

Ethics & Anti-Harassment Training (2018)



Session Leader Guide

Last Updated: April 2018

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Overview

A common bond that holds DAI together is our commitment to doing what is right. It is important to our success in development, and it represents DAI and how we see ourselves – and how others see us. We accomplish this by increasing our awareness of possible ethics and harassment issues and our willingness to raise these concerns and quickly address them. The annual ethics training and the biennial anti-harassment training are essential to meeting this expectation.

New Employees:

All new employees should complete the online Ethics training (*Ethics Training for New Employees*) and the online Anti-Harassment training (*Harassment Prevention*) in iLearn within 30 days of employment. Staff without access to iLearn, can complete a workbook version of the training. To request a workbook contact Ellen Castrucci (Ellen_Castrucci@dai.com).

All Staff:

All staff need to participate in the annual Ethics training and the biennial Anti-Harassment training. For 2018 these trainings are being provided together as part of this workbook. To receive credit for completing the Annual Ethics training, all employees must sign the sign-in sheet. For projects, completed sign-in sheets should be emailed to their home office support contact. For home office departments, sign-in sheets should be saved to the Ethics Training Tracker SharePoint site (see the 2018 *How to track Ethics & Anti-Harassment Completions* quick reference guide for directions).

Please note that new employees who completed the online version in 2018 have met the requirement for this annual Ethics training. However, we encourage them to participate in this exercise. New supervisors are not exempt.

How to Use this Guide

This guide includes information you will need to conduct the 2018 Ethics and Anti-Harassment Training.

This guide contains:

- Information on how to conduct the session. (*page 3*)
- Case studies on ethical violations and harassment concerns. (*page 5*)
- Session leader versions of each Case Study with possible responses to the discussion questions.

Not included in this guide but needed to conduct the session:

- PowerPoint (*2018 All Employee Ethics and Harassment Training*) to kick-off the session, review the Code of Business Conduct and the Anti-Harassment Policy, and conversation starters.
- Sign-in Sheet (*print out 1 per session*)
- Certificates of Completion (*print out 1 per participant*)

Prior to conducting the session:

1. It is important that the session is led by the Team Leader or Chief of Party in the field or by a Manager if the audience is in the home office. DAI employees must hear directly from their leaders and supervisors the messages in this training about the importance of ethics and harassment prevention. Leading the discussion of the case studies will also increase their staff's comfort level in raising issues to supervisors, Team Leaders, Chiefs of Party or Managers, as they have been trained. Deputies and other supervisors may also conduct this training, as necessary and appropriate in the judgement of the Team Leader, Chief of Party or home office manager.
2. Print out enough copies of the case studies for a small group to be able to review the case studies (*recommendation is that groups be no fewer than 3 staff and no more than 7*). **You must select at least two Sexual Harassment case studies for the harassment portion of this training.**
3. Print out the corresponding session leader version for each Case Study that you choose for your reference in facilitating the discussion.
4. Print out the sign-in sheet for people to sign in and receive credit for completing the session.
5. Print out 1 certificate per attendee.

During the session:

1. Ensure that everyone signs the sign-in sheet.
2. Follow the below table as a guide for timing and explanation of activities:

Topic / Activity	Materials	Est. Time (mins)
Objective and importance of the training	PPT	5
Review of Code of Business Conduct and Anti-Harassment Policy	PPT	10
Conversations Starters	PPT	15
Small group facilitation of case studies	Session Guide	15
1. Split larger group in to smaller groups (between 3-7 in a group)		5
2. Provide 1-2 case studies per group (<i>printed out from this guide</i>)		5
3. Participants review the Case Study and use the questions at the bottom of each Case Study to discuss		15
4. Each group reports back to the larger group on their discussion (<i>highlights of Case Study, group responses to questions, etc.</i>)		40
5. Repeat step 4 until all case studies have been discussed.		(total for all case studies)
Wrap up / Session close	Leader	10
	TOTAL	120 mins

3. Use your session leader version of the Case Study to add to any points the small groups make about their case studies.
4. Hand out the completion certificates.

After the session:

1. **For project staff**, email the scanned sign-in sheet to a member of your home office support team
2. **For home office departments**, save the scanned sign-in sheet to the Ethics Training Tracker SharePoint site (see the 2018 *How to track Ethics & Anti-Harassment Completions* quick reference guide for directions).
3. **All sessions need to be completed no later than April 30, 2018.**

Additional Tips

- Individuals and people who are not able to participate in group discussions can complete the online version of the Ethics training and the Harassment Prevention training in iLearn or request a workbook version from Ellen Castrucci (Ellen_Castrucci@dai.com) to complete on their own.
- If you have questions about any of the case studies included in this guide, please contact the Ethics and Compliance Officers, Mike Walsh (Mike_Walsh@dai.com) or Jeremy Finch (Jeremy_Finch@dai.com).
- Subcontractors and consultants working on our projects may also participate in the training and should sign-in and receive a certificate of completion. Exceptions can be made for subcontract employees who receive annual ethics training through their own firms and for consultants working less than 90 days on the project.
- Given the nature of the material – case studies based on actual incidents –, DAI considers the material to be proprietary, therefore if the Chief of Party, Team Leader or home office manager is asked to convey our annual ethics material to the client, you are authorized to do so with the understanding that it is proprietary, not a contract deliverable, and is not to be distributed further beyond the client.
- ***Please note that discussing sexual harassment scenarios in a mixed gender audience may be difficult in some cultures. You may choose to separate men and women for this portion of the discussion. Use your best judgment based on what you know of the culture where you work.***

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Case Study 1

Case Study:

In an effort to strengthen project vehicle management, the Operations team on the project conducted a cost analysis of the four (4) vehicles in the motor pool. The in-depth review of vehicle usage consisted of looking at the fuel yield analysis based on invoices compared to vehicle logs, a review of distances traveled, and fueling patterns.

The analysis identified four (4) instances in which the vehicle fuel yield was significantly less than the minimum expected factory yields under project driving conditions and six (6) instances in which the receipt indicated the purchase of more fuel than the capacity of the fuel tank.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this concern?

SESSION LEADER VERSION

Case Study 1: Receipt Fraud

Case Study:

In an effort to strengthen project vehicle management, the Operations team on the project conducted a cost analysis of the four (4) vehicles in the motor pool. The in-depth review of vehicle usage consisted of looking at the fuel yield analysis based on invoices compared to vehicle logs, a review of distances traveled, and fueling patterns.

