



## REPORT OF FINDINGS

# **A Case Study on the Application of the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace**

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## EXECUTIVE SUMMARY

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Between July 30<sup>th</sup> and August 19<sup>th</sup>, 48 completed questionnaires have been returned. To accommodate staff holidays, the time for submission of questionnaires and completion of interviews had been extended from August 12<sup>th</sup> to August 19<sup>th</sup>. During the data-gathering period of this study, an unknown number of employees have been on holidays. There are 108 employees.

Telephone interviews have been conducted with six employees: five in English, one in French.

As only one employee requested the facilitated discussion group option, both available sessions were cancelled and this single participant was accommodated with a telephone interview.

A union spokesperson commented that employees are generally pleased with the process, though cautious about issues of confidentiality, and further commented that the lack of response for telephone interviews was likely due to satisfaction with the questionnaire's completeness.

### Key Findings

- Slightly over half of the respondents (56%) said they were aware of the policy before the study. Of those that were aware, 37% received knowledge through hearing or reading an announcement from the President of the Treasury Board, with 15% having gained awareness from a brochure or other items prepared by the Office of Values and Ethics.
- Very few respondents were aware of the Policy from the direct actions of the OPC; in fact, 74% of respondents could not recall any efforts by the OPC to communicate the policy. Only four respondents said the OPC provided a copy of the policy or a website address or information on the policy. Several said they did see a poster by the photocopier.
- 46% of respondents said that prior to June 2003, they were aware they would be protected from reprisal if they reported – however, only three respondents indicated that they believed this protection would be effective.
- When asked why they didn't believe it would work: 63% didn't trust OPC management, 38% thought confidentiality would be breached, and 38% thought protection from reprisal wasn't generally possible.
- Fully 25% of respondents (12/48) had attempted to report wrongdoing in the workplace since the policy was implemented in November 2001. A number of respondents indicated that they were aware of wrongdoing through the rumour mill and few had the actual evidence needed to make a report. It should also be noted that the data is not clear with respect to whether these experiences were as employees of the Privacy Commission or from previous employment. Only three respondents felt that their reporting of wrongdoing was supported by the person they contacted. Five thought they were actively discouraged. Four thought they were partially discouraged.

- 63% of respondents claimed that since November 2001, they had been aware of wrongdoing that they didn't report. Fear and distrust were the key barriers. When asked why they didn't report: 20 said that it would limit their career, while 18 indicated they were afraid of reprisals. Twenty-one respondents felt that management would not handle it well, or would let it slide. Note that employees could select multiple barriers.
- The key barriers were fear of reprisal (92%) and lack of faith in managers' ability (69%) and intent (58%) to protect staff. Other barriers were the lack of understanding of the policy (35%), a culture of acceptance (25%), and understanding PS values (21%).
- A comparative analysis of Male, Female, French, and English respondents indicates a prevalent theme of potential communication issues among French language and Female employees. Also, 72% of males versus 43% of females, and 69% of English versus 35% of French respondents said they were aware of the Policy before this study.

### **Most Repeated Recommendations:**

- More education/information
- Making management more accountable
- Improving leadership and culture
- More effective protection for employees. Change elements of the policy
- Legislation, creation of an independent body, establishment of a hotline

*Note: These recommendations were drawn from the verbatim comments. The need for more education/information was suggested 15 times, which was over twice the amount of any other recommendation.*

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# INTRODUCTION

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## Background

In November 2001, the Treasury Board Secretariat of Canada (TBS) introduced the Policy on the *Internal Disclosure of Information Concerning Wrongdoing in the Workplace*. The objective of the policy is to allow employees to bring forward information concerning wrongdoing, and to ensure that they are treated fairly and are protected from reprisal when they do so in a manner consistent with the policy. TBS committed to review the policy within three years.

Subsequent events at the Office of the Privacy Commission (OPC) in Ottawa raised questions regarding employee awareness of the Policy. As part of the ongoing evaluation and review mechanisms put in place with the implementation of the policy, TBS took the opportunity to conduct a case study to develop a better understanding of the issues or perceptions that OPC employees felt were barriers to using the internal processes such as this policy to raise concerns and complaints.

In July 2003, TBS retained *Leadership Unlimited Inc.* to conduct the case study. All employees of the OPC were invited to participate in any or all of three data collection processes:

- A survey questionnaire
- A telephone interview
- A facilitated discussion group
  - The facilitated discussion groups were cancelled due to lack of employee registration

The process was entirely voluntary.

Between July 30<sup>th</sup> and August 19<sup>th</sup>, the study yielded the following:

- 48 completed questionnaires were returned
- 6 telephone interviews were conducted

The study focused on 5 key areas:

- 1. Awareness of the Policy**
- 2. Belief in Protection from Reprisal**
- 3. Actions**
- 4. Barriers**
- 5. Respondents' Recommendations**

## Objective

The objective of this study was to conduct a case study with the employees of the Privacy Commission, with the goal to understand the fears or impediments people felt were barriers to using internal processes established by the *Internal Disclosure of Information Concerning Wrongdoing in the Workplace* to raise concerns and complaints.

