## Part 4 – Analysing ethical and unethical issues in a work environment

**In this section, you are required to analyse each scenario and provide the most appropriate response.**

You are the compliance officer at Reconstruction IT Solutions and the new code of ethics has been applied for six months and it is now time for review. You have completed an audit of all departments ensuring the code of ethics is being followed.

The following is what you discovered in each department:

**Management team**

A senior manager received a $500 bottle of champagne from a hardware supplier and was also seen out to dinner with them. He has been recommending this hardware supplier over others recently with his clients.

|  |  |  |  |
| --- | --- | --- | --- |
| 1 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the code, extra compensation plans are prohibited. This involves receiving gifts, commissions, incentives, or free services from customers in exchange for promoting their goods. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 2 | List 3 actions as the compliance officer you would be required to take in response to the above scenario. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to the senior manager about the issue. | |  |  |
| Action 2  Remind him of the code and that receiving gifts or promoting a particular supplier over others is a breach of the code of ethics. | |  |  |
| Action 3  The senior manager should receive a formal warning/be terminated. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**Finance team**

You notice a finance manager saying loudly in the finance office for all to hear, ‘I don’t know what John’s complaining about. He is on a big salary of $120K. I saw that when I authorised his payroll when he first started.’

|  |  |  |  |
| --- | --- | --- | --- |
| 3 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the code, confidentiality must be upheld while handling sensitive employee data, such payroll. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 4 | List 3 actions as the compliance officer you would be required to take in response to this scenario. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to the senior manager about the issue. | |  |  |
| Action 2  Remind him of the code of ethics and the importance of keeping sensitive information such as payroll confidential. | |  |  |
| Action 3  The senior manager should receive a formal warning. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**Salespeople**

You sat in on a client meeting where you saw a salesperson try to persuade a small business that they needed the five-star option for internet access, which includes installing fibre optic cables. The client only has a five-person office and the salesperson said it was the only way to ensure an ‘adequate’ speed for the internet. After the client left, you overheard them say ‘I only need one more fibre optic deal and then I can get my $5,000 bonus from the fibre optic cable company!’

|  |  |  |  |
| --- | --- | --- | --- |
| 5 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the code, extra compensation plans are prohibited. This involves receiving gifts, commissions, incentives, or free services from customers in exchange for promoting their goods. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 6 | What actions do you take in relation to the Reconstruction IT Solutions code of ethics? List 3 actions. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to the salesperson about the issue. | |  |  |
| Action 2  Remind him of the code of ethics and that promoting a particular product that may not be in the client’s best interests is a breach of the code of ethics. | |  |  |
| Action 3  The salesperson should receive a formal warning/be terminated. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**IT specialists and consultants**

John is an IT specialist and has recently reduced his hours and is starting his own IT consultancy firm. A team member has mentioned that he has been doing some dealings with Reconstruction IT Solutions clients. You have checked his website and have seen a testimonial from one of your clients saying how they were happy with the software upgrades he completed for them.

|  |  |  |  |
| --- | --- | --- | --- |
| 7 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
| **Answer:** | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the regulation, workers are prohibited from obtaining business from or developing connections with Reconstruction IT Solutions clients for their own ventures both while they are employed and for six months following their termination. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 8 | List 3 actions you would take in relation to the Reconstruction IT Solutions code of ethics. | | |
| **Actions:** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to John about the issue. | |  |  |
| Action 2  Remind him of the code of ethics and that procuring clients is a breach of the code of ethics. | |  |  |
| Action 3  John should receive a formal warning/be terminated. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**Client support call centre operators**

You overhear a client support call centre operator talking to a colleague about an issue they were having with a client: ‘This client says that they have just declared bankruptcy and are in liquidation so won’t be able to pay their monthly bill or anymore bills. I’m not going to pass this on as I can’t be bothered logging in and putting a note on their file as it’s time for me to knock off.’

|  |  |  |  |
| --- | --- | --- | --- |
| 9 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the code, workers must behave in a way that benefits their company, not hurting them in any other way or denying them access to their talents and abilities. Reconstruction IT Solutions might be harmed if this information is not known at an early stage. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 10 | List 3 actions you would take in relation to the Reconstruction IT Solutions code of ethics. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to the client support call centre operator. | |  |  |
| Action 2  Remind them of the code of ethics and that withholding relevant information is a breach of the code of ethics. | |  |  |
| Action 3  They should receive a formal warning. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**Administration staff**

You have been informed that an administration team member has updated her Facebook status saying ‘We just scored a big contract worth $5 million dollars with Telecom, that big Telco Company! Boom!’

|  |  |  |  |
| --- | --- | --- | --- |
| 11 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
| **Answer** | | **Satisfactory** | **Unsatisfactory** |
| Yes. Employees are required by the code to maintain absolute secrecy with regard to information pertaining to past, present, and future clients. This means protecting private information from being disclosed without authorization in order to maintain the organization's integrity and credibility. Respecting confidentiality guidelines in this way demonstrates a dedication to safeguarding the privacy and interests of clients, which promotes a trusting environment inside the company. | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 12 | What action do you take in relation to the Reconstruction IT Solutions code of ethics? List 2 actions. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Any three of the following:  Action 1  Speak to the administration staff member about the issue. | |  |  |
| Action 2  Remind them of the code of ethics and that divulging confidential information is a breach of the code of ethics. | |  |  |
| Action 3  They should receive a formal warning/be terminated. | |  |  |
| Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**Administration staff**

You have been informed that an administration team member has updated her Facebook status saying ‘We just scored a big contract worth $5 million dollars with Telecom, that big Telco Company! Boom!’

|  |  |  |  |
| --- | --- | --- | --- |
| 13 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (10 to 20 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| No. This is not a breach since the news is public information | |  |  |

## Part 5 – Employee and Stakeholder interview questions

In this section, you are required to create questions that will be used during an interview with employees and other stakeholders to collect feedback on the effectiveness of the Code of Ethics.

|  |  |  |  |
| --- | --- | --- | --- |
| 1 | Provide 5 interview questions you could ask employees and other stakeholders about their experience or opinions about a workplace Code of Ethics. | | |
| **Interview questions** | | **Satisfactory** | **Unsatisfactory** |
| Answers may include but are not limited to:  Question 1  Have you made a formal complaint about any unethical issues? | |  |  |
| Question 2  Were you happy with the subsequent response?  Please describe what happened. | |  |  |
| Question 3  Is the code of ethics easy to understand and adaptable? | |  |  |
| Question 4  As an employee or other stakeholder, have you received enough information or training regarding the Code of Ethics? | |  |  |
| Question 5  Do you have any suggestions to improve the code of ethics? | |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 2 | List 3 important aspects (not questions) when conducting an interview for gathering feedback.  Please explain the relevance of each one.  (10 – 30 words each) | | |
| **Aspects and relevance** | | **Satisfactory** | **Unsatisfactory** |
| 1  Using a professional manner  Image as professional is portrayed, this sends an important  message to your audience. | |  |  |
| 2  Listen and confirm the details  Active communication is critical as it provides all parties with the opportunity to speak and ensures confirmation on discussions. | |  |  |
| 3  Seek clarification where necessary  To avoid confusion and unnecessary issues arising | |  |  |