The analysis identified four (4) instances in which the vehicle fuel yield was significantly less than the minimum expected factory yields under project driving conditions and six (6) instances in which the receipt indicated the purchase of more fuel than the capacity of the fuel tank.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - The receipts for the purchase of more fuel than the capacity of the tank strongly suggests that fraudulent fuel vouchers were being submitted by the drivers.
 - There is also concern that the drivers were colluding in this scheme.
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy.
 - In this instance, the analysis was done under the supervision of the DCOP. The draft report was also submitted to Internal Audit for review.
 - Under Internal Audit’s supervision, the project reviewed the transactions and the fuel purchasing process.
 - Approximately \$165 was identified with the fraudulent fuel vouchers found.
 - Two drivers were separated from the project. The client was informed and the funds were credited back to the project.
3. What could be done to limit this concern?
 - Continued close tracking of vehicle logs and fuel consumption is warranted.
 - The project included a GPS tracking device with each vehicle.
 - Drivers are now accompanied by another employee when purchasing fuel for the project vehicles.

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Case Study 2

Case Study:

The Finance Manager felt there was something wrong with a hotel receipt provided by a project employee to liquidate a travel advance. She was already suspicious of this project employee because of his association with other possible compliance issues, so she asked the operations assistant to contact the hotel by cellphone to verify the rate on the receipt of US\$25/night.

Discussion:

1. What is the nature of the Finance Manager's concern?
2. What action should be taken?
3. What could be done to minimize vulnerability to the concerns discussed above?

SESSION LEADER VERSION

Case Study 2: Travel Fraud

Case Study:

The Finance Manager felt there was something wrong with a hotel receipt provided by a project employee to liquidate a travel advance. She was already suspicious of this project employee because of his association with other possible compliance issues, so she asked the operations assistant to contact the hotel by cellphone to verify the rate on the receipt of US\$25/night.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What is the nature of the Finance Manager’s concern?
 - The concern is that the receipt was false, which is fraud. The Finance Manager is also concerned that the project employee may be engaging in other fraudulent activity and that he may be influencing other project staff in modeling corrupt behavior as acceptable.
2. What action should be taken?
 - The Finance Manager should inform the COP/Team Leader of the concerns so that he or she can elevate the issue to the Ethics and Compliance Officer in the home office for further investigation – even if no payment was made for a falsified receipt.
 - Once elevated to the ECO, a more comprehensive investigation was conducted. The investigation determined that the project employee had falsified the \$25/night hotel receipt as well as hotel receipts for two other trips.
 - The client was informed of the attempted fraud and previous fraud. DAI returned the cost of the payments made based on the earlier falsified hotel receipts.
 - The employee was separated from the project after due process in accordance with local labor law.
3. What could be done to minimize vulnerability to the concerns discussed above?
 - Direct payments to hotels from the project office. Contracts with selected hotels for agreed-upon rates. Spot-checks of receipts.

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Case Study 3

Case Study:

A grantee received a fixed price award to conduct workshops in which members of communities meet with local government officials. During a review of the payment documentation, project staff found that no local government officials signed the attendance sheet in a workshop conducted in one of the target towns.

As part of the verification process, project staff called a random sample of participants on the attendance sheets. Only 4 out of the 10 contacted participants responded, and three said the meeting had not included government officials. Another attendance sheet for a separate workshop in that town appeared to have correction fluid applied to the meeting title, purpose, date and location. The project employee listed on the sign-in sheet was also on sick leave that day.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to minimize the risk of your concerns discussed above?

SESSION LEADER VERSION

Case Study 3: Program Performance Fraud

Case Study:

A grantee received a fixed price award to conduct workshops in which members of communities meet with local government officials. During a review of the payment documentation, project staff found that no local government officials signed the attendance sheet in a workshop conducted in one of the target towns.

As part of the verification process, project staff called a random sample of participants on the attendance sheets. Only 4 out of the 10 contacted participants responded, and three said the meeting had not included government officials. Another attendance sheet for a separate workshop in that town appeared to have correction fluid applied to the meeting title, purpose, date and location. The project employee listed on the sign-in sheet was also on sick leave that day.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - This appears to be fraud – changing or withholding information to benefit oneself or disadvantage others.
 - This is especially troublesome because falsifying project performance data affects the success of the project.
2. What are your next steps?
 - Contact your supervisor, Team Leader/COP or their Deputy for further consideration. The issue would then be raised to the Ethics and Compliance Officer to coordinate next steps.
 - In this case, the CECO was contacted by the COP. The client was informed of the attempted fraud.
 - The project followed-up with the grantee and raised the concerns about the two trainings. The grantee was informed that it would not be paid unless the two sessions were conducted again, at their own expense. The head of the grantee’s organization also investigated the matter and identified the field employee responsible for the trainings. The employee was fired and his replacement was given the responsibility of organizing the repeated trainings.
3. What could be done to minimize the risk of your concerns discussed above?
 - In this case, the grantee was informed that in the future, no payment will be made to the grantee for the sessions unless a DAI project employee is present to witness the workshops.
 - Photographs of the session are also used more extensively and organized in the file for ready access. Spot-checks of participants are also useful.
 - Those monitoring the session should assure that the sign-in sheet is complete and accurate.

INTEGRITY

Case Study 4

Case Study:

A subcontractor conducted training events as per the contract. The subcontractor submitted several documents to the project in support of his voucher for payment.

As the financial analyst reviewed the documents, he became concerned. For instance, the sign-in sheet seemed to have multiple signatures that looked the same, many of the cellphone numbers listed did not work when he called them, and there were no supporting photographs of the training. The financial analyst knew that this was not entirely uncommon – sometimes the participants are illiterate so the training coordinator signs in for the participant, cellphones are often shared with others in the village or are not topped off with funds, and while photos are recommended, they are not always taken.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to minimize the risk of your concerns discussed above?

