planner, a powerful software tool for analyzing text-based materials that both summarizes the content and creates topographical maps of the outcome, Trivium analysts identified and isolated four strong signals (i.e., themes) in the natural language responses in the English questionnaire and several emerging ones. Also, Trivium analysts identified one major theme in the French language questionnaire responses and a couple (i.e., several) more minor ones. The difference in the number and strength of themes in part reflects the relative size of the two text data subsets.

Analysis of 2,093 English Language Responses

Interpreting the topographical maps using Triviumsoft tools the Trivium analysts helped identify several categories of findings. (See the map in Appendix C.)

Major Themes, Strong Signals

Four strong signals are uncovered by Trivium’s analysts: **(1) Improve the management system to enhance integrity; (2) Supervisors and Managers should be more closely supervised by senior management; (3) Management accountability should be better developed; and (4) Senior leaders’ personal commitment to integrity and ethical conduct should be more clearly stated and monitored for compliance.**

Improving the management system in order to enhance integrity means: (1) making the recruitment and selection system for new hires and promotions more objective, fair and transparent; (2) leveraging the current PAS system to include integrity as part of the overall HR evaluation process; assessing performance more fairly and transparently including linkages to career planning processes; and (4) manage career progression based more on merit rather than other perceived bases including age, tenure, nationality and gender.

Supervisors and managers should be better supervised by top management to help: (1) ensure fair treatment of staff members, (2) promote common and consistent HR management practices

throughout the Organization, and (3) incorporate the evaluations of managers by their direct reports and staff.

Management accountability should be developed within the Organization meaning managers should be: (1) trained on management practices particularly related to the Moral Parity values, (2) evaluated and rewarded for success in managing people and promoting integrity, (3) held accountable for all their acts, and (4) made to act as role models of integrity and lead by example.

Senior leaders' commitment to integrity should be: (1) more unequivocally stated, (2) more effectively monitored for compliance; (3) more demonstrative in their personal actions and the actions of those in whom they place trust; (4) more rapid in acting against those who breach the guidelines on professional conduct, and (5) more accountable for not only acting on disclosed breaches but seeking to uncover them.

Emerging Themes in English Language Responses

Trivium also identified three emerging signals among the natural language responses:

- behaviour: 168 respondents focused their answer on behaviour
- accountability: 153 respondents focused their answer on accountability
- regulations: over 100 respondents focused their answer on regulations

Trivium notes: "Interestingly, these emerging signals refer to three key components of an organization: people (behaviour), organization (accountability) and processes (regulations)."

Negative answers to the open-end question represent approximately 75% of all responses. As Trivium analysts write: "Even though the open question is positive and proactive, the majority of the answers are rather negative. Some respondents go beyond light criticism and take an aggressive, bitter [tone]."

Positive comments and suggestions mainly focus on "systems", and negative comments focus on "organization" and "management": it may suggest that, in the mind of respondents, "organization" and "management" are problems, and "systems" are solutions.

Infrequent Use of Values in English Language Responses

There is a gap between the 17 values proposed in question #1 and the answers of UN employees to the open question.

The following values **appear never or very rarely** among the 2,093 open-end answers submitted in the English language: (1) **reliability** [never appears], (2) **tolerance** {less than 10 times}, (3) **impartiality** {less than 10 times}; **effectiveness** {less than 20 times} and **diversity** {less than 20 times}. Trivium's findings in this area of text analysis is consistent with the statistical modelling of factor and item impact on Organizational Integrity by Deloitte Consulting.

On the other hand, **accountability** appears as a central topic in natural language expression even though only asked once in the questionnaire (Q1).

Analysis of 270 French Language Responses

Overall, the French language responses are consistent with those proffered in English. Only points of emphasis are different. (See the map in Appendix C.)

The topographical map shows more separate islands, due to a smaller number of French language responses, but the interpretation of answers leads to a series of conclusions similar to those for English language respondents. We will focus on the differences in points of emphasis.

Slight differences appear that can be summarized with these statements:

1. The way “promotion and resources staffing are managed” appears on the map as a central issue for French-language respondents;
2. “Justice” appears spontaneously as an emerging signal among French-language respondents, in English-language responses, the word justice is rare and peripheral;
3. In both maps the words “value” and “justice” are directly connected to each other in UN staff answers;
4. “Training” appears spontaneously as an emerging signal which is not the case among English language respondents;
5. “Unethical actions or behaviours should be punished”, appears as a separate topic and an emerging signal on the map.

Example Verbatim Quotes Organized Around the Major Themes

The vast majority of comments submitted had a negative tone and substance that is best described as venting. However, Deloitte Consulting asked Trivium to extract UN staff quotes that offered concrete suggestions for remediation. *Exhibit 25* that follows organizes these concrete suggestions around strong and emerging signals.

Exhibit 25: Example Staff Suggestions

EXHIBIT 25	STAFF SUGGESTIONS
<p>1—Improve the management system</p> <p>Make the recruitment / selection system more objective and fair</p>	<ul style="list-style-type: none"> • Get rid of the General Assembly (GA) mandated geographic quota recruitment and promotion system • Outsourcing Human Resources management, remove the rank/grade pay system and pay senior management according to performance this will encourage fair competition and result in better services to us (users) of these services. • Honesty and Integrity should be spelled out to every staff member before they sign their contract. • Stop hiring new personnel especially same 5 countries. • An independent recruitment agency should be contracted to short list names of candidates for any given post. These short-listed candidates would then be interviewed by a panel of six senior Managers from the UN which would be solely independent of the unit for which the vacancy is been advertised. The UN Interview Panel should include at least three persons with proven ability in the Field of Work for which the vacancy is been interviewed. The Interview Panel should insure that at least three letters of references as well as proper verified signed CV's from previous employers are submitted for the appraisal at the time of interview. • Institute of system of staff selection (...) based firmly on competence and performance. • OHRM should withdraw the power vested on offices away from HQ to recruit up to P-4 level. All recruitment should be by OHRM/NY and short listed candidates given a serial number of which only OHRM knows which name to which number when submitting them to the offices.

EXHIBIT 25**STAFF SUGGESTIONS**

Leverage PAS system to assess integrity as part of HR evaluation; make PAS a widely and fairly used tool

Leverage PAS system to assess integrity as part of HR evaluation; make PAS a widely and fairly used tool

Assess performance fairly and transparently, and link it to career plans

- The PAS system should be simplified. It is not useful.
- Performance should be evaluated not only by the international supervisors but also locals (beneficiaries), besides HQ supervisors randomly evaluating both the staff and the supervisors
- The actual grading of Performance Appraisal system with limitation (distribution of higher rates cross sections) are yet undocumented, unfair, and generally not well explained to the staff, who at certain extent, don't know who is giving the rate.
- A more fair performance appraisal and selection process.
- The PAS should be used as a positive tool for recognizing individual merits and performance and not as a punitive mechanism.
- An open, fair and objective way of assessing integrity. Also objectively in-building it into the performance management system, together with sanctions as appropriate, would make people understand that it is important for a career in the UN
- Independent assessment of PAS and a highly independent and fast acting investigative and judicial procedure within the UN is essential if some semblance of fairness is to be restored.
- Ensure that the PAS system is used appropriately, i.e. have supervisors discuss work plans, mid year reviews and final evaluations with staff and ensure grading in accordance with clear benchmarks and achievements.
- A fair, honest and transparent performance evaluation system that allows comments on the conduct, integrity and suitability of a staff member to work in a multifaceted, multicultural and multi-ideological environment.
- Lose the PAS system for it is a waste of our time to write. The old system where you were graded by your supervisor for your performance and able to make comments about yourself is better.
- PAS needs to be taken more seriously as a tool for conversation about "soft" issues like career development, integrity, on-the-job development, collaboration, and not alone be used as a tool for assessment of current tasks/results/outputs
- To improve integrity within the UN, the promotion system has to be overhauled in such a way as to reward competence and excellence rather than mere seniority.
- Implementation of functioning internal system-wide career development system as opposed to nepotism and lobbying in recruitment of external candidates.
- The promotion system has to be overhauled in such a way as to reward competence and excellence rather than mere seniority
- Institute of system of staff (...) appointment and promotion based firmly on competence and performance.
- Staff subordinates should have a yearly confidential means of reporting/evaluating their supervisors, office heads, senior leadership.

EXHIBIT 25**STAFF SUGGESTIONS**

- | | |
|-------------------------------|---|
| Manage career on a merit base | <ul style="list-style-type: none">• Create a system of meritocracy to enable people to grow through the system• Clear guide lines, equality in promotion and career issues• Make all careers in the UN limited to 10 years• To have a clear career plan based and highlighting this value, the most important asset of a person.• Develop a proper career development system.• Career advances should more be based on merit, ethics, interpersonal skills (not only on academic performance and publications) than on academic background, 'networking' and influence of member states |
| Develop management training | <ul style="list-style-type: none">• Where possible keep staff aware of and stress the importance of integrity in the UN system through regular training courses seminars and workshops• P & G staff should participate in like trainings together.• Provide more group management training and peer mentoring.• Train people to assist staff/peers in how to determine the seriousness of what is perceived as a violation. |
| Develop management training | <ul style="list-style-type: none">• Strengthen leadership in understanding ethical behavior as a prerequisite for staying/being a leader.• People Management training—have heard many time a manager speak about the fantastic hotel used for the training, excellent food served and interesting people met, but hardly ever realized that people management had improved. Wonder whether there should be an evaluation of that type of training?• Improve performance based evaluation, by training in the management aspects of evaluation.• Promote or encourage training of managers and supervisors in the field of personnel management so that they will be able to understand their support staff better. |

2—Supervisors and managers should be more supervised

- There should be point system whereby the junior staff should be able to rate the senior staff member.
- REGULAR AUDIT—EVALUATION AND ASSESSMENT OF SENIORITY SYSTEM.
- Build accountability and incentive measures into the system. 360 degree evaluations. Institutionalize and strengthen Bols and ensure their neutrality and INDEPENDENCE
- Regular internal audits for each unit, were do they want to go, how do they want to do it and did they reached it if not why not etc.
- Supervisors and team leaders should be chosen (elected) by their staff on a rotating basis, e.g. three years terms. More democracy rather than old fashion bureaucracy in selection process of staff with managerial functions.
- Evaluation of managers' performance by their staff members.
- All supervisors should be held accountable for the staff who report to them. Their immediate supervisor should regularly check on the status of the office, especially if it is a small office and it is hard for staff members to report on a situation.
- Immediate supervisor to do more positive supervision of the staff under his/her offices
- I strongly recommend that the departments or head offices have more contact with the local staff and not only have the supervisor's opinion.
- In order to improve integrity and enhance positive ethical behavior, supervisors should try and create a better flow of communication with their staff on both the professional and GS level.
- In my opinion, the United Nations must do more to supervise the work and behavior of supervisors and managers in the different UN offices, to make them feel accountable for their behavior with their subordinates and for any incompetent and unprofessional performance.
- Evaluation of supervisors would be a good idea.
- Supervisors and managers who have high turn over of staff in their departments should be investigated for professional and ethical values of the UN

3—Accountability should be developed within the organization

Establish accountability as a value in the organization

- There must be accountability in order for the UN to live up to its role as a fair and ethical employer.
- Establish, and seriously implement, strong accountability measures
- Impartiality, accountability and ethnicism should be monitored more frequently.
- Enforce accountability measures at all levels.
- Accountability of each employee must be clearly spelt out and implemented without political interference and with full safeguards against repercussions.
- Close physical monitoring and easier accountability and immediate disciplinary action or reward (encouragement) when warranted.
- Create EFFECTIVE mechanisms for accountability and reward merit.
- Anyone found to have violated the customs should be released from the organization immediately!
- Ensure that all UN employees have access to an independent ombudsman or lawyer who will provide FREE advice and take action. This is not the case at UNON in Nairobi.

