The Tait Report and CFIA's Values and Ethics Program

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Values, Integrity and Conflict Resolution

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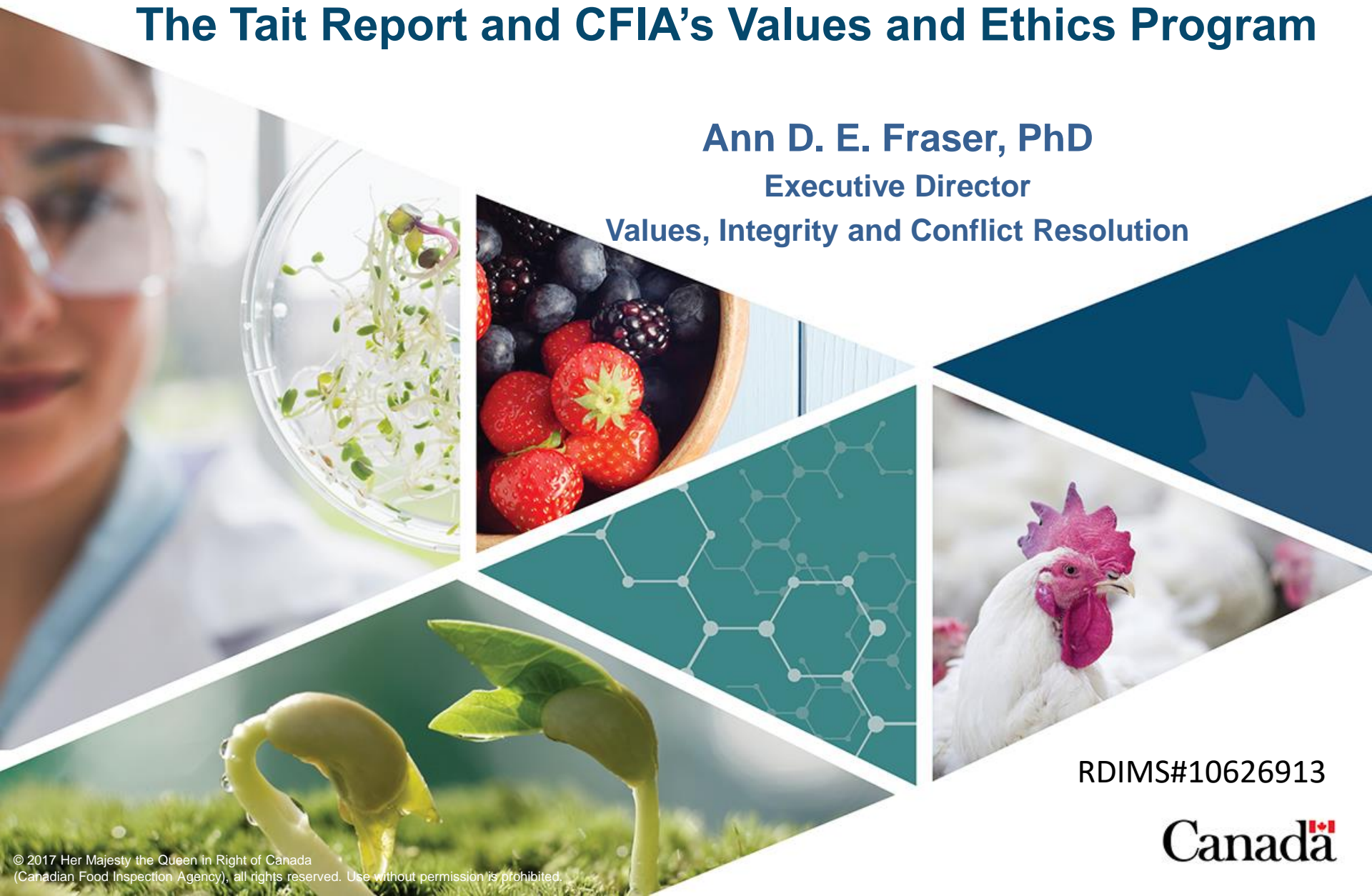
Creating an ethical organizational culture

Organizational Culture

Ethical Culture

An organizational culture is a group of people who have been trained, or who simply have learned by those around them, how to act in any given situation.