SESSION LEADER VERSION

Case Study 4: Program Performance Fraud

Case Study:

A subcontractor conducted training events as per the contract. The subcontractor submitted several documents to the project in support of his voucher for payment. As the financial analyst reviewed the documents, he became concerned. For instance, the sign-in sheet seemed to have multiple signatures that looked the same, many of the cellphone numbers listed did not work when he called them, and there were no supporting photographs of the training. The financial analyst knew that this was not entirely uncommon – sometimes the participants are illiterate so the training coordinator signs in for the participant, cellphones are often shared with others in the village or are not topped off with funds, and while photos are recommended, they are not always taken.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - This may be fraud – changing or withholding information to benefit oneself or disadvantage others.
 - This is especially troublesome because falsifying project performance data affects the success of the project.
 - In this case, a follow-up with the subcontractor found that the quality of the training was insufficient as was the paperwork prepared by the trainers.
2. What are your next steps?
 - Contact your supervisor, Team Leader/COP or their Deputy for further consideration. The issue would then be raised to the Ethics and Compliance Officer to coordinate next steps.
 - In this case, the CECO was contacted by the COP and discussed next steps. The COP pursued the matter with the head of the subcontractor firm and determined that the performance and associated paperwork were poor. The subcontractor agreed to repeat the trainings and was provided direction on how to address the quality and paperwork issues. No additional funds were provided for the re-performance of the work.
3. What could be done to minimize the risk of your concerns discussed above?
 - In this case, DAI provided clearer direction on the performance standards of the training as well as supporting documentation (e.g. sign-in sheets).
 - Photographs of the session are also used more extensively and organized in the file for ready access. For areas of the region in which women do not traditionally permit photographs, the subcontractor was instructed to take pictures from the back of the group.
 - Spot-checks of participants are useful.
 - Those monitoring the session should assure that the sign-in sheet is complete and accurate.

INTEGRITY

Case Study 5

Case Study:

The grantee provided three bids for the purchase of a laptop. Two of the bids had the same street address; the third did not have an address and nobody answered the phone when called multiple times over a three-day period.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to minimize the risk of your concerns discussed above?

SESSION LEADER VERSION

Case Study 5: Procurement Fraud

Case Study:

The grantee provided three bids for the purchase of a laptop. Two of the bids had the same street address; the third did not have an address and nobody answered the phone when called multiple times over a three-day period.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - Fraudulent bids and possible collusion between a vendor and an employee of the grantee.
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy. The COP/Team Leader will then elevate the issue to the ECO given the concerns about possible fraud and collusion.
 - In this case, once elevated to the ECO, Internal Audit was asked to investigate. The findings confirmed the suspicion that two of the bidders were the same and the third was false.
 - The grantee and the client were informed of the findings of the investigation. The grantee conducted further investigation and found additional transactions associated with the three bidders. DAI disallowed the costs associated with the three bidders and imposed tighter scrutiny on the grantee’s procurements. The grantee employee associated with the transactions was separated. Funds were reimbursed by DAI to the client for the transactions associated with the three vendors.
3. What could be done to minimize the risk of your concerns discussed above?
 - Use of spot checks to verify bids and ultimately delivery or performance.
 - Enforce separation of duties, if feasible, and closer oversight of operations

INTEGRITY

Case Study 6

Case Study:

The procurement manager noticed that one of the bids received for the purchase of printers was missing from the procurement mailbox.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What are the potential risks?
4. What could be done to minimize vulnerability to the concerns raised above?

SESSION LEADER VERSION

Case Study 6: Procurement Fraud

Case Study:

The procurement manager noticed that one of the bids received for the purchase of printers was missing from the procurement mailbox.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - Collusion between someone who could access the procurement mailbox and a vendor.
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy. The COP/Team Leader will then elevate the issue to the ECO given the concerns that someone is trying to manipulate the bidding process.
 - An investigation discovered that the IT manager, who had requisitioned the printers, managed to access the procurement mailbox through the procurement manager’s emails. When confronted, he admitted to the act and was separated from the project. Further investigation did not identify any other manipulated purchases over the IT manager’s brief tenure. The attempt to influence the procurement was reported to the client.
3. What could be done to minimize vulnerability to the concerns raised above?
 - Restricting access to procurement mailboxes remains a best practice. Complying with this policy and process will generally protect bids from possible manipulations.
 - Additionally, spot-checks can be conducted on vendors and their bids.
 - Effective market analysis and market surveys are important.

INTEGRITY

Case Study 7

Case Study:

An employee reported that he ran into a new employee at a football match over the weekend. He said the guy was quite pleasant and they got along well, aided by the fact that they were cheering for the same team. The employee asked if the new employee was in the office. He asked because in discussing their backgrounds, the new guy said he had finished a Master's Degree in Public Administration at Tomlin University. The employee added that he did not think Tomlin offered Public Administration courses and confirmed it when he checked the website.

Discussion:

1. What are your concerns?
2. What are your next steps?
5. What could be done to minimize vulnerability to the concerns raised above?

SESSION LEADER VERSION

Case Study 7: Recruitment Fraud

Case Study:

An employee reported that he ran into a new employee at a football match over the weekend. He said the guy was quite pleasant and they got along well, aided by the fact that they were cheering for the same team. The employee asked if the new employee was in the office. He asked because in discussing their backgrounds, the new guy said he had finished a Master's Degree in Public Administration at Tomlin University. The employee added that he did not think Tomlin offered Public Administration courses and confirmed it when he checked the website.

Discussion: *The "Session Leader Version" of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - The employee may have falsified his academic qualifications for the position with DAI.
2. What are your next steps?
 - Raise the concerns with your supervisor, Chief of Party/Team Leader or their Deputy.
 - In this instance, the Ethics and Compliance Officer investigated the details and confirmed that the individual's degree from Tomlin University in Public Administration was fake. The employee had resigned, so no further action was necessary.
3. What could be done to minimize this vulnerability?
 - Closer verification of qualifications is important. Copies of diplomas may no longer be sufficient given the quality of fakes that are available on the internet and through design software.
 - Internet sites may be available to verify degrees in some countries. Other countries may require direct contact with the university.
 - The burden of proof may be on the applicant that the credentials provided with the application are genuine.

INTEGRITY

Case Study 8

Case Study:

A new Chief of Party arrived on the project and was informed by his Operations staff that it is a usual practice that the COP contribute a case of whisky to the Customs office at the airport at the end of the year to acknowledge their hard work and services.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 8: Bribery - Kickback

A new Chief of Party arrived on the project and was informed by his Operations staff that it's a usual practice that the COP contribute a case of whisky to the Customs office at the airport at the end of the year to acknowledge their hard work and services.