EXHIBIT 25**STAFF SUGGESTIONS**

Reinforce independent control and punish if necessary

- A system where a staff member can raise issues against their supervisors with out any redress towards them.
- Establish a legitimate and professionally run and staffed justice system
- Have a truly anonymous reporting system. Investigate breaches of rules and apply punishment no matter the level.
- Stronger Internal Audit system, a monitoring cell to oversee and evaluate actual practices. Greater transparency.
- Staff must be made to feel comfortable if they brought up injustices and violations of integrity.
- Local staff members (...) should know that reporting anything in which they find unethical within the United Nations there will be no reprisal against them or any members of their family.
- When wrongdoings found, all staff should immediately be emphasized to report it to???? Ombudsperson? Then he/she mail to everyone—especially in Field missions, about role and stand. No more 'isolated cases'. We can still keep it within the UN. But nevertheless fairly investigated and solved even it may well compromise 'friends', 'names', TCCs, some 'Armies', Generals or local staff, etc. Especially decision-takers.
- Senior leaders caught in serious breaches of ethics should be punished, not promoted as usual
- The internal-justice system should be independent and get strong, enforceable means of action.
- Establish a transparent, impartial, and reliable system of reporting breaches of UN values and ethics so that colleagues must not be afraid of negative repercussions on their standing and career.
- Monitoring, reporting and redressing institutions MUST be independent like the Judiciary in democratic countries
- Unethical behaviors go unreported due to fear of consequences to the staff member
- Good initiative is the Ombudsman's office but typically it is understaffed

3—Accountability should be developed within the organization

Reinforce independent control and punish if necessary

- Serious assignment and monitoring of accountability and imposing sanctions where there are clear indications of not acting/behaving and deciding with integrity.
- Stronger accountability mechanisms for those who violate rules or behave unethically.
- Accountability before an external disciplinary committee comprised of independently elected members outside the UN.

Rapidly punish unethical behavior

- Publicize the work related to ensuring ethical behavior and the results of investigations.
- More control and severe punishment of detected and confirmed cases of unfair behavior.
- Immediate punishment and publication of non-ethical behavior (current system is too slow—investigation, admin decision, JDC, Tribunal...)
- Speed up investigations into unethical behavior

4—Senior leaders commitment to integrity should be more clearly stated and monitored

- Commitment from senior leaders, managers and supervisors, do what you preach.
- Better personal communication (face to face) between the senior leaders and the staff.
- Greater checks and balances for senior leaders of UN agencies.
- Senior leaders, i.e. Heads of Departments, or at the level of ASG and above, should demonstrate the consistency in applying the rules and guidelines that have relevance to integrity within the UN.
- All senior leaders, managers and staff at all levels should be held accountable for what they do. Senior managers should be open to enhance communication with the staff. Rules and procedures of the UN should always be the basis to accomplish any task so the task completed is efficient and transparent.
- More cooperation between senior leaders, supervisors and general staff
- We should have a Committee from staff to balance of power with the Senior Leaders.
- Senior Leaders should be held personally accountable for failure to take prompt and appropriate action when there are serious allegations of harassment and verbal and physical abuse committed by their subordinate.
- Avoid regional discrepancies in the application of rules and fairness.
- Streamline the regulations, rules, etc; make them easily understandable. The decision made should be in accordance with one or more "rules" that can be quoted.
- Simplification and standardization of UN rules, regulations and directives across the entire UN system. This is in stark contrast to the current system, where each UN Agency has their own separate rules and regulations.
- Establish some kind of mechanism to monitor or control UN practices based on ethical standards and guidelines.
- This is a matter of changing mindsets—I do not believe additional regulation is necessary
- Do not know or have been exposed to any guidance, training or access to rules, regulations and issues in ethics and integrity with a few limited exceptions on certain rules which I know by accident.

5—Regulations
Simplify rules, train to regulations

EXHIBIT 25**STAFF SUGGESTIONS**

Simplify rules, train to regulations

- One could write a book. The UN has a "phone book" of rules and regulations which are totally useless as they are never practiced.
- The rules and regulations should be drastically reduced and simplified to avoid violation.
- Availability of ethical guidelines, staff rules and regulations on the website
- More common sense in the regulations, with less need for paperwork
- Obligatory one day course in UN values, ethics and regulations
- More clarity in the rules and regulations in order to avoid misinterpretation.
- Too often guidelines and rules that are put forth have a counter directive that allows supervisors to manipulate promotion selection and the like.
- Trainings and more simple rules and regulations plus the timely warnings may improve the situation.
- **TO STOP CORRUPTION AND COMPLY WITH THE RULES AND REGULATIONS.**
- Simplify regulations and rules; weed out conflicting/contradictory practices; eliminate rules which create bottlenecks and encourage 'rule bending' to get things done; streamline, streamline, streamline.
- Finally, the checks and balance system that is in place within the Procurement Section in the Missions need to be carefully looked at because there are too many loopholes!

Emerging signal: the "old boys" system

- Most Rules and procedures in the procurement system is not applicable to any UN mission who have a necessity within short period of time for regional needs due to a very long process. It seems the need for such goods and materials will be on hand after 6 to even 10 months, wherein the necessity for that request is longer needed.
- Get rid of the old boy network! Address the issues of Discrimination, Nepotism and Sexism rampant in the Organization.
- The members of the accountability committee are the same senior leaders making the decisions. It's an old boys club. Senior leaders should be made to report to the Fifth Committee.
- Unfortunately the UN system is beset with a "buddy" or "old boys/girls network". That network is wide, tenacious and powerful. it is the ruin of the UN officers. So long as you can wind your way into that network, you are OK. If not you are doomed. Opposing the network is certainly the end of a UN career!
- There appears to be several old boy networks within the UN system who protect and advance the careers of certain groups/nationalities.
- Frankly, the "old boy" network very much applies here
- Do away with the good old boy system place and promote on total qualifications and experience not just time working in the UN there are several staff employed by the UN who came to the UN with far many more years in managerial positions than most supervisors and leaders.

RECOMMENDATIONS SUMMARY

Deloitte has identified ten (10) potentially high impact actions based on the survey findings. These actions include following up on survey results and implications, providing a safe milieu, modifying performance management, initiating continuous employee feedback, and enhancing staff and leadership training and development

The overall level of Trust is low among UN staff. Trust is the second most highly correlated factor (behind Moral Parity) with organizational integrity in our survey. Since there are three very actionable items in the Trust factor, let's begin with them before moving onto areas to increase integrity directly.

Staff office heads, managers and supervisors should act on these three items:

1. seek to understand the issues raised in this survey.
2. act on problems raised
3. communicate with staff regarding results

This means acknowledging that there is significant room for improvement. It also means gathering further information regarding perceived problems and involving staff in developing solutions. How can this be accomplished?

1. Widely distribute the survey results to staff. Give the OII working group (or similar group) the authority to collect, synthesize and distribute more information as part of the follow-up.
2. Conduct follow-up talk-back sessions throughout the UN on a working group/unit, department, office, programme and duty station basis. These "high touch" meetings are an appropriate and effective method for sharing detailed information from the survey and for beginning a dialogue directed at pinpointing the root causes. Make sure the information/findings from these meetings are shared with the OII membership for coordinating actions. These meetings should be facilitated so that they are focused at root causes and productive at identifying solutions.

The OII should consider bringing an outside facilitator to provide this kind of guidance. (An outside facilitator may be viewed with less skepticism than internal resources alone.) This step could be considered a "first act" toward communicating the survey findings and remedying the issues identified. How these sessions are handled will set the tone and make a lasting impression on people. Doing this right is critical.

3. Seek the continuing involvement of staff at all levels with finding solutions that work. Create small working groups of staff throughout the Secretariat and direct them to help leadership identify Organization-wide and more locally focused remedies. These activities can stimulate interactions between supervisors and staff regarding ethics and integrity in daily activities and decision making.

These three recommendations will help build trust within the UN and ultimately staff perception of integrity. For potentially high-impact recommendations, look no further than our definition of organizational integrity. In Exhibit 13 the item which is most predictive of our Organizational Integrity Index is taken from the UN's integrity competency: "Act without consideration of personal gain." And the complement to this item, also taken from the UN's integrity competency is: "Take prompt action if cases of unprofessional or unethical behavior are observed."

4. Look within the Organization for answers; there are sources of internal best practices that the survey data can help pin point. Finding out how things are done in regions,

departments and programmes that are relatively high on the major indices and then sharing that information with all regions, departments would be constructive follow-up activities.