"It is the extent to which an organization regards its values. **Strong ethical cultures make doing what is right a priority**."*

*Ethical Culture Building: A Modern Business Imperative," Research Report, ERC 2009

Benefits of being an ethical organization

- Promotes a strong public image and better relations with stakeholders, partners and others;

- Results in better decision making;

- Helps staff act in a consistent manner in difficult situations;

- Promotes stability during periods of change;

- Cultivates strong teamwork and productivity;

- Supports values and ethics initiatives;

- Increases awareness and understanding of ethical problems (because employees are willing to Speak Up!!); and,

- Ensures that policies and procedures adhere to high moral standards, among others.

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Consequences of not focussing on Values and Ethics / Ethical Culture
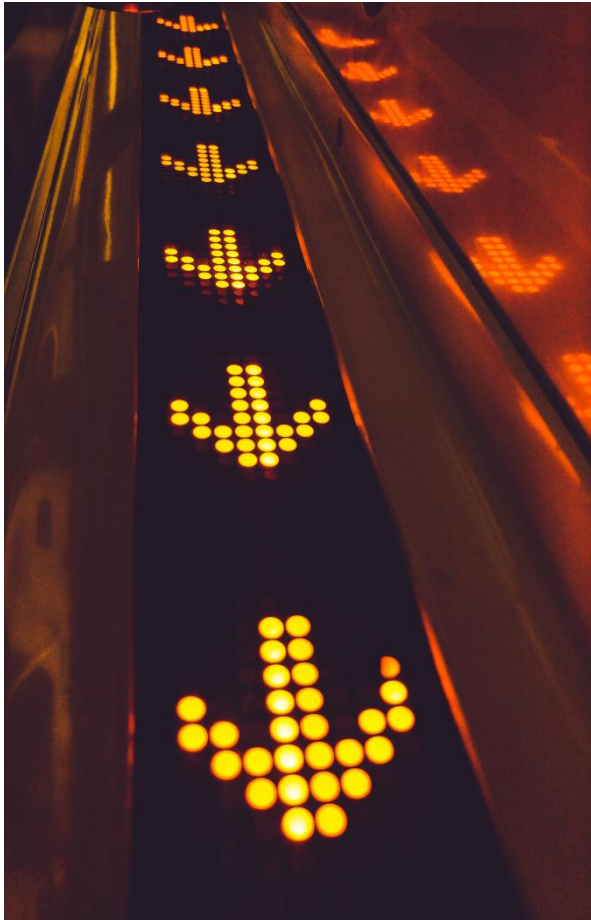
- Loss of internal (employee) and public trust in the organization and its leaders
- Lack of, or low, employee engagement
- Lack of discretionary efforts
- Low creativity/lack of innovation/low performance
- High employee turnover
- Adverse impacts on health and emotional well-being (physical and mental health deterioration, high anxiety and depression, absenteeism)
- Financial consequences (settlements, payouts, etc.)

CFIA key initiatives/mechanisms which contribute to the creation of an ethical organizational culture

1. **Values and Ethics Strategy**
2. Statement of Values (being updated) and appropriate Codes/Policies including a Code of Conduct and a Harassment Prevention and Resolution policy
3. Values and Ethics Training/Awareness Building
4. Ongoing Ethical Dialogue
5. Conflict of Interest Program
6. Ethical Wellness Report
7. Ethical Climate Surveys
8. Values and Ethics Leadership Team
9. Ethical Risk Profiles
10. Process for Internal Disclosure of Wrongdoing
11. Speak Up We're Listening Program
12. Support to managers willing to address unethical behaviour in the workplace (eg. LR advice and guidance)

CFIA's V&E Strategy

- The purpose of the **CFIA's Values and Ethics (V&E) Strategy: A framework for ethical decision making** is to articulate the Agency's objectives regarding its corporate values and ethics, and to put into context the various expectations, roles and responsibilities, elements and other aspects that work together **to create and maintain a values-based or ethical organization**.

- An overarching goal of the Strategy is to "hardwire" a consideration of values and ethics into all aspects of Agency business, and to help employees make appropriate, unified decisions when faced with an ethical situation in the workplace. This, in turn, helps to ensure that the CFIA, as a federal regulatory agency, maintains and enhances public trust.

- One of the key objectives of the Strategy is "to support and help good people do the right thing".