Discussion: *The "Session Leader Version" of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - This contribution to Government officials could be seen as a facilitation payment, which is prohibited by law and DAI policy.
 - Although it may require research, it is unlikely that a case of whisky is a common and acceptable gift in the local culture.
2. What would be your next steps?
 - The matter was raised with the COP as routine and acceptable gift-giving. The issue should be recognized as a possible facilitation payment which should be elevated to the Ethics and Compliance Officer for further review and discussion.
 - In this instance, the COP was advised that the case of whisky was inappropriate culturally and legally.
 - The Operations staff were told to refer any Customs official to the Chief of Party with any questions or expectations regarding the case of whisky.
 - At this point, the project has not experienced any significant delays that can be attributed to lack of cooperation by the Customs office.
3. What could be done to minimize the concern in the future?
 - The initial contribution of the case of whisky set expectations that seemed difficult to break.
 - Once a bribe, kickback or facilitation (grease) payment is made, it is difficult to resist paying again in the future.
 - Continued awareness training and discussion will help employees to anticipate and avoid future requests for such payments.
 - Employees can be coached to respond to requests with explanations that DAI is not permitted to make these payments, or to refer the matter to DAI's project lead or the home office.

INTEGRITY

Case Study 9

Case Study:

A Regional Manager on the project reported a meeting he had with two employees of an international NGO in the town he was visiting. The INGO program supported local civil society organizations, many of them are the same organizations that the DAI project supported. The two INGO employees informed the Regional Manager of a concern raised by the head of a CSO supported by both projects. They explained that the CSO Director asked if it was usual for an organization like DAI to require payments from CSOs under their grants. The INGO staff noted that they assured the CSO Director that it was not typical to make such payments back to the granting organization.

Discussion:

1. What are your concerns?
2. What would you do next?
3. What could be done to minimize the risk of your concerns?

SESSION LEADER VERSION

Case Study 9: Bribery - Kickback

A Regional Manager on the project reported a meeting he had with two employees of an international NGO in the town he was visiting. The INGO program supported local civil society organizations, many of them are the same organizations that the DAI project supported. The two INGO employees informed the Regional Manager of a concern raised by the head of a CSO supported by both projects. They explained that the CSO Director asked if it was usual for an organization like DAI to require payments from CSOs under their grants. The INGO staff noted that they assured the CSO Director that it was not typical to make such payments back to the granting organization.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - A project employee may have demanded a kickback from the CSO grantee. A kickback is a form of bribe in which an employee of a granting/awarding organization demands payment from an awardee often because of his/her claim of influence in making the award, for a favorable decision on a subcontract/grant approval or to be paid.
2. What would you do next?
 - Contact your supervisor, Team Leader/Chief of Party or their Deputy.
 - In this instance, when the Team Leader was informed, she took immediate steps to contact the CSO Director to confirm the information. The Team Leader then contacted the Ethics and Compliance Officer. The client was informed of the issue as well as the delicate political circumstances of the project.
 - The Team Leader was then asked to quietly investigate the matter further. The CSO provided documented evidence of the request for a kickback from the DAI employee. The project employee demanded the kickback for “processing the grant.”
 - The employee was separated from the project.
3. What could be done to minimize the risk of your concerns?
 - Separation of duties is necessary to assure that more than one project employee engages with grantees, subcontractors and vendors.
 - Assure that grantees, subcontractors and vendors clearly understand in cover sheets to their award that they must not pay any additional funds to DAI employees. The cover sheet should also include contact information to report if a DAI employee does ask or demand a payment.
 - Provide supplement information with briefings during the on-boarding or kick-off stage or trainings on conducting business with DAI, including the prohibition of kickbacks and reporting expectations. Providing explicit examples for discussion may be useful because ethical issues may not be openly discussed otherwise.

INTEGRITY

Case Study 10

Case Study:

The Procurement Manager reported that a large subcontractor with a country-wide presence participated in a pre-proposal conference for an activity supporting the distribution of hybrid peanut seed. He added that the project's Deputy Chief of Party has been a long-serving member of their Board of Directors. The Procurement Manager raised concerns and questions about the eligibility of the firm to fairly compete for the subcontract given their association with the project's Deputy Chief of Party.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What can be done to minimize this risk in the future?

SESSION LEADER VERSION

Case Study 10: Personal Conflict of Interest

The Procurement Manager reported that a large subcontractor with a country-wide presence participated in a pre-proposal conference for an activity supporting the distribution of hybrid peanut seed. He added that the project's Deputy Chief of Party has been a long-serving member of their Board of Directors. The Procurement Manager raised concerns and questions about the eligibility of the firm to fairly compete for the subcontract given their association with the project's Deputy Chief of Party.

Discussion: *The "Session Leader Version" of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - Personal Conflict of Interest. There is a possibility (appearance) of an unfair advantage for the firm that has the Deputy Chief of Party on the Board of Directors.
 - Although he may not be involved in the evaluation and oversight of the project, it may be difficult to separate him from the award decision. Would the competitors feel they could compete fairly if the firm with such close ties to the DCOP is competing as well?
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy.
 - The Procurement Manager knew that his supervisor, the Operations Manager, is a long-time colleague of the Deputy Chief of Party so he did not feel comfortable raising his concern directly. He contacted the COP who then consulted with the CECO on the issue.
 - The COP was asked to talk with the Deputy Chief of Party about the circumstances. He reported that the Deputy Chief of Party is a former Minister of Agriculture with many connections throughout the sector. He had been on the Board of the organization for a long time but was not involved in day-to-day issues or plans, accordingly, he was surprised that the firm intended to bid. The DCOP also noted that he fully disclosed his membership when joining the project and would not have served on an evaluation board or in any oversight role given his role with the firm.
 - The COP consulted with the CECO who raised concerns about the challenges of completely removing such a senior manager from the award and oversight. The CECO also asked if competitors would feel they could compete fairly with such a prominent person on the board of a competitor and as DCOP for the awarding firm (DAI). The COP discussed the circumstances with the DCOP who then arranged with the firm to not participate in the competition.
3. What can be done to minimize this risk in the future?
 - Annual completion of disclosure of relationship forms.
 - Continued training and messaging on conflicts of interest so that employees will recognize or look for possible connections as part of procurement and grant planning and due diligence.