5. Where the survey data indicate particularly weak results, act to remediate through retraining, reassigning or transitioning supervisory personnel. Make staff at all levels accountable for integrity perception improvements...now and in the future.
6. Keep taking the pulse of staff with an annual update of the survey. Track the outcome measures over time looking for improvement: reward senior leadership and management who do, and discipline those who don't.
7. Revise the current performance appraisal system (PAS) to incorporate better measures of ethics and integrity; this action may be more symbolic than substantive but it is relatively easy to achieve quickly and sets the stage for more substantive changes to come.
8. Revise the PAS to include performance appraisals using one-eighty degree feedback with supervisors rating subordinates and subordinates rating supervisors and managers. This recommended action is consistent with issues raised by the Tone at the Top, Supervisory Commitment and Ethnocentrism factors. And, this recommendation was one of the better suggestions from the Staff Speak Out results. When supervisors, managers and leaders are soliciting and receiving feedback about their acts; when that feedback is potentially tied to pay and/or promotion and/or retention decisions; then, behavioral change is more likely.

Of course, safeguards from abuse have to be built into this kind of program. These are:

- (a) avoid staff collusion in targeting demanding managers for poor performance ratings in hopes of having them reassigned or removed.
 - (b) ensure employees can provide upward feedback without fear from reprisal.
9. Management and staff development/training oriented toward a continuing certification process can be developed and retraining should be mandatory when issues arise. For example, if an upward feedback process is put into place (eighth recommendation), managers and staff found to fall below X% of their peers would be required to re-certify and put together a performance improvement plan requiring specific activities and improvement outcomes within a specified period of time.

We learned that the vast majority of leaders and employees feel they understand the right and the wrong way to behave. Only 5% reported that they did not understand what is expected of them regarding integrity and ethical behavior. Yet, situations arise that invite employees to behave unethically, e.g., the travel and education reimbursement programs. While some of these situations may be due to lack of knowledge, most often it is not. That is, very infrequently will employees not be conscious of the intention of the guidelines--although they may be ignorant of the application to their current situation.

Acting on situations that invite misconduct is frequently based on: 1) observation of others (i.e., "Everyone is doing it." Sixty-five percent of UN staff has observed breaches.), 2) failure to confront/lack of commitment (i.e., "That's not my job." Only fifteen percent agree that breaches are reported and seventeen percent agree that they are investigated.), 3) absence of incentives (i.e., "What's in it for me." Less than fifteen percent believes GSS, professionals, supervisors and leaders are disciplined fairly and consistently and forty-four percent believe reporting violations is career limiting.) and/or 4)

fear of reprisals (e.g., only ten percent feel protected from reprisals, seven percent perceive protections that encourage me to report violations).

Employee training and development should focus on: identifying clear and realistic examples of situations that can lead to misconduct, helping clarify what is acceptable and what is not acceptable behavior for persons in those realistic situations, those who observe the misconduct and those who supervise persons acting badly. Also, training should focus on individual and work group obligations to be vigilant, how to be vigilant, what to do and what not to do when observing misconduct, and available protections from reprisals. Finally, training should help the UN maintain consistency in the way reports of misconduct are handled since there is the perception that the guidelines need to be simplified and only eight percent agree that employees who report breaches are kept informed of progress and resolution.

Training on ethics and integrity should not be treated exclusively as an independent subject, but should be integrated into as many learning experiences as possible. This could start with educating employee candidates and continue throughout an employee's career. This might be included in formal (e.g., training on performance management, supervision) and informal (e.g., feedback on stretch assignments) development opportunities.

10. Staff members feel unprotected from reprisals for reporting violations of the codes of conduct. This is not a perception confined to a few staff in remote locale and/or dangerous circumstances. Forty-six percent (46%) gave unfavourable response to this item while only 12% gave favourable responses. The causes of this perception have at least two sources: fact based and/or product of mistrust. The basis for this perception has got to be determined and remediation must be made. To determine the basis for this perception ask staff to give examples of past or current reprisals. (This would be an excellent subject for follow-up talk-back session described in Deloitte's second recommendation above.)

Should incidences be found, correct them immediately; if determination of an incidence is in process, fast track the matter to conclusion. For all cases, both past and current, remediate and communicate with staff both the incidence and the remediation.

If incidences are very infrequent and/or very old, then the cause of the perception is an example of mistrust. Overcoming mistrust is more difficult but a combination of policy review and training and development efforts will help. Begin by reviewing current UN whistleblower protection policies and reporting processes compared to best practices. Follow the review with a training effort that informs staff and management of the policies and practices, the protections that exist, the remediation for violations, etc. Training then would include examples of how such matters are handled, who is the principal point of contact and what alternatives are available, description of protections for whistleblowers including actions available to them should they become the object of reprisals, and examples of actions taken against those who would violate the whistleblower policy.

Protection from reprisal is fundamental for Staff Accountability—a high priority factor for improving perceptions of organizational integrity.

Appendix A – Factor Definitions and Reliability

Factor	Questions
1. Organizational Integrity $\alpha = .91$	<i>All, most, some, few or no UN employees I work with...</i> 4.01 Demonstrate the UN's values in daily activities and behaviors. 4.02 Act without consideration of personal gain. 4.03 Resist undue political pressure in decision-making. 4.04 Do not abuse the power of authority. 4.05 Stand by decisions that are in the interest of the organization even if unpopular. 4.06 Take prompt action if cases of unprofessional or unethical behavior are observed. 1.08 Integrity 4.22 The ethical practices of the UN compare favorably to other organizations for which I have worked.
2. Employment Satisfaction $\alpha = .82$	4.07 I am generally satisfied with my current job/role. 4.08 In general, I like the work I do. 1.09 All in all, I like working here.
3. Trust $\alpha = .86$	1.15 Trustworthiness 3.25 The office head, mgr, supervisor etc. in my organization will seek to understand the issues raised in this survey. 3.26 The office head, mgr, supervisor etc. in my organization will act on problems raised in this survey. 3.27 The office head, mgr, supervisor etc. in my organization will communicate with staff regarding the results of this survey. 4.17 People trust one another at the UN.
4. Moral Parity Values $\alpha = .92$	<i>To what extent are these values practiced in the way people work?</i> 1.01 Honesty 1.03 Equality 1.04 Fairness 1.09 Tolerance 1.10 Respect 1.13 Diversity 1.14 Impartiality 1.16 Truthfulness
5. Productivity Values $\alpha = .93$	<i>To what extent are these values practiced in the way people work?</i> 1.02 Professionalism 1.05 Efficiency 1.06 Effectiveness 1.07 Accountability 1.11 Responsiveness 1.12 Competence 1.17 Reliability

Factor	Questions
6. Supervisory Commitment $\alpha = .92$	<p>5.01 My immediate supervisor regularly shows that he/she cares about integrity and the UN's values.</p> <p>5.02 Employees and their supervisors talk to each other about doing their jobs in an ethical manner.</p> <p>5.03 My immediate supervisor is a positive role for integrity and ethical behavior.</p> <p>5.04 My immediate supervisor expects the people who report to him/her to act ethically.</p> <p>5.05 My immediate supervisor frequently respects and recognizes the ethical decision and actions of those he/she leads.</p> <p>5.07 My immediate supervisor places the UN's values and ethics ahead of his/her personal interests.</p> <p>3.17 I am comfortable approaching my manager about my ethical concerns.</p> <p>3.28 My managers and colleagues regularly discuss issues that arise in my work area.</p>
7. Tone at the Top $\alpha = .89$	<p>5.10 Senior Leaders are positive role models for integrity and ethical behavior.</p> <p>5.11 Senior leaders place the UN's values and ethics ahead of their personal interests.</p>
8. Staff Accountability $\alpha = .94$	<p>3.05 The performance of employees in the UN is given a fair recognition.</p> <p>3.06 Everyone is held accountable for following the UN's guidelines of professional conduct.</p> <p>3.07 General Services staff who violate guidelines on professional conduct are disciplined fairly and consistently.</p> <p>3.08 Professionals who violate guidelines on professional conduct are disciplined fairly and consistently.</p> <p>3.09 Leaders who violate guidelines on professional conduct are disciplined fairly and consistently.</p> <p>3.10 Supervisors who violate guidelines on professional conduct are disciplined fairly and consistently.</p> <p>3.11 Employees at all levels are vigilant in ensuring that others adhere to the standards of conduct.</p> <p>3.12 Employees at all levels are well prepared to detect breaches with respect to guidelines on professional conduct.</p> <p>3.15 The UN has the commitment needed to properly monitor adherence to guidelines on professional conduct.</p> <p>3.20 I feel protected from reprisals for reporting violations of the guidelines on professional conduct.</p> <p>3.22 The UN has strong whistleblower protections that encourage me to report violations I see.</p> <p>3.23 When breaches of regulations and rules are reported, a proper view or investigation is conducted.</p> <p>3.24 When investigations are conducted, employees who reported the breach are kept informed of the progress and resolution.</p>
9. Paradox $\alpha = .64$	<p>2.13 If you want to make things happen quickly you have to bend the rules.</p> <p>2.15 The UN has formal rules and regulations that are contradictory.</p> <p>2.18 To get things done, I am asked to breach the rules on professional conduct.</p> <p>3.29 As employees, we are expected to do as we are told, no matter what.</p> <p>3.30 Too frequently, staff and management say they care about ethics but act differently.</p>

Factor	Questions
10. Ethnocentrism $\alpha = .81$	<p>4.10 People of the same cultural background tend to favor their own, regardless of whether or not it is in the best interest of the UN.</p> <p>4.11 It is difficult to deal with unethical behavior because of internal political pressure.</p> <p>4.12 Managers/supervisors bend organizational rules in the name of local country/regional practice.</p> <p>4.20 In my duty/station ethical practices are bent to conform to the local culture.</p> <p>4.21 In my duty/station ethical practices are bent to accommodate the head of the Office/Department.</p>
11. Controls Effectiveness $\alpha = .94$	<p>2.01 The UN has clear policies and practices intended to encourage ethical behavior.</p> <p>2.02 The guidelines on professional conduct are easy to find if you need them.</p> <p>2.03 The guidelines on professional conduct are routinely used by me.</p> <p>2.04 The guidelines on professional conduct are easy to understand.</p> <p>2.05 The guidelines on professional conduct are consistent with the UN practices.</p> <p>2.07 Current methods of disseminating guidelines on professional conduct keep me well informed.</p> <p>2.14 I understand what is expected of me regarding integrity and ethical behavior.</p>
12. Resource Allocation	<p>3.14 The UN should allocate more resources to ensure adherence to guidelines on professional conduct.</p>
13. Persistence $\alpha = .91$	<p>3.02 Commitment to ethical standards and integrity continues when management changes at your duty station.</p> <p>3.03 Commitment to ethical standards and integrity continues when senior leaders change.</p>
14. Member Influence	<p>5.06 When my immediate supervisor makes decisions, the special interests of individual member states are of overriding consideration.</p>
15. Compromised Behavior $\alpha = .84$	<p>5.08 My immediate supervisor overrides the rules and procedures to get things done.</p> <p>5.09 My immediate supervisor allows subordinates to override the rules and procedures to get things done.</p> <p>5.12 Senior leaders override the rules and procedures in order to get things done.</p> <p>5.13 Senior leaders allow subordinates to override the rules and procedures to get things done.</p>
16. Policy Simplification	<p>2.06 The guidelines on professional conduct should be simplified</p>
17. Breach Follow-Up $\alpha = .89$	<p>2.16 When guidelines on professional conduct are breached they are reported.</p> <p>2.17 When guidelines on professional conduct are breached, they are investigated.</p>
18. Training Adequacy $\alpha = .94$	<p>2.08 The training I receive helps me value the guidelines on professional conduct.</p> <p>2.09 The training I receive helps me understand the guidelines on professional conduct.</p> <p>2.10 The training I receive helps me reduce the number of violations of the guidelines on professional conduct.</p> <p>2.11 The training I receive helps me improve integrity in my work group.</p>