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CFIA'S V&E Strategy

- Defines values, ethics and ethical decision-making;

- Outlines the objectives of the Strategy;

- Outlines roles and responsibilities for the President and Executive VP, the Senior Management Committee, the Executive Community, the Senior V&E Officer, a V&E Leadership Team, Managers and Supervisors at all levels, and all Staff;

- Outlines the tools available in terms of guides and programs that support ethical decision-making and are the elements of an effective V&E strategy and values-based/ethical organization; and,

- Outlines the resources available in terms of policies and Acts (i.e. Code of Conduct, Values-Based Code, Conflict of Interest Policy, Harassment Prevention and Resolution Policy, etc.) which can guide ethical decision making.

What the CFIA V&E Strategy does . . .

- It is a means to **ensure that CFIA's Values are embedded in, and embodied by**, the organization by integrating the Values into <u>all</u> aspects of Agency work;

- It **provides guidance and tools** for ethical decision-making in the work life of everyone in the organization regardless of their level or location or type of work; and,

- It **helps foster an ethically sound and vibrant culture** that reflects Public Service and Agency V&E and promotes ethical behaviour thereby moving the Agency towards being a true values-based/ethical organization.

*"Building on past performance, the Agency's vision is to establish itself as a values-based organization that fosters continued public confidence in its ability to deliver its mandate."**

*CFIA's Values and Ethics Strategy: A Framework for Ethical Decision Making (2008, last updated 2015)

The Elements of the Strategy *(1)*

Under Governance:

- Values and Ethics Champion
- Senior Values and Ethics Officer
- Senior Integrity Officer
- Values and Ethics Action Team

Under Partnerships and Networking:

- Formal Networking with Values and Ethics Partners

Under Recruitment:

- Staffing Framework
- Manager's Guide

Under Learning and Development:

- Courses on Values and Ethics
- Managing for Success Program
- Leadership Development Programs
- Leadership Competency Development Program
- Workplace Wellness Program
- Facilitator-led courses on Health and Wellness in the Workplace
- Courses on Workplace Wellness

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The Elements of the Strategy *(2)*
Under Management Excellence:

- New Employee Orientation Program
- Prerequisite Employment Program
- Performance Management Program/Talent Management Program
- Performance Feedback and Review Program
- Rewards and Recognition Program
- Values-based Framework for Policy Making and Program Development (ns)
- Science into Policy Making and Program Development (ns)
- Ethical Risk Profiles
- Monitoring, Controls and Corrective Actions
- Mental Health and Workplace Wellness

- Internal Disclosure of Wrongdoing Policy
- Other policies and Acts (i.e. Code of Conduct, Values and Ethics Code for the Public Sector, Harassment Prevention and Resolution)
- CFIA's Human Resources Renewal Plan
- Leader's Kit for Dialogue and Ethical Decision Making
- Ethical Climate Surveys and Organizational Culture Assessment
- Leadership Competencies Framework
- Official Languages, EE, Diversity and LGBTQ
- Conflict Resolution and Prevention Program

But what was the foundation of the Agency's V&E Strategy?

Drivers of Values & Ethics Performance

The Foundation of CFIA's Values and Ethics Strategy

RESULTS

Drivers

Leadership

People

Where we need to focus

Organizational Culture

Risk Assessment, Controls

Where most efforts are focussed

Standards, Recourse

Achieving High Levels of Values and Ethics Performance

Preventing and Managing Values and Ethics Problems

Public and Internal Trust in the Integrity of the Public Service

Key Drivers Defined

Leadership - Executive leadership is the foundation of an organization's positive values and ethics performance. Values and ethics leaders establish clear standards and act in accordance with those standards; build and reinforce a strong values and ethics culture; assess and manage areas of the organization at high risk for ethical breaches; establish control and monitoring systems; and, act decisively and transparently when values and ethics standards are breached.

People - Organizations need to regularly measure employee satisfaction, commitment and quality of working life, and respond to employee priorities for improvement through a systematic organizational development plan.

Values and ethics culture - A strong values and ethics culture has clear standards and expectations for values and ethics behaviour; an environment where staff is comfortable reporting wrongdoing; regular measurement of staff perceptions of the organization's values and ethics culture and the performance of its leaders; and, improvements in the values and ethics culture based on the results of staff surveys.

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Standards and recourse - <u>Clear ethical standards</u> need to be <u>set and communicated</u>, and <u>accessible, safe recourse mechanisms must be in place to encourage staff to report breaches of ethical standards and guidelines</u>.

Risk assessment and controls - Risk assessment and controls help to prevent serious ethical problems by <u>identifying the functions and areas at high risk for ethical breaches</u> (e.g., application of a risk matrix/profile) and <u>ensuring that strong controls and oversight are in place in those areas</u>.