INTEGRITY

Case Study 11

Case Study:

Parents of a project employee own a hotel in the region that is frequently visited by project employees. After a recent ethics training, the employee discussed these circumstances with colleagues and then contacted his supervisor to ask if the hotel could still be used.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 11: Personal Conflict of Interest

Parents of a project employee own a hotel in the region that is frequently visited by project employees. After a recent ethics training, the employee discussed these circumstances with colleagues and then contacted his supervisor to ask if the hotel could still be used.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - There is a possible conflict of interest in that the employee’s family connections to the hotel may be seen as favoring it for use by project employees.
2. What are your next steps?
 - Contact your supervisor, Chief of Party or Team Leader or their Deputy.
 - Note that in this case, the employee first talked with his colleagues, which is also encouraged because it helps the person raising the concern to more clearly understand and describe the issue, concern or allegation.
 - The employee worked as a field monitor in the region where his family’s hotel is located. The supervisor confirmed that when the employee visited the region, he did not seek reimbursement for staying at his family’s hotel. The employee explained that he stayed with his family, not at the hotel. He also admitted that he did not think it was a conflict of interest because he did not stay at the hotel or seek reimbursement, but the training discussion led to the question.
 - The supervisor informed the COP of the question, who then consulted with the Ethics and Compliance Officer. In response to follow-up questions, it was established that the hotel had been used since the beginning of the project, before the employee was hired. It is also widely understood to be the only suitable hotel in the area in terms of quality and safety. The ECO also confirmed that the Field Monitor employee is not involved in selecting hotels for other project employees.
 - The COP worked with the employee’s supervisor in assuring that he (the Field Monitor) was not involved in recommending hotels in the region.
3. What could be done to limit this vulnerability?
 - Continued training and discussion of personal conflicts of interest so that employees anticipate or recognize possible conflicts of interest and quickly raise their concerns with management.
 - Supplement trainings and discussions with annual or regular register or disclosure of relationships that are maintained and tracked by supervisors.

INTEGRITY

Case Study 12

Case Study:

The grantee had difficulty finding a qualified vendor to build their website. After 3-4 months with no success, the Director of Internal Audit contacted the Procurement Manager to recommend a firm. The Procurement Manager confirmed the qualifications, and a contract was awarded. While reviewing the vendor's payment documents, the grantee finance staff discovered that the Director of Internal Audit is the actual owner of the vendor.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 12: Personal Conflict of Interest

The grantee had difficulty finding a qualified vendor to build their website. After 3-4 months with no success, the Director of Internal Audit contacted the Procurement Manager to recommend a firm. The Procurement Manager confirmed the qualifications and a contract was awarded. While reviewing the vendor's payment documents, the grantee finance staff discovered that the Director of Internal Audit is the actual owner of the vendor.

Discussion: *The "Session Leader Version" of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - Awarding a contract to a firm owned by an employee recommending it is a conflict of interest.
 - The employee, especially a Director of Internal Audit, should have been aware of possible conflict of interest concerns.
 - The Procurement Manager should have conducted better due diligence to identify the owner of the firm.
2. What are your next steps?
 - Contact your supervisor, Team Leader, Chief of Party or their Deputy.
 - An investigation confirmed that the Director of Internal Audit had set-up the firm to do the website.
 - When confronted, the Director stated that nobody asked him about his affiliation with the vendor.
3. What could be done to minimize the risk of your concerns?
 - Continue to conduct awareness training and messaging on conflicts of interest so that employees will recognize or look for possible connections as part of due diligence.
 - Completion of Disclosure of Relationship forms.

INTEGRITY

Case Study 13

Case Study:

A former Deputy Chief of Party (DCOP) is now working with a local firm that is competing for a subcontract under the project. The DCOP was actively involved in the annual workplan and budgeting before departing for the new position. The work being competed was described in the annual workplan and included in the budget.

Discussion:

1. What is your concern?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 13: Organizational Conflict of Interest

A former Deputy Chief of Party (DCOP) is now working with a local firm that is competing for a subcontract under the project. The DCOP was actively involved in the annual workplan and budgeting before departing for the new position. The work being competed was described in the annual workplan and included in the budget.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What is your concern?
 - The concern is that the DCOP may have unfair access to non-public information that will give an unfair advantage to her firm in competing for a subcontract. If this is true, then the firm may be disqualified from the competition.
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy.
 - The COP contacted the ECO to discuss this concern. The COP explained that the annual workplan had short, one paragraph descriptions of planned procurements and general budget summaries based on the final cost proposal.
 - The ECO determined that there was insufficient information to provide an unfair advantage to the DCOP.
3. What could be done to minimize the risk of your concerns?
 - Adequate planning of competitive procurements will assure offerors will have sufficient time to prepare proposals. Too short a timeframe only favors those with more information.
 - Reinforce the need for awareness of possible unfair advantages in competitive procurements and the requirement to bring these to the attention of the COP/Team Leader.

INTEGRITY

Case Study 14

Case Study:

DAI received a detailed letter with issues to address in a second round of negotiations with the client. Included among the pages were two pages from a letter intended for a competitor on the solicitation.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 14: Handling non-public, procurement-sensitive information

DAI received a detailed letter with issues to address in a second round of negotiations with the client. Included among the pages were two pages from a letter intended for a competitor on the solicitation.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - The two pages intended for a competitor is “proprietary” in nature and should be protected from further distribution. Receiving this information may lead to accusations of unfairness if not handled quickly and properly.
 - DAI sees itself as doing the right thing. We do not want to cheat in benefiting in any manner from a competitor’s proprietary information.
2. What are your next steps?
 - Immediately inform the Ethics and Compliance Officer or the Office of General Counsel.
 - Do not forward the email to any other colleagues.
 - In this instance, the ECO was contacted immediately. He asked those who received the email to immediately delete it and confirm that it has been deleted and removed from the trash file.
 - The ECO then quickly informed the client office of the issue and actions taken by DAI to avoid further exposure.
 - The next day, the client submitted the corrected copy of the letter. No further action was taken.
3. What could be done to minimize this concern?
 - Continue to be aware and vigilant. Clients mistakenly send DAI proprietary information of other firms 2-3 times a year.
 - Immediately inform the ECO or the OGC so that appropriate action can be taken to contain the exposure of the information.

INTEGRITY

Case Study 15

Case Study:

A Program Associate visited the field in anticipation of a competitive solicitation being released by the client. During her visit, she met a consultant who worked in the Ministry of Health as an advisor.

