

Welcome to the third issue of the quarterly newsletter on important ethical issues and appropriate action for DAI employees around the world. The topic this quarter *is the importance of a respectful workplace to an ethical and compliant organizational culture.*

Trust, morale and teamwork are critical priorities for a Team Leader, Chief of Party, manager and supervisor. A DAI workplace must be based on respect and fairness to generate trust. Employees should feel that they can raise issues that may be uncomfortable – and to be heard and taken seriously. This respect is earned and is easily lost when fear is created.

As stated in the Code of Business Conduct and Ethics:

*“DAI’s diversity is essential to its success as a global company. We treat each other as we would like to be treated ourselves. We value each other’s work and roles within the organization. This respect builds trusting relationships that promote teamwork, and nurture an organizational climate that is fair, supportive, and responsive. We recognize that our words and actions are crucial to maintaining this professional environment.”*

Please discuss the cases in this newsletter with your staff, and any others you’re aware of to reinforce the importance of respect in the workplace.

If you have any questions or concerns about behavior related to the *Code of Business Conduct and Ethics*, talk with your supervisor. You can also send an email to [ethics@dai.com](mailto:ethics@dai.com), call the ethics hotline at +1-503-597-4328, or visit [www.dai.ethicspoint.com](http://www.dai.ethicspoint.com).

You can also reach out directly to *Jeremy Finch*, DAI Europe Head of Internal Audit and Ethics & Compliance Officer ([jeremy\\_finch@dai.com](mailto:jeremy_finch@dai.com), +44-7834-439974) or *Mike Walsh*, Chief Ethics & Compliance Officer ([mike\\_walsh@dai.com](mailto:mike_walsh@dai.com), +1-301-771-7998).

This document is at: <http://dai-global-conduct.com/global-citizenship/respect-and-no-harassment/>

## Ethics & Respect in the Workplace

### Case 1

The Chief Ethics and Compliance Officer received an ethics hotline report from an anonymous employee on a field project alleging that a Regional Coordinator on the project is arranging to give grants to organizations run by the coordinator’s friends and former schoolmates. The employee stated in the hotline report that when concerns were raised with the Regional Coordinator about the lack of clear documented justification for the awards to these organizations, he was shouted at and told that it was not his job to second-guess these decisions.

### Appropriate Action

Tensions can rise under the stress of getting important work done in a timely manner, however shouting prevents both parties from listening to each other to resolve issues. Separation of duties requires each employee to perform his/her role professionally without threats from others. An internal audit investigation did not find favoritism in the awards but documentation was poor. To preserve the anonymity of the employee, which is DAI policy, the Chief of Party provided training for the entire team on the ethics policy and being professional in the workplace. Having reinforced these standards, the Chief of Party counseled the Regional Coordinator. She also conducted more regular meetings with the team to ensure more effective engagement with each other.

### Case 2

A DAI home office associate received a skype call from the Project Accountant she met while visiting the field project soon after start-up. The accountant said she was not sure whom she should speak to with her worry. She explained that in reviewing and preparing documents for payment, she found a receipt for a printer, which she understood to be in the COP’s house, and a cellphone which she had heard was given to the COP’s daughter. When she questioned these costs with the Finance Manager, she was told to prepare the payments immediately as instructed. When she tried to discuss the issue further, the Finance Manager directed her out of her office and back to work. The accountant told the associate that she is concerned for her job and did not know who to contact to raise her concerns and be listened to.

### Appropriate Action

It was difficult for the Project Accountant to make this call as she feared for her job. She did the right thing by talking to someone she trusted. Employees should support each other when these concerns are raised. Do not try to resolve the issue yourself. Seek assistance from senior managers or through the ethics hotline. In this case, the COP repaid the costs and was disciplined along with the Finance Manager. Home Office management reinforced the code of conduct, financial operations procedures and the non-retaliation policy. The Home Office also kept in regular contact with the accountant to assure that there was no retaliation.



## Ethics & the Work Environment

### Quick Tips

**You are not alone.** Do not try to confront an aggressor. Seek support from your colleagues or peers. Support the person being attacked. “I am with you. You are not alone.”

**You are empowered in your job role to say no.** We are all responsible for speaking up and addressing issues. It is your responsibility to dissent if that is your professional judgment.

**Create a team atmosphere in which people feel empowered to have uncomfortable conversations.** This is key to fulfilling the values of DAI corporate culture – integrity, responsibility, excellence and global citizenship.

**A DAI leader must be open to learning, generate trust, reinforce fairness, look at issues from the broader perspective.** Trust, morale and teamwork are critical priorities of a leader.

**Set an example in your relationships at work and with our clients, business partners and beneficiaries.** Our activities are highly visible where we work. We need to model respectful and fair work environments and relationships to generate trust, which is essential for development.

**Do people look forward to working with you?**



### Case 3

During a management review conducted by a home office Program Manager, a Technical Director on a project complained about the slowness of the Grant Manager who was questioning every decision and document while urgent grants must be awarded. In talking with the Grants Manager, the home office Program Manager heard that the Technical Director did not document his evaluations or approvals and often tried to push awards without any justification except that it was urgently requested by the client. The home office Program Manager understood from others that the Technical Director and Grant Manager refused to meet and talk with each other and only exchanged terse emails which made everyone uncomfortable.

#### Appropriate Action

Respect the role each employee plays in the organization and process. The role an employee fulfills and his or her professional standards requires questions and concerns to be raised and resolved. In this case, the Team Leader imposed a clear planning process with clear roles and transparent, well-documented procedures. Priorities and next steps were regularly discussed and agreed upon which limited delays and assured closer engagement with the grantees that reinforced the project objectives. The Team Leader invited home office spot checks of documentation to limit concerns about quality of documentation and ethical risk.

### Case 4

The Voucher Examiner raised concerns on an invoice for training that lacked photos of the event, appeared to have one person signing for all participants and no monitoring report. The responsible Field Monitor told the investigator that she was prevented by the Lead Trainer from attending, describing how the he shouted at her that the town was no place for a woman.

#### Appropriate Action

Intimidation, especially gender-based, is never acceptable in our workplace. Support each other in dealing with such behavior. In this case, the investigation could not verify the training. The Leader Trainer was fired and the training vendor had to conduct the training at their own expense. The Chief of Party organized anti-harassment training and required all training events to have a Field Monitor present to be paid.