

# Values & Ethics



**Manager's Kit: Dialogue and Ethical Decision Making**

# contents



## Introductory Documents

Foreword .....	7
Message from the Deputy Minister .....	9
Role of Management .....	10
Definitions .....	12
Information Kit Objectives .....	13
Section 1: Why Are Ethics Important? Why Now? Why Is Dialogue Important? .....	14
Section 2: Did You Know That ... ..	16



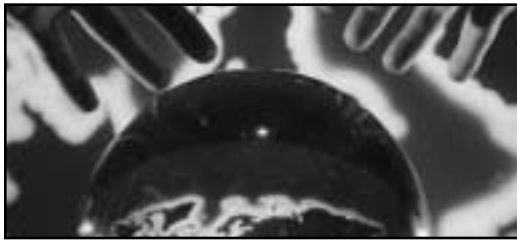
## Dialogue with Employees

Section 3: Preparation for Discussions with Employees .....	19
Section 4: First Meeting with Employees .....	22
Section 5: Session Evaluation Form .....	27



## Toolbox for Decision Making

Section 6: How to Recognize an Ethical Problem	.31
Section 7: What to Do in Unethical Situations	.31
Section 8: Decision-Making Models	.32
Section 9: Ethics Test	.42



## Increasing Our Knowledge

Section 10: Questions and Answers	.47
Section 11: CIC Ethics Framework	.54
Section 12: Extract from "An Ethics Toolkit for Managers"	.62
Section 13: Extract from "Changing Frames: Leadership and Governance in the Information Age"	.73
Section 14: Dialogue: A Proposal	.80
Section 15: List of Values and Ethics Web Sites	.90
Section 16: List of Key Documents on Values and Ethics	.92
Section 17: Bibliography	.93





# Introductory Documents

Foreword

Message from the Deputy Minister

Role of Management

Definitions

Information Kit Objectives

Section 1:

    Why Are Ethics Important? Why Now?  
    Why Is Dialogue Important?

Section 2:

    Did You Know That ...



# Foreword

Dialogue—which promotes the exchange of different points of view—enables us to identify ethical problems and resolve them together. It also helps us make decisions that are consistent with our code of conduct and our shared values.

In her second annual report, the CIC Ombudsman indicates that 28% of all the problems reported to her are related to management practices. Lack of communication explains many of the situations involving management practices. “Many of the employees who approached the Ombudsman indicated that staff meetings were rarely held. Much of the information they receive arrives by e-mail or through the grapevine. They observed that meetings were not only opportunities to communicate information, but could also serve to encourage dialogue, and that such meetings, if managed well, could be extremely valuable.”<sup>1</sup>

Why is dialogue on ethics so important? This is one of the questions the information in this kit answers.

This kit was designed to facilitate dialogue on ethics with your employees. It includes a scenario to help you direct your first meeting, several decision-making models, a “frequently asked questions” document and many other tools.

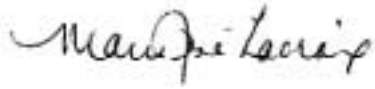
As managers, we are called on every day to make decisions during the course of our duties. Our decisions and our actions reflect our values, which influence our employees and shape their work environment. Our conduct must be exemplary in everyone’s eyes. We must demonstrate that our integrity is beyond reproach.

Ethics is a key factor in building and maintaining the public’s confidence in the government and its institutions. To ensure that our decisions are based on shared values, we must focus in particular on dialogue and the decision-making process.

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1. *Our Work Continues: CIC Ombudsman’s Annual Report for 2001.*

We are counting on your experience as managers to make the most of this practical, easy-to-use tool. We encourage you to share the content of this kit with your colleagues and employees and to discuss it with them. You have our full cooperation and support for this initiative.



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Marie-José Lacroix  
Director  
Modern Management Office



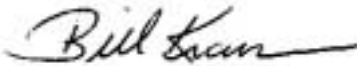
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Merdon Hosking  
President  
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Mr. Masud Husain  
President  
Professional Association of  
Foreign Service Officers



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Bill Krause  
President  
Social Sciences Employees Association



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Ms. Jeanette Meunier-McKay  
National President  
Canada Employment  
and Immigration Union  
Public Service Alliance of Canada



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M. Steve Hindle  
President  
Professional Institute of  
the Public Service of Canada



# Message from the Deputy Minister

Regardless of our responsibilities, our work requires us to make decisions based on our values.

On occasion, we are called upon to make decisions based on different values, where we have to choose between transparency or discretion, caution or innovation. These choices are particularly difficult when we have to choose between two options that are of equal merit but are each based on fundamentally different values. Choices are even more difficult to make when we risk harming someone, regardless of the path we take. Establishing a dialogue will therefore help us better understand the complexity of the situations in which we find ourselves. We should strive to find a happy medium and act fairly toward our colleagues, our partners and our clients.

At CIC, the dialogue on values and ethics began a few years ago after the publication, in 1998, of *The Ethical Compass*.<sup>2</sup> We must ensure that this dialogue continues and extends through the entire organization. It is up to every manager and, in the end, every employee to promote this exchange.

The dialogue must be sincere, open and ongoing. It must encourage everyone's participation and not give rise to reprisals. Finally, it must focus on the real issues that concern us all.

Values and ethics have a very important role to play in the success of our organization. I strongly encourage you to take an active part in this dialogue with your employees. The manager's kit will help you with this task.



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Michel Dorais

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2. You can consult the document at the following address: <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/publications.htm>.

# Role of Management

Managers support and adhere to the CIC Ethics Framework<sup>3</sup> and ensure that CIC's organizational values form an integral part of their work environment. They play a role in four areas: leadership, decision making, the work environment and performance appraisal.

## Leadership

### Managers

- Translate values into actions;
- Lead by example; and
- Accept responsibility for their actions.

## Decision Making

### Managers

- Promote and apply a decision-making process in which values guide judgment;
- Make decisions based on the various pieces of legislation that govern our programs and federal government programs in general;
- Ensure that values and ethics are taken into account in the development of guidelines, policies and programs;
- Reflect the core values and the commitment to values in their instructions to staff; and
- Factor harmony between the candidate's personal values and the organization's values into recruitment and promotion decisions.

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3. See CIC Ethics Framework in section 11 of the kit.

## Work Environment

### Managers

- Develop a culture and a work environment based on shared values;
- Create opportunities to discuss values and ethics;
- Make themselves available to discuss employees' concerns about values and ethics; and
- Provide ethics development and training opportunities for employees.

## Performance Appraisal

### Managers

- Take into account the values employees have shown while working to meet objectives or commitments; and
- Reward employees entitled to a performance bonus only when they have met their objectives or commitments through actions based on sound values.

# Definitions

One of the biggest problems today with workplace values and ethics has to do with the definition of the terms used, since opinions about the meaning they should be given sometimes differ. This can lead to interesting but complex discussions about legal and moral aspects.

The following list of definitions<sup>4</sup> is intended to give us a common language.

**Values** are the qualities or ideas which each of us cares about and considers important. They can be good or bad, reasonable or unreasonable. Values are the elements on which we base our actions.

Family, respect, democracy and justice are values.

**Morality** is one's individual perception of right and wrong. While one's perception of morality does not directly affect others, it does influence the attitudes and values of a society.

**Ethics** refer to a set or system of moral ideals. Just as it takes the thoughts and ideas of many people to make up an ideology, ethics are a product of society.

In Canadian society, killing is bad and being charitable is good.

A **principle** is generally a personal or organizational guideline based on logical reasoning, which is assimilated and which justifies our "actions" in our eyes and the eyes of others.

Free and transparent elections where all citizens are called upon to vote are the cornerstone of a democratic and responsible government.

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4. The definitions of values, morality and ethics come from the ThinkQuest Web site. ThinkQuest Inc. is a not-for-profit organization that offers programs designed to advance education through the use of technology. See <http://library.thinkquest.org/12160/defin.htm> (click on "Exploring Human Ethics").

# Information Kit Objectives

- To inform managers
- To provide managers with decision-making tools
- To provide managers with communication tools

Sections	Information	Decision-making tools	Communication tools
1. Why are ethics important? Why now? Why is dialogue important?	X		X
2. Did you know that ...	X		X
<b>DIALOGUE WITH EMPLOYEES</b>			
3. Preparation for discussions with employees	X	X	
4. First meeting with employees	X		X
5. Session evaluation form	X		
<b>TOOLBOX FOR DECISION MAKING</b>			
6. How to recognize an ethical problem	X	X	
7. What to do in unethical situations	X	X	
8. Decision-making models	X	X	
9. Ethics test	X	X	
<b>INCREASING OUR KNOWLEDGE</b>			
10. Questions and Answers	X		X
11. CIC ethics framework	X		
12. Extract from "An Ethics Toolkit for Managers"	X		
13. Extract from "Changing Frames: Leadership and Governance in the Information Age"	X		
14. Dialogue: A Proposal	X		
15. List of values and ethics Web sites	X		
16. List of key documents on values and ethics	X		
17. Bibliography	X		

# Section 1:

## Why are Ethics Important? Why Now? Why Is Dialogue Important?

The false beliefs surrounding business ethics, including those found in the following examples,<sup>5</sup> must be demystified:

- Ethics is a philosophical or religious debate that is of concern to philosophers, academics and theologians.
- Ethics cannot be managed.

It was in 1995 that the Clerk of the Privy Council gave a group of deputy ministers responsibility for leading task forces in charge of studying various issues identified through the Program Review. Values and ethics were two of these issues. The Task Force on Public Service Values and Ethics was responsible for examining the relationship between current and new values in the Public Service and identifying means to adapt these values to the challenges of the day.

The main conclusion of the Task Force report<sup>6</sup> focuses on the need to have open dialogue among public servants.

It is clearly more important to put our values into practice than to discuss them. However, dialogue is necessary for the following reasons.

- Based on the same information, two people can interpret the facts differently and make different decisions. For example, your beliefs regarding violence against women could influence your assessment of the treatment awaiting women if they are sent back to their country of origin. Your personal values can also be reflected in how you deal with a client who must be detained or sent back. Dialogue—exchanges, discussions and debates—on values enables us to discover other interpretations of the facts and helps raise our awareness of the impact our personal values can have on our professional decisions.

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5. See article by Carter McNamara in section 12 of the kit.

6. *A Strong Foundation*, Report of the Task Force on Public Service Values and Ethics, 1996.

- Many values can come into play, making your choices even more difficult. This may be the case, for example, in a situation in which you have developed a friendship with the director of a services organization partially funded by the Department and you have to decide whether additional funds will be attributed to it or to another organization that is able to provide the same services.
- Ethics is an important factor in building and maintaining the public's confidence in CIC. Ethics is a key factor in the quality of governance.
- Ethics provide a basis for testing the practices, conventions and behaviours that enable the public to remain confident that its interests are being taken into account and that the *Immigration and Refugee Protection Act* and the *Citizenship Act* are being applied consistently.
- We work in an environment that is constantly evolving and in which there are many internal and external pressures, such as limited resources, the transfer of more responsibilities, the critical eye of the general public and the media, and globalization. We must define the values that will guide our actions since our values provide us with guidelines in this increasingly complex environment.
- People can have distinct, opposing ideas on how to behave in an organization. For example, in the North American culture, looking in the eyes of the person to whom we are talking is perceived as a sign of frankness whereas in some Asian cultures, this is considered disrespectful. If for you frankness is an important value, it is essential that you be conscious of this cultural difference.
- When we make decisions, we are often required to choose among solutions that are all equally justifiable. We must demonstrate that our decisions are always based on solid values.
- We must identify the knowledge and tools we need to ensure that the decisions we make are consistent with our ethical principles.
- For new employees who do not have as much experience as our more senior employees, values are reference points that help them make decisions.
- Our objectives can sometimes make us lose sight of certain basic rules. For example, when we have to obtain a piece of information, the method by which we acquire this information may be ethical or unethical. Dialogue gives us the opportunity to see all the dimensions of a situation and enables us to avoid ending up in a situation that is ethically questionable.

## Section 2: Did You Know That ...

- The word “ethics” comes from the Greek word “ethos,” which means “way of life.”
- Ethics is more than merely respecting the laws.
- CIC is considered to be among the leaders in the federal Public Service in the area of values and ethics. This reputation can be attributed in part to its publication, in 1998, of *The Ethical Compass: Values and Ethics Dilemmas at CIC*. CIC employees in Canada and abroad submitted 150 cases, which were reduced to 15 generic cases that were resolved by employees.
- In partnership with Health Canada, CIC created the Interdepartmental Learning Network on Values and Ethics for the exchange of information and expertise among federal departments.
- Eight federal departments offer the confidential services of an ombudsman to their employees. CIC is one of these departments.
- The values and ethics champion publishes articles on a regular basis. You can consult these articles on the “Values and Ethics” site on CIC Explore.
- The Modern Management Office is responsible for the modernization of comptrollership at CIC, modernization that is based on the sound management of resources and an effective decision-making process. One of the four pillars of modernization is values-based management. This is why the Modern Management Office supports the champion in his efforts.
- CIC has a support group for the values and ethics champion. The group includes branch and regional representatives, a Youth Network representative, a Visible Minorities and Diversity Network representative and the ombudsman. The unions are invited to attend all our meetings.
- CIC was the first department to set up a resource centre with videotapes, CD-ROMs and games having to do with values and ethics. This material can be borrowed from the CIC Library.
- CIC has an ethics framework, a code of conduct and guidelines on the acceptance of gifts and hospitality.
- Several decision-making models and an ethics test are available to help you make ethical decisions.
- On November 30, 2001, the Treasury Board Secretariat implemented the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace.