The case study report is to be used, in combination with other survey data and research, to inform deliberations on the best methods for encouraging employees to disclose wrongdoing, and to protect them from reprisal when they do so. It is not intended to gather information or report on individuals.

## Scope

- The offer to take part in the study was made to the whole organization so that everyone had the same access and choice of vehicles for providing their views.
- Participation was voluntary.
- People were offered a range of options to choose from in terms of providing input:
  - Survey questionnaire
  - Individual telephone interview
  - Scheduled facilitated discussion groups (at least two: one in French and one in English)
- For confidentiality reasons, participants were asked not to provide their name or title.
- Facilitated discussion groups were to be conducted off site.
- Participants were informed in advance:
  - of the level to which confidentiality will be protected within the Access to Information Act and the Privacy Act;
  - that the report will be shared with the Government Operations Committee;
  - that those participants who may have provided information to the Government Operations Committee in earlier in-camera sessions should not violate the confidential nature of any information that may have been shared or learned in those sessions.

## Methodology

Working closely with the Project Authority, Ms. Catherine MacQuarrie, Executive Director, Policy and Planning, and Mr. Robert Marleau, Interim Privacy Commissioner, Leadership Unlimited Inc. developed the following materials for use in the implementation of this case study:

- An e-mail memo outlining the process for dissemination by Interim Commissioner Robert Marleau

- A second e-mail memo issued mid-process informing staff of extensions to the participation dates, for dissemination by Interim Commissioner Robert Marleau
- A “Privacy Provisions” statement read to each participant before Telephone Interview or Facilitated Discussion Group participation
- Methodology and Participation Outline
- Survey Questionnaire

Copies of these materials are provided in **Appendix A**.

On July 30, Interim Commissioner Robert Marleau issued the first e-mail memo and the questionnaires were made available for OPC Staff. The Methodology piece, which provided the instructions for requesting an interview or participation in a discussion group, was circulated with the survey, thereby enabling OPC staff to make the necessary arrangements.

The initial deadline for booking an interview or discussion group session was August 6<sup>th</sup> and the deadline for submission of completed questionnaires was August 12<sup>th</sup>. In the days approaching the first deadline, it was observed that while there were a promising number of questionnaires returned, enrolment numbers in the interview and discussion group sessions were lower than desired. Subsequently, it was decided to extend the original deadlines to allow for input by employees who were on vacation or not left with sufficient time to respond due to work considerations.

Interim Commissioner Robert Marleau released a second e-mail communication on August 7<sup>th</sup> that informed OPC staff of the new deadlines: August 19<sup>th</sup> for questionnaire submission and August 18<sup>th</sup> for booking an Interview in time for an August 19<sup>th</sup> finalization deadline. The Facilitated Discussion Groups were cancelled due to lack of participation and the participant enrolled at that time was provided with and accepted an opportunity to conduct a Telephone Interview.

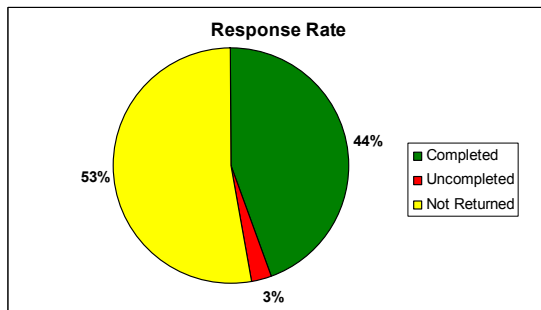
All the information from both the surveys and telephone interviews were summarized and form the basis for this report.

# SURVEY RESULTS – OVERALL

The following section provides the Overall results of the survey. The results are presented in the categories as follows:

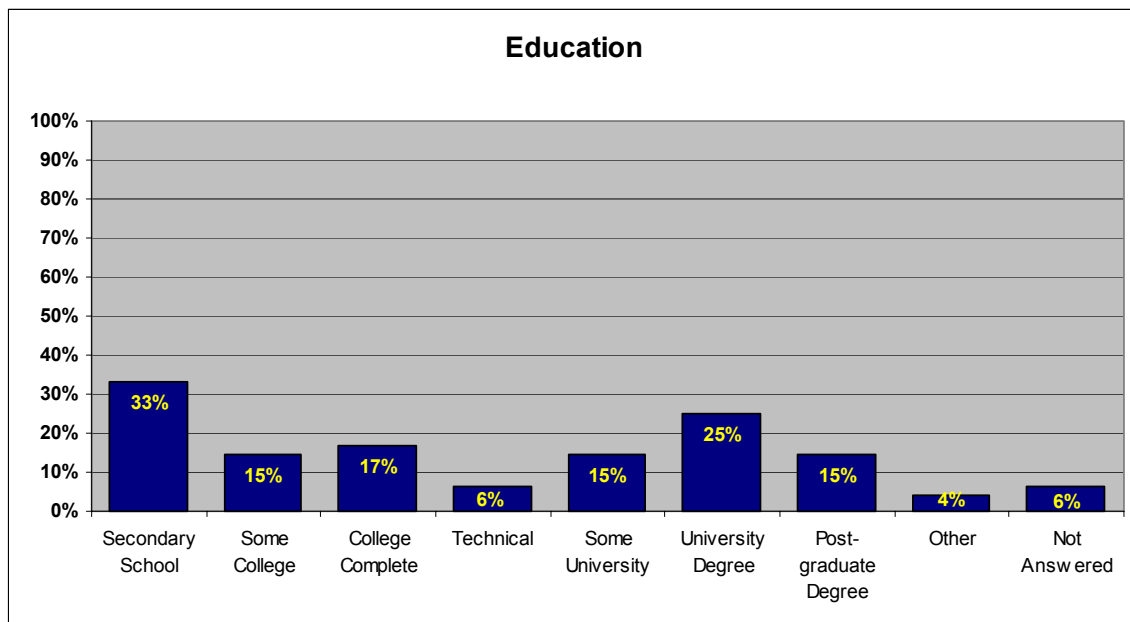
- **Response Rate**
- **Demographics** (questions 1 – 3)
- **Awareness** (questions 4 – 9 & 12)
- **Belief in Protection from Reprisal** (questions 10 – 11)
- **Actions** (questions 13 – 16)
- **Barriers** (questions 17 – 20)

