



Canadian Food
Inspection Agency

Agence canadienne
d'inspection des aliments

Canadian Food Inspection Agency



Our vision:

To excel as a science-based regulator, trusted and respected by Canadians and the international community.

Our mission:

Dedicated to safeguarding food, animals and plants, which enhances the health and well-being of Canada's people, environment and economy.

Measuring the CFIA's Values and Ethics Performance: Simply Good 'Business' Practice

Presentation to EPAC Workshop

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“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)**



But What Makes a Values-Based Organization (VBO)?

- ✓ In a VBO the values are **conscious**, **shared** and **lived**; not just a “frame on the wall”, in other words, values and ethics are ‘embodied behaviours’
- ✓ In a VBO the values govern all decision making both day to day and during emergencies, values and ethics are ‘embedded’
- ✓ In a VBO the values are used to build a cohesive organizational structure
- ✓ In a VBO stewardship is exercised and explicit checks and balances put in place which are continuously reinforced in management processes
- ✓ In a VBO the values are an integral part of leadership development
- ✓ In a VBO a culture of trust is developed and sustained based on a clear understanding of roles and responsibilities – control is maintained through confidence in the way decisions will be taken, rather than through detailed rules and instructions

But What Makes a Values-Based Organization (VBO)?

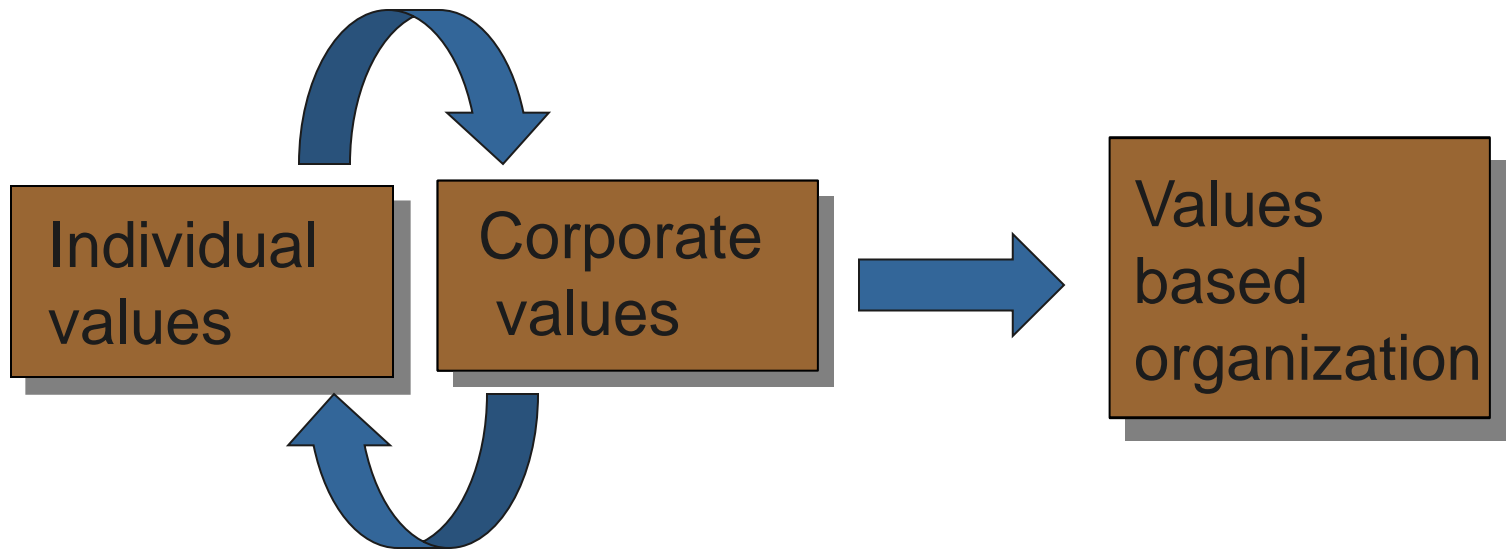
- ✓ In a VBO there is a framework of relations and behaviours within which the organization can drive different business tasks and respond quickly to changing circumstances
- ✓ In a VBO attention is given to the quality of people management and leadership in an organization (both through “tone at the top” and “tone throughout” the management of the organization)
- ✓ In a VBO talented people are attracted and retained
- ✓ The VBO has been shown to build public trust in the organization’s activities, increasing its overall effectiveness