Factor	Questions
19. Performance Management $\alpha = .84$	3.21 Reporting violations of the guidelines on professional conduct is career-limiting at the UN. 4.13 Being consistently ethical helps an employee to advance in the UN. 4.14 The UN's formal performance appraisal system is effective in evaluating integrity. 4.15 The UN's candidate selection/promotion process is effective in evaluating integrity. 4.16 The UN is committed to making integrity a requisite for career success. 4.18 Merit and performance are the overriding factors for a successful career in the UN.
20. Reporting Process $\alpha = .76$	3.16 I know from whom to seek advice within the Organization regarding the ethical issues. 3.18 I know how to report suspected criminal activities or violations of the guidelines on professional conduct. 3.19 The violations reporting process is easy to use and effective.
21. Stakeholder Access $\alpha = .94$	3.31 External clients, vendors, partners, and outside stakeholders have a means to report breaches of UN integrity. 3.32 The reporting procedures for external clients, vendors, partners, and outside stakeholders are effective.
22. Management Rights	4.19 I believe UN managers should have the right to select "their team" even if doing so bends the selection and promotion process rules.

**Appendix B – Percentage of
Favourable/Unfavourable Responses for the UN
Overall**

Appendix B is a report of the item-by-item outcome for the full survey. As described in **Measures and Reporting** above, the answer choices have been consolidated into four categories: “favourable”, “neutral”, “unfavourable”, and “don’t know”. The percentage of responses falling into each category is reported as a three-digit number, e.g., 25.4%. The layout of these data is in the survey questionnaire format which also includes the original instructions, definition of terms, chapeau and the items’ wording.

A word of caution: Individual items should be interpreted with great care. For example, some items exhibit a pattern of highly favourable responses (item 2.14, “I understand what is expected of me regarding integrity and ethical behaviour.”) and some items exhibit a pattern of highly unfavourable responses (item 4.14, “The UN’s formal performance appraisal system (PAS) is effective in evaluating integrity.”). However, the importance of any one item cannot be known from this summary. In fact, all but four questions are in factors with multiple items. And it is on the factors that we will concentrate our analysis.

Favourable Response Categorization

In general, items in the survey questionnaire are easily translated into the favourable classification scheme...but not all. Some items in the survey were reversed or stated in the negative and require “rescaling”. And some items don’t seem “right” when the original answer choice is replaced. We will interpret these difficult items section by section.

I. Organizational Values

There are not reversed or negatively worded items in section I. Favourable % is the combination of those who answered “Great Extent” or “Large Extent” in the original questionnaire.

II. Rules and Standards of Conduct

In general, favourable % is the combination of those who answer “strongly agree” or “agree”.

Item 2.6 “The guidelines on professional conduct should be simplified” is reverse coded; “strongly agree” and “agree” answers are coded unfavourable because the answer does not favor the current UN practice.

Item 2.12 “I have seen/experienced breaches of guidelines on professional conduct” is also reverse coded; favourable % is a combination of the “disagree” and “strongly disagree” answers.

Item 2.13 “If you want to make things happen quickly you have to bend the rules” is reversed coded: favourable % is a combination of disagree and strongly disagree from the original answer choices.

Item 2.15 “The UN has formal rules and regulations that are contradictory” is reverse coded; favourable % is a combination of disagree and strongly disagree.

And item 2.18 “To get things done, I am asked to breach the guidelines on professional conduct” is reverse coded.

III. Organizational Practices

In general, favourable % is a combination of agree and strongly agree answer choices from the original questionnaire. Several items are reverse coded; disagree and strongly disagree are categorized as favourable:

3.4 “Managers at my duty station want results—it doesn’t matter how I get them”;

3.14 “The UN should allocate more resources to ensure adherence to guidelines on professional conduct”;

3.21 “Reporting violations of the guidelines on professional conduct is career-limiting at the UN”;

3.29 “As employees, we are expected to do as we’re told, no matter what” is reverse coded.

3.30 “Too frequently, staff and management say they care about ethics but act differently”.

Also of note, the “don’t know” percentages are very high in this section, particularly so for items 3.31 “External clients, vendors, partners, and outside stakeholders have a means to report breaches of UN integrity”, 3.32 “The reporting procedures for external clients, vendors, partners, and outside stakeholders are effective” and 3.24 “When investigations are conducted, employees who reported the breach are kept informed of the progress and resolution.

IV. Organizational Culture

Section IV has two answer scales. The first six items are the behavioral anchors used to define the UN competency Integrity. Favourable % is based on the original answer choices “all” and “most”.

The remainder of Section IV has strongly agree to strongly disagree answer choices where favourable % is a combination of strongly agree and agree. However,

Item 4.10 “People of the same cultural background tend to favour their own, regardless of whether or not it is in the best interests of the UN” is reverse coded;

Item 4.11 “It is difficult to deal appropriately with unethical behaviour because of internal political pressure” is reverse coded;

Item 4.12 “Managers/supervisors bend organizational rules in the name of local country/regional practices” is reverse coded;

Item 4.20 “In my duty station, ethical practices are bent to conform to the local culture” is reverse coded; and

Item 4.21 “In my duty station, ethical practices are bent to accommodate the head of the Office/Department” is also reverse coded.

Finally, item 4.19 “I believe UN managers should have the right to select “their team” even if doing so bends the selection and promotion process rules” is reverse coded; favourable % is a combination of disagree and strongly disagree.

V. Leadership

In Section V, the original answer choices are strongly agree to strongly disagree. A favourable % is the combination of strongly agree and agree in all but the reversed items.

The reversed items in this section are:

5.6 “When my immediate supervisor makes decisions, the special interests of individual member states are of overriding consideration”

5.8 “My immediate supervisor overrides the rules and procedures in order to get things done”

5.9 "My immediate supervisor allows subordinates to override the rules and procedure in order to get things done"

5.12 "Senior leaders override the rules and procedures in order to get things done" and

5.13 "Senior leaders allow subordinates to override the rules and procedures in order to get things done."

For each of the reversed item in Section V, a favourable % is a combination of disagree and strongly disagree.



Organizational Integrity Survey for UN Employees

Introduction

You are being asked to complete this survey, which is a part of a UN interdepartmental Organizational Integrity Initiative that aims to measure perceptions among the UN staff. It evaluates the **UN's work environment** and your awareness of current guidelines, practices and controls designed to promote integrity. The survey results will be used to improve upon policies, practices and training needed in this area.

YOUR perceptions are critical to this evaluation. They will help management understand how well the UN incorporates integrity in its daily work and how successful it is at encouraging all employees to follow these practices.

However, employees and staff need an **ethical environment** to demonstrate integrity in their daily activities. An ethical environment means having clear standards and norms that help employees to distinguish right from wrong behaviour.

An ethical work environment means "**the way you do things around the UN is ethical.**" It means ethical **policies and practices exist** that establish standards of fair and just treatment for all employees. It also means that employees follow **practices that are on the basis of professional standards and codes of conduct.**

ASSURANCE OF CONFIDENTIALITY

The entire survey process will follow strict confidentiality requirements as indicated below:

- No one in the United Nations will see your questionnaire.
- No individual responses will be reported and no attempt will be made to identify individual respondents.
- Deloitte Consulting's agreement with the United Nations is to report only statistical summaries of groups with 10 or more respondents identified by the demographic section. If there are fewer than 10 respondents, all data associated with that group will be combined with another group.
- Deloitte Consulting will tabulate the survey results.

Guidance for Completing the Questionnaire

- The items in this survey are separated into **six** categories. Each section has a brief introduction that explains what you should consider before answering. There is **no right or wrong answer**.
- In Section VI you will be asked for personal and employment information that will be held strictly confidential by Deloitte & Touche LLP. This information will be used to group responses for comparison purposes only; it cannot be used to identify you.
- Sometimes you will notice that questions are similar to ones you have already answered. Please answer these. Reliable results require that we sometimes ask several similar questions.
- When answering these questions, please be sure to respond on the basis of your perceptions of the topic **as of today**.

Definition of Key Terms

Before answering the survey questions, please read the list of definitions for key words used in the survey.

People / Employees: Everybody working for the United Nations Secretariat—all levels.

Leaders: Senior Leaders, managers, and supervisors.

Supervisor: The person to whom you report.

Manager: The person that runs the functional area where you work.

Senior Leaders: Secretary General, Heads of Offices, Programmes and Departments.

Guidelines on Professional Conduct: Collectively this includes the Charter of the United Nations, Staff Regulations, staff rules, standards of conduct, procurement manuals, human resources handbook, Secretary-General's bulletins, and administrative instructions.

Ethical Environment: Having clear standards and norms that help employees distinguish right from wrong, appropriate from inappropriate behaviour.

Organizational Culture: The collection of beliefs, expectations, and values shared by the organization's members and transmitted from one generation of employees to another.

I. Organizational Values

Organizational values are underlying principles that guide employee actions in the workplace.

The following is about organizational values. Please answer on the basis of **YOUR EXPERIENCE** at the UN.