## Response Rate



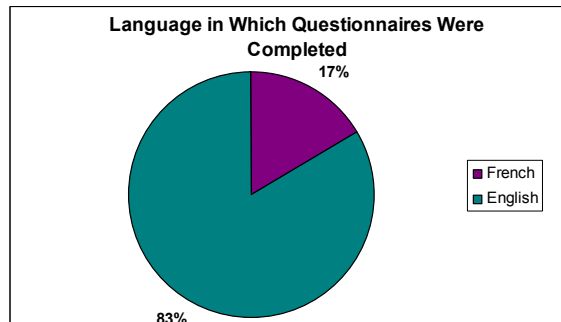
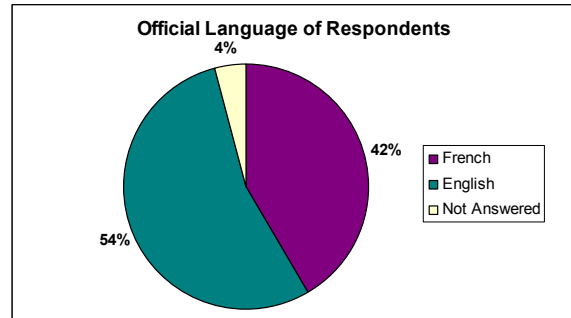
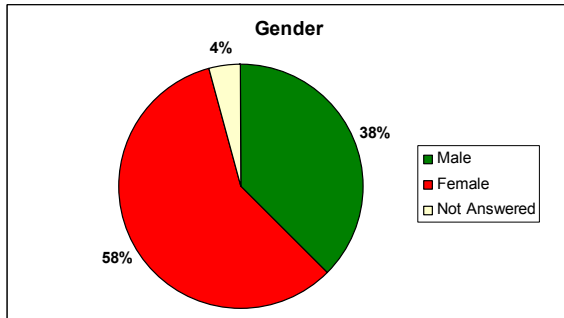
Of 108 employees in the OPC, 48 provided completed questionnaires for a response rate of 44% - an excellent response in consideration of the challenges provided by staff vacations, potential resistance to participate by a staff recently examined by many quarters, and overcoming the existing sensitivity for absolute anonymity and confidentiality.

## Demographics



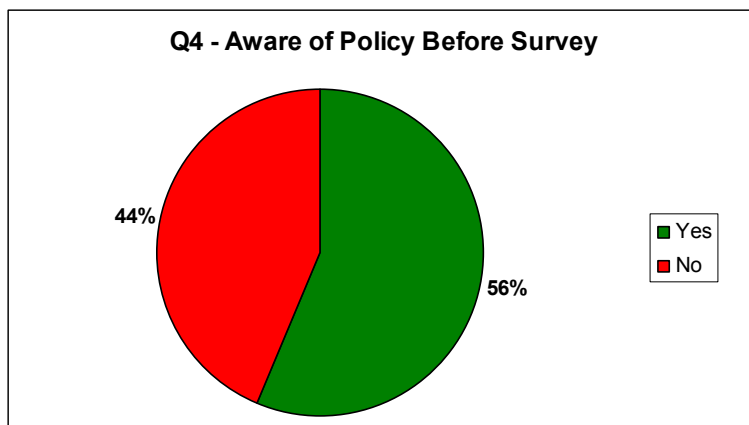


As depicted by the Education graph on the preceding page, Secondary School was the highest rated level of education achieved, with 33% of respondents claiming to have finished this level of schooling. However, it should be noted that the instructions for this question were to select all that applied and few respondents did so. As such, this number would increase considerably under the assumption that those with a post-secondary education have completed their secondary schooling.



