

# Staff of the Non-Public Funds, Canadian Forces ETHICAL PRINCIPLES POLICY

**Date of issue:** May 16, 2011

**Approval Authority:** CEO, Staff of the NPF, CF

**Enquiries:** Ethics Advisor & Ethics Officer

## **A) STATEMENT OF PURPOSE:**

CFPFSS is committed to vigorously supporting and maintaining a workplace culture of integrity for all NPF employees that is founded upon *Ethical Principles*.

The purpose of this policy is to identify a framework of fundamental *Ethical Principles* to guide, practice, promote and evaluate conduct. This policy identifies the *Ethical Principles* that form the basis of that framework.

The value of a principles based approach is to prevent excessive time and effort being wasted trying to comply with the specific requirements of a fixed set of rules or looking for ways around them.

It is the responsibility of every NPF employee to ensure that his or her conduct is consistent with the *Ethical Principles* and specific responsibilities listed below.

## **B) ETHICAL PRINCIPLES:**

- Respect the dignity & well-being of all persons
- Serve the interests of Canada and the CF above self interests
- Act consistently to benefit CF members, former members and their families
- Support and willingly comply with legitimate authority, within the norms of ethical conduct

### C) SPECIFIC RESPONSIBILITIES:

- Practice courtesy, reliability, trustworthiness & honesty
- Practice due diligence
- Practice equity, fairness, impartiality & objectivity
- Prevent or avoid retaliation, unfair advantage, or abuse of authority
- Maintain safety, security, confidentiality & loyalty

### D) APPLICATIONS:

1. **Leadership:** Demonstrate how ethical conduct is applied practiced, promoted and maintained by role modeling ethical conduct and by rewarding employees who demonstrate ethical integrity.
2. **Courage:** Individually confront difficult situations without fear of reprisal, accept the risks and responsibilities of ones position and act upon values that one believes are ethically right
3. **Real, apparent or potential conflicts of interest:** Ensure *Ethical Principles* are used to prevent or avoid any conflict of interest, including the receipt of any personal benefits such as gifts. (Please reference Section 5 of this policy for definitions)
4. **Risk management:** Ensure *Ethical Principles* are used to identify, assess and minimize risks.
5. **Decision making:** Ensure *Ethical Principles* are used to make, measure and evaluate decisions.
6. **Resolve challenging problems:** Ensure that *Ethical Principles* are used to balance interests in order to find a solution when options are limited, unclear, or involve a mixture of competing or conflicting aspects that might be either both positive or negative
7. **Core competencies:** Ensure that *Ethical Principles* are used to promote excellence and assess and evaluate all performance.
8. **Criminal conduct:** Ensure that any suspected criminal conduct is reported to the appropriate law enforcement authorities.

## E) ACCOUNTABILITY:

Implementation of *Ethical Principles* is a fundamental requirement expected of **all NPF personnel** in the performance of their duties. *Ethical Principles* are the overall standards upon which the conduct of all NPF personnel will be accountable.

**Managers** are responsible for ensuring that *Ethical Principles* are implemented and put into practice in the workplace and are accountable for both the ethical successes and failures of their units.

**Division Heads and B/W Comds** are accountable for ensuring that managers put *Ethical Principles* into practice and that sufficient steps are taken to ensure that adherence to *Ethical Principles* is both encouraged and enforced at all levels.

## F) ADMINISTRATIVE PROCEDURES:

### 1) Allegations of unethical conduct:

Allegations of unethical conduct may be made to the immediate supervisor, manager, Responsible Officer (RO) or directly to the Ethics Advisor and should be made formally and in writing. Every allegation must include:

- the identity and position of the individual alleged to have committed the unethical conduct
- the date and a detailed description of the unethical conduct
- why the conduct is believed to be unethical
- any other pertinent information

The information provided in a formal allegation should be as precise and comprehensive as possible.

Undertaking a reprisal against a person for having disclosed an allegation of unethical conduct is prohibited. A person who makes an allegation will be protected against reprisals for having disclosed that allegation, unless that allegation is vexatious or malicious.

The processing of all allegations of unethical conduct will comply with the provisions of the *Privacy Act*.

**2) Receipt of an allegation:**

The Ethics Advisor is the first and primary point of contact regarding advice or consultation in relation to any matter under this policy and must be notified of every allegation of unethical conduct. Confidentiality of the employee making an allegation will be protected to the maximum extent possible.

The appropriate Division Head or B/W Comd is the RO and will consult with the Ethics Advisor to determine the *Ethical Principle(s)* involved and will decide whether the matter requires an investigation.

In event the allegation involves unethical or inappropriate conduct by the RO or the Ethics Advisor then the allegation should be made directly to the next senior party or to the DGPFFS.

**3) Investigation and disposition:**

Upon receiving an allegation of unethical conduct the, the Ethics Advisor will advise the person accused of the conduct of the receipt of the allegation and allow that person a sufficient opportunity to defend himself or herself against the allegation.

The Ethics Advisor will arrange for the alleged unethical conduct to be investigated by a competent, unbiased and objective investigator who will then report their findings in the form of a written report to the Ethics Advisor, to the accused person and to the RO.

The conduct will then be reviewed by the RO who will determine what action if any is required to ensure compliance with the *Ethical Principles* in this policy and notify the appropriate parties involved of the outcome.

Any employee who has conducted himself or herself in a manner found to be in breach of the *Ethical Principles* in this policy, will be subject to the level of disciplinary action considered by the RO to be consistent with protocol and appropriate under the circumstances.

**4) Disclosures of Wrongdoing:**

The Public Servants Disclosure Protection Act (PSDPA) protects all public servants, including all NPF employees, who choose to disclose a serious wrongdoing. To disclose a wrongdoing or obtain advice concerning the PSDPA, NPF employees should directly contact the Internal Disclosure Office (IDO) within the Department of National Defence.

## 5) **Training, Awareness & Monitoring:**

The Ethics Advisor is responsible for developing training and awareness materials and sessions for delivery to NPP personnel regarding the recognition of and compliance with the *Ethical Principles* in this policy. This includes, on an ongoing basis, presenting workshops, briefings, scenarios and training sessions as well as providing ongoing advice and assistance regarding the *Ethical Principles* in this policy. This includes regularly monitoring and evaluating the effectiveness of the *Ethical Principles* policy and the internal disclosure procedures included in it.

## 6) **Definitions:**

***Unethical Conduct:*** any conduct that is not consistent with the *Ethical Principles* included in this policy, including any encouragement to act unethically.

***A real conflict of interest:*** when an individual knows that he or she has a private vested interest, whether financial or non-financial, that could potentially bias or prejudice the individual in the exercise of his or her duties or responsibilities.

***A perceived conflict of interest:*** when there is a reasonable apprehension that a real conflict of interest exists.

***A potential conflict of interest:*** when it is reasonably foreseen that a real conflict of interest situation might develop.

***Recusal:*** the removal of oneself from making or influencing a decision when a conflict of interest exists or is anticipated, to prevent or avoid a real, perceived or potential conflict of interest from occurring.

***Reprisal:*** any action or conduct that adversely affects the employment, working conditions or well being of a person in the workplace.

## 7) **References:**

*Public Servants Disclosure Protection Act*  
*Privacy Act*  
*Canadian Human Rights Act*  
*The Constitution Act*  
*Criminal Code*  
*Queen's Regulation's and Orders for the Canadian Forces*  
*NPF Harassment Prevention Policy and Guidelines*  
*Values and Ethics Code for the Public Service*  
*Defence Ethics Plan and Program*