To what extent are these values practised in the way people work?					
		% Favourable	% Neutral	% Unfavourable	% Don't Know
1	Honesty	41.9	41.7	15.3	1.1
2	Professionalism	42.1	43.2	14.3	.4
3	Equality	24.4	40.1	34.8	.6
4	Fairness	20.7	42.1	36.6	.6
5	Efficiency	26.1	44.2	29.3	.5
6	Effectiveness	26.9	47.6	24.9	.5
7	Accountability	27.4	37.2	34.8	.6
8	Integrity	34.9	40.4	24.0	.7
9	Tolerance	47.3	35.1	16.7	.8
10	Respect	41.4	39.2	19.1	.3
11	Responsiveness	27.5	45.3	26.5	.7
12	Competence	34.9	44.6	20.0	.4
13	Diversity	53.8	30.3	14.1	1.8
14	Impartiality	25.8	42.1	30.7	1.5
15	Trustworthiness	31.0	42.9	24.9	1.1
16	Truthfulness	30.2	42.5	26.1	1.2
17	Reliability	31.8	43.4	24.1	.7

II. Rules and Standards of Conduct

The next statements ask your perceptions about both the informal and formal rules that guide behaviour at the UN. Please answer on the basis of **YOUR EXPERIENCE** even if the statement refers to others.

		% Favourable	% Neutral	% Unfavourable	% Don't Know
1	The UN has clear policies and practices intended to encourage ethical behaviour.	68.7	16.2	13.0	2.1
2	The guidelines on professional conduct (<i>includes the Charter of the United Nations, staff rules, standards of conduct, procurement manuals, human resources handbook, Secretary-General's bulletins, and administrative instructions</i>) are easy to find if you need them.	63.7	14.4	19.9	2.0
3	The guidelines on professional conduct are routinely used by me.	55.8	22.0	19.7	2.5
4	The guidelines on professional conduct are easy to understand.	54.6	23.7	15.0	6.7
5	The guidelines on professional conduct are consistent with UN practices.	42.2	26.2	23.6	8.0
6	The guidelines on professional conduct should be simplified.	10.0	30.9	52.1	7.0
7	Current methods for disseminating guidelines on professional conduct keep me well informed.	34.7	30.2	31.4	3.8
8	The training I receive helps me understand the guidelines on professional conduct.	30.2	30.1	32.0	7.7
9	The training I receive helps me value the guidelines on professional conduct.	30.2	31.3	30.0	8.5
10	The training I receive helps me reduce the number of violations of the guidelines on professional conduct.	31.6	33.9	25.6	9.0
11	The training I receive helps me improve integrity in my work group.	36.2	31.2	24.6	7.9
12	I have seen/experienced breaches of guidelines on professional conduct.	11.1	17.4	64.8	6.8
13	If you want to make things happen quickly you have to bend the rules.	33.2	24.1	39.5	3.2
14	I understand what is expected of me regarding integrity and ethical behaviour.	86.3	8.9	3.3	1.5
15	The UN has formal rules and regulations that are contradictory.	21.4	34.5	29.2	15.0
16	When guidelines on conduct are breached, they are reported	15.1	25.8	45.5	13.5
17	When guidelines on conduct are breached, they are investigated.	17.6	27.3	40.0	15.1
18	To get things done, I am asked to breach the guidelines on professional conduct	55.6	26.0	13.3	5.0

III. Organizational Practices

The next statements are about your perceptions of organizational practices at the UN. Please answer on the basis of **YOUR EXPERIENCE** even if the statement refers to the expectations and activities of others.

	% Favourable	% Neutral	% Unfavourable	% Don't Know
1 In general, UN employees are treated fairly by the Organization.	41.5	19.6	37.8	1.1
2 Commitment to ethical standards and integrity continues when management changes at my duty station.	36.3	29.8	23.3	10.5
3 Commitment to ethical standards and integrity continues when senior leaders change.	37.0	29.9	24.1	9.1
4 Managers at my duty station want results—it doesn't matter how I get them.	40.8	28.4	28.6	2.3
5 The performance of employees in the UN is given fair recognition.	18.8	20.5	58.6	2.1
6 Everyone is held accountable for following the UN's guidelines on professional conduct.	29.6	21.6	42.7	6.1
7 General Service Staff members who violate guidelines on professional conduct are disciplined fairly and consistently.	14.7	27.2	34.2	23.9
8 Professionals who violate guidelines on professional conduct are disciplined fairly and consistently.	10.8	24.5	42.7	22.0
9 Leaders who violate guidelines on professional conduct are disciplined fairly and consistently.	8.4	22.9	45.1	23.6
10 Supervisors who violate guidelines on professional conduct are disciplined fairly and consistently.	9.5	23.5	46.1	20.9
11 Employees at all levels are vigilant in ensuring that others adhere to ethical standards and the standards of conduct.	16.8	30.3	44.7	8.2
12 Employees at all levels are prepared to detect breaches with respect to guidelines on professional conduct.	15.7	28.7	45.1	10.5
13 The UN has the resources needed to properly monitor adherence to guidelines on professional conduct.	29.8	21.3	34.5	14.4
14 The UN should allocate more resources to ensure adherence to guidelines on professional conduct.	12.9	22.4	56.8	7.8
15 The UN has the commitment needed to properly monitor adherence to guidelines on professional conduct.	35.7	26.7	27.6	10.1
16 I know from whom to seek advice within the Organization regarding ethical issues.	42.2	16.5	31.3	10.0
17 I am comfortable approaching my manager(s) about my ethical concerns.	50.6	18.4	29.7	1.3
18 I know how to report suspected criminal activities or violations of the guidelines on professional conduct.	41.2	17.0	29.6	12.1
19 The violations reporting process is easy to use and effective.	13.0	28.4	31.2	27.4
20 I feel protected from reprisals for reporting violations of the guidelines on professional conduct.	11.9	26.0	45.7	16.4
21 Reporting violations of the guidelines on professional conduct is career-limiting at the UN.	9.7	27.2	43.7	19.3

		% Favourable	% Neutral	% Unfavourable	% Don't Know
22	The UN has strong "whistleblower" protections that encourage me to report any violations I see.	7.4	24.9	45.2	22.5
23	When breaches of regulations and rules are reported, a proper review or investigation is conducted.	18.3	26.7	28.9	26.1
24	When investigations are conducted, employees who reported the breach are kept informed of the progress and resolution.	7.6	26.2	26.5	39.7
25	The office head, manager, supervisor, etc., in my organization will seek to understand the issues raised by this survey.	36.2	22.8	22.4	18.7
26	The office head, manager, supervisor, etc., in my organization will act on problems raised by this survey.	30.3	24.8	25.3	19.5
27	The office head, manager, supervisor, etc., in my organization will communicate with staff regarding the results of this survey.	35.3	23.9	20.8	20.0
28	My managers and colleagues regularly discuss ethical issues that arise in my work area.	24.8	23.7	46.3	5.2
29	As employees, we are expected to do as we're told, no matter what.	39.2	23.4	35.7	1.7
30	Too frequently, staff and management say they care about ethics but act differently.	14.2	23.9	56.2	5.6
31	External clients, vendors, partners, and outside stakeholders have a means to report breaches of UN integrity.	16.9	23.7	14.6	44.8
32	The reporting procedures for external clients, vendors, partners, and outside stakeholders are effective.	8.0	27.5	14.1	50.4

IV. Organizational Culture

Organizational culture is composed of beliefs, ideas, norms, rules and values. Please answer on the basis of **YOUR EXPERIENCE** even if the statement refers to others.

		% Favourable	% Neutral	% Unfavourable	% Don't Know
	All, most, some, few, or no UN employees that I work with . . .				
1	. . . demonstrate the UN's values in daily activities and behaviours.	46.3	34.5	17.6	1.6
2	. . . act without consideration of personal gain.	34.9	32.4	29.8	2.9
3	. . . resist undue political pressure in decision-making.	28.1	28.9	30.5	12.5
4	. . . do not abuse power or authority.	40.2	28.8	27.4	3.6
5	. . . stand by decisions that are in the interest of the Organization even if unpopular.	33.9	31.6	26.5	8.0
6	. . . take prompt action if cases of unprofessional or unethical behaviour are observed.	19.1	27.8	38.4	14.7

<u>I strongly agree to strongly disagree with the following statements</u>		% Favourable	% Neutral	% Unfavourable	% Don't Know
7	I am generally satisfied with my current job/role.	70.1	12.8	16.9	.2
8	In general, I like the work I do.	85.0	8.5	6.2	.3
9	All in all, I like working here.	82.6	10.4	6.7	.3
10	People of the same cultural background tend to favour their own, regardless of whether or not it is in the best interest of the UN.	17.1	20.7	58.2	3.9
11	It is difficult to deal appropriately with unethical behaviour because of internal political pressure.	14.7	23.4	51.4	10.5
12	Managers/supervisors bend organizational rules in the name of local country/regional practices.	22.0	28.4	31.2	18.4
13	Being consistently ethical helps an employee to advance in the UN.	28.7	28.1	33.0	10.2
14	The UN's formal performance appraisal system (PAS) is effective in evaluating integrity.	13.8	19.3	58.0	8.9
15	The UN's candidate selection/promotion process is effective in evaluating integrity.	12.5	22.0	56.6	8.8
16	The UN is committed to making integrity a requisite for career success.	31.8	25.1	31.6	11.4
17	People trust one another at the UN.	17.6	29.6	49.3	3.5
18	Merit and performance are the overriding factors for a successful career in the UN.	22.8	20.1	53.8	3.3
19	I believe UN managers should have the right to select "their team" even if doing so bends the selection and promotion process rules.	57.3	20.2	19.6	3.0
20	In my duty station, ethical practices are bent to conform to the local culture.	35.8	31.1	18.6	14.5
21	In my duty station, ethical practices are bent to accommodate the head of the Office/Department.	31.9	25.6	30.2	12.3
22	The ethical practices of the UN compare favourably to other organizations for which I have worked.	27.1	29.9	22.1	20.9

V. Leadership

The next statements are about your perceptions of the UN leaders and their behaviour. Please answer on the basis of **YOUR EXPERIENCE** even if the statement refers to the actions of supervisors and senior leaders other than your own.