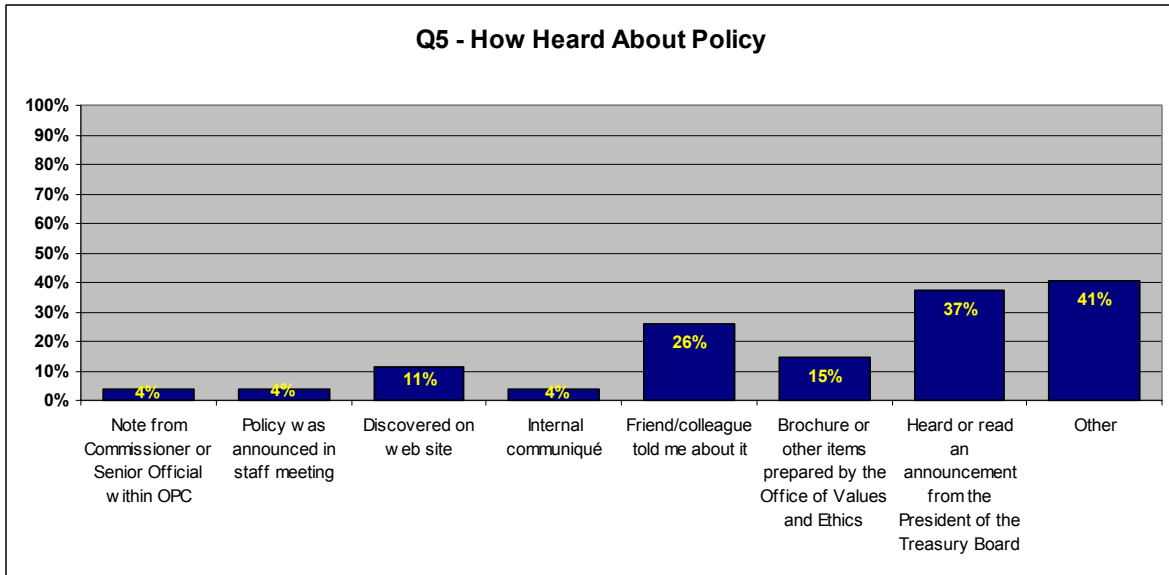
In looking at the Gender and Language demographics, special note should be made of the fact that although only 54% of respondents identified English as their “Mother Tongue” language, 83% of the returned questionnaires were completed in English, with only 17% of the returned questionnaires being done in French – very disproportionate to the 42% of respondents who identified their primary language as French.

## Awareness



Slightly over half of the respondents (56%) indicated that they were aware of the policy prior to this survey while 44% said they were not.

Very few employees reported that they were made aware of the policy through direct actions by the OPC. Respondents were asked to identify all methods that applied and the full reflection of these results is demonstrated in the graph below. (Please note that the percentages for the following two breakouts are based upon the number of respondents who answered “Yes” with respect to being aware of the Policy prior to this survey and not the full sample size).



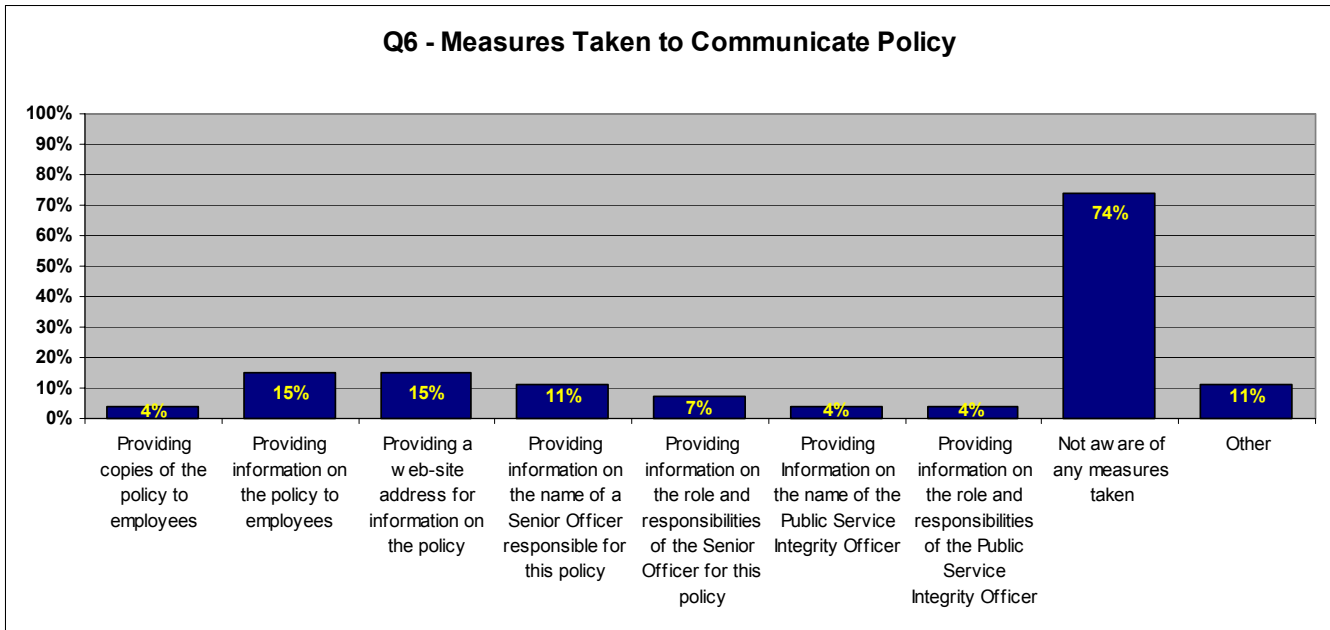
- The majority of respondents (41%) identified having learned of the Policy through “Other” means. A full listing of these responses is provided below, however, the most repeated means was the media.
- Only 1 respondent (4%) identified hearing of the policy through each of the three internal channels: note from Commissioner, staff meeting or internal communiqué. This underlines a critical need for an effective internal communication strategy.
- It is of interest to note that the second-highest source of discovery of this Policy was through hearing or reading an announcement from the President of the Treasury Board. This demonstrates that employees are more than passive audiences with respect to central agency communications and points to another potential communication venue.