# Dialogue with Employees

Section 3:

Preparation for Discussions with Employees

Section 4:

First Meeting with Employees

Section 5:

Session Evaluation Form



## Section 3:

# Preparation for Discussions with Employees

The following suggestions will help you plan a meeting with your employees on the subject of values and ethics.

### **1. Familiarize yourself with the content of the kit.**

If you want more information or if you have any questions, consult the values and ethics Web site (<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/index.htm>), speak to your regional or branch representative on the Values and Ethics Support Group or contact the Modern Management Office.

### **2. Decide what you want to do.**

- Inform your employees about Public Service initiatives.
- Inform your employees about CIC initiatives.
- Explain why ethics are important.
- Explain why dialogue is important.
- Suggest decision-making models.
- Introduce the ethics test.
- Start discussions using the resources available at the Resource Centre of the CIC Library (videotapes, CD-ROMs and games).
- Discuss cases<sup>7</sup> that arise in your work unit and work together to find solutions by using the decision-making models.

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7. A case may be presented in various ways: you can do it in the form of a game by presenting various points of view on the case, followed by a discussion, or you can simply ask participants for their opinion.

### **3. Select the context that you will be using for your discussions.**

- Meetings of the management committee
- Regular meetings with your employees
- Retreats
- Discussion sessions on values and ethics
- Written communications with your employees

### **4. Decide how much time to allocate for the activity.**

- The time needed for the activity will depend on the decisions that you make in points 2 and 3.
- Plan enough time so that participants are not rushed.

### **5. Decide who will deliver the message.**

- You
- Your representative on the Values and Ethics Support Group
- A values and ethics consultant
- The Modern Management Office
- A combination of the above options

### **6. Evaluate your results.**

- Ask participants for their feedback on the activity.

**7. Inform your representative on the Values and Ethics Support Group and the Modern Management Office of the activities that you are undertaking.**

- All this information enables the champion and the Modern Management Office to align their activities with your needs.
- The information will be included in the articles published by the champion, which will enable you to share what you are doing with others.

# Section 4:

## First Meeting with Employees

### Preamble and scenario

Before meeting with your employees, it is important that you be aware of the issues and the various steps in the communication process that you should follow to ensure that the meeting is successful.

The scenario you are being proposed brings out some highlights regarding values and ethics. It helps you to start a dialogue and decide on the approach that you want to use, as well as the subjects that you will be covering with your group.

Tools such as the following are available to facilitate the discussion:

- Videotapes, CD-ROMs and games  
<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/res.htm>
- Case studies by the Canadian Centre for Management Development  
[http://www.ccmd-ccg.gc.ca/research/publications/complete\\_list\\_e.html#people](http://www.ccmd-ccg.gc.ca/research/publications/complete_list_e.html#people)  
See under "Ethics and Values": P103E and P94E.
- Case studies at CIC<sup>8</sup>: *The Ethical Compass: Values and Ethics Dilemmas at CIC*  
<http://www.ci.gc.ca/cicexplore/english/pubs/C&I-314-12-98.htm>
- Decision-making models that you can present to your employees are available in the "Toolbox." See sections 8 and 9 of this kit.

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8. We want to create an inventory of cases of our own at CIC. These cases will be posted on the Values and Ethics Web site under "Resources" as soon as they are available.

## EXAMPLES

Videotapes: *Ethics in the Workplace* – National Defence

- This film presents several short examples of conflicts of interest and confidentiality of information. It is useful for group discussions. To learn more about the film, consult <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/res/video.htm#ca>.

Canadian Centre for Management Development case studies: *Building on a Strong Foundation: The Dialogue Continues: Further Case Studies on Values and Ethics in the Public Service*, Volume II, 2001.

- Case no. 4 – According to several allegations, members of the unit are scrutinizing members of visible minorities' files closer than normal ...

Warm-up exercise on values by Grainger and Associates

Excellent for breaking the ice: <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/res/exerc.htm>.

## Preamble

Communication steps

- **Share information.** The best way to convey information to your employees is to have a meeting with them. Remember that good communication flows both ways.
- **Explain the objectives of the meeting.** When you announce the subject of the meeting, it is possible that a small percentage of employees may be cynical and reject the idea of discussing values and ethics. Our experience has shown that most employees will gladly participate once they understand the objectives of the process.
- **Respond candidly.** If you do not have the answer to a particular question, say so. Your employees may have it. Ask them. When it comes to values and ethics, we all have a certain amount of experience and we should not be afraid to use it. Invite them to meet with you if they have concerns that they would prefer to discuss privately.
- **Emphasize the benefits.** Your employees may think that you want to carry out this process because you think they lack ethics. Explain to them clearly that this is not the case (if in fact you think that ethics are lacking, give examples) and explain how they will benefit.

## Start the Dialogue

As William Isaacs puts it, a dialogue is a “shared inquiry, a way of thinking and reflecting together. It is not something you do to another person. It is something you do with people ... Dialogue is a living experience of inquiry within and between people.”<sup>9</sup> A dialogue is not a formal process of negotiation or a discussion where people hold onto and defend their differences. It is a candid conversation involving the respectful exchange of ideas, the suspension of judgments and careful listening. In dialogue, the emphasis is given to insights rather than knowledge, to different perspectives rather than compromises, and to discernment rather than decisions.

Elements of a successful dialogue<sup>10</sup>:

- As much as possible, thoughts, impulses and judgments must be suspended. Suspension involves exposing your reactions, impulses, feelings and opinions in such a way that they can be seen and felt within your own psyche and also be reflected back by others in the group.
- Serious attention must be given to reactions, impulses, feelings and opinions so that their structures can be noticed while they are actually taking place.
- Each listener is able to reflect back to each speaker, and to the rest of the group, a view of some of the assumptions and unspoken implications of what is being expressed, along with that which is being avoided.
- A dialogue is essentially a conversation between equals: hierarchy has no place here.
- It is recommended to seat 20 to 40 people in a circle.

According to David Bohm, Donald Factor and Peter Garrett, a dialogue needs some time to get going. They found that about two hours is optimum.

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9. William Isaacs, *Dialogue and the Art of Thinking Together* (New York: Currency and Doubleday, 1999), p. 9.

10. David Bohm, Donald Factor and Peter Garrett, *Dialogue: A Proposal*, Lee Nichol, ed. (London, New York: Routledge, 1996).



## Proposed Scenario for the First Meeting of Managers and Supervisors with Their Employees

### Introduction

- We are meeting today to begin a dialogue on values and ethics and to identify the issues and the approach that we want to use in the future.
  - The subject is not new to CIC. In 1997, Janice Cochrane, who was Deputy Minister at the time, appointed Jeff Le Bane as values and ethics champion at CIC. Jeff launched the departmental initiative that led to the publication of *The Ethical Compass: Values and Ethics Dilemmas at CIC* (1998). The document is a collection of 15 generic cases that require a decision based on ethics. Employees at all levels had an opportunity to participate in this initiative. You may consult this publication at the following address:  
<http://www.ci.gc.ca/cicexplore/english/pubs/C&I-314-12-98.htm>.
- Following the survey of CIC employees in 1997—CIC Check-up—senior management decided that an informal and confidential mechanism for consultation should be set up to help employees solve their problems. The result was the creation of the ombudsman position in May 1999.
- In 2000, when Jeff Le Bane left to go to the Treasury Board Secretariat Office of Values and Ethics, Bill White was appointed values and ethics champion. Shortly thereafter, the Modern Management Office (MMO) was created. One of the mandates of the MMO is to support the champion in his efforts and to develop a departmental ethics program and framework.
- The objective of the CIC Ethics Program is:
  - to create a healthy work environment based on shared values;
  - to integrate values and ethics into all aspects of work;
  - to provide employees with the tools they need to help them make informed decisions when they deal with ethical problems in the workplace;
  - to build an organization that helps its employees do right and that does not turn a blind eye to the actions of those who do otherwise.
- Overall, CIC employees act ethically. Nevertheless, dialogue is necessary for the following reasons:
  - In making decisions, we are often confronted with a number of alternatives that are equally justifiable.
  - We must show that our decisions are always based on sound values.
  - We have to determine the knowledge and tools we need to give us the assurance that our decisions conform to ethical principles.
  - We need to define the values we want to live by.

- People may have distinct and opposing views on appropriate ways to behave in an organization. Their interpretations of the same set of facts may differ widely, as may their responses to them.
  - For new employees who have less experience than those who have been around longer, values provide a reference point that can facilitate decision making.
- 
- How do we want to open a dialogue on values and ethics?  
See section 3 of this kit, "Preparation for Discussions with Employees." It will help you lead the discussion and decide on the next steps.
    - Decide what you want to do.
    - Select the context.
    - Decide on the time allocated for the activity.
    - Decide who will deliver the message or facilitate the dialogue.

# Section 5: Session Evaluation Form

It is important to ask the participants to complete the evaluation form at the end of each session. This evaluation will provide you with information that will allow you to adapt your approach to the needs of the group for your next meeting.

Please circle the appropriate rating:

1 = Strongly disagree

5 = Strongly agree

- |  |   |   |   |   |   |
|--|---|---|---|---|---|
| 1. The session increased my level of knowledge on the subject. | 1 | 2 | 3 | 4 | 5 |
| 2. The speakers were interesting and easy to follow.           | 1 | 2 | 3 | 4 | 5 |
| 3. The information was useful.                                 | 1 | 2 | 3 | 4 | 5 |
| 4. I would recommend this session to a colleague.              | 1 | 2 | 3 | 4 | 5 |
| 5. I hope to have another session on the subject.              | 1 | 2 | 3 | 4 | 5 |
| 6. I enjoyed this session.                                     | 1 | 2 | 3 | 4 | 5 |
| 7. I understand where I can get more information.              | 1 | 2 | 3 | 4 | 5 |

What can be improved? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_





# Toolbox for Decision Making

- Section 6:  
How to Recognize an Ethical Problem
- Section 7:  
What to Do in Unethical Situations
- Section 8:  
Decision-Making Models
- Section 9:  
Ethics Test



## Section 6: How to Recognize an Ethical Problem

You may be in a situation that presents an ethical problem when the following occurs:

- You hear someone say “you didn’t hear me say that.”
- You think:
  - “Just this once”
  - “Everyone is doing it”
  - “I’m not hurting anyone”
  - “No one will know”
- A situation seems questionable to you.

## Section 7: What to Do in Unethical Situations

You suspect that a person has acted unethically. What should you do? What will happen if it turns out that you are mistaken?

If you suspect that someone has acted unethically, take your concerns to your manager. If that is impossible, you can decide to meet with the person to whom your manager reports or choose another means (see the answer to Question 9 in section 10 of this kit).

If you acted in good faith, you do not have to fear reprisals. “Good faith” does not necessarily mean that your suspicions bear out, just that the information that you gave was true to the best of your knowledge. If the investigation finds that your suspicions were unfounded, no action will be taken.

# Section 8:

## Decision-Making Models

It is important that our decisions be based on sound values. It could happen that we make decisions that are not entirely ethical. We do not do it knowingly, but because we have failed to include the concept of ethics in our decision-making process.

By using the following decision-making models, you will be certain of integrating ethics into your decisions. Use them as a guide rather than a rigid process to be followed.

Present these models to your employees. When you have a difficult situation to handle, use them and decide which one suits that particular situation the best.

**CAUTION:** When using a model other than the CIC model, keep in mind that it was developed by another organization and that it reflects the organization's mandate, structure and culture.

- CIC model
- Human Resources Development Canada model
- Public Works and Government Services Canada model
- Treasury Board Secretariat model
- Texas Instruments model
- Markkula Center for Applied Ethics model
- Laura L. Nash model

### CIC Model

**Is what we want to do legal and consistent with current policies and procedures?**

- Determine what you know and what you do not know and collect as much information as possible about the circumstances and relevant facts in the time you have for making the decision.
- Look at legislation, policies and procedures that apply to the situation.
- Prepare a list of arguments for and against the course of action proposed, based on the above reference points.



- Evaluate the probable consequences of your choices, taking into account the consequences (good and bad) for you, the organization, your colleagues and your clients, and the probability that they will occur.
- Verify with colleagues the soundness of the reasoning that led to your decision.

**Is what we want to do consistent with the organization's values?**

- Determine the basic values at issue in the situation and decide which ones should be taken into account.
- Identify the values conflict.
- Find out the facts.
- Determine the various possible options and analyze them.

**What are the consequences of the action you are about to take or the decision you are about to make?**

- What is your reaction to the action you are about to take or the decision you are about to make?
- Will the consequences be the same for different groups of people?
- How will the action or decision be perceived?
- Will it stand up to close scrutiny?

**Are you using the other resources that are available to you?**

Other resources could include the following:

- Your colleagues
- Your union representative
- Your superior
- Functional advisors in finance, human resources or other fields
- The ombudsman

If you have any doubts, discuss the situation with others and do not hesitate to bring it up more than once.

Test your decision.

Ask yourself the following questions:

- What new factors could make me change my decision?
- Does this decision help others to do what is right or does it complicate matters for them?
- Am I setting a good example?
- What would happen if, in the same circumstances, everyone did that?
- Will this decision help me retain a relationship of trust with others?
- Am I convinced that I will consider the decision as right in the long term as I do today?
- Under what conditions could I allow exceptions?

Does the decision still seem right? (You are not aiming for perfection, just a good choice that is reasonable in the circumstances.)

## Human Resources Development Canada Model

### Ethics and values check list

The list below consists of questions and follow-up action. It may help you to make an appropriate decision and deal with an ethical dilemma.

**Is what you are proposing to do legal and consistent with relevant policies and procedures?**

#### **What to do?**

- Look at the parts of legislation, policies and procedures that are relevant to this situation.
- Prepare a list of arguments for and against the proposed course of action based on the above references.
- Check the soundness of the reasoning that led to your decision with your colleagues.