		% Favourable	% Neutral	% Unfavourable	% Don't Know
1	My immediate supervisor regularly shows that he/she cares about integrity and the UN's values.	59.1	18.4	20.5	2.0
2	Employees and their supervisors talk to each other about doing their jobs in an ethical manner.	39.4	24.3	32.1	4.1
3	My immediate supervisor is a positive role model for integrity and ethical behaviour.	54.4	21.8	21.3	2.5
4	My immediate supervisor expects the people who report to him/her to act ethically.	68.3	16.8	9.7	5.2
5	My immediate supervisor frequently respects and recognizes the ethical decisions and actions of those he/she leads.	54.3	22.5	17.8	5.4
6	When my immediate supervisor makes decisions, the special interests of individual member states are of overriding consideration.	31.9	29.2	21.9	17.1
7	My immediate supervisor places the UN's values and ethics ahead of his/her personal interests.	43.8	24.5	21.0	10.6
8	My immediate supervisor overrides the rules and procedures in order to get things done.	49.8	25.4	18.1	6.7
9	My immediate supervisor allows subordinates to override the rules and procedures in order to get things done.	15.5	23.9	54.3	6.2
10	Senior leaders are a positive role model for integrity and ethical behaviour.	27.7	29.8	35.0	7.5
11	Senior leaders place the UN's values and ethics ahead of their personal interests.	21.7	30.0	34.0	14.3
12	Senior leaders override the rules and procedures in order to get things done.	23.9	32.0	25.8	18.2
13	Senior leaders allow subordinates to override the rules and procedures in order to get things done.	28.7	32.5	20.7	18.2

What suggestions or comments would you like to offer to improve integrity within the UN?

VI. Demographics

The following section asks for certain information that will only be used to show perceptions among different demographic groups. *No individual responses will be reported and no attempt will be made to identify individual respondents. No one in the United Nations will see your completed questionnaire.*

							% Male	% Female
1	What is your gender?						50.7	49.3
							% Director +	% Professional
							% General Service	% Field Service
							% Other	
2	What is your current level of responsibility?						3.5	44.0
							39.1	7.8
							5.6	
		% Permanent	% Fixed-term	% Probationary	% Short-Term	% ALD	% IFLD	% Other
3	What type of appointment do you have?	29.5	52.3	1.7	4.6	7.0	2.0	2.8
							% 100 Series	% 200 Series
							% 300 Series	% Consultancy
4	What is your contract status?						73.6	9.8
							13.1	3.6
							% Yes	% No
5	Do you have management or supervisory responsibilities?						47.4	52.6

	% < 6 Months	% 6 – 12 Months	% 1 year < 3 years	% 3 years < 5 years	% 5 years < 10 years	% 10 years < 15 years	% 15 years < 20 years	% + 20 years
6 How long have you worked at the UN Secretariat?	4.3	5.1	14.7	16.1	15.5	16.4	8.1	19.8

7 Which organisational unit are you part of? (in %s)	
EOSG:	.8
OIOS:	1.0
OLA:	1.0
DPA:	1.4
DDA:	.6
DPKO:	7.5
DPKO – Mission:	14.5
OCHA:	2.2
DESA:	3.3
DGACM:	5.7
DPI:	4.5
DM:	5.2
OIP:	.3
OSAA:	.1
OHRLLS:	.2
UNFIP:	.2
OPPBA:	1.4
OHRM:	1.3
OCSS:	2.0
OSRSG/CAC:	.2
UNSECOORD:	.2
UNJSPF:	.6
UNCTAD:	3.4
UNEP:	5.2
UN Habitat:	2.0
CEB:	.1
ECA:	2.2
ECE:	2.0
ECLAC:	2.7
ESCAP:	2.9
ESCWA:	2.0
OHCHR:	2.3
UNODC:	2.1
UNOG:	6.9
UNOV:	3.2
UNON:	1.9
UNMOVIC:	.8

7	Which organisational unit are you part of? (in %s)	
	DPI – Mission	.5
	UNCC	.4
	UNRWA	1.0
	OTHER:	4.2

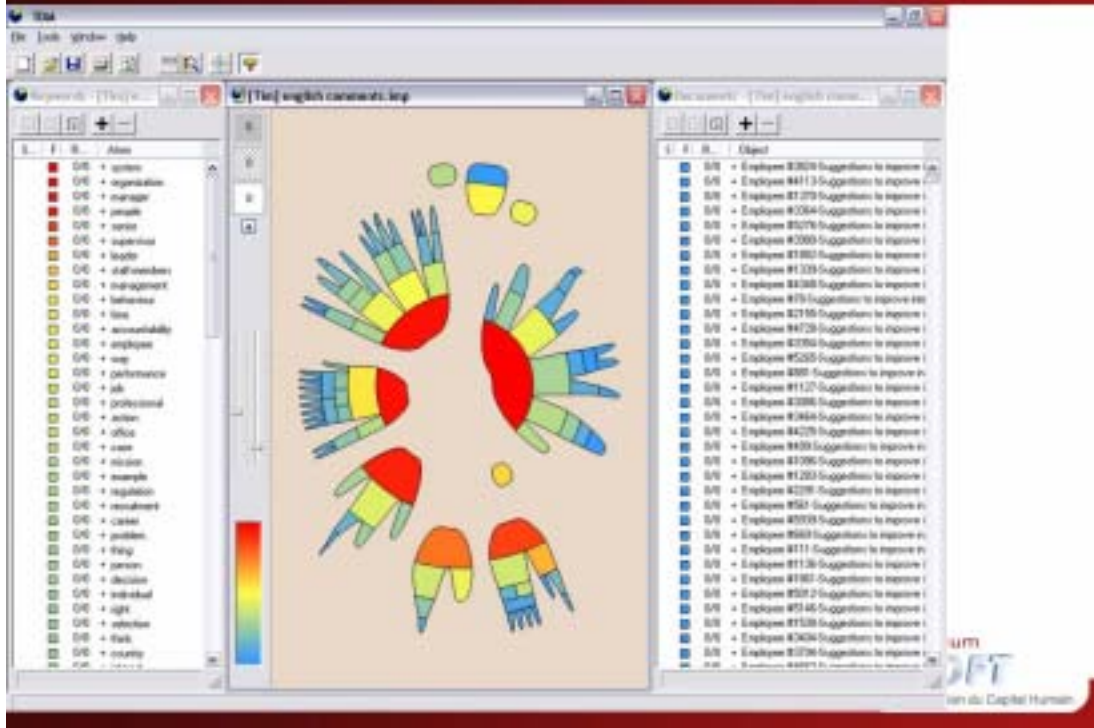
	% Africa	% Asia-Pacific	% Europe	% Latin America and the Caribbean	% North America	% Western Asia
Where is your duty station located?	17.6		35.0	3.3	31.3	