And the Australian Model

Commitment as provided by guidance from leaders and managers who have the highest standards of behaviour; who will 'role model' the values and who provide clear expected standards of conduct and build trust with staff. And as provided by values that are integrated into strategic direction setting and recruitment activities; and, 'how to live the values' promulgated through learning and development activities, especially leadership development

Management (culture) as provided by 'hardwiring' the values into management policies, instructions and guidance that are consciously communicated and accessible to everyone who needs them. Values are a part of day to day decision making and activity

Assurance (control) as provided by effectively using accountability and control mechanisms such as a Code of Conduct, fraud control and risk assessment strategies and contract management arrangements. Employees must be comfortable with reporting wrongdoing. Quality assurance mechanisms are used to monitor overall adherence to the values and to improve Agency practice

The "Guidebook for a Departmental Audit Committee" under Values and Ethics (V&E) asks:

- How does the Agency ensure that V&E are embedded in what people do/everyday practices?

- What processes and/or structures does the Agency have in place to ensure <u>active V&E dialogue</u> among Agency senior management?

- How does the Agency maintain an <u>ongoing dialogue</u> on Public Service/Agency V&E relevant to the specific challenges of the Agency?

- How does the Agency <u>communicate</u> the 'code' to staff on an ongoing basis to ensure they understand responsibilities and expectations with respect to ethical behaviour and the consequences of non-compliance with the 'code'?

An Agency Example

Scenario

Values and ethics scenario: "During the previews"

Marie and Anne are colleagues at work and get along fine. They have been working together in the same Directorate for almost 5 years.

Recently, Marie brought her children to a movie theatre. They quickly grabbed three seats as the lights were dimming. Just as the previews were starting, Marie recognized the voice of the person sitting in front of her – that of her co-worker Anne. Before leaning forward to say hello, she couldn't help but overhear Anne speak to her friend sitting next to her about the #MeToo and #TimesUp campaigns. Marie overheard Anne say "That same stuff is happening to me at my work." She continued describing to her friend incidents and encounters where she said she was being sexually harassed by a co-worker.

On Monday when Anne showed up at the office, Marie asked if she could speak with her in private. When they got in a meeting room, Marie told Anne that she couldn't help but overhear the conversation she had at the movies over the weekend. She explained that she was concerned enough and cared enough about Anne that she wanted her to know she was there to support her if she wanted to talk about these incidents.
Marie also asked Anne if she felt like reporting these incidents.

Anne, visibly drained and nervous, responded by saying "No, sorry I don't really wanna talk about it right now. You're a great colleague and I thank you for your support but I'm really afraid; I don't trust a lot of people we work with at the moment, and I really don't have any faith anything will get done. I'm so physically and mentally drained from what I've gone through.....at this point I just feel like quitting."