**Is what you are proposing to do consistent with the organization's basic values?**

**What to do?**

- Identify the basic values at issue in the situation.
- Identify the values conflict.
- Find out the facts.
- Identify and analyze the various possible options.

**What are the consequences of the action you are about to take or the decision you are about to make?**

Ask yourself the following questions:

- What is your reaction to the action you are about to take or the decision you are about to make?
- How would it be perceived by a third party?
- Would it stand up to close scrutiny by the public, your colleagues and yourself?

**Are you using the other resources that are available to you?**

In case of doubt, discuss it with others, such as

- Your colleagues
- Your supervisor
- Functional advisors in finance, human resources, labour relations or other fields.

# Public Works and Government Services Canada Model

Eight steps to an ethical decision

## **1. Find out the facts**

Gather as much information as possible and do not jump to conclusions. How did the ethical dilemma come about? What solutions are available to you? What is there putting pressure on you in your workplace or what personal factors affect the solution that you may choose? Should this pressure or these factors determine your decision?

## **2. Define the ethical issues**

What is the main ethical concern in this situation? Determine which key organizational values are involved. Are some of these values more important than others?

## **3. Follow the rules**

Identify which directives from the deputy minister, which Treasury Board policies or guidelines, which legislation and which regulations apply to the situation in question. What you decide to do must be legal and must comply with the applicable policies. By checking the rules, you may discover that your search for a solution stops here.

## **4. Determine who will be affected by the decision and how**

Being able to look at a situation through the eyes of another person is an important skill. Identify the people or groups that your decision will affect and try to find out their point of view. It may be Canadian citizens, businesses or industries, your clients, your colleagues, your superiors, the branch, the department, the minister, the media or others. It is possible and even likely that the various groups in question will not obtain all they want. The important question that arises is, will your decision ensure that everyone is treated fairly? Will your choice uphold the public interest? What would the Canadian public think of your decision?

## **5. Know your responsibilities and the consequences of your actions**

Think of each possible choice. Do you have responsibility for acting—or not acting—in a certain way, even if the result is inconvenient? What short-term and long-term repercussions are most likely if you act in a certain way? What damages could result? What course of action will do the most good on the whole? What message would you send and what perceptions would you create by adopting one option or another? Ask yourself, “What would I think if someone acted this way toward me?”

## **6. Consider your character and your integrity**

Would you feel comfortable explaining your decision? Would you feel a certain pride in it? What would your family think of it? Your neighbours? Your boss? Your employees? Your clients? Can you say that this decision is worthy of the public’s trust? After you have made this choice, will it be easier or more difficult for people around you to act ethically in the future? Will your decision create even bigger problems for someone else?

## **7. Check the decision**

Ask questions. Consult. Speak to your manager or see the appropriate advisor in the department (for example, the advisor for staff relations, finance or information technology). Ask yourself the following question: “Is it really up to me to make this decision?” If not, who should make it? Follow your instincts! Are you still comfortable thinking about this decision? If you feel uncomfortable, it may be that something is wrong. Is this decision compatible with the departmental ethics program? Go back to step 1 to determine whether you need to collect more information. Review the situation.

## 8. Take action

Now that you have carefully weighed your options, take action and be prepared to defend your decision.

Once events have resumed their course, it is useful to determine what the consequences have been for everyone and ask whether there are any lessons to be learned for the next time. We encourage you to talk about your experience with the people around you. It is an interesting way of starting a dialogue on ethics and values with your peers.

### Treasury Board Model

#### How to decide what to do?

- You consider your responsibility to act.
- You consider your options.
- You select the best option by looking at:
  1. Your authority to act
  2. Values
  3. Consequences
  4. The well-being of others
- In case of doubt, talk about it with people you trust (friends, superiors or the ombudsman). If something is creating a problem or causing you concern, there will always be someone to listen to you and help you.
- Make a decision. Take action and assume responsibility for your actions.

## Texas Instruments Model

Is the action legal?

Is the action consistent with our values?

If you do it, will you feel uncomfortable?

How will this action be perceived by the newspapers?

If you know that it is wrong, do not do it!

If you are not certain, ask.

Continue to ask until you get an answer.

## Markkula Center for Applied Ethics Model A Framework for Ethical Decision Making<sup>11</sup>

### Recognize a Moral Issue

- Is there something wrong personally, interpersonally or socially? Is there conflict that could be damaging to people? to animals or the environment? to institutions? to society?
- Does the issue go deeper than legal or institutional concerns? What does it do to people as persons who have dignity, rights and hopes for a better life together?

### Get the Facts

- What are the relevant facts of the case?
- What individuals and groups have an important stake in the outcome? What is at stake for each? Do some have a greater stake because they have a special need (e.g., those who are poor or excluded) or because we have special obligations to them? Are there other important stakeholders in addition to those directly involved?
- What are the options for acting? Have all the relevant persons and groups been consulted? If you showed your list of options to someone you respect, what would that person say?

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11. Reprinted with the permission of the Markkula Center for Applied Ethics, Santa Clara University, California (<http://www.scu.edu/ethics/practicing/decision/framework.html>).

### **Evaluate the Alternative Actions from Various Moral Perspectives**

- Which option will produce the most good and do the least harm?
- Which option respects the rights and dignity of all stakeholders? Even if not everyone gets all they want, will everyone still be treated fairly?
- Which option would promote the common good and help all participate more fully in the goods we share as a society, as a community, as a company, as a family?
- Which option would enable the deepening or the development of those virtues or character traits that we value as individuals? as a profession? as a society?

### **Make a Decision (after taking into account the two questions below)**

- Considering these perspectives, which of the options is the right thing to do?
- If you told someone you respect why you chose this option, what would that person say?

### **Act, Then Reflect on the Decision Later**

- How did it turn out for all concerned? If you had to do it over again, what, if anything, would you do differently?



## Laura L. Nash Model

### Twelve Questions to Help Managers Address Ethical Dilemmas<sup>12</sup>

1. Have you defined the problem accurately?
2. How would you define the problem if you stood on the other side of the fence?
3. How did this situation occur in the first place?
4. To whom and to what do you give your loyalty as a person and as a member of the corporation?
5. What is your intention in making this decision?
6. How does this intention compare with the probable results?
7. Whom could your decision or action injure?
8. Can you discuss the problem with the affected parties before you make your decision?
9. Are you confident that your position will be as valid over a long period of time as it seems now?
10. Could you disclose without qualm your decision or action to your boss, your CEO, the board of directors, your family, society as a whole?
11. What is the symbolic potential of your action if understood? misunderstood?
12. Under what conditions would you allow exceptions to your stand?

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12. From "Ethics without the Sermon," *Harvard Business Review* 59, 1981. In "An Ethics Toolkit for Managers," by Carter McNamara.

# Section 9: Ethics Test<sup>13</sup>

Do you prefer tests instead of decision-making models? If you want to combine both approaches, use the following test when resolving an ethical dilemma. You will get the same result while at the same time verifying the quality of your ethical analysis.

Circle the appropriate answer on the scale, with 1 meaning that you disagree completely and 5 meaning that you agree completely.

1. **Relevant information:** Have we obtained as much information as possible to make an informed decision or [to develop an] action plan for this situation?

1      2      3      4      5

2. **Involvement:** Have we involved all who had the right to [provide] input or to be involved in making this decision or [in developing the] action plan?

1      2      3      4      5

3. **Risk and consequence:** Have we anticipated and attempted to accommodate the consequences of this decision or action plan for any people it will significantly affect? Have we estimated the probability of the risk?

1      2      3      4      5

4. **Fairness:** If we were assigned to take the place of any one of the stakeholders in this situation, would we perceive this decision or action plan to be essentially fair, given all the circumstances?

1      2      3      4      5

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13. This test is reproduced with the permission of the copyright holders: Jon Pekel, consultant, Fulcrum Group, Twin Cities. Do not reproduce without the permission of the copyright owners. Do not use for commercial purposes.

5. **Key values:** Does this decision or action plan uphold the organization's key values relevant to the situation?

1      2      3      4      5

6. **Universality:** Would we want this decision or action plan to become universal law applicable to all similar situations and to us?

1      2      3      4      5

7. **Light-of-day:** How would we feel and be regarded by others if the details of this decision or action plan were disclosed to all?

1      2      3      4      5

Write the total of all circled numbers here:

**How confident can we be that we have done a good job of ethical analysis?**

Take your total score, and use the following scale to measure your confidence:

7–14 means not very confident

15–21 means somewhat confident

22–28 means quite confident

29–35 means very confident

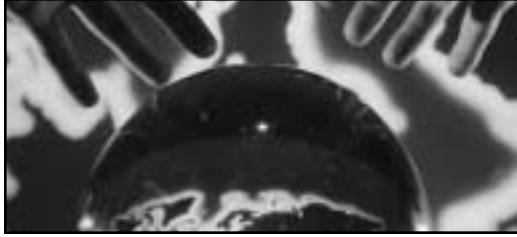
**What can you do to increase your score to an acceptable level of confidence?**

Pay more attention to the areas that received a low rating and see if you can improve your analysis on an ethical level by reviewing the questions in the relevant box.

In situations where you don't have the time to review the situation further, inform your supervisor of the risk you are taking. Make sure that the deadline is firm and that it cannot be extended.

Please note that even though this model does not explicitly deal with the legality of your decision, your decision must always respect current laws.





# Increasing Our Knowledge

Section 10:

Questions and Answers

Section 11:

CIC Ethics Framework

Section 12:

Extract from "An Ethics Toolkit for Managers"

Section 13:

Extract from "Changing Frames: Leadership and Governance in the Information Age"

Section 14:

Dialogue: A Proposal

Section 15:

List of Values and Ethics Web Sites

Section 16:

List of Key Documents on Values and Ethics

Section 17:

Bibliography



# Section 10: Question and Answers

## CIC Ethics Program

### **1. What are the objectives of the CIC Ethics Program?**

- To create a healthy work environment based on shared values.
- To integrate values and ethics into all aspects of work.
- To provide employees with the tools they need to help them make informed decisions when they are called upon to deal with ethical problems in the workplace.
- To build an organization that helps its employees do what is right and that does not turn a blind eye to the actions of those who do otherwise.

### **2. Which resources can I consult that identify the values promoted by CIC?**

- Code of Conduct<sup>14</sup>
- Human Resources policies and related publications
- Guide to the Acceptance of Gifts, Hospitality and Benefits
- Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace<sup>15</sup>
- Ombudsman's Annual Report<sup>16</sup>

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14. This document, as well as the two that follow it, may be consulted at the following address:  
[http://www.ci.gc.ca/cicexplore/english/org/bhd/bht/cla\\_caa/guide/work.htm](http://www.ci.gc.ca/cicexplore/english/org/bhd/bht/cla_caa/guide/work.htm).

15. The policy is found at the following address: [http://www.tbs-sct.gc.ca/pubs\\_pol/hrpubs/tb\\_851/idicww-diicraft\\_e.html](http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tb_851/idicww-diicraft_e.html).

16. The reports may be consulted at the following address:  
<http://www.ci.gc.ca/cicexplore/english/org/ombudsman/report.htm>.

### 3. What does the CIC Ethics Program mainly deal with?

The CIC Ethics Program is intended to provide an applied ethics approach. Applied ethics is decision making based on ethics and dialogue.

### 4. How is the program implemented at CIC?

There are four basic components to the implementation of the CIC Ethics Program:

1. **Awareness:** ensuring that ethical concepts and the decision-making process are understood.
2. **Evaluation of the ethical risk:** encouraging employees to identify situations that present or could present significant ethical dilemmas at work.
3. **Dialogue:** concentrating on work-related cases and discussing ethical issues or actual ethical risks.
4. **Responsibility for leadership:** meeting the challenge, which consists of doing what must be done to mitigate ethical risks.

### 5. Why are organizational values important?

Organizational values:

- Help our colleagues, partners, clients and various parties concerned to understand the basis of our work and the conduct that they can expect from us.
- Help to earn the public's confidence in our work and our decision making.
- Help employees to know and understand qualitative service standards and the conduct expected of them in the workplace.
- Provide a solid basis for decision making in situations that present various risks.
- Help to maintain a positive environment.
- Help employees attain excellence by promoting a commitment to certain basic values.
- Strengthen the organizational culture, but may also change it.



## **6. What are the benefits of an ethics program?**

An ethics program:

- Results in better decision making.
- Increases awareness and understanding of ethical problems.
- Guarantees that policies and procedures adhere to high moral standards.
- Strengthens the organizational culture.
- Helps employees to act in a consistent manner in difficult situations and keeps morale high during periods of change.
- Continually focuses attention on ethics in the workplace and encourages discussions on the topic, which promotes transparency, integrity and cooperation, essential ingredients for solid teamwork. Consequently, the teams are more motivated and performance improves.
- Supports employee development. The attention focused on ethics in the workplace helps employees to deal with reality, both good and bad, in the organization and in their personal lives.
- Results in the creation of a healthier and more productive workplace.
- Promotes better relations with our clients, partners and the parties concerned.
- Ensures the continuity and sustainability of efforts in the area of values and ethics.

## **7. How is senior management's commitment being applied within the Department?**

A CIC senior manager was a member of the Task Force on Public Service Values and Ethics, established in 1995 and chaired by John Tait, which led to the publication of *A Strong Foundation*.

The CIC Values and Ethics initiative was launched in November 1997 by then Deputy Minister Janice Cochrane, who appointed Jeff Le Bane as champion. Mr. Le Bane invited employees in Canada and abroad to provide situations that were not covered by departmental guidelines. Over 150 cases were submitted, and these were reduced to 15 generic cases that were resolved by employees. The cases and answers received were presented and analyzed in *The Ethical Compass: Values and Ethics Dilemmas at CIC*.