9	Language?				% English	% French
					87.8	12.2

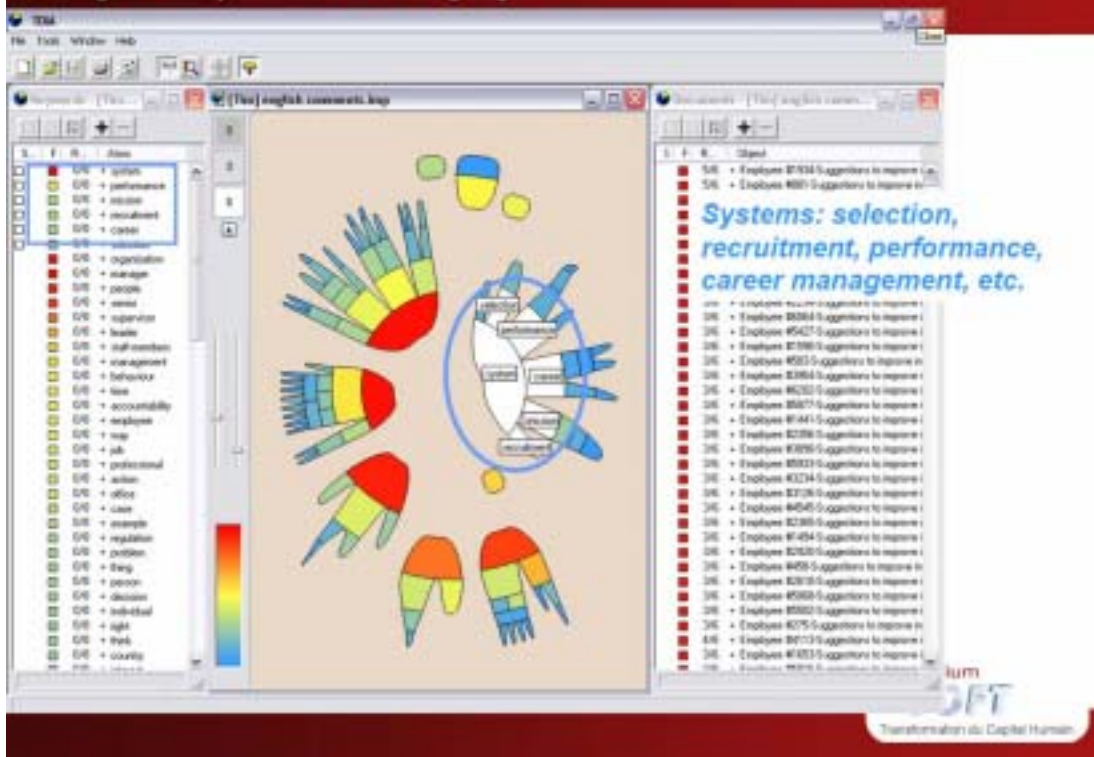
Thank you for your participation

**Appendix C – Staff Speak Out
Trivium Text Maps for English and French
Responses**

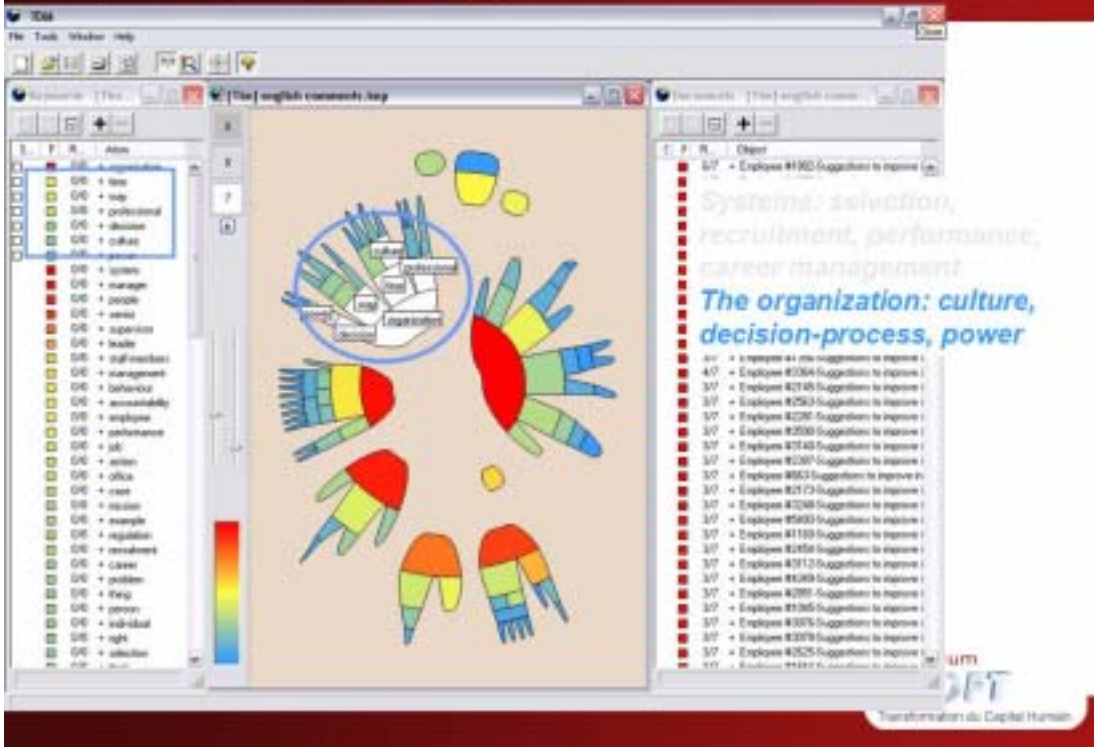
Map of English Responses



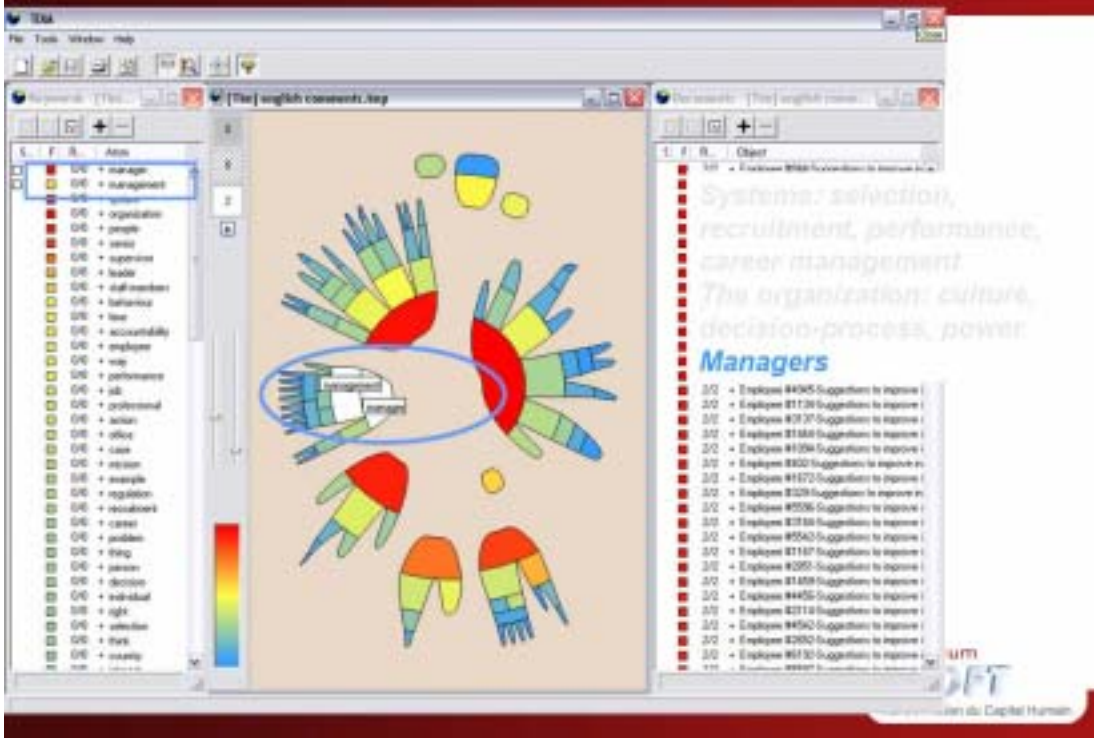
English Responses: 1st strong signal



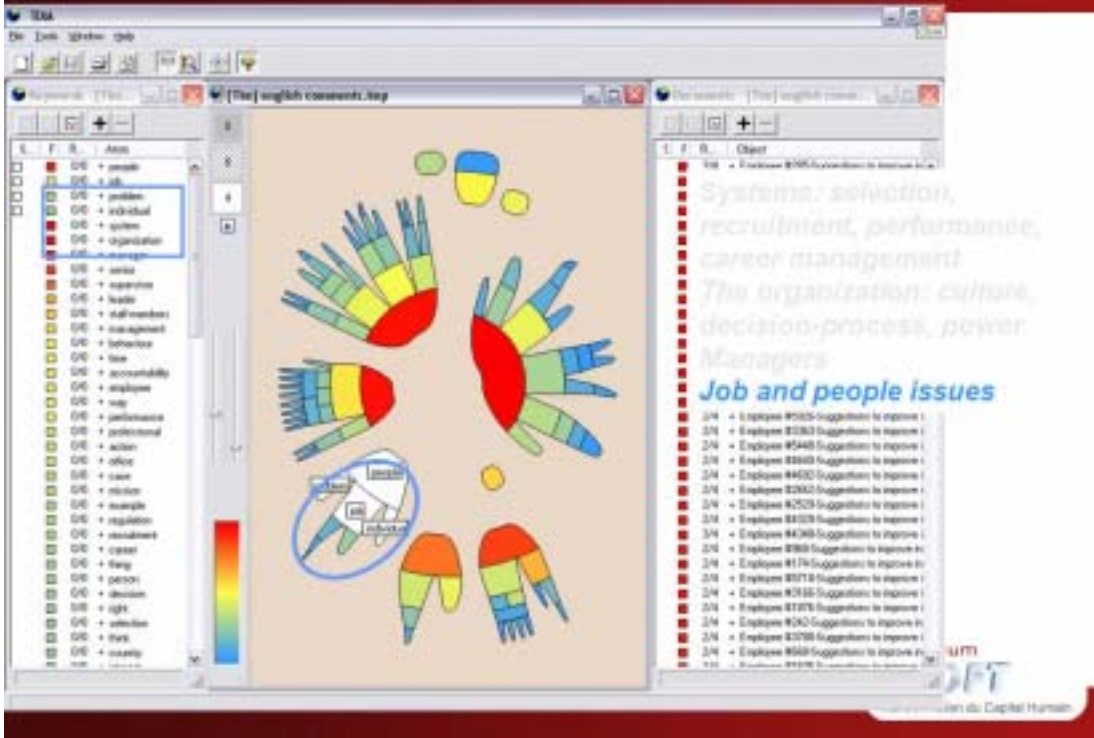
English Responses: 2nd strong signal



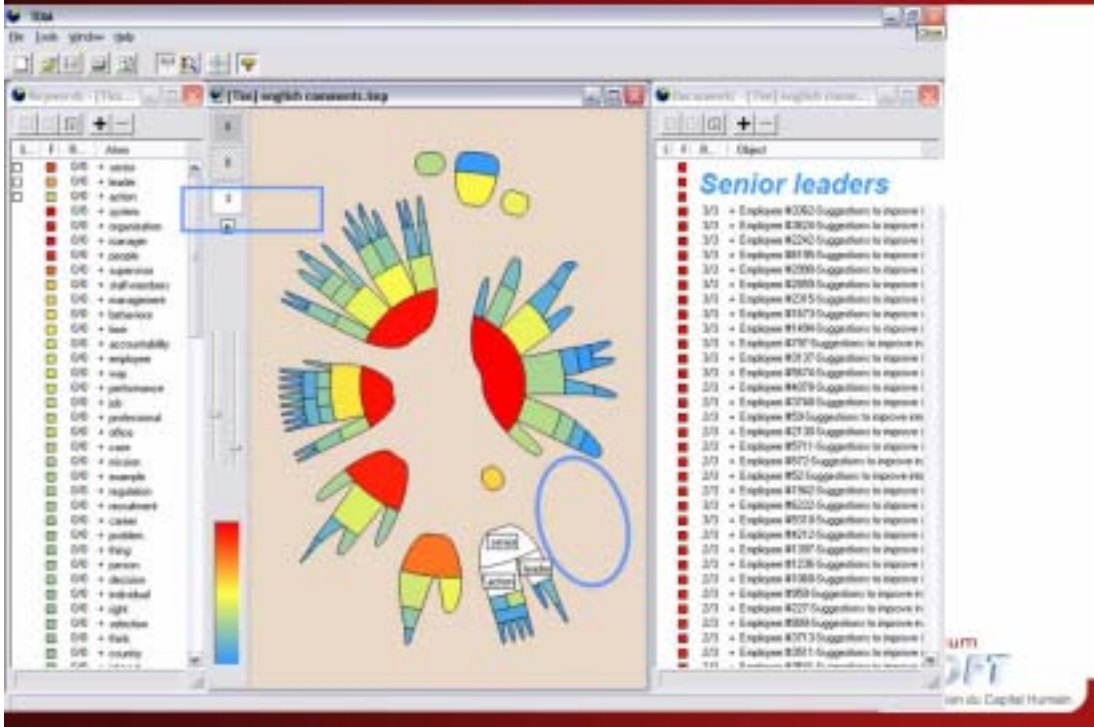
English Responses: 3rd strong signal



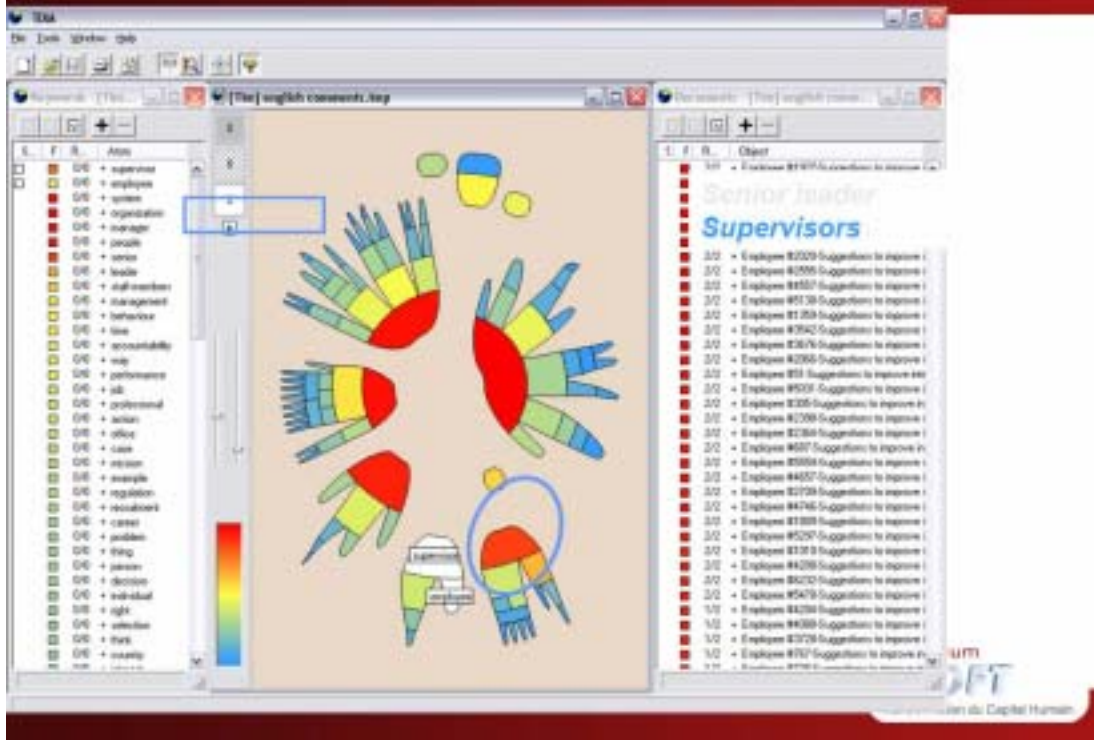
English Responses: 4th strong signal



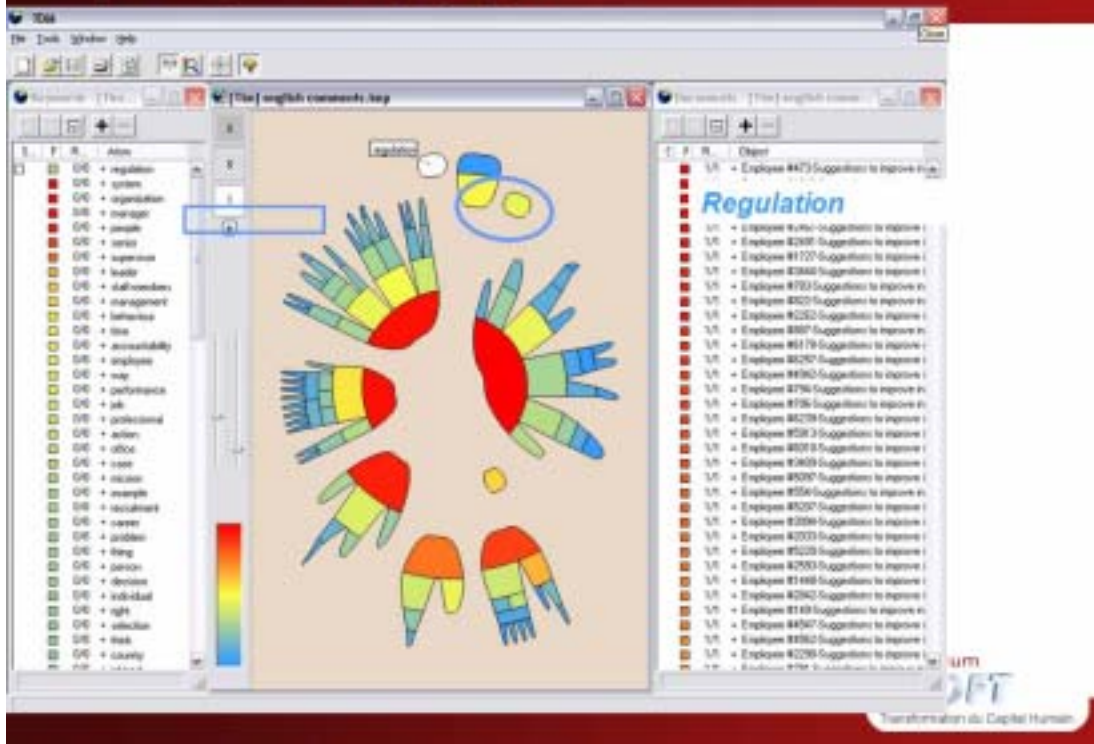
English Responses: Other signals



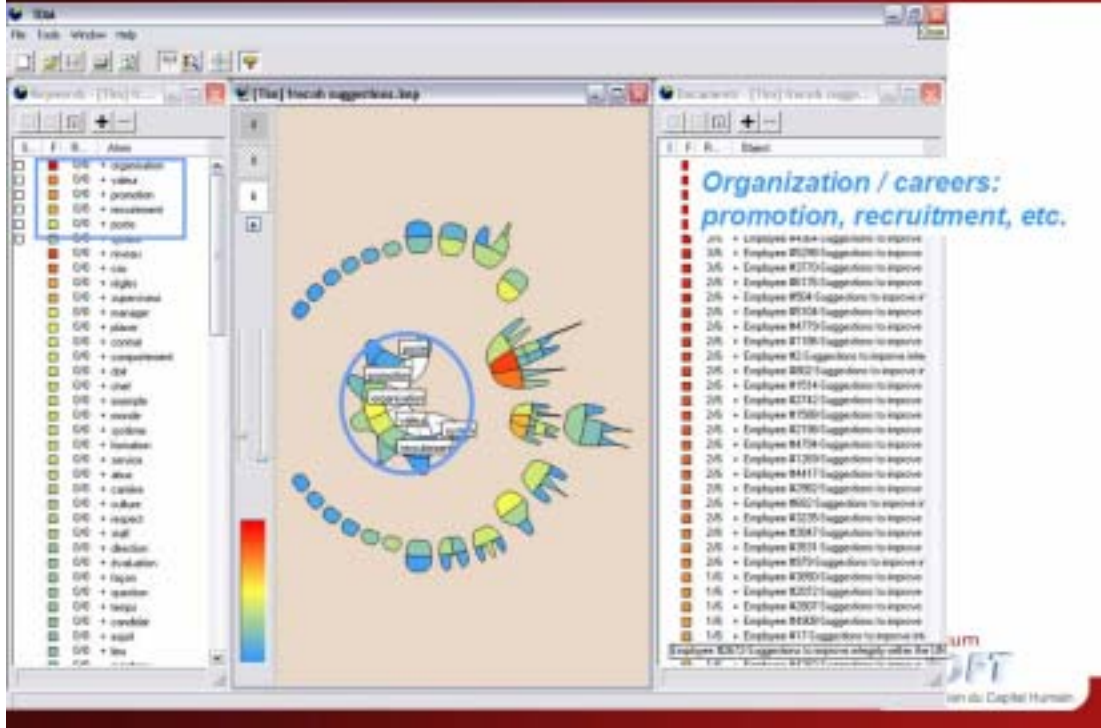
English Responses: Other signals (2)



English Responses: Emerging signals



Map of French Responses: Strong Central Signal



Appendix D – Glossary of Technical Terms

Correlation coefficient: A measure of the degree to which two variables tend to move together. The coefficient has a value between plus and minus 1. The sign of the coefficient indicates the direction of the relationship, and its absolute value indicates the strength, with larger absolute values indicating stronger relationships.

Cronbach's alpha: Assesses the reliability of a rating summarizing a group of survey answers which measure some underlying factor (e.g., some attribute of organizational integrity practices). Cronbach's alpha is a statistic that shows internal consistency, based on the average inter-item correlation and the number of items in the scale. It is represented by a proportion from 0 to 1. The higher the proportion, the greater the reliability of the scale in terms of internal consistency.

Factor Analysis: helps identify underlying variables, or factors, that explain the pattern of correlations within a set of observed variables. Factor analysis was performed on the UN's data as a data reduction technique to confirm hypothesized underlying variables among the many questions on the survey. The special type of factor analysis used to analyze the UN's data used the following procedures:

- **Principal Components Analysis.** A factor extraction method used to form uncorrelated linear combinations of the observed variables. The first component has maximum variance. Successive components explain progressively smaller portions of the variance and are all uncorrelated with each other. Principal components analysis is used to obtain the initial factor solution.