What can or should Anne do? Do you think Marie has an obligation to do anything at all from what she heard from Anne? If so, what can or should Marie do?
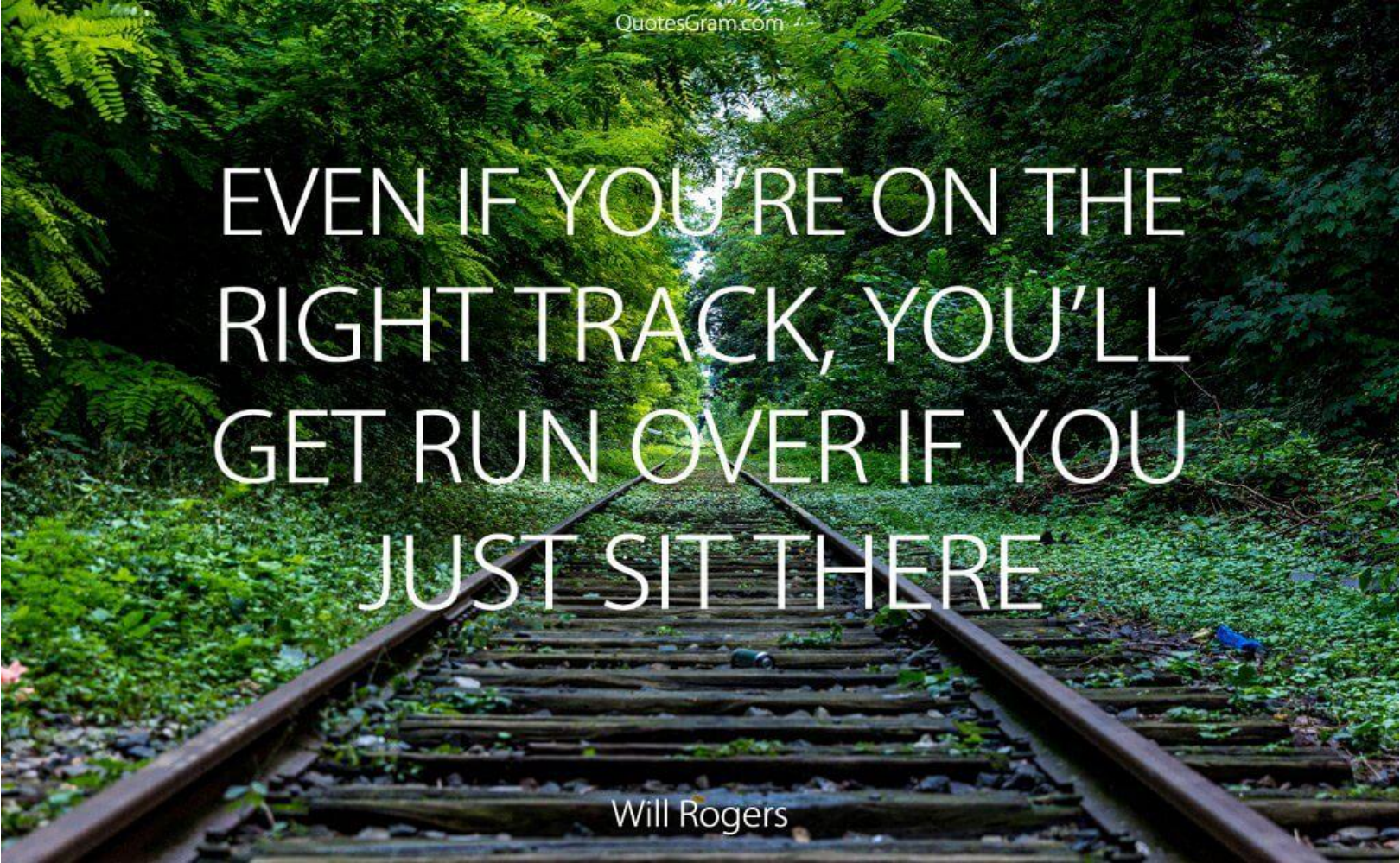
For any further inquiries about Agency Values and Ethics please contact us via our confidential email:
CFIAValues-ValeursACIA.OTTFPI2.NCR4@inspection.gc.ca
Visit us on Merlin for additional support and information.

- **Supporting document provided in advance to Supervisors/Managers/Executives to aid their discussion with employees**

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- The new V&E Scenario was distributed electronically through Executive Group Services to all Executives to share with their staff on, or close to V&E Day.

- Supporting documentation to help supervisors, managers and Executives discuss the new V&E Scenario with their employees was provided in advance of that date in order to help guide them in their dialogue sessions.

- As of April 12, 2018, VICR has received confirmation from 20 Executives that they have engaged in these discussions in addition to their managers and supervisors. Very positive response.

- Example of the comments we received about the Scenario discussions: ***"It was a positive, timely and useful conversation - everyone participated, there were no wrong answers, no one was judged, it was interesting to learn what others thought and how each interpreted the scenario, and we all left feeling that we had learned something new."***

EVEN IF YOU'RE ON THE RIGHT TRACK, YOU'LL GET RUN OVER IF YOU JUST SIT THERE

Will Rogers

Pathway to a Mature Values and Ethics Program*

Key Elements:

- Ethical organizational culture

- Ethical leadership

- Governance

- People management

- Ethical risk analysis

- Awareness and knowledge building

Pathway to a Mature Values and Ethics Program Cont'd.

- Four aspects of each key element were explored: definition, outcome, suggested activities, and challenges and considerations. Given the unique cultures and operating environments across the public sector, these elements were presented generally, with the intent that they be adapted to individual organizational needs.

- None of these elements is mutually exclusive; there is often some overlap in content from one element to another. This is intentional, as it underlines the interdependence of the various elements of V&E programs.

- Finally a 4-level Maturity Model was created covering each of the 6 elements. This maturity model was developed to help one gauge their V&E program on a continuum.