In May 1999, Janice Cochrane, together with Scott Serson (President of the Public Service Commission), agreed to co-champion the values and ethics initiative for the entire federal Public Service.

Bill White was appointed Values and Ethics Champion for CIC in 2000.

The senior management's commitment also led to the creation of the Modern Management Office in August 2000. Part of the Office's mandate is to support the values and ethics champion. The director of the Office sits on the Management Committee chaired by the Deputy Minister, who has demonstrated on many occasions his support for the values and ethics program.

## **8. Should we base our decisions on values or on rules?**

We need to comply with the legislation that governs our programs. We need to apply the rules with integrity and impartiality when performing our duties. However, our judgment should be guided by our values and ethics so that we make "good" decisions.

Our decisions should be guided by our values, legislation and collective agreements, as well as the Treasury Board Secretariat policies and directives.

The biggest challenge lies in combining the two approaches, one based on rules and the other on values, when making decisions. We need to recognize that no document can ever cover all situations that may arise in the workplace, and that in these cases, organizational values help us make decisions.

## 9. What means do we have at CIC for expressing our concerns regarding values and ethics?

We should always think of going directly to our manager with any concerns we may have about values and ethics. We can also choose to involve our union representatives.

The other means are:

- The ombudsman, who offers an opportunity to raise our concerns in an informal and confidential setting.
- The person designated by the Department to resolve complaints regarding harassment, who may informally discuss incidents of harassment with the individuals concerned or accept formal complaints of harassment on behalf of management.
- Part II of the Canada Labour Code provides an internal complaints resolution process concerning problems related to the health and safety of employees in the workplace.
- In situations where we feel that staffing values have not been respected in the staffing process, we can exercise our rights by appealing the decision or filing a complaint.
- The grievance procedure is a formal administrative process whereby we can try to resolve a dispute regarding terms and conditions of employment, unless there is another administrative process for redress under another act of Parliament.
- The mechanism for internal disclosure of wrongdoing in the workplace<sup>17</sup> in the case of, for instance, a violation of any legislation or regulation; misuse of public funds or assets; gross mismanagement; or a substantial and specific danger to the life, health or safety of Canadians or the environment.

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17. The policy may be consulted at the following address: [http://www.tbs-sct.gc.ca/pubs\\_pol/hrpubs/tb\\_851/idicww-diicaft\\_e.html](http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tb_851/idicww-diicaft_e.html).

## Ethics in the Public Service

### **10. Why does the Public Service need principles?**

On October 5, 2001, the Clerk of the Privy Council announced the launch of a process for developing a statement of principles for the Public Service of Canada. This statement will make it possible to

- define, for us and all Canadians, the culture and values of the Public Service of Canada;
- describe how we work together and individually;
- define expectations regarding the individual responsibilities and conduct of employees; and
- explain the relationships that exist among us, as well as our relationship with the government.

### **11. Are values and ethics just a passing fad?**

Several federal government initiatives are based on values, including the following:

- The creation, in 1995, of the Deputy Ministers' Task Force on Public Service Values and Ethics, which led to the publication of *A Strong Foundation: Report of the Task Force on Public Service Values and Ethics*.
- The modernization of comptrollership launched by the Treasury Board Secretariat in 1997.
- The creation of the Treasury Board Secretariat Office of Values and Ethics, which is to develop a framework and a statement of principles for the Public Service.
- The appointment, in May 1999, of Janice Cochrane and Scott Serson as co-champions for values and ethics in the federal Public Service by the Clerk of the Privy Council.
- The identification of what action should be taken in the federal Public Service with respect to values and ethics in Chapter 12 of the October 2000 Report of the Auditor General of Canada.
- Human resources management reform.

The Clerk of the Privy Council pointed out, in the *Ninth Annual Report to the Prime Minister on the Public Service of Canada*, the importance of having principles and applying them. Moreover, in the *Deputy Minister Performance Agreements on Corporate Priorities for the Public Service of Canada for 2002–2003*, he said he would like to see significant improvements in various areas, including values and ethics. He asked that deputy ministers “ensure employees are supported and reflect a rigorous approach to public service values and ethics in the conduct of their work.”<sup>18</sup>

These various initiatives confirm for us that values and ethics are not just a passing fad.

## 12. Where can I get more information?

For more information, consult the following:

- The CIC Values and Ethics Web site:  
<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/index.htm>.
- The CIC Resource Centre located in the CIC Library contains over 30 books and articles, some 20 videotapes, five CD-ROMs and two ethics games that can be borrowed. You can obtain more information on these resources by consulting the Web site at <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/res.htm>.
- Other Web sites dealing with values and ethics can be found at <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/hyper.htm>.

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18. See <http://www.pco.gc.ca> (click on “Site Map” and then on “Public Service Management Issues” under “Clerk of the Privy Council”).

# Section 11: CIC Ethics Framework

## Background

Citizenship and Immigration Canada (CIC) encourages open discussions to identify problems in our work environment and to determine the actions needed to solve them.<sup>19</sup> This type of dialogue brings out different points of view and alternatives. It helps us resolve problems collectively and make decisions that reflect our ethics and shared values.

Values and ethics provide the foundation that enables us to work together effectively. Our organization is complex; it is composed of microcultures, all equally important yet all different from each other. Values are the unifying element of our organization: they guide our conduct and enable us to make the best choices.

The purpose of this framework is to give us a common language and to define roles and responsibilities.

There is already a strong foundation of values and ethics at CIC, but this foundation must be continually nourished. Retaining our values requires ongoing attention.

## Definitions<sup>20</sup>

**Values** are the qualities or ideas which each of us cares about and considers important. They can be good or bad, reasonable or unreasonable. Values are the elements on which we base our actions.

**Morality** is one's individual perception of right and wrong. While one's perception of morality does not directly affect others, it does influence the attitudes and values of a society.

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19. Past discussions resulted in *The Ethical Compass: Values and Ethics Dilemmas at CIC* (1998). This exercise showed that CIC employees at all levels and in all workplaces share many common values, including professionalism, integrity, loyalty, respect, transparency, accountability, flexibility and the right to express one's opinions.

20. The definitions of values, morality and ethics come from the ThinkQuest Web site. ThinkQuest Inc. is a not-for-profit organization that offers programs designed to advance education through the use of technology. See <http://library.thinkquest.org/12160/defin.htm> (click on "Exploring Human Ethics").

**Ethics** refer to a set or a system of moral ideals. Just as it takes the thoughts and ideas of many people to make up an ideology, ethics are a product of society.

A **principle** is generally a personal or organizational guideline based on logical reasoning, which is assimilated and which justifies our “actions” in our eyes and in the eyes of others.

An **ethical dilemma** occurs when different people or different groups have values that conflict significantly or when equally justifiable alternatives exist that are based on different values.

A **conflict of values** may occur when your personal values differ from the organization’s values or when the choice between two important values leads to different decisions.

## Methods of Resolving Ethical Dilemmas

Ideally, ethical dilemmas should be resolved by a group. There are various resolution methods, but all should be used with caution as ethical dilemmas are not easy to resolve and may have more than one right answer. People who use these methods must remember that each decision has its own set of consequences. (See the decision-making models in section 8 and the ethics test in section 9.)

## CIC Organizational Values and Definitions

The CIC Organizational Values Statement is a living document that will evolve with time. CIC will review it regularly to assess the relevance of the values and their definitions.

It should be noted that the focus on organizational values does not exclude other values.

CIC resources currently include the following:

- Code of Conduct
- Human Resources Management Manual
- Occupational Health and Safety Guide
- Your Guide to Conflict Resolution
- Principles of Client Service
- Guide to the Acceptance of Gifts, Hospitality and Benefits
- Quebec Region’s Mission, Values and Client Commitment

## Role of the Departmental Values and Ethics Champion

The deputy minister selects the champion for values and ethics from the Executive group. The champion reports directly to the deputy minister and is nominated for a determinate period specified by the deputy minister.

The champion undertakes the following responsibilities:

- To advise the deputy minister.
- To provide a direct line to senior management where there are wide-ranging concerns that values and ethics are not being brought to bear in a particular situation.
- To share his or her vision and transmit departmental messages through various means.
- To define the strategic direction of the Department.
- To speak with employees to identify the practical tools they need for support in the decision-making process.
- To channel the efforts of people who have ideas and influence their behaviour in order to maintain respect for sound values.
- To encourage dialogue on values and ethics.
- To lead by example.
- To chair the meetings of the Values and Ethics Support Group.

## Role of the Modern Management Office

Reporting to the assistant deputy minister, Centralized Services Delivery and Corporate Services, the Modern Management Office has the following responsibilities:

- To support the champion in the performance of his or her role.
- To provide expertise to the champion and managers on values and ethics.
- To support managers in their efforts to foster dialogue with employees.
- To implement the CIC Ethics Program.
- To assess the CIC Ethics Program.
- To act as liaison with the Treasury Board Secretariat Office of Values and Ethics.



## Role of the Values and Ethics Support Group

The champion for values and ethics and the director of the Modern Management Office lead the Values and Ethics Support Group.

Group members have the following responsibilities:

- To support the champion and the Modern Management Office by providing a platform for discussing ideas and making recommendations.
- To make their knowledge and experience available to the champion and the Modern Management Office.
- To help foster discussion of values and ethics in their workplace.

The Group includes the following members:

- The ombudsman
- Modern Management Office representatives
- Branch and regional representatives
- A Visible Minority and Diversity Network representative
- A Youth Network representative
- Union representatives

## Role of the Human Resources Branch

Reporting to the deputy minister, the Human Resources Branch has the following responsibilities:

- To reflect organizational values in human resources policies.
- To manage recourse mechanisms, such as appeals, grievances and administrative investigations, as well as informal complaints.
- To prepare reports (except the ombudsman's report) designed to assess CIC's performance in relation to values and ethics.
- To develop ethics training programs for employees and managers.

## Role of the Union

Union representatives represent their members' interests.

## Role of the Ombudsman

Reporting to the deputy minister, the ombudsman has the following responsibilities:

- To give employees a chance to raise their concerns in an informal and confidential setting (concerns may relate, for example, to unfair practices or systems, the conduct of other employees or questions of professional ethics, such as activities that seem to conflict with the public interest and the values embraced by the Public Service).
- To identify the systemic issues raised by employees, often acting as an early warning system or as a catalyst for change.
- To prepare an annual report that identifies general trends and issues.

## Role of Management

Managers support and adhere to the CIC Ethics Framework and ensure that CIC's organizational values form an integral part of their work environment. They play a role in four areas: leadership, decision making, the work environment and performance appraisal.

### Leadership

#### Managers

- translate values into actions;
- lead by example; and
- accept responsibility for their actions.

## Decision Making

### Managers

- promote and apply a decision-making process in which values guide judgment;
- make decisions based on the various pieces of legislation that govern our programs and federal government programs in general;
- ensure that values and ethics are taken into account in the development of guidelines, policies and programs;
- reflect the core values and the commitment to values in their instructions to staff; and
- factor harmony between the candidate's personal values and the organization's values into recruitment and promotion decisions.

## Work Environment

### Managers

- develop a culture and a work environment based on shared values;
- create opportunities to discuss values and ethics;
- make themselves available to discuss employees' concerns about values and ethics; and
- provide ethics development and training opportunities for employees.

## Performance Appraisal

### Managers

- take into account the values employees have shown while working to meet objectives or commitments; and
- reward employees entitled to a performance bonus only when they have met their objectives or commitments through actions based on sound values.

## Role of Employees

Employees support and adhere to the CIC Ethics Framework and make sure that CIC organizational values form an integral part of their work environment. They play a role in three areas: leadership, decision making and work environment.

### Leadership

Employees

- translate values into actions;
- set an example; and
- accept responsibility for their actions.

### Decision Making

Employees

- promote and apply a decision-making process in which values guide judgment;
- work within governmental policies; and
- make decisions based on the various pieces of legislation that govern our programs and federal government programs in general.

### Work Environment

Employees

- talk about values and ethical situations that concern them with their immediate supervisor, an individual at a higher management level, staff relations advisors, colleagues, a union representative, the ombudsman or anyone else who can help by listening and offering sound advice;
- make themselves available to colleagues to discuss concerns about values and ethics;
- help develop a culture and a work environment grounded in values;
- remain sensitive to each individual's needs and responsibilities; and
- meet objectives or commitments through actions that demonstrate sound values.

## Information

For more information on values and ethics, consult the following resources:

- the Values and Ethics Web site on CIC Explore <<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/index.htm>>
- the CIC Ethics Program <<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/publications.htm>>

For more information on the CIC Ethics Framework, contact the Modern Management Office.

# Section 12:

## Extract from “An Ethics Toolkit for Managers”

Extracts from *An Ethics Toolkit for Managers* are included in this package to assist you in better understanding the benefits of an ethics program.

See *Ethics in the Public Service: Current Issues and Practice*. OECD Public Management Occasional Paper no.14: <http://www.oecd.org/pdf/M00003000/M00003714.pdf>. This report examines how nine OECD countries are dealing with the management of ethics and conduct in the public service.

### About the Author

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## Extract from “An Ethics Toolkit for Managers”

by Carter McNamara, MBA, PhD<sup>21</sup>

### What is Business Ethics?

**Let's start with “what is ethics?”** Simply put, ethics involves learning what is right or wrong, and then doing the right thing—but “the right thing” is not nearly as

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21. Telephone: (763) 971-8890. The complete document can be found at <http://www.mapnp.org/library/ethics/ethxdge.htm>.

straightforward as conveyed in a great deal of business ethics literature. Most ethical dilemmas in the workplace are not simply a matter of “should Bob steal from Jack?” or “should Jack lie to his boss?”