- **Varimax Method.** An orthogonal rotation method that minimizes the number of variables that have high loadings on each factor. It simplifies the interpretation of the factors.

Factor: A construct that is explained by a set of related items on the survey. For example, "employment satisfaction" is composed of three items about different aspects of employment satisfaction (job, work, organization).

Factor Performance Score: The computed mean of a set of survey items that make up a factor. These were converted to a scale of 0 – 100.

Impact Score: The proportional weight of a factor score's influence on a dependent variable. The impact score is purely the standardized beta coefficient produced by a regression equation. (See "Standardized Beta Coefficient.")

Leverage Analysis: A critical method to help prioritize areas that can increase the effectiveness of the UN's follow-up effort to improve integrity. It helps answer the question, "What should we focus on first?" In other words, what key efforts will provide the UN its greatest *leverage* in improving integrity? Leverage analysis simply combines the factor performance scores with their impact scores to show which among these factors are most effective for improving organizational integrity perceptions.

Mean: A measure of central tendency. The arithmetic average; the sum divided by the number of cases. A mean was computed for each factor score.

Multiple Regression Analysis: The estimated relationship between a dependent variable and more than one explanatory variables.

Standardized Beta Coefficient: The value that represents the independent contributions of each independent variable to the prediction of the dependent variable derived from a *multiple regression analysis*. The standardized beta coefficient allows one to compare the relative contribution of each independent variable in the prediction of the dependent variable. These are

the regression coefficients that would be obtained if each variable was first standardized to a mean of 0 and a standard deviation of 1.

SPSS – Statistical Package for Social Sciences. The program used to conduct the statistical analyses of the United Nation's survey data.

Variance/Variation: The proportion of variation in the dependent variable explained by a regression equation. It is discussed in terms of a proportion of the dependent variable and ranges between 0 and 1. The higher the number (proportion), the better the regression model accounts for the variation in the dependent variable.