



ACDI/VOCA CONFLICT OF INTEREST POLICY

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1. PURPOSE

The ACDI/VOCA Group Conflict of Interest Policy describes ACDI/VOCA's commitment to creating and maintaining an organizational culture that protects our integrity, credibility, and our reputation by proactively identifying conflicts of interest and/or situations that may lead to the appearance of a conflict of interest so that these situations can be avoided, disclosed or, in certain situations mitigated with the proper approvals.

2. POLICY STATEMENT

The ACDI/VOCA Group seeks to conduct all operations in accordance with this Conflict of Interest Policy, which provides a framework for identifying conflicts of interests and additional resources for specific procedural guidance on how to handle a particular conflict of interest.

ACDI/VOCA requires that all project and headquarters activities be free from **Conflicts of Interest** as well as free from the appearance of **Conflicts of Interest**. This requirement includes, but is not limited to, all: hiring and employment decisions, bid and proposal activities, assistance and procurement activities, relationships with ACDI/VOCA Group employees, beneficiaries, volunteers, vendors, contractors, host governments, implementing partners, and subawardees.

Conflicts of interest are a complex and multi-faceted issue, with the potential for many overlapping sources of authority, governing laws, and regulations. Accordingly, if you encounter a potential conflict of interest issue, it is always best to seek guidance early in the decision-making process from someone in your supervisory chain of authority such as the Chief of Party or Country Representative, the Project Director or Team Lead, a Human Resources representative, the Award Management Services representative and/or the Chief Legal Officer, as may be appropriate.

Additionally, the ACDI/VOCA Group and its affiliates maintain multiple separate policies that reference procedures for identifying, disclosing, and mitigating different types of **Conflicts of Interest**. These additional policies and resources are incorporated into this policy by reference and can be found here:

- ACDI/VOCA Employee Policy Manual (Section 5.0)
- ACDI/VOCA Subaward Manual (Section 6.0)
- ACDI/VOCA Procurement Manual (Section 2.3)
- ACDI/VOCA Anti-Corruption Policy

There are also several additional sources of Conflict of Interest regulations that may be relevant to this Policy:

- Tanager and AV Ventures policies and manuals;

- Agencies of the US Government may have award-specific or Agency-specific conflict of interest requirements;

Corporate donors or Institutional Partners may have donor-specific conflict of interest provisions;

International Organizations may have specific conflict of interest provisions; and

Foreign Governments that fund our projects may have specific conflict of interest provisions.

3. SCOPE OF POLICY

This policy directly applies to all:

- ACDI/VOCA Group employees;
- ACDI/VOCA Board of Directors;
- Contractors, consultants, volunteers, and subawardees who work with ACDI/VOCA;
- Entities owned or controlled by ACDI/VOCA employees, Board Members, or their families.

4. ROLES AND RESPONSIBILITIES

The Chief Legal Officer (CLO) has the primary responsibility for maintaining this policy and ensuring that the policy is followed.

Chiefs of Party, Country Representatives, and Division Heads are responsible for implementing and enforcing these policies in the projects they operate.

Supervisors should take all the necessary steps to ensure all ACDI/VOCA Group employees know how to identify and report conflicts of interest and that they follow this policy.

ACDI/VOCA Group employees are responsible for identifying situations that may present a conflict of interest or the appearance of a conflict of interest and are required to take affirmative steps to disclose or report conflicts to the appropriate staff member.

If a conflict, or the appearance of a conflict is identified, it must be addressed and resolved through appropriate disclosure and mitigation strategies, including but not limited to recusal which, in turn must be approved in writing in advance by the cognizant Award Management Services representative, the Chief Legal Officer, and/or the relevant donor authority, as appropriate. Similar approvals for Tanager are handled by the Operations Director or Country Representative.

Any and all reports regarding conflicts of interest may also be reported confidentially through the ACDI/VOCA Ethics System of Record.

Questions about conflict of interest should be elevated from staff to supervisors, management, and ultimately to the Chief Legal Officer.

5. DEFINITIONS

A “**Conflict of Interest**” arises when:

The personal or professional interests of a “**Covered individual(s)**” or a “**Covered entity**” has, or appears to have:

an improper interest in both sides of a particular transaction, or

the ability to exert improper influence in the outcome of the transaction.

An improper interest can be a financial interest, a personal interest, related to personal activity, or to outside employment such that it impairs or could impair your ability to act impartially to advance the interests of the ACDI/VOCA Group and/or the project.

“**Covered Individual**” means any individual who is covered by the scope of this policy.

“**Covered Entity**” means any legal entity that is engaged in a transaction or is considered for a transaction with ACDI/VOCA.

6. POLICY PROCEDURES

In order to carry out this policy effectively, ACDI/VOCA will implement this policy through:

1. Incorporation of the policy in on-boarding training for every ACDI/VOCA Board Member, ACDI/VOCA Group employees
2. Annual refresher training for all employees on relevant aspects of Conflicts of Interest
3. Requiring annual updates or recertification of the ACDI/VOCA Group employee Conflict of Interest Disclosure form;
4. Evaluation of specific donor or regulatory requirements to ensure that all subawards and subcontracts awarded to lower tier parties incorporate clauses requiring them to implement relevant and required practices or policies;
5. Volunteers and Independent consultants will be provided with this Conflict of Interest policy;
6. Annual Compliance monitoring;
7. Incident Reporting and investigation through the ACDI/VOCA Ethics System of Record

7. EXCEPTIONS

As may be required by an individual funder/donor or in accordance with local laws, customs, and concerns for the safety of employees, beneficiaries, and related parties, local country offices may seek

guidance from the Chief Legal Officer and Ethics Committee to develop variations of this policy that are sensitive to local concerns.

8. REFERENCES

48 CFR 52.203-16 (“FAR 52.203-16”); Preventing Personal Conflicts of Interest:
<https://www.acquisition.gov/content/52203-16-preventing-personal-conflicts-interest>

2 CFR 200.318 General Procurement Standards; Conflict of Interest standards 2 CFR 200.318(c)(1).

See also: ACDI/VOCA Code of Conduct

See also: ACDI/VOCA Anti-Corruption Policy