So what is “business ethics”? The concept has come to mean various things to various people, but generally, it’s coming to know what is right or wrong in the workplace and doing what’s right—this is in regard to effects of products/services and in relationships with stakeholders. Wallace and Pikel explain that attention to business ethics is critical during times of fundamental change—times much like those faced now by businesses, both nonprofit or for-profit. In times of fundamental change, values that were previously taken for granted are now strongly questioned. Many of these values are no longer followed. Consequently, there is no clear moral compass to guide leaders through complex dilemmas about what is right or wrong. Attention to ethics in the workplace sensitizes leaders and staff to how they should act. Perhaps most important, attention to ethics in the workplaces helps ensure that when leaders and managers are struggling in times of crises and confusion, they retain a strong moral compass. However, attention to business ethics provides numerous other benefits as well.

Note that many people react that business ethics, with its continuing attention to “doing the right thing,” only asserts the obvious (“be good,” “don’t lie,” etc.), and so these people don’t take business ethics seriously. For many of us, these principles of the obvious can go right out the door during times of stress. Consequently, business ethics can be strong preventative medicine. Anyway, there are many other benefits of managing ethics in the workplace. These benefits are explained later in this document.

Business ethics is now a management discipline. Business ethics has come to be considered a management discipline, especially since the birth of the social responsibility movement in the 1960s. In that decade, social awareness movements raised expectations of businesses to use their massive financial and social influence to address social problems such as poverty, crime, environmental protection, equal rights, public health and improving education. An increasing number of people asserted that because businesses were making a profit from using our country’s resources, these businesses owed it to our country to work to improve society. Many researchers, business schools and managers have recognized this broader constituency, and in their planning and operations have replaced the word “stockholder” with “stakeholder,” meaning to include employees, customers, suppliers and the wider community.

The emergence of business ethics is similar to other management disciplines. For example, organizations realized that they needed to manage a more positive image to the public and so the recent discipline of public relations was born. Organizations realized they needed to better manage their human resources and so the recent discipline of human resources was born. As commerce became more complicated, dynamic

organizations realized they needed more guidance to ensure their dealings supported the common good and did not harm others—and so business ethics was born.

Note that 90% of business schools now provide some form of training in business ethics. Today, ethics in the workplace can be managed through the use of codes of ethics, codes of conduct, roles of ethicists and ethics committees, policies and procedures, procedures to resolve ethical dilemmas, ethics training, etc.

## Ten Myths About Business Ethics

Business ethics in the workplace is about prioritizing moral values for the workplace and ensuring behaviors are aligned with those values—it's values management. Yet, myths abound about business ethics. Some of these myths arise from general confusion about the notion of ethics. Other myths arise from narrow or simplistic views of ethical dilemmas.

- 1. Myth:** Business ethics is more a matter of religion than management. Diane Kirrane, in "Managing Values: A Systematic Approach to Business Ethics" (*Training and Development Journal*, November 1990), asserts that "altering people's values or souls isn't the aim of an organizational ethics program—managing values and conflict among them is ..."
- 2. Myth:** Our employees are ethical so we don't need attention to business ethics. Most of the ethical dilemmas faced by managers in the workplace are highly complex. Wallace explains that one knows when they have a significant ethical conflict when there is presence of a) significant value conflicts among differing interests, b) real alternatives that are equally justifiable, and c) significant consequences on "stakeholders" in the situation. Kirrane mentions that when the topic of business ethics comes up, people are quick to speak of the Golden Rule, honesty and courtesy. But when presented with complex ethical dilemmas, most people realize there's a wide "gray area" when trying to apply ethical principles.
- 3. Myth:** Business ethics is a discipline best led by philosophers, academics and theologians. Lack of involvement of leaders and managers in business ethics literature and discussions has led many to believe that business ethics is a fad or movement, having little to do with the day-to-day realities of running an organization. They believe business ethics is primarily a complex philosophical debate or a religion. However, business ethics is a management discipline with a programmatic approach that includes several practical tools. Ethics management programs have practical applications in other areas of management areas as well. (These applications are listed later on in this document.)



4. **Myth:** Business ethics is superfluous—it only asserts the obvious: “do good!” Many people react that codes of ethics, or lists of ethical values to which the organization aspires, are rather superfluous because they represent values to which everyone should naturally aspire. However, the value of codes of ethics to an organization is its priority and focus regarding certain ethical values in that workplace. For example, it’s obvious that all people should be honest. However, if an organization is struggling around continuing occasions of deceit in the workplace, a priority on honesty is very timely—and honesty should be listed in that organization’s code of ethics. Note that a code of ethics is an organic instrument that changes with the needs of society and the organization.

5. **Myth:** Business ethics is a matter of the good guys preaching to the bad guys. Some writers do seem to claim a moral high ground while lamenting the poor condition of business and its leaders. However, those people well versed in managing organizations realize that good people can take bad actions, particularly when stressed or confused. (Stress or confusion are not excuses for unethical actions—they are reasons.) Managing ethics in the workplace includes all of us working together to help each other remain ethical and to work through confusing and stressful ethical dilemmas.

6. **Myth:** Business ethics is the new policeperson on the block. Many believe business ethics is a recent phenomenon because of increased attention to the topic in popular and management literature. However, business ethics was written about even 2,000 years ago—at least since Cicero wrote about the topic in his *On Duties*. Business ethics has gotten more attention recently because of the social responsibility movement that started in the 1960s.

7. **Myth:** Ethics can’t be managed. Actually, ethics is always “managed”—but, too often, indirectly. For example, the behavior of the organization’s founder or current leader is a strong moral influence or directive if you will, on behavior of employees in the workplace. Strategic priorities (profit maximization, expanding marketshare, cutting costs, etc.) can be very strong influences on morality. Laws, regulations and rules directly influence behaviors to be more ethical, usually in a manner that improves the general good and/or minimizes harm to the community. Some are still skeptical about business ethics, believing you can’t manage values in an organization. Donaldson and Davis (Management Decision, V28, N6) note that management, after all, is a value system. Skeptics might consider the tremendous influence of several “codes of ethics,” such as the “10 Commandments” in Christian religions or the U.S. Constitution. Codes can be very powerful in smaller “organizations” as well.

8. **Myth:** Business ethics and social responsibility are the same thing. The social responsibility movement is one aspect of the overall discipline of business ethics. Madsen and Shafritz refine the definition of business ethics to be: 1) an application of ethics to the corporate community, 2) a way to determine responsibility in business dealings, 3) the identification of important business and social issues, and 4) a critique of business. Items 3 and 4 are often matters of social responsibility. (There has been a great deal of public discussion and writing about items 3 and 4. However, there needs to be more written about items 1 and 2, about how business ethics can be managed.) Writings about social responsibility often do not address practical matters of managing ethics in the workplace, e.g., developing codes, updating policies and procedures, approaches to resolving ethical dilemmas, etc.

9. **Myth:** Our organization is not in trouble with the law, so we're ethical. One can often be unethical, yet operate within the limits of the law, e.g., withhold information from superiors, fudge on budgets, constantly complain about others, etc. However, breaking the law often starts with unethical behavior that has gone unnoticed. The "boil the frog" phenomenon is a useful parable here: If you put a frog in hot water, it immediately jumps out. If you put a frog in cool water and slowly heat up the water, you can eventually boil the frog. The frog doesn't seem to notice the adverse change in its environment.

10. **Myth:** Managing ethics in the workplace has little practical relevance. Managing ethics in the workplace involves identifying and prioritizing values to guide behaviors in the organization, and establishing associated policies and procedures to ensure those behaviors are conducted. One might call this "values management." Values management is also highly important in other management practices, e.g., managing diversity, Total Quality Management and strategic planning.

## Ten Benefits of Managing Ethics in the Workplace

Many people are used to reading or hearing of the moral benefits of attention to business ethics. However, there are other types of benefits as well. The following list describes various types of benefits from managing ethics in the workplace.

1. **Attention to business ethics has substantially improved society.** A matter of decades ago, children in our country worked 16-hour days. Workers' limbs were torn off and disabled workers were condemned to poverty and often to starvation. Trusts controlled some markets to the extent that prices were fixed and small businesses choked out. Price fixing crippled normal market forces. Employees were terminated based on personalities. Influence was applied through intimidation and harassment. Then society reacted and demanded that businesses place high value on fairness and

equal rights. Anti-trust laws were instituted. Government agencies were established. Unions were organized. Laws and regulations were established.

**2. Ethics programs help maintain a moral course in turbulent times.** As noted earlier in this document, Wallace and Pekel explain that attention to business ethics is critical during times of fundamental change—times much like those faced now by businesses, both nonprofit or for-profit. During times of change, there is often no clear moral compass to guide leaders through complex conflicts about what is right or wrong. Continuing attention to ethics in the workplace sensitizes leaders and staff to how they want to act—consistently.

**3. Ethics programs cultivate strong teamwork and productivity.** Ethics programs align employee behaviors with those top priority ethical values preferred by leaders of the organization. Usually, an organization finds surprising disparity between its preferred values and the values actually reflected by behaviors in the workplace. Ongoing attention and dialogue regarding values in the workplace build openness, integrity and community—critical ingredients of strong teams in the workplace. Employees feel strong alignment between their values and those of the organization. They react with strong motivation and performance.

**4. Ethics programs support employee growth and meaning.** Attention to ethics in the workplace helps employees face reality, both good and bad—in the organization and in themselves. Employees feel full confidence they can admit and deal with whatever comes their way. Bennett, in his article “Unethical Behavior, Stress Appear Linked” (*Wall Street Journal*, April 11, 1991, p. B1), explained that a consulting company tested a range of executives and managers. Their most striking finding: the more emotionally healthy executives were, as measured on a battery of tests, the more likely they were to score high on ethics tests.

**5. Ethics programs are an insurance policy—they help ensure that policies are legal.** There is an increasing number of lawsuits in regard to personnel matters and to effects of an organization’s services or products on stakeholders. As mentioned earlier in this document, ethical principles are often state-of-the-art legal matters. These principles are often applied to current, major ethical issues to become legislation. Attention to ethics ensures highly ethical policies and procedures in the workplace. It’s far better to incur the cost of mechanisms to ensure ethical practices now than to incur costs of litigation later. A major intent of well-designed personnel policies is to ensure ethical treatment of employees, e.g., in matters of hiring, evaluating, disciplining, firing, etc. Drake and Drake (*California Management Review*, V16, pp. 107–123) note that “an employer can be subject to suit for breach of contract for failure to comply with any promise it made, so the gap between stated corporate culture and actual practice has significant legal as well as ethical implications.”

**6. Ethics programs help avoid criminal acts of “omission” and can lower fines.**

Ethics programs tend to detect ethical issues and violations early on so they can be reported or addressed. In some cases, when an organization is aware of an actual or potential violation and does not report it to the appropriate authorities, this can be considered a criminal act, e.g., in business dealings with certain government agencies, such as the Defense Department. The recent Federal Sentencing Guidelines specify major penalties for various types of major ethics violations. However, the guidelines potentially lower fines if an organization has clearly made an effort to operate ethically.

**7. Ethics programs help manage values associated with quality management, strategic planning and diversity management—this benefit needs far more attention.** Ethics programs identify preferred values and ensure organizational behaviors are aligned with those values. This effort includes recording the values, developing policies and procedures to align behaviors with preferred values, and then training all personnel about the policies and procedures. This overall effort is very useful for several other programs in the workplace that require behaviors to be aligned with values, including quality management, strategic planning and diversity management. Total Quality Management includes high priority on certain operating values, e.g., trust among stakeholders, performance, reliability, measurement, and feedback. Eastman and Polaroid use ethics tools in their quality programs to ensure integrity in their relationships with stakeholders. Ethics management techniques are highly useful for managing strategic values, e.g., expand marketshare, reduce costs, etc. McDonnell Douglas integrate their ethics programs into their strategic planning process. Ethics management programs are also useful in managing diversity. Diversity is much more than the color of people’s skin—it’s acknowledging different values and perspectives. Diversity programs require recognizing and applying diverse values and perspectives—these activities are the basis of a sound ethics management program.

**8. Ethics programs promote a strong public image.** Attention to ethics is also strong public relations—admittedly, managing ethics should not be done primarily for reasons of public relations. But, frankly, the fact that an organization regularly gives attention to its ethics can portray a strong positive to the public. People see those organizations as valuing people more than profit, as striving to operate with the utmost of integrity and honor. Aligning behavior with values is critical to effective marketing and public relations programs. Consider how Johnson and Johnson handled the Tylenol crisis versus how Exxon handled the oil spill in Alaska. Bob Dunn, President and CEO of San Francisco-based Business for Social Responsibility, puts it best: “Ethical values, consistently applied, are the cornerstones in building a commercially successful and socially responsible business.”

9. **Overall benefits of ethics programs.** Donaldson and Davis, in “Business Ethics? Yes, but What Can It Do for the Bottom Line?” (*Management Decision*, V28, N6, 1990), explain that managing ethical values in the workplace legitimizes managerial actions, strengthens the coherence and balance of the organization’s culture, improves trust in relationships between individuals and groups, supports greater consistency in standards and qualities of products, and cultivates greater sensitivity to the impact of the enterprise’s values and messages.
10. **Last—and most [sic]—formal attention to ethics in the workplace is the right thing to do.**

### One Description of a Highly Ethical Organization

Mark Pastin, in *The Hard Problems of Management: Gaining the Ethics Edge* (Jossey-Bass, 1986), provides the following four principles for highly ethical organizations:

1. They are at ease interacting with diverse internal and external stakeholder groups. The ground rules of these firms make the good of these stakeholder groups part of the organization’s own good.
2. They are obsessed with fairness. Their ground rules emphasize that the other person’s interests count as much as their own.
3. Responsibility is individual rather than collective, with individuals assuming personal responsibility for actions of the organization. These organizations’ ground rules mandate that individuals are responsible to themselves.
4. They see their activities in terms of purpose. This purpose is a way of operating that members of the organization highly value. And purpose ties the organization to its environment.