### “Other” Responses

- En faisant les recherches pour le média.
- General info from newspaper.
- Media; Poster in photocopy area; Notice on official notice board.
- Posted internally.
- Branch received an inquiry on it.
- Asked to review and comment on it by senior management.

- Common knowledge.
- Newspaper.
- Cannot recall – knew it existed but had never actually seen it.
- Journaux, affiches au bureau.
- Only info was a poster by the photocopier.

As reflected in the graph below, when asked what measures they recalled the OPC taking to communicate the policy, the overwhelming response at 74% was that respondents were not aware of any measures taken by the OPC. The relatively low number of responses to the

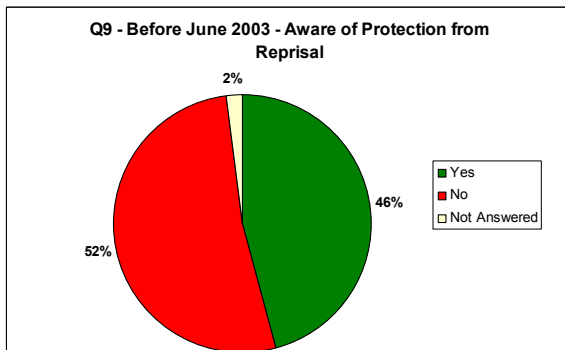
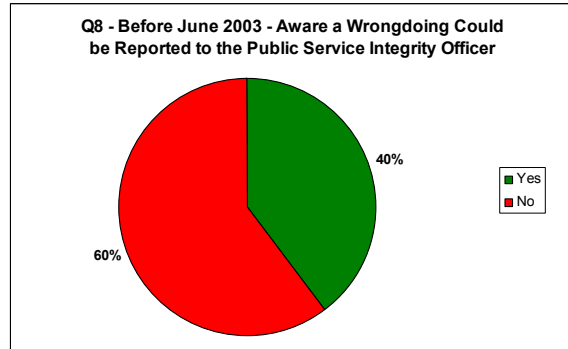
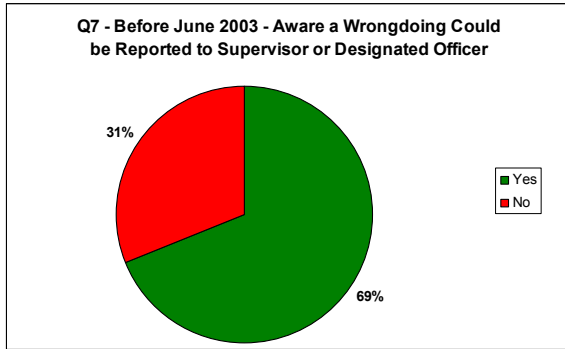


remaining categories again underlines a critical need for more efficient and effective internal communication practices.

### “Other” Responses

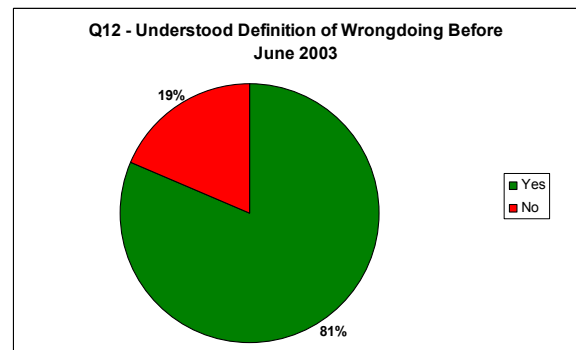
- I don’t remember – which is different than not aware.
- Not employed here at that time.

Employees had a slightly higher awareness of their ability to report wrongdoing to a supervisor or to a designated officer within OPC. As demonstrated in the graphs below, 69% of respondents claim that prior to June 2003, they did know they could report wrongdoing to a supervisor or designated officer while 31% said they did not know. However, awareness of the Public Service Integrity Officer role appeared to be significantly lower. Only 40% of respondents indicate that prior to June 2003 they knew they could report wrongdoing to the Public Service Integrity Officer. A full 60% said they did not know they could do so.