After returning from the field, she received an email from the consultant passing along the draft solicitation that was being widely circulated within the Ministry of Health for comments. Since it was the client who had asked to circulate the draft for comments, the consultant passed it along to the Program Associate as well.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 15: Handling non-public, procurement-sensitive information

A Program Associate visited the field in anticipation of a competitive solicitation being released by the client. During her visit, she met a consultant who worked in the Ministry of Health as an advisor.

After returning from the field, she received an email from the consultant passing along the draft solicitation that was being widely circulated within the Ministry of Health for comments. Since it was the client who had asked to circulate the draft for comments, the consultant passed it along to the Program Associate as well.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - The draft solicitation was not intended for public comments, only from within the Ministry.
 - The draft solicitation is considered non-public, procurement sensitive, therefore early receipt may be considered an unfair advantage.
 - DAI sees itself as doing the right thing. We do not want to cheat in benefiting in any manner from non-public, procurement sensitive information.
2. What are your next steps?
 - Immediately inform the Ethics and Compliance Officer or the Office of General Counsel.
 - Do not forward the email to any other colleagues.
 - In this instance, the ECO was contacted immediately. He asked those who received the email to immediately delete it and confirm that it has been deleted and removed from the trash file.
 - The ECO then quickly informed the client office of the issue and actions taken by DAI to avoid further exposure.
 - The next day, the client published the draft solicitation in the solicitation website so that all eligible bidders would have access to the same information.
3. What could be done to minimize this concern?
 - Continue to be aware and vigilant. Clients mistakenly send DAI proprietary information a couple times a year.
 - Immediately inform the ECO or the OGC so that appropriate action can be taken to contain the exposure of the information.
 - Inform the consultant that the draft solicitation was a sensitive document and should not have been shared beyond the Ministry of Health.

INTEGRITY

Case Study 16

Case Study:

A Project-based IT manager notified his Home Office contact that a routine check of an employee's laptop due to excessive bandwidth use found that the employee had proposals, resumes and salary information on two competitors in the country.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 16: Handling non-public, procurement-sensitive information

A Project-based IT manager notified his Home Office contact that a routine check of an employee's laptop due to excessive bandwidth use found that the employee had proposals, resumes and salary information on two competitors in the country.

Discussion: *The "Session Leader Version" of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - This case was very puzzling. DAI employees should not have non-DAI information on their laptops or in their possession.
 - In this instance, the employee brought information with him from his previous employers.
2. What are your next steps?
 - Contact your supervisor, Chief of Party/Team Leader or their Deputy. In this instance, the IT manager reached out to his home office support who quickly notified the ECO and project manager.
 - To avoid further leakage of this information, the laptop was confiscated, and the employee was placed on administrative leave.
 - The IT manager took screen shots of the file lists without opening them. This information was provided to Internal Audit for investigation.
 - When interviewed, the employee acknowledged that he had collected sample documents from previous employers as his "tool kit." He had kept these documents on a thumb drive, but downloaded them onto his laptop to save space for more documents.
 - The employee was given a first and final warning letter and agreed to relinquish the thumb drive. The proprietary files were deleted from the laptop by the IT manager.
3. What could be done to minimize this happening in the future?
 - New employee orientations should include caution against retaining information from previous employers as well as from DAI at the conclusion of their employment.
 - Employees should be aware that DAI has access to all content on their laptops and can be readily monitored and checked. There is a disclaimer on all DAI laptops when you log-in that basically reminds you of this every day.
 - Additional guidance and training on data security and safeguarding personal data.

Case Study 17

Case Study:

In discussing possible candidates for a 30-day consultancy to conduct a study, the COP informed the client representative that the ideal candidate he had in mind is a former World Bank economist whose daily rate is high and would exceed the limitations placed in the contract for daily rates. The client representative responded that the study is urgent and could be done more quickly with a better qualified candidate. To get around the contract ceiling rate, the client representative suggested paying him at the ceiling, but extending the duration to 45 days.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 17

In discussing possible candidates for a 30-day consultancy to conduct a study, the COP informed the client representative that the ideal candidate he had in mind is a former World Bank economist whose daily rate is high and would exceed the limitations placed in the contract for daily rates. The client representative responded that the study is urgent and could be done more quickly with a better qualified candidate. To get around the contract ceiling rate, the client representative suggested paying him at the ceiling, but extending the duration to 45 days.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What are your concerns?
 - It would be fraud if DAI billed a 45-day consultancy for a 30-day work to circumvent a contract ceiling.
2. What are next steps?
 - The COP should have consulted with the Ethics and Compliance Officer before agreeing to this arrangement.
 - This arrangement was discovered when another consultant hired to help the former World Bank economist with the study heard about it and reported to the ECO.
 - A preliminary investigation confirmed the details. The client was informed and asked DAI to conduct a full investigation, which determined that this was an isolated incident. The client was informed of the findings and was credited with the full cost of the consultancy.
3. What could have been done to avoid the concern raised above.
 - The COP did not realize what he was agreeing to when speaking with the client representative. If he had, he could have asked for more time to consult with the home office. The home office could have identified alternatives that would have been compliant with the contract. For example, a firm, fixed price for the study could have been negotiated that would not have been subject to the ceiling on daily rates.
 - Employees need to be sensitive about requests coming from clients. We certainly wish to respect their requests, but not if the request is inappropriate, ill-advised or unethical. If you are not sure about a request, always ask for time to consult with the project leadership or the home office.

Case Study 18

Case Study:

A HO employee taking breakfast in the hotel near the main office of the project ran into the Director of a former project grantee. During the ensuing conversation, she mentioned her forthcoming trip to a regional capital to participate in a conference with local Government officials. When she said the name of the hotel where the conference would be held, the grantee Director advised her to be careful, as there was a recent story in the newspaper involving prostitutes at that hotel. The grantee Director explained that this was one of a long line of stories regarding the hotel, including suspicions of under-age prostitution at the hotel which had never been proven so the case was dropped. The grantee Director suggested a different hotel which he knew very well.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 18: Anti-human Trafficking violations

A HO employee taking breakfast in the hotel near the main office of the project ran into the Director of a former project grantee. During the ensuing conversation, she mentioned her forthcoming trip to a regional capital to participate in a conference with local Government officials. When she said the name of the hotel where the conference would be held, the grantee Director advised her to be careful, as there was a recent story in the newspaper involving prostitutes at that hotel. The grantee Director explained that this was one of a long line of stories regarding the hotel, including suspicions of under-age prostitution at the hotel which had never been proven so the case was dropped. The grantee Director suggested a different hotel which he knew very well.