Doug Wallace asserts the following characteristics of a high integrity organization:

1. There exists a clear vision and picture of integrity throughout the organization.
2. The vision is owned and embodied by top management, over time.
3. The reward system is aligned with the vision of integrity.
4. Policies and practices of the organization are aligned with the vision; no mixed messages.
5. It is understood that every significant management decision has ethical value dimensions.
6. Everyone is expected to work through conflicting-stakeholder value perspectives.

## Benefits of Managing Ethics as a Program

There are numerous benefits in formally managing ethics as a program, rather than as a one-shot effort when it appears to be needed. Ethics programs:

- establish organizational roles to manage ethics;
- schedule ongoing assessment of ethics requirements;
- establish required operating values and behaviors;
- align organizational behaviors with operating values;
- develop awareness and sensitivity to ethical issues;
- integrate ethical guidelines to decision making;
- structure mechanisms to resolving ethical dilemmas;
- facilitate ongoing evaluation and updates to the program;
- help convince employees that attention to ethics is not just a knee-jerk reaction done to get out of trouble or improve public image.

## Eight Guidelines for Managing Ethics in the Workplace

The following guidelines ensure the ethics management program is operated in a meaningful fashion.

- 1. Recognize that managing ethics is a process. Ethics is a matter of values and associated behaviors.** Values are discerned through the process of ongoing reflection. Therefore, ethics programs may seem more process-oriented than most management practices. Managers tend to be skeptical of process-oriented activities, and instead prefer processes focused on deliverables with measurements. However, experienced managers realize that the deliverables of standard management practices (planning, organizing, motivating, and controlling) are only tangible representations of very process-oriented practices. For example, the process of strategic planning is much more important than the plan produced by the process. The same is true for ethics management. Ethics programs do produce deliverables, e.g., codes, policies and procedures, budget items, meeting minutes, authorization forms, newsletters, etc. However, the most important aspect of an ethics management program is the process of reflection and dialogue that produces these deliverables.

2. **The bottom line of an ethics program is accomplishing preferred behaviors in the workplace.** As with any management practice, the most important outcome is behaviors preferred by the organization. The best of ethical values and intentions are relatively meaningless unless they generate fair and just behaviors in the workplace. That's why practices that generate lists of ethical values, or codes of ethics, must also generate policies, procedures and training that translate those values into appropriate behaviors.
3. **The best way to handle ethical dilemmas is to avoid their occurrence in the first place.** That's why practices such as developing codes of ethics and codes of conduct are so important. Their development sensitizes employees to ethical considerations and minimizes the chances of unethical behavior occurring in the first place.
4. **Make ethics decisions in groups, and make decisions public, as appropriate.** This usually produces better quality decisions by including diverse interests and perspectives, and increases the credibility of the decision process and outcome by reducing suspicion of unfair bias.
5. **Integrate ethics management with other management practices.** When developing the values statement during strategic planning, include ethical values preferred in the workplace. When developing personnel policies, reflect on what ethical values you'd like to be most prominent in the organization's culture and then design policies to produce these behaviors.
6. **Use cross-functional teams when developing and implementing the ethics management program.** It's vital that the organization's employees feel a sense of participation and ownership in the program if they are to adhere to its ethical values. Therefore, include employees in developing and operating the program.
7. **Value forgiveness.** This may sound rather religious or preachy to some, but it's probably the most important component of any management practice. An ethics management program may at first actually increase the number of ethical issues to be dealt with because people are more sensitive to their occurrence. Consequently, there may be more occasions to address people's unethical behavior. The most important ingredient for remaining ethical is trying to be ethical. Therefore, help people recognize and address their mistakes and then support them to continue to try to operate ethically.

**8. Note that trying to operate ethically and making a few mistakes is better than not trying at all.** Some organizations have become widely known as operating in a highly ethical manner, e.g., Ben and Jerry's, Johnson and Johnson, Aveda, Hewlett Packard, etc. Unfortunately, it seems that when an organization achieves this strong public image, it's placed on a pedestal by some business ethics writers. All organizations are comprised of people and people are not perfect. However, when a mistake is made by any of these organizations, the organization has a long way to fall. In our increasingly critical society, these organizations are accused of being hypocritical and they are soon pilloried by social critics. Consequently, some leaders may fear sticking their necks out publicly to announce an ethics management program. This is extremely unfortunate. It's the trying that counts and brings peace of mind—not achieving an heroic status in society.



## Section 13:

### Extract from “Changing Frames: Leadership and Governance in the Information Age”

by Steven A. Rosell<sup>22</sup>

## Creating New Frameworks

### The Nature of Dialogue

#### What Is Dialogue?

Dialogue, as Daniel Yankelovich presented the concept to us, is any serious form of discourse that achieves both the cognitive result of greater mutual understanding, and the affective or emotional result of greater mutual respect and trust.<sup>23</sup> Learning based on dialogue (“dialogic or viewpoint learning”) enables people to appreciate the viewpoint, frameworks, values and perspective of others, to see where they are coming from, to “walk in their shoes.”

An important and distinctive element in dialogue is the inclusion of the emotional or affective dimension. Our predominant model of knowledge and discourse, based on the perspective of the scientist or the expert, focuses on cognitive deliberation and tries to exclude the emotional dimension. The dialogue model, however, recognizes and accepts that when fundamental questions of values, world view and identity are at issue, strong feelings are bound to arise. The mixing of facts and values that is characteristic of dialogue is how we reach some of our most important judgments. It is this process that we can see at work in well-functioning boards of directors, cabinets, work groups and citizen groups in their best moments.

In dialogue the wisdom of a group, organization or society emerges. In dialogue questions are framed or re-framed, joint inquiry is undertaken, and shared agendas, stories, language and meaning are created. In dialogue we interrelate our separate frameworks of interpretation (our tacit knowledge) to produce a shared frame that is more than the sum of its parts. In dialogue we connect immediate questions to a

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22. The complete document can be found at <http://www.viewpointlearning.com/changingframes/changingframes.html>.

23. This section draws heavily on the presentation made to the roundtable by Daniel Yankelovich. Additional details on the practice of dialogue, along with numerous examples, can be found in his book *The Magic of Dialogue* (New York: Simon & Schuster, 1999). Also valuable are William Isaacs, *Dialogue and the Art of Thinking Together* (New York: Doubleday Currency, 1999), and Edgar H. Schein, “Dialogue and Culture,” *Organizational Dynamics*, autumn, 1993.

broader context, to longer-term issues and sustainability, to personal experience and to deeper values in order to produce wiser judgments. As the environment becomes more turbulent, and as change accelerates and information overload grows, we need to be able to tap that wisdom more reliably and continually.

One good way to understand the nature of dialogue is to contrast it with debate,<sup>24</sup> which is the predominant mode of discourse in organizations and society today:

Three distinctive features separate dialogue from simple discussion and most other forms of talk. For true dialogue to take place, it is essential that the participants:

- suspend status differences and treat one another as peers;
- listen to one another with empathy; and
- bring assumptions to the surface in a non-judgmental way.

Doing this can be very hard work, and requires the development of new skills and capacities.

Debate	Dialogue
Assuming that there is a right answer (and that you have it)	Assuming that others have pieces of the answer and that together you can craft a solution
Combative: attempting to prove the other side wrong	Collaborative: attempting to find common understanding
About winning	About exploring common ground
Listening to find flaws and make counter-arguments	Listening to understand and find a basis for agreement
Defending assumptions as valid	Presenting assumptions for re-evaluation
Critiquing the other side's position	Re-examining all positions
Defending one's own views against those of others	Admitting that others' thinking can improve one's own
Searching for weaknesses and flaws in the other position	Searching for strengths and value in the other position
Seeking a conclusion or vote that ratifies your position	Discovering new options, not seeking closure

24. The chart below is designed to emphasize the differences between debate and dialogue, not to elaborate the many positive aspects of debate.

## When Is Dialogue Needed?

Dialogue should not be used when simpler forms of communication will suffice. Dialogue is needed, in particular, when people with different viewpoints, beliefs, problem definitions, backgrounds, professions, interests, values or traditions must find common ground, must build a shared framework within which they can work together. These circumstances are becoming more common in the face of globalization and the growing diversity of organizations, societies and cultures.

Dialogue does not replace debate, negotiation or decision making. It precedes them and creates the shared framework, language and set of expectations within which they are more likely to lead to a productive outcome.

## Dialogue vs. Decision Making

Mixing or confusing dialogue and decision making is likely to produce both bad dialogue and worse decision making. This is because of one fundamental difference between the two forms of communication: in dialogue all participants need to act as peers, but in decision making those with responsibility and accountability must take action.

If decision making is introduced into a dialogue, the result is often short-circuited or even manipulated dialogue. For example, decision makers may use what purports to be an open dialogue to gain support for decisions they have already made.<sup>25</sup>

On the other hand, if dialogue is introduced into decision making, the participants often talk an issue to death but don't take any action. This has happened, for example, in many misguided efforts at participatory decision making. It is essential to be clear whether a particular conversation is to be a dialogue or a decision-making process, and to be explicit when the dialogue is concluded and it is time to switch to decision making.

Infrastructures and capacities for debate, negotiation and decision making are already well established, but adequate support systems and capacities for dialogue remain to be built.

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25. In his session with the roundtable, Gilles Paquet in particular emphasized the dangers of dialogue being manipulated in this way.

## Developing the Capacities and Support Systems for Dialogue

### Why Invest in Dialogue?

To build adequate support systems and capacities for dialogue, organizations and governments need to invest both time and money. But these initial costs need to be weighed against both the expected benefits and the costs of not acting.

The benefits include the development of capacities to construct and renew shared frameworks of belief, values and interpretation that provide the foundation for more effective and legitimate leadership and governance. In the context of those shared frameworks it becomes possible, for example, for people to respond more quickly and flexibly to changing circumstances, to get the benefit of multiple perspectives, and to address more effectively the growing range of issues that cut across organizational and jurisdictional boundaries. More fundamentally, this process provides the basis for sustaining and renewing the community of values on which the future of Canada (and other states) depends in an increasingly continental and global economy.<sup>26</sup>

The costs of not acting include:

- continuing social fragmentation;
- a declining ability to meet the growing need to work together across jurisdictions, communities, sectors of society, industries, organizations and even the different units within organizations (each with their own frameworks);
- diminishing faith and participation in governance;
- a growing inability to attract and get the best from knowledge workers; and
- growing lags between the rapidity of change and our ability to respond.

In many areas these costs are already being felt.

### Principles and Protocols for Creating New Frameworks

Protocols can be thought of as original statements of basic principles. How these principles are understood and implemented will change over time as lessons are learned and these new frameworks are built. In effect, one outcome of the dialogue process is to learn better ways to understand and implement these protocols.

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26. Most of the resource persons with whom we met, and perhaps most eloquently Michael Adams, David Cameron and Francisco Sagasti, emphasized the importance of developing and sustaining such a community of values.

The protocols outlined below all have one other thing in common: they are all designed to build trust and social capital in organizations and society. A recurring theme in our work has been that building trust and trust-based relationships has become the key to effective, sustainable leadership and governance. Intangible elements such as trust and informal relationships once were taken for granted as “soft” or peripheral factors. As social fragmentation and mistrust grow, however, these soft factors are emerging as fundamental. Moreover, in a rapidly changing, knowledge-based society, the capacity to innovate and learn together is perhaps the only sustainable competitive advantage. So, in both organizations and societies, the development of trust-based relationships becomes the foundation not only for effective governance but also for economic success.

In a rapidly changing world, building trust and social capital requires a continuing process of dialogue aimed at creating and re-creating a common language and a community of values. It involves moving from transactions to relationships, building mutual respect and understanding, and enabling participants to feel that they are engaged in a common enterprise. In this sense, the process of constructing new frameworks for leadership and governance is also a process of constructing trust and social capital, both within organizations and across society.

The following is a minimum set of protocols, identified through the work of the roundtable, that we recommend to guide the process of building new frameworks for leadership and governance. This is a process of dialogue and learning, not decision-making, but the shared frameworks, language, viewpoints and expectations that result can make subsequent negotiation and decision making both more coherent and more productive.

### Valuing Diversity and Inclusion

The growing diversity of society and organizations means that we need to make greater efforts to include those with different backgrounds, interests and perspectives in the processes of leadership and governance, if we want those processes to be legitimate and effective. The growth of a knowledge-based economy also increases the value of diversity, since diversity means that we can draw on different viewpoints and sources of knowledge. Greater inclusion of diverse people and perspectives is most likely to occur when the value of that inclusion can be connected to the achievement of broader organizational and societal goals. An understanding of that connection is far more likely to motivate sustainable positive action and real results than are externally imposed standards and accountability measures.

The process of building new frameworks for leadership and governance, therefore, needs to be guided by the principle that the widest possible range of viewpoints and

interests should be included. Several of the case studies undertaken for the roundtable underlined that achieving more effective and sustainable dialogue requires the inclusion of all relevant perspectives at the table.<sup>27</sup> In a dialogue, it is a mistake to try to engage different groups and interests separately. The purpose is not to find or negotiate the lowest common denominator consensus, but to put real issues and differences on the table, to learn from different points of view, and to seek the best ideas.