As a result a VBO enables a culture of excellence and fulfills the obligations of the *Public Servants Disclosure Protection Act* and the *Federal Accountability Act*

In other words...

Where we are now...

Where we need to be....



ideals that help us set priorities and guide behaviour as individuals

touchstones for how we operate and do business as an organization

culture and leadership principles as guidelines for how we work together to serve Canadians

And Why Measure V&E Performance?

- It's good "business" practice
- It's legislated/mandated:
 - Management Accountability Framework
 - Department and Agency Audit Committee
 - *Public Servants Disclosure Protection Act*
 - *Federal Accountability Act*
- It's CFIA's desire and commitment to create and maintain a values-based organization by:
 - enhancing existing CFIA programs, policies and learning opportunities that promote V&E; and,
 - implementing the CFIA Statement of Values and V&E Strategy.
- **It's the right thing to do!!**

Three Incremental Levels of V&E Performance Analysis*

Design

Are all the necessary elements of an effective V&E program being considered?

How do our V&E program elements compare with the V&E programs of others of similar size mandate and maturity?

Are we using accepted national and international best practices?

Implementation

Are the elements performing as expected i.e., are they doing what they are supposed to be doing?

Impact

Are we achieving our intended results? Does our V&E program make a difference? Is our organization ethically well? (An in-depth look at our culture/V&E performance)



The 'Design'



A V&E Program for the CFIA: what it needs to succeed (the 'elements')

PUBLIC AND INTERNAL TRUST IN THE INTEGRITY OF THE PUBLIC SERVICE				
ACHIEVING HIGH LEVELS OF VALUES AND ETHICS PERFORMANCE				
Leadership	Organizational Culture	People	Standards and Recourse	Risk Assess. and Controls
(1) President, Exec VP and SMC Commitment	(1) Values and Ethics Strategy/ Guide	(2) New Employee Orientation Program	(1) Statement of Values	(4) Ongoing Analysis of Org. Culture
(1) Senior Integrity Officer	(3) Values and Ethics Action Team	(2) Employee PFR Program (V&E component)	(3) Values-Based Code (updating supporting principles)	(3) Ongoing Review of Policies and Programs
(1) Senior Values and Ethics Officer	(1) Manager's Kit for V&E Dialogue	(1) Managing for Success Program	(1) Code of Conduct	(3) Identification of 'Ethical Hotspots'
(2) Performance Management Program (V&E component)	(2) Rewards and Recognition Program (V&E component)	(2) Instructor-led Course on Values and Ethics	(1) Conflict of Interest Policy and Act	(1) Evaluation and Incorporation of Best Practices
(1) Assessment of Leadership Competencies and Program Development	(2) Values Recruitment Strategy	(2) E-Learning Course on Values and Ethics	(1) Internal Disclosure Mechanism and PSDPA	(3) Monitoring, Controls, Corrective Actions
(2) Leadership Development Programs (V&E component)	(3) Corporate Framework for Agency Policy Making (V&E component)	(1) Ongoing Staff Surveys and Action Plans	(1) Other Relevant HR Policies (Harassment etc.)	(3) Collaboration with Academic Institutes
(3) HR Renewal Plan	(3) Science into Policy (Action Learning Group)	(1) Workplace Wellness Program and Training	(1) Relevant Finance, Admin and IT Policies	

(1) Action Complete	(2) Recently Completed Evaluation Required	(3) Updating Required or Program Initiated	(4) Action/Program to be Initiated
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Where we are with respect to the 'Design'