Discussion:

1. What are your concerns?
 - The project and DAI may jeopardize its reputation in using a hotel that may be closely associated with human trafficking, commercial sex workers and possible exploitation of children, all serious violations requiring notification to the client.
 - DAI may also be violating these policies against human trafficking, commercial sex workers and exploitation of children, and must notify the client immediately.
2. What are your next steps?
 - Immediately notify the Team Leader, Chief of Party and the Ethics and Compliance Officer given the urgency and possible impact of this issue.
 - The information should be quickly confirmed in the papers and with local contacts in the community.
 - DAI must immediately notify the client given the reference to the hotel in the newspaper story on commercial sex trafficking.
 - The project should also consider postponing the conference until the allegations can be clarified and, if necessary, move it to a different hotel.
 - Note that the story could be entirely fabricated to promote a different hotel or simply exaggerated rumor.
 - Procurement and due diligence on the hotel should be checked to ensure that a fair process was followed.
 - The client should be informed of the decision and reasoning behind it – so that they are aware of the sudden disruption to activity and the protection of their reputation that we have sought to achieve.
3. What could be done to limit this vulnerability?
 - Continued training and discussion of anti-human slavery and child safeguarding policies and procedures to assure staff are attentive to these issues, know what questions to ask and what actions to be taken if there is the slightest suspicion.
 - More background checks as part of the due diligence process.

Global Citizenship

Case Study 19

A grantee was at a church performing social services for the local community. The church also had a school, which was not funded by the grant. Allegations circulated in the community that an expat volunteer teacher was taking advantage of the students.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What is the nature of your concern?
2. What are your next steps?
3. What can be done to minimize the vulnerability to your concern?

SESSION LEADER VERSION

Case Study 19: Child Protection

A grantee was at a church performing social services for the local community. The church also had a school, which was not funded by the grant. Allegations circulated in the community that an expat volunteer teacher was taking advantage of the students.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

1. What is the nature of your concern?
 - Safeguarding children is a paramount concern.
2. What are your next steps?
 - Contact our supervisor, Team Leader/Chief of Party or their Deputy.
 - Even though the school was not part of our project activities, we have an obligation to report it not only to our client but also to local authorities in accordance with local law.
 - DAI pursued the matter with the Deacon, who said he investigated and found no evidence.
 - This information was provided to the client and the local authorities.
3. What can be done to minimize the vulnerability to your concern?
 - Continue to conduct awareness training so safeguarding issues can be readily anticipated or identified – along with timely reporting.
 - More careful due diligence when organizations are involved with children.
 - Assure appropriate safeguarding clauses and provisions are in place in our subcontracts and grants.

Global Citizenship

Case Study 20

Case Study:

New elections were scheduled, and the Government solicited volunteers to help support the voting stations. A Project employee asks if she can volunteer as a DAI employee.

Discussion:

1. What are your concerns?
2. What are your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 20: Political Activity

New elections were scheduled, and the Government solicited volunteers to help support the voting stations. A Project employee asks if she can volunteer as a DAI employee.

Discussion: *The “Session Leader Version” of the scenarios provide some guidance on possible answers. The answers included are not exhaustive of ALL possible answers nor are they the only right answers.*

4. What are your concerns?
 - The employee was concerned that her participation as an election volunteer may conflict with her role as an employee of a foreign employer, in this case, DAI.
 - There is also a concern about outside employment, even as a volunteer, in terms of allocation of time, possible interference with her current job, reputational risk, etc.
5. What are your next steps?
 - The employee raised it with her supervisor, who then consulted with the DCOP and COP. The COP consulted with the Ethics and Compliance Officer.
 - The Ethics and Compliance Officer referenced the Code of Business Conduct and Ethics in clarifying that DAI employees “...have the right to engage as an individual in the political process and make political donations, as long as you do not represent that DAI is making the contribution and provided there is no conflict of interest involved.”
 - The employee would attend training for her volunteer role on the weekends and she would simply be outside the voting station welcoming voters inside and answering questions. Accordingly, there was no objection to her volunteer role, especially as election day was declared a holiday.
6. What could be done to minimize risk in the future?
 - The employee did the right thing – consulted with her supervisor and project leadership early in the process.
 - Awareness and willingness to raise questions and concerns is important so that questions and issues can be addressed quickly and appropriately.

Case Study 21

Case Study:

Not long after beginning on a project, the M&E Specialist exchanged her personal cell phone number with the Deputy Chief of Party (DCOP) as a proactive measure should urgent information need to be communicated during nights/weekends. At first the WhatsApp messages the DCOP sent were about project-specific issues. However, after about a month, the DCOP started to send messages unrelated to project work, specifically repeat invites for dinner and/or drinks after work.

The M&E Specialist declined the social invitations each time and even requested that the DCOP stop messaging her about non-work-related items.

Discussion:

1. What are your concerns?
2. If you were the M&E Specialist, what would be your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 21: Sexual Harassment

Case Study:

Not long after beginning on a project, the M&E Specialist exchanged her personal cell phone number with the Deputy Chief of Party (DCOP) as a proactive measure should urgent information need to be communicated during nights/weekends. At first the WhatsApp messages the DCOP sent were about project-specific issues. However, after about a month, the DCOP started to send messages unrelated to project work, specifically repeat invites for dinner and/or drinks after work.

The M&E Specialist declined the social invitations each time and even requested that the DCOP stop messaging her about non-work-related items.

Discussion:

1. What are your concerns?
 - The DCOP's actions are unwelcome, repeated, and of a personal nature (rather than business specific). In addition, it is making the M&E Specialist uncomfortable to the point where she has asked the DCOP to stop the behavior.
 - Any repeated communication (whether it is verbal, in email or in WhatsApp as in this scenario) that interferes with work and/or makes people uncomfortable can be a form of harassment.
2. If you were the M&E Specialist, what would be your next steps?
 - If the M&E Specialist feels comfortable, she should bring the matter up to her COP. Otherwise she can reach out to Human Resources, the Ethics and Compliance Officer, or call the Ethics hotline to make an anonymous report.
 - In this case the M&E Specialist talked to her COP who reached out to Human Resources. After reviewing the details of the case, Human Resources identified that the messages did not stop after the M&E Specialist requested that they do. HR issued a first and final warning to the DCOP and required him to take additional anti-harassment training to raise his awareness of the impact of his actions.
3. What could be done to limit this vulnerability?
 - Continued awareness training and discussions will help all employees understand what is and is not harassment and how to responsibly use chat apps for work needs.
 - Additionally, having these types of conversations will help employees to raise issues before they get out of control.