In this process it is important to establish clear expectations at the outset, to be honest about what is and is not on the table and how the results will be used, and to emphasize that dialogue precedes and creates a foundation for decision making, but is not decision making. Such dialogue is often most productive when it is focused on concrete, values-based choices (choices that combine facts and values). This has proven to be the most effective way to enable a diverse, non-expert group to come together to work through complex issues.<sup>28</sup>

## Investing Time

Processes of dialogue, learning and engagement take time. There is a tension between the time needed for those processes and the light-speed of change characteristic of the information age. How can anyone take the time needed for dialogue when the world is changing so rapidly?

One answer may be the suggestion to establish a public utility for dialogue that could be tapped by all sectors. This would considerably reduce the start-up time and costs of each new dialogue or public engagement program.

It is also important to remember that dialogue precedes decision making and is intended to create a shared framework within which subsequent decision making can be more productive, effective and efficient. In this sense, the time required for dialogue, learning and engagement should be seen as an investment that can save considerably in time and difficulties over the longer run. This is analogous to preventive approaches in areas such as health, which can be expensive up-front but save considerably in the longer term.

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27. The value of inclusion and the best ways to achieve it were central to a number of case studies, including those on:

- the Government of Canada's Task Force on an Inclusive Public Service;
- efforts to use community dialogue and alternative dispute resolution to develop a more culturally appropriate and healing way to settle claims resulting from the mistreatment of Aboriginal children in residential schools; and
- developing self-reliance and good governance in Métis settlements in Alberta.

28. Daniel Yankelovich described to us how such "choice work" has been used successfully by the Public Agenda Foundation and other organizations.

How much time and resources have been wasted by decisions made too hastily and without adequate understanding and support? We can think of many examples in all sectors.

The process of building new frameworks for leadership and governance, therefore, should be guided by the principle that it is important to invest the time and resources needed for the development of a shared framework, mutual trust and mutual understanding. In the long run, that investment can pay for itself many times over. By investing time now, we provide the framework within which a wide range of players in an organization or society later will be able to adapt more quickly, flexibly and coherently to rapidly changing circumstances. In the context of a shared framework, people can improvise responses to changing circumstances more quickly and coherently and without having to await instructions. By going slow now, we can go faster later. Conversely, the costs of not making that investment in building new frameworks include endless rounds of misunderstanding and endless returns to square one.

# Section 14: Dialogue: A Proposal

## David Bohm on Dialogue

David Bohm (1917-1992) was a distinguished physicist who is best known for his work on the fundamentals of quantum theory and relativity theory and their implications for other fields. David Bohm struck up a close friendship with Jidhu Krishnamurti. They carried on an intensive dialogue over many years ranging over the ultimate meaning and nature of thought, insight, existence, death, truth, reality, intelligence ...

Here we reprint a very influential paper written with Donald Factor and Peter Garrett. (Bohm's influence can be seen, for example, in the work of Peter Senge on learning organizations.) In the paper the writers set out their understanding of dialogue, and the way in which it can be approached. Their take is very particular—and can be contrasted with the sort of understanding achieved by Paulo Freire, Hans-Georg Gadamer and Martin Buber. For a discussion, see dialogue and conversation.

## Dialogue: A Proposal

by David Bohm, Donald Factor and Peter Garrett<sup>29</sup>

Dialogue, as we are choosing to use the word, is a way of exploring the roots of the many crises that face humanity today. It enables inquiry into, and understanding of, the sorts of processes that fragment and interfere with real communication between individuals, nations and even different parts of the same organization. In our modern culture, men and women are able to interact with one another in many ways: they can sing, dance or play together with little difficulty but their ability to talk together about subjects that matter deeply to them seems invariably to lead to dispute, division and often to violence. In our view this condition points to a deep and pervasive defect in the process of human thought.

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29. Reproduced from the following Web site: [http://www.infed.org/archives/e-texts/bohm\\_dialogue.htm](http://www.infed.org/archives/e-texts/bohm_dialogue.htm).



In Dialogue, a group of people can explore the individual and collective presuppositions, ideas, beliefs, and feelings that subtly control their interactions. It provides an opportunity to participate in a process that displays communication successes and failures. It can reveal the often puzzling patterns of incoherence that lead the group to avoid certain issues or, on the other hand, to insist, against all reason, on standing and defending opinions about particular issues.

Dialogue is a way of observing, collectively, how hidden values and intentions can control our behavior, and how unnoticed cultural differences can clash without our realizing what is occurring. It can therefore be seen as an arena in which collective learning takes place and out of which a sense of increased harmony, fellowship and creativity can arise.

Because the nature of Dialogue is exploratory, its meaning and its methods continue to unfold. No firm rules can be laid down for conducting a Dialogue because its essence is learning—not as the result of consuming a body of information or doctrine imparted by an authority, nor as a means of examining or criticizing a particular theory or programme, but rather as part of an unfolding process of creative participation between peers.

However, we feel that it is important that its meaning and background be understood.

Our approach to this form of Dialogue arose out of a series of conversations begun in 1983 in which we inquired into David Bohm's suggestion that a pervasive incoherence in the process of human thought is the essential cause of the endless crises affecting mankind. This led us, in succeeding years, to initiate a number of larger conversations and seminars held in different countries with various groups of people which in turn began to take the form of Dialogues.

As we proceeded, it became increasingly clear to us that this process of Dialogue is a powerful means of understanding how thought functions. We became aware that we live in a world produced almost entirely by human enterprise and thus, by human thought. The room in which we sit, the language in which these words are written, our national boundaries, our systems of value, and even that which we take to be our direct perceptions of reality are essentially manifestations of the way human beings think and have thought. We realize that without a willingness to explore this situation and to gain a deep insight into it, the real crises of our time cannot be confronted, nor can we find anything more than temporary solutions to the vast array of human problems that now confront us.

We are using the word "thought" here to signify not only the products of our conscious intellect but also our feelings, emotions, intentions and desires. It also includes such subtle, conditioned manifestations of learning as those that allow us to

make sense of a succession of separate scenes within a cinema film or to translate the abstract symbols on road signs along with the tacit, non-verbal processes used in developing basic, mechanical skills such as riding a bicycle. In essence, thought, in this sense of the word, is the active response of memory in every phase of life. Virtually all of our knowledge is produced, displayed, communicated, transformed and applied in thought.

To further clarify this approach, we propose that, with the aid of a little close attention, even that which we call rational thinking can be seen to consist largely of responses conditioned and biased by previous thought. If we look carefully at what we generally take to be reality, we begin to see that it includes a collection of concepts, memories and reflexes colored by our personal needs, fears, and desires, all of which are limited and distorted by the boundaries of language and the habits of our history, sex and culture. It is extremely difficult to disassemble this mixture or to ever be certain whether what we are perceiving—or what we may think about those perceptions—is at all accurate.

What makes this situation so serious is that thought generally conceals this problem from our immediate awareness and succeeds in generating a sense that the way each of us interprets the world is the only sensible way in which it can be interpreted. What is needed is a means by which we can slow down the process of thought in order to be able to observe it while it is actually occurring.

Our physical bodies have this capability but thought seems to lack it. If you raise your arm, you know that you are willing the act, that somebody else is not doing it for or to you. This is called proprioception. We can be aware of our body's actions while they are actually occurring but we generally lack this sort of skill in the realm of thought. For example, we do not notice that our attitude toward another person may be profoundly affected by the way we think and feel about someone else who might share certain aspects of his behavior or even of his appearance. Instead, we assume that our attitude toward her arises directly from her actual conduct. The problem of thought is that the kind of attention required to notice this incoherence seems seldom to be available when it is most needed.

## Why dialogue

Dialogue is concerned with providing a space within which such attention can be given. It allows a display of thought and meaning that makes possible a kind of collective proprioception or immediate mirroring back of both the content of thought and the less apparent, dynamic structures that govern it. In Dialogue this can be experienced both individually and collectively. Each listener is able to reflect back to each speaker, and to the rest of the group, a view of some of the assumptions and unspoken implications of what is being expressed along with that which is being

avoided. It creates the opportunity for each participant to examine the preconceptions, prejudices and the characteristic patterns that lie behind his or her thoughts, opinions, beliefs and feelings, along with the roles he or she tends habitually to play. And it offers an opportunity to share these insights.

The word “dialogue” derives from two roots: “dia,” which means “through,” and “logos,” which means “the word,” or more particularly, “the meaning of the word.” The image it gives is of a river of meaning flowing around and through the participants. Any number of people can engage in Dialogue—one can even have a Dialogue with oneself—but the sort of Dialogue that we are suggesting involves a group of between twenty and forty people seated in a circle talking together.

Some notion of the significance of such a Dialogue can be found in reports of hunter-gatherer bands of about this size who, when they met to talk together, had no apparent agenda nor any predetermined purpose. Nevertheless, such gatherings seemed to provide and reinforce a kind of cohesive bond or fellowship that allowed its participants to know what was required of them without the need for instruction or much further verbal interchange. In other words, what might be called a coherent culture of shared meaning emerged within the group. It is possible that this coherence existed in the past for human communities before technology began to mediate our experience of the living world.

Dr. Patrick de Mare, a psychiatrist working in London, has conducted pioneering work along similar lines under modern conditions. He set up groups of about the same size, the purpose of which he described in terms of “sociotherapy.” His view is that the primary cause of the deep and pervasive sickness in our society can be found at the socio-cultural level and that such groups can serve as micro-cultures from which the source of the infirmity of our large civilization can be exposed. Our experience has led us to extend this notion of Dialogue by emphasizing and giving special attention to the fundamental role of the activity of thought in the origination and maintenance of this condition.

As a microcosm of the large culture, Dialogue allows a wide spectrum of possible relationships to be revealed. It can disclose the impact of society on the individual and the individual’s impact on society. It can display how power is assumed or given away and how pervasive are the generally unnoticed rules of the system that constitutes our culture. But it is most deeply concerned with understanding the dynamics of how thought conceives such connections.

It is not concerned with deliberately trying to alter or change behavior nor to get the participants to move toward a predetermined goal. Any such attempt would distort and obscure the processes that the Dialogue has set out to explore. Nevertheless, changes do occur because observed thought behaves differently from unobserved

thought. Dialogue can thus become an opportunity for thought and feeling to play freely in a continuously [sic] of deeper or more general meaning. Any subject can be included and no content is excluded. Such an activity is very rare in our culture.

## Purpose and meaning

Usually people gather either to accomplish a task or to be entertained, both of which can be categorized as predetermined purposes. But by its very nature, Dialogue is not consistent with any such purposes beyond the interest of its participants in the unfoldment and revelation of the deeper collective meanings that may be revealed. These may on occasion be entertaining, enlightening, lead to new insights or address existing problems. But surprisingly, in its early stages, the dialogue will often lead to the experience of frustration.

A group of people invited to give their time and serious attention to a task that has no apparent goal and is not being led in any detectable direction may quickly find itself experiencing a great deal of anxiety or annoyance. This can lead to the desire on the part of some, either to break up the group or to attempt to take control and give it a direction. Previously unacknowledged purposes will reveal themselves. Strong feelings will be exposed, along with the thoughts that underlie them. Fixed positions may be taken and polarization will often result. This is all part of the process. It is what sustains the Dialogue and keeps it constantly extending creatively into new domains.

In an assembly of between twenty and forty people, extremes of frustration, anger, conflict or other difficulties may occur, but in a group of this size such problems can be contained with relative ease. In fact, they can become the central focus of the exploration in what might be understood as a kind of “meta-dialogue” aimed at clarifying the process of Dialogue itself.

As sensitivity and experience increase, a perception of shared meaning emerges in which people find that they are neither opposing one another, nor are they simply interacting. Increasing trust between members of the group—and trust in the process itself—leads to the expression of the sorts of thoughts and feelings that are usually kept hidden. There is no imposed consensus, nor is there any attempt to avoid conflict. No single individual or sub-group is able to achieve dominance because every single subject, including domination and submission, is always available to be considered.

Participants find that they are involved in an ever changing and developing pool of common meaning. A shared content of consciousness emerges which allows a level of creativity and insight that is not generally available to individuals or to groups that interact in more familiar ways. This reveals an aspect of Dialogue that Patrick de Mare has called *koinonia*, a word meaning “impersonal fellowship” which was originally used

to describe the early form of Athenian democracy in which all the free men of the city gathered to govern themselves.

As this fellowship is experienced it begins to take precedence over the more overt content of the conversation (sic). It is an important stage in the Dialogue, a moment of increased coherence, where the group is able to move beyond its perceived blocks or limitations and into new territory, but it is also a point at which a group may begin to relax and bask in the "high" that accompanies the experience. This is the point that sometimes causes confusion between Dialogue and some forms of psychotherapy. Participants may want to hold the group together in order to preserve the pleasurable feeling of security and belonging that accompanies the state. This is similar to that sense of community often reached in therapy groups or in team building workshops where it is taken to be the evidence of the success of the method used. Beyond such a point, however, lie even more significant and subtle realms of creativity, intelligence and understanding that can be approached only by persisting in the process of inquiry and risking re-entry into areas of potentially chaotic or frustrating uncertainty.

#### What dialogue is not

Dialogue is not discussion, a word that shares its root meaning with "percussion" and "concussion," both of which involve breaking things up. Nor is it debate. These forms of conversation contain an implicit tendency to point toward a goal, to hammer out an agreement, to try to solve a problem or have one's opinion prevail. It is also not a "salon," which is a kind of gathering that is both informal and most often characterized by an intention to entertain, exchange friendship, gossip and other information. Although the word "dialogue" has often been used in similar ways, its deeper, root meaning implies that it is not primarily interested in any of this.