- ✓ All elements required for the success of CFIA's V&E Program are identified in the *CFIA's Values and Ethics Strategy: A Framework for Ethical Decision Making* and its associated action plan
- ✓ All elements are based on internationally recognised best practices
- ✓ CFIA's V&E Program is measured against those of all other government departments and agencies in the annual MAF process
- ✓ We participate in GoC interdepartmental V&E initiatives to ensure that the CFIA has input into the initiative's outcome and that the CFIA is aligned with the intent of the initiative
- ✓ We maintain a centre of expertise through liaison with V&E experts in other federal organizations, countries, academia and the private sector

The 'Implementation'



A V&E Program for the CFIA: how to know the “elements” are performing as expected (is this the right approach?)

- A specific action plan against each one of the elements identified in the Agency’s V&E Strategy**
- A senior manager committed to ensuring that a specific action plan is implemented, monitored and, if necessary, revised**
- A mechanism for tracking progress against each of the specific action plans**
- A mechanism for measuring the success of the outcome of each specific action plan**
- A strategy for revising action plans if the outcome is not as expected**

Where we are with respect to the ‘Implementation’

- ✓ There is an action plan against a number of the elements identified in the Agency’s V&E Strategy
- ✓ A senior manager needs to be identified for each action plan
- ✓ A number of the elements in the Strategy have been completed and will require an evaluation as to their ‘success’
- ✓ A Level III diagnostics are conducted on the effectiveness of the training given to CFIA managers and supervisors and employees
- ✓ An Ethical Wellness Report has been developed
- ✓ We have proactive response strategies to the PSES
- ✓ There is an annual MAF assessment of our progress

The 'Impact'



V&E Performance Outcomes/Objectives (the “intended results”)*

1. A **culture** of performance, accountability, trust and open communication
2. Leaders and managers who have the highest standards of behaviour and who exemplify these standards in their actions and behaviour**
3. The values "hardwired" into management policies, instructions and guidance, and consciously communicated and accessible to all concerned**
4. The values that are part of day-to-day decision making and all organizational activities (values embedded in and embodied by the organization)**
5. Non-compliance and unethical conduct prevented



V&E Performance Outcomes/Objectives (the “intended results”)

6. Actual or perceived non-compliance and unethical conduct appropriately addressed
7. Organization protected from negative consequences
8. Non-compliance, control weaknesses, and undesirable shifts in culture detected
9. Non-compliance, control weaknesses, and undesirable shifts in culture addressed
10. V&E program enhanced to better promote**, prevent, prepare, protect, detect and respond
11. Losses due to non-compliance and unethical conduct reduced

V&E Performance Outcomes/Objectives (the “intended results”)

12. Costs optimised to sustain V&E program
13. An enhanced stakeholder perception of organizational value

Note: Typically there is more emphasis in the literature on the compliance side (what we would see as prevention of wrongdoing or, if not prevented, disclosure of wrongdoing and the effectiveness of the response processes). And yet, an organization centered around values (values-based) and only the most essential rules is more efficient and effective than a rules-based organization.

Performance Measurement Tools

- ▶ **Organizational Culture Analysis/Assessment** (baselining and evolution)
- ▶ Document Review (both policies and previous studies)
- ▶ **Ethical Wellness Report** (quantitative)
- ▶ **Ethical Climate Survey** (qualitative)
- ▶ **Employee Survey** (PSES)
- ▶ Compliance (internal disclosure) Program Survey
- ▶ Focus Groups/High Tech Feedback
- ▶ Random In-Depth One on One Interviews (third party conducted)
- ▶ **Ethical Risk Profiles** (“deep dives”)
- ▶ Comparative Peer Review/Benchmark (eg. MAF)
- ▶ Exit Interviews (third party conducted)
- ▶ Self Assessment Guides



Where we are with respect to the “Impact”

- ✓ Our employee surveys over several years provide us with preliminary information on the state of the Agency’s V&E culture. This should enable us to determine the additional information required and the most effective tools to use for a more complete analysis. Later: the development of appropriate plans to move the Agency further towards being values-based.
- ✓ We have also conducted a number of corporate risk profiles which may provide additional information with respect to Agency culture (i.e., where there may be ‘ethical’ risks)
- ✓ We are conducting ethical risk profiles of Agency Branches and are developing appropriate mitigation strategies
- ✓ We have developed an Agency Ethical Wellness Report
- ✓ We are developing an Agency Ethical Climate Survey for FY 2013-14

What does ethical wellness mean?