Sexual Harassment

Case Study 22

Case Study:

A Managing Director recently received a complaint from a Project Manager (PM) about unfair treatment and favoritism. The PM was scheduled to go out on an STTA, but her Director recently decided to send an Associate despite the PM's longer tenure and experience supporting the project. The PM claimed the reassignment happened because her Director and the Associate were engaged in a consensual romantic relationship.

When the Managing Director asked how the PM knew about the relationship, the PM provided examples of the workplace conduct between the Director and Associate, including but not limited to, excessive closed-door meetings, flirtatious behavior and similar arrival and departure times. The Associate reports to the PM who reports to the Director.

Discussion:

1. What are your concerns?
2. If you were Managing Director, what would be your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 22: Sexual Harassment

Case Study:

A Managing Director recently received a complaint from a Project Manager (PM) about unfair treatment and favoritism. The PM was scheduled to go out on an STTA, but her Director recently decided to send an Associate despite the PM's longer tenure and experience supporting the project. The PM claimed the reassignment happened because her Director and the Associate were engaged in a consensual romantic relationship.

When the Managing Director asked how the PM knew about the relationship, the PM provided examples of the workplace conduct between the Director and Associate, including but not limited to, excessive closed-door meetings, flirtatious behavior and similar arrival and departure times. The Associate reports to the PM who reports to the Director.

Discussion:

1. What are your concerns?
 - Even though the relationship is consensual, this is an inappropriate relationship based on the reporting lines of the employees.
 - The complaint indicates that the decision made was based on favoritism due to the personal relationship. This form of favoritism can be seen as harassment.
2. If you were Managing Director, what would be your next steps?
 - As a supervisor, it is your responsibility to make sure that any reports of harassment are escalated to the appropriate person and are investigated properly. You can assure the PM that only those who NEED to know about this episode will know and that no retaliation will take place based on her report.
 - HR was notified about the incident and investigated. During the course of the investigation the two individuals admitted to having a consensual relationship. The Director explained that the decision to assign the STTA to the Associate was due to the fact that the PM's subject matter expertise was needed on a live bid which was a similar timeframe of the STTA.
 - Based on the investigation, the associate was moved under a new manager and the Director was issued a first and final warning.
3. What could be done to limit this vulnerability?
 - It should be clearly communicated to employees that even consensual romantic relationships within a reporting line are inappropriate.

Sexual Harassment

Case Study 23

Case Study:

The Administrative Assistant on the project complains to her supervisor about a local delivery driver. The driver comes into the office at least every other day with deliveries and the Administrative Assistant is responsible for signing for the packages. A while back the driver asked her out, and she said no. Rather than accept her answer, he decided to win her over. While not every day, but usually once a week or so, he brings her candies, flowers, cards, and small stuffed animals. The Administrative Assistant is not interested at all and is getting uncomfortable with the attention.

Discussion:

1. What are your concerns?
2. What would be your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 23: Sexual Harassment

Case Study:

The Administrative Assistant on the project complains to her supervisor about a local delivery driver. The driver comes into the office at least every other day with deliveries and the Administrative Assistant is responsible for signing for the packages. A while back the driver asked her out, and she said no. Rather than accept her answer, he decided to win her over. While not every day, but usually once a week or so, he brings her candies, flowers, cards, and small stuffed animals. The Administrative Assistant is not interested at all and is getting uncomfortable with the attention.

Discussion:

1. What are your concerns?
 - The behavior of the driver is unwanted, repetitive and making it difficult for the Administrative Assistant to do her job (sign for packages). It is creating a hostile work environment for the Assistant.
2. What would be your next steps?
 - DAI has a commitment to ensure a harassment free environment for all employees. This is a case of third party harassment.
 - DAI would contact the delivery company and inform them of the accusation. DAI reserves the right to request an alternative delivery person be assigned.
3. What could be done to limit this vulnerability?
 - Employees should understand that they do not have to accept this kind of behavior even from people who do not work directly for DAI.
 - Create an environment where employees are comfortable talking about these types of concerns, so you can address the issue before it becomes a concern.

Sexual Harassment

Case Study 24

Case Study:

A new Finance Manager recently joined the project, and the Procurement Manager has noticed that the he uses nicknames such as 'Sweetie, Honey, and Babe' when addressing female staff. In addition, the Finance Manager regularly comments on the clothing female members of the staff wear in the office. The Procurement Manager has a good relationship with one of the female staff, so he asks her if the Finance Manager's behavior bothers her. She says it does, but that she is not comfortable reporting it to project leadership.

Discussion:

1. What are your concerns?
2. What would be your next steps?
3. What could be done to limit this vulnerability?

SESSION LEADER VERSION

Case Study 24: Sexual Harassment

Case Study:

A new Finance Manager recently joined the project, and the Procurement Manager has noticed that the he uses nicknames such as 'Sweetie, Honey, and Babe' when addressing female staff. In addition, the Finance Manager regularly comments on the clothing female members of the staff wear in the office. The Procurement Manager has a good relationship with one of the female staff, so he asks her if the Finance Manager's behavior bothers her. She says it does, but that she is not comfortable reporting it to project leadership.

Discussion:

1. What are your concerns?
 - You have witnessed inappropriate behavior and, based on questions you asked, you also know that other people are uncomfortable with the behavior.
2. What would be your next steps?
 - This type of repeated and demeaning behavior is a form of verbal harassment. As a bystander to the verbal harassment you have a responsibility to report it to project leadership.
 - After an investigation, the Finance Manager was given a first and final warning and required to take anti-harassment training to raise his awareness of what constitutes harassment.
3. What could be done to limit this vulnerability?
 - The project leadership should work to make everyone in the project comfortable with reporting harassment or other violations they may witness.
 - Additionally, the project leadership should ensure there is no retaliation against anyone involved in the complaint and / or the investigation.