Dialogue is not a new name for T-groups or sensitivity training, although it is superficially similar to these and other related forms of group work. Its consequences may be psychotherapeutic but it does not attempt to focus on removing the emotional blocks of any one participant nor to teach, train or analyze. Nevertheless, it is an arena in which learning and the dissolution of blocks can and often do take place. It is not a technique for problem solving or conflict resolution, although problems may well be resolved during the course of a Dialogue, or perhaps later, as a result of increased understanding and fellowship that occurs among the participants. It is, as we have emphasized, primarily a means of exploring the field of thought.

Dialogue resembles a number of other forms of group activity and may at times include aspects of them but in fact it is something new to our culture. We believe that it is an activity that might well prove vital to the future health of our civilization.

## How to start a dialogue

**Suspension.** Suspension of thoughts, impulses, judgments, etc., lies at the very heart of Dialogue. It is one of its most important new aspects. It is not easily grasped because the activity is both unfamiliar and subtle. Suspension involves attention, listening and looking and is essential to exploration. Speaking is necessary, of course, for without it there would be little in the Dialogue to explore, but the actual process of exploration takes place during listening—not only to others but to oneself. Suspension involves exposing your reactions, impulses, feelings and opinions in such a way that they can be seen and felt within your own psyche and also be reflected back by others in the group. It does not mean repressing or suppressing or even postponing them. It means, simply, giving them your serious attention so that their structures can be noticed while they are actually taking place. If you are able to give attention to, say, the strong feelings that might accompany the expression of a particular thought—either your own or another's—and to sustain that attention, the activity of the thought process will tend to slow you down. This may permit you to begin to see the deeper meanings underlying your thought process and to sense the often incoherent structure of any action that you might otherwise carry out automatically. Similarly, if a group is able to suspend such feelings and give its attention to them, then the overall process that flows from thought, to feeling, to acting out within the group, can also slow down and reveal its deeper, more subtle meanings along with any of its implicit distortions, leading to what might be described as a new kind of coherent, collective intelligence.

To suspend thought, impulse, judgment, etc., requires serious attention to the overall process we have been considering—both on one's own and within a group. This involves what may at first appear to be an arduous kind of work. But if this work is sustained, one's ability to give such attention constantly develops so that less and less effort is required.

**Numbers.** A Dialogue works best with between twenty and forty people seated facing one another in a single circle. A group of this size allows for the emergence and observation of different subgroups or subcultures that can help to reveal some of the ways in which thought operates collectively. This is important because the differences between such subcultures are often an unrecognized cause of failed communication and conflict. Smaller groups, on the other hand, lack the requisite diversity needed to reveal these tendencies and will generally emphasize more familiar personal and family roles and relationships.

With a few groups we have had as many as sixty participants, but with that large a number the process becomes unwieldy. Two concentric circles are required to seat everybody so that they can see and hear one another. This places those in the back row at a disadvantage, and fewer participants have an opportunity to speak.

We might mention here that some participants tend to talk a great deal while others find difficulty in speaking up in groups. It is worth remembering, though, that the word "participation" has two meanings: "to partake of" and "to take part in." Listening is at least as important as speaking. Often the quieter participants will begin to speak up more as they become familiar with the Dialogue experience while the more dominant individuals will find themselves tending to speak less and listen more.

**Duration.** A Dialogue needs some time to get going. It is an unusual way of participating with others and some sort of introduction is required in which the meaning of the whole activity can be communicated. But even with a clear introduction, when the group begins to talk together it will often experience confusion, frustration, and a self-conscious concern as to whether or not it is actually engaging in Dialogue. It would be very optimistic to assume that a Dialogue would begin to flow or move toward any great depth during its first meeting. It is important to point out that perseverance is required.

In setting up Dialogues it is useful at the start to agree to the length of the session and for someone to take responsibility for calling time at the end. We have found that about two hours is optimum. Longer sessions risk a fatigue factor which tends to diminish the quality of participation. Many T-groups use extended "marathon" sessions which use this fatigue factor to break down some of the inhibitions of the participants. Dialogue, on the other hand, is more concerned with exploring the social constructs and inhibitions that affect our communications rather than attempting to bypass them.

The more regularly the group can meet, the deeper and more meaningful will be the territory explored. Weekends have often been used to allow a sequence of sessions, but if the Dialogue is to continue for an extended period of time, we suggest that there be at least a one-week interval between each succeeding session to allow time for individual reflection and further thinking. There is no limit to how long a Dialogue group may continue its exploration. But it would be contrary to the spirit of Dialogue for it to become fixed or institutionalized. This suggests openness to constantly shifting membership, changing schedules, or other manifestations of a serious attention to an implicit rigidity which might take hold. Or, merely the dissolving of a group after some period.

**Leadership.** A Dialogue is essentially a conversation between equals. Any controlling authority, no matter how carefully or sensitively applied, will tend to hinder and inhibit the free play of thought and the often delicate and subtle feelings that would otherwise be shared. Dialogue is vulnerable to being manipulated, but its spirit is not consistent with this. Hierarchy has no place in Dialogue.

Nevertheless, in the early stages some guidance is required to help the participants realize the subtle differences between Dialogue and other forms of group process. At

least one, or preferably two, experienced facilitators are essential. Their role should be to occasionally point out situations that might seem to be presenting sticking points for the group, in other words, to aid the process of collective proprioception, but these interventions should never be manipulative nor obtrusive. Leaders are participants just like everybody else. Guidance, when it is felt to be necessary, should take the form of "leading from behind" and preserve the intention of making itself redundant as quickly as possible.

However, this proposal is not intended as a substitute for experienced facilitators. We suggest, though, that its contents be reviewed with the group during its initial meeting so that all the participants can be satisfied that they are embarking upon the same experiment.

**Subject matter.** The Dialogue can begin with any topic of interest to the participants. If some members of the group feel that certain exchanges or subjects are disturbing or not fitting, it is important that they express these thoughts within the Dialogue. No content should be excluded.

Often participants will gossip or express their dissatisfactions or frustration after a session but it is exactly this sort of material that offers the most fertile ground for moving the Dialogue into deeper realms of meaning and coherence beyond the superficiality of "group think," good manners or dinner party conversation.

## Dialogue in existing organizations

So far we have been primarily discussing Dialogues that bring together individuals from a variety of backgrounds rather than from existing organizations. But its value may also be perceived by members of an organization as a way of increasing and enriching their own corporate creativity.

In this case the process of Dialogue will change considerably. Members of an existing organization will have already developed a number of different sorts of relationships between one another and with their organization as a whole. There may be a pre-existing hierarchy or a felt need to protect one's colleagues, team or department. There may be a fear of expressing thoughts that might be seen as critical of those who are higher in the organization or of norms within the organizational culture. Careers or the social acceptance of individual members might appear to be threatened by participation in a process that emphasizes transparency, openness, honesty, spontaneity, and the sort of deep interest in others that can draw out areas of vulnerability that may long have been kept hidden.

In an existing organization the Dialogue will very probably have to begin with an exploration of all the doubts and fears that participation will certainly raise. Members



may have to begin with a fairly specific agenda from which they eventually can be encouraged to diverge. This differs from the approach taken with one-time or self-selected groupings in which participants are free to begin with any subject matter. But as we have mentioned, no content should be excluded because the impulse to exclude a subject is itself rich material for the inquiry.

Most organizations have inherent, predetermined purposes and goals that are seldom questioned. At first this might also seem to be inconsistent with the free and open play of thought that is so intrinsic to the Dialogue process. However, this too can be overcome if the participants are helped from the very beginning to realize that considerations of such subjects can prove essential to the well-being of the organization and can in turn help to increase the participant's self-esteem along with the regard in which he or she may be held by others.

The creative potential of Dialogue is great enough to allow a temporary suspension of any of the structures and relationships that go to make up an organization.

Finally, we would like to make clear that we are not proposing Dialogue as a panacea nor as a method or technique designed to succeed all other forms of social interaction. Not everyone will find it useful nor, certainly, will it be useful in all contexts. There is great value to be found in many group psychotherapeutic methods and there are many tasks that require firm leadership and a well-formed organizational structure.

Much of the sort of work we have described here can be accomplished independently, and we would encourage this. Many of the ideas suggested in this proposal are still the subjects of our own continuing exploration. We do not advise that they be taken as fixed but rather that they be inquired into as a part of your own Dialogue.

The spirit of Dialogue is one of free play, a sort of collective dance of the mind that, nevertheless, has immense power and reveals coherent purpose. Once begun, it becomes continuing adventure that can open the way to significant and creative change.

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Sarah Bohm, Don Factor, Peter Garrett

This text was transcribed by Richard Burg. email: raburg@mail.well.com

# Section 15: List of Values and Ethics Web Sites

You can consult the following sites quickly by visiting our Web site at:  
<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/hyper.htm>

If you do not have enough time, we recommend the following sites:

- Treasury Board Secretariat: [http://www.tbs-sct.gc.ca/veo-bve/res\\_e.asp](http://www.tbs-sct.gc.ca/veo-bve/res_e.asp)
- University of British Columbia: <http://www.ethics.ubc.ca/resources>

## Federal government links

National Defence

Human Resources Development Canada

Royal Canadian Mounted Police

Industry Canada

CIC – La Relève

PS – La Relève

The Leadership Network

TBS – Office of Values and Ethics

## International links

Accountability of Lebanese Civil Servants: An Overview of Disciplinary Mechanisms  
Center for Ethics and Business  
Ethical Standards and Values in the Australian Public Service  
Ethics on the Web  
Ethics Resource Center  
The Independent Commission Against Corruption in the New South Wales (NSW)  
International Institute for Public Ethics  
Josephson Institute of Ethics  
Lockheed Martin Corporation  
The Management Assistance Program for Nonprofits  
Online Ethics Center for Engineering and Science  
Texas Instruments  
ThinkQuest Library of Entries  
U.S. Office of Government Ethics (OGE)

## Other links

Ethics Practitioners' Association of Canada  
Canadian Information Processing Society  
Canadian Human Rights Commission  
University of British Columbia

# Section 16:

## List of Key Documents on Values and Ethics

Videotapes, CD-ROMs, games and exercises:

<http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/res.htm>

*The Ethical Compass*: <http://www.ci.gc.ca/cicexplore/english/org/apb/mmo/publications.htm>

The Code of Conduct and other Human Resources documents may be consulted at the following address: [http://www.ci.gc.ca/cicexplore/english/org/bhd/bht/cla\\_caa/guide/work.htm](http://www.ci.gc.ca/cicexplore/english/org/bhd/bht/cla_caa/guide/work.htm)

Canadian Centre for Management Development case studies: [http://www.ccmd-ccg.gc.ca/research/publications/complete\\_list\\_e.html#people](http://www.ccmd-ccg.gc.ca/research/publications/complete_list_e.html#people)  
(see under "Ethics and Values," P103E and P94E)

Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace: [http://www.tbs-sct.gc.ca/pubs\\_pol/hrpubs/tb\\_851/idicww-diicaft\\_e.html](http://www.tbs-sct.gc.ca/pubs_pol/hrpubs/tb_851/idicww-diicaft_e.html)

The Ombudsman's Annual Report:

<http://www.ci.gc.ca/cicexplore/english/org/ombudsman/report.htm>

# Section 17:

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<http://www.scu.edu/SCU/Centers/Ethics/practicing/decision/framework.html>.

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[http://www.ccmd-ccg.gc.ca/research/publications/complete\\_list\\_e.html#people](http://www.ccmd-ccg.gc.ca/research/publications/complete_list_e.html#people).

*An Ethics Toolkit for Managers*, by Carter McNamara:

[www.mapnp.org/library/ethics/ethxgde.htm](http://www.mapnp.org/library/ethics/ethxgde.htm).

*Building on a Strong Foundation—The Dialogue Continues: A Case Study Approach to Values and Ethics in the Public Service*, 2000: [http://www.ccmd-ccg.gc.ca/research/publications/complete\\_list\\_e.html#people](http://www.ccmd-ccg.gc.ca/research/publications/complete_list_e.html#people).

*Building on a Strong Foundation—The Dialogue Continues: Further Case Studies on Values and Ethics in the Public Service, Volume II*, 2001: [http://www.ccmd-ccg.gc.ca/research/publications/complete\\_list\\_e.html#people](http://www.ccmd-ccg.gc.ca/research/publications/complete_list_e.html#people).

*Changing Frames: Leadership and Governance in the Information Age*, By Steven A. Rosell, October 2000: <http://www.viewpointlearning.com/changingframes/changingframes.html>.

*Dialogue: A Proposal*, by David Bohm, Donald Factor and Peter Garret; Lee Nichol, ed.: [http://www.infed.org/archives/e-texts/bohm\\_dialogue.htm](http://www.infed.org/archives/e-texts/bohm_dialogue.htm).

*Ethics Matters: How to Implement Values-Driven Management*, by Dawn-Marie Driscoll and W. Michael Hoffman, Center for Business Ethics, 2000.

*Ethics in the Public Service: Current Issues and Practice*, by the Organisation for Economic Co-operation and Development, 1996: [www.oecd.org](http://www.oecd.org).

*Our Work Continues: CIC Ombudsman's Report for 2001:*  
<http://www.ci.gc.ca/cicexplore/english/org/ombudsman/report.htm>.

*Texas Instruments Ethics Quick Test:* <http://www.ti.com/corp/docs/company/citizen/ethics/quicktest.shtml>.

*The Ethical Compass: Values and Ethics Dilemmas at CIC, 1998:*  
<http://www.ci.gc.ca/cicexplore/english/pubs/C&I-314-12-98.htm>.

ThinkQuest Inc.: a not-for-profit organization that offers programs designed to advance education through the use of technology: <http://www.thinkquest.org/about/>.