Ethics, simply defined, is about knowing what is right and knowing what is wrong and doing the right thing.

Organisational ethics are about knowing what's right for the organisation and knowing what's wrong for the organisation and doing the right thing for the organisation regardless of where in the organisation one works or what work one does.

Ethical decision making is more nuanced in that an ethical decision is not only about choosing between right and wrong but can equally be about choosing between two right decisions or between a good decision or an even better one. It can even be the choice of the lesser of two “bad” decisions.

What does ethical wellness mean?

An ethically well organisation is one where every employee strives on a daily basis to make the best decisions possible for the organisation and where every employee behaves in the best way possible to ensure that trust and respect in the organisation are maintained.

It is also an organisation where the leaders provide an environment and the necessary tools that support the employees in making these best decisions and in behaving in a way that maintains trust and respect.

Ethical wellness indicators are indicators which allow a determination of whether this is indeed happening or not within the organisation.

Ethical Wellness Indicators (not only about the #'s)

- Internal disclosure inquiries and follow-up/investigations (# and issues?)
- Ethical inquiries and follow-up/investigations (# and issues)?
- V&E training and follow-up (# and feedback)
- Performance feedback and review
- Results of ethical risk profiles and mitigation plans
- COI submissions (# and types? appropriate mitigation?)
- Administrative and disciplinary investigations (# and nature?)
- Founded cases of harassment (# and nature?)
- Grievances (# and nature?)

Ethical Wellness Indicators (not only about the #'s)

- Employees using EAP (# and nature?)
- Employees using ICMS (# and nature?)
- Sick leave and leave without pay usage (# and nature?)
- Corporate security incidences (# and nature)

By Branch/Area/Groups (looking for patterns and asking why?)

Results of ethical climate surveys

Comparative results of PSES

Challenges of V&E Performance Measurement*

- Perception versus fact (surveys do not necessarily indicate fact but they do serve as proxies for information)
- Unintended consequences (inappropriate measures/incentives)
- **Long-term results (the ability to see the actual impact may not be realised for years)**
- Prevention and deterrence (difficult to prove a negative; also may have deterred but program may be too costly i.e., cost/benefit analysis needed)
- Multiple contributors (is it the V&E Program or something else or both?)
- Inconsistent or incompatible information
- **Developing discipline, no commonly accepted measurement technique, most focus is on private not public sector orgs****



Why Measure Performance Independently?

- It is widely accepted that there is no “one size fits all” V&E program (programs must be tailored to specific organizational requirements) so how can there be one V&E performance measurement approach?
- Following on that, organizations need more specific V&E performance measures that correspond to their business and unique circumstances.
- V&E programs can be at different levels of maturity (a program can be changing dramatically for years) and are, therefore, not comparable.
- “There is no single ‘magic metric’ that provides a complete picture of your ethical culture”*.
- There is an increasing tendency to develop and measure V&E programs against other organizations rather than shape each program to match emerging risk areas and changing ethics sensibilities of the particular organization.
- “Surveys may not be as reliable and accurate as we expect...if they are the principal measurement and assessment tool...there may be long-term, unintended and unwanted consequences.”**



Culture Analyses versus Surveys*

Culture analyses: measure organizational culture which is enduring, slow changing and encompasses the core characteristics of the organization and can have a significant impact on long-term performance

Surveys: measure organizational climate which refers to the more temporary attitudes, feelings and perceptions of individuals and can change quickly and dramatically