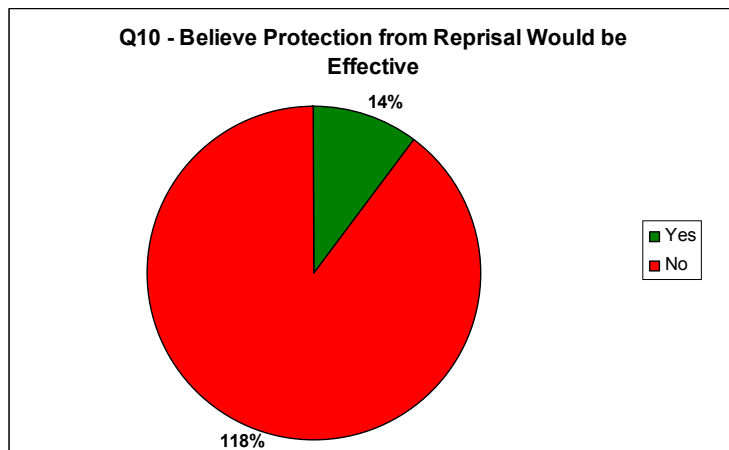


When asked if, prior to June 2003, respondents were aware that they would be protected from reprisal if they did disclose information concerning a wrongdoing, 46% indicated that they were aware and 52% were not.

A large majority of respondents believed that they did understand the definition of wrongdoing in the workplace. Fully 81% felt that prior to June 2003, they did understand the definition of wrongdoing, while 19% indicated that they did not.



## Belief in Protection from Reprisal



A significant difference arose when employees were probed about the differences between awareness of the policy and their belief in its ability to protect them from reprisal.

When asked if they were aware that they would be protected from reprisal if they did disclose information concerning wrongdoing in the workplace, 46% said that they were aware. **Of those, only 14% percent said that they believed the**

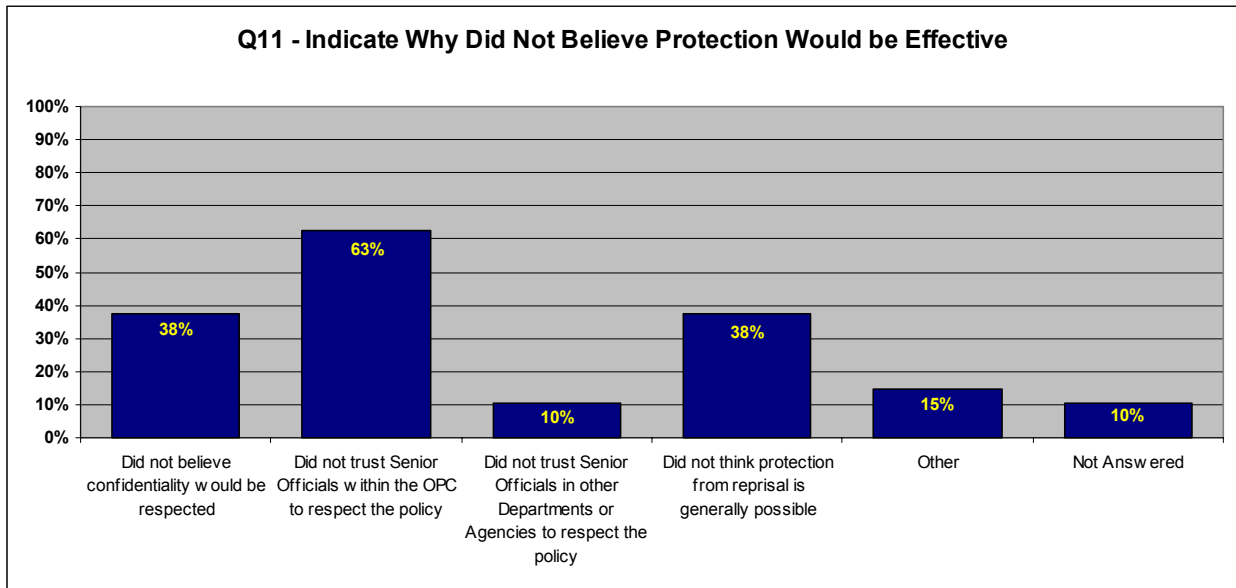
**protection from reprisal would be effective** while 118%<sup>1</sup> said they did not believe it would be effective.

As demonstrated in the graph below, when asked to select from any or all of the provided reasons why respondents did not believe protection from reprisal would be effective, the following responses were provided:

- 18 respondents indicated they did not believe the confidentiality would be respected
- 30 respondents indicated they did not trust Senior Officials within the OPC
- 5 respondents indicated they did not trust Senior Officials in other Departments or Agencies

<sup>1</sup> Please note that respondents were only to answer this question if they responded “Yes” to Question 9. As such, the sample size for this question should have been 22, yet there were 29 total responses. This results in a 132% response rate overall and from which these figures are representative. *Leadership Unlimited Inc.* does not make it a practice to adjust erroneous inputs from respondents and instead reports the data as provided.

- 18 respondents indicated did not think protection from reprisal is generally possible

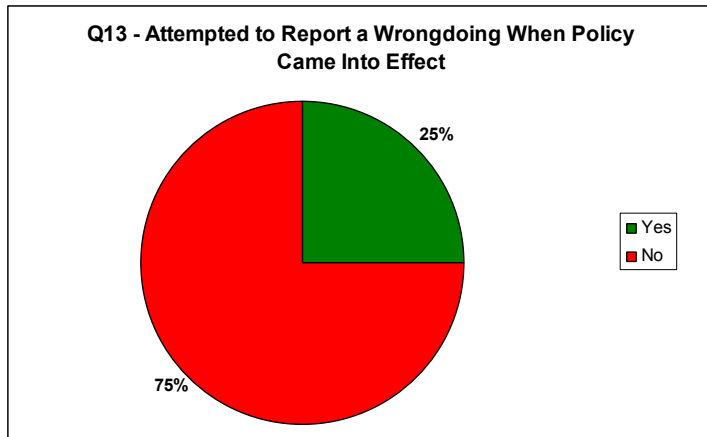


### “Other” Responses

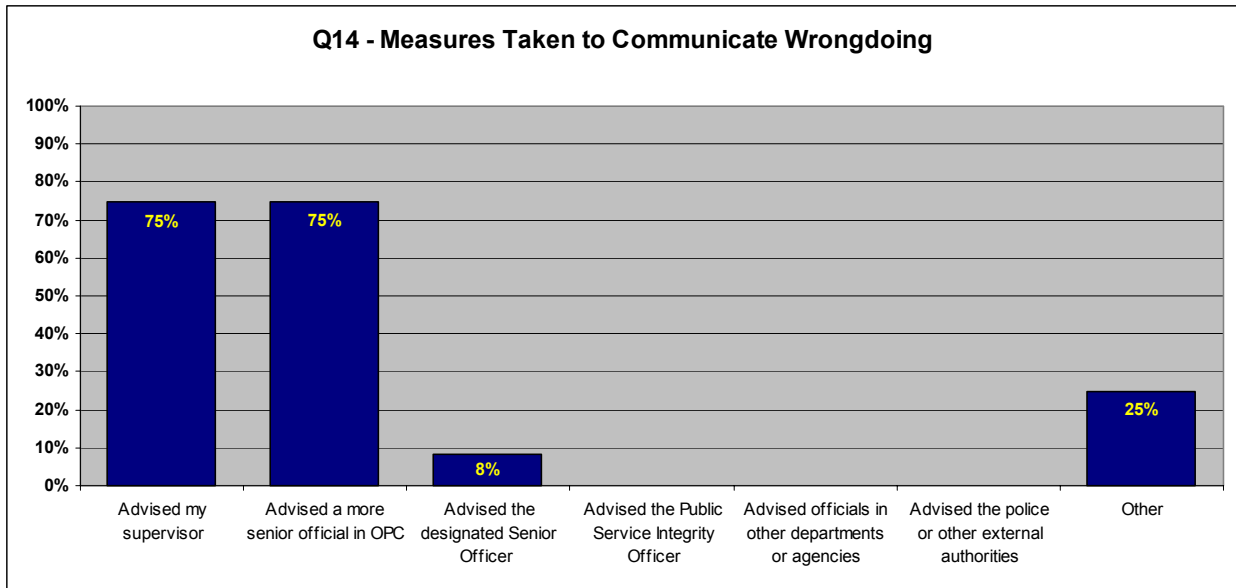
A number of respondents provided comments in this section as well which either elaborate or accentuate their response to one of the provided selections. These have been included here for consideration.

- No absolutes. One can win the battle and lose the war. Always possible to find fault and punish a person under another guise.
- No faith in senior management.
- Knowledge of policy: if wanted to report wrongdoing to TBS or Integrity Officer, the person being reported about would be contacted and asked to explain. Therefore it is not possible to remain anonymous so no point in reporting.
- Je croyais que tout est dit et qu’une enquête se fait comme une plainte d’harcèlement.
- Did not think Public Service Integrity Officer had the power to offer such protection to employees.
- Until now, no such situation happened anywhere else. No one thought for a minute that real protection was available.
- Report to senior official at OPC would not be effective since he is not credible.
- Did not think protection from reprisal is generally effective *when DM is particularly involved*.
- Did not trust *certain* Senior Officials within the OPC.
- Did not think protection from reprisal possible in this small an office with this Commissioner.

## Actions

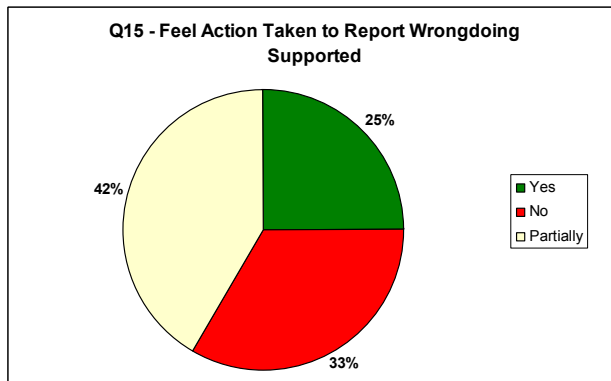


Fully 25% of respondents had attempted to report wrongdoing in the workplace since the policy was implemented in November 2001.



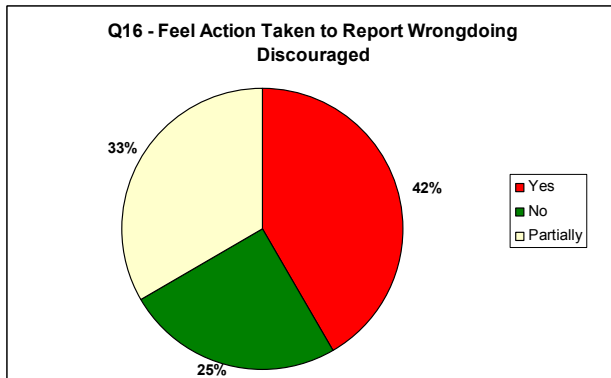
As outlined by the above graph, the following results were realized:

- In almost all cases, actions were taken that used internal channels to seek redress as demonstrated by the 75% response (9/12) to advising both supervisor and more senior officials
- Two respondents indicated approaching their union
- One respondent indicated use of the Ombudsman in reference to a position and time in another Department.



However, employees reported very low levels of support from the persons they contacted to report wrongdoing. When asked if they felt the action they took to report the wrongdoing was supported by the persons contacted:

- 3 said yes
- 4 said no
- 5 said partially



When asked if they felt they were actively discouraged from reporting:

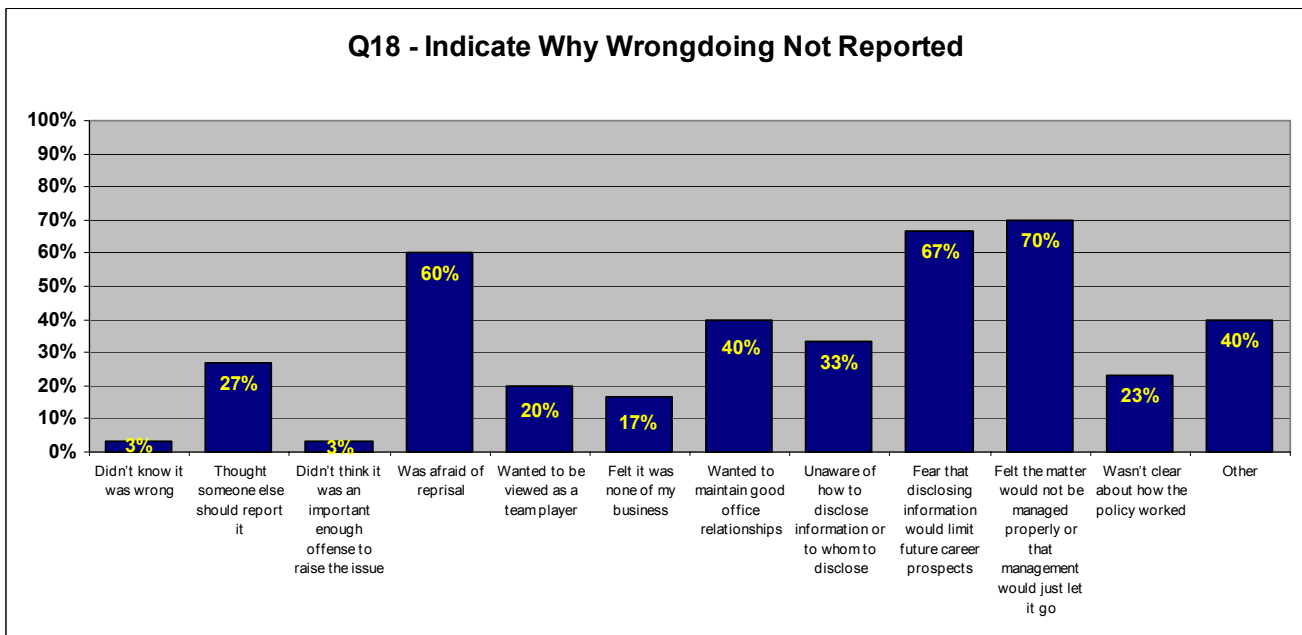
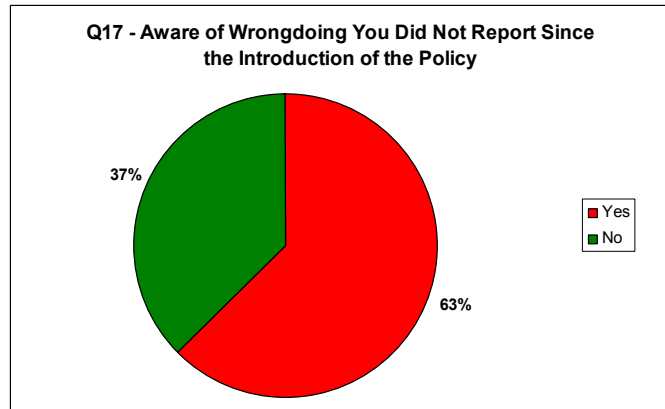
- 5 said yes
- 3 said no
- 4 said partially



## Barriers

Clearly, there was a relatively high awareness of wrongdoing in the workplace and significant barriers existed to prevent employee disclosure. **64% of respondents indicate that since November 2001, they had been aware of wrongdoing in the workplace that they did not report.**

Distrust and fear were clearly the most significant barriers. When asked why they did not report the wrongdoing, 70% of respondents indicated a lack of trust in management to handle the issue properly and over 60% indicated fear of reprisal and limited career opportunities would be a consequence. Other results are demonstrated in the graph below.



## “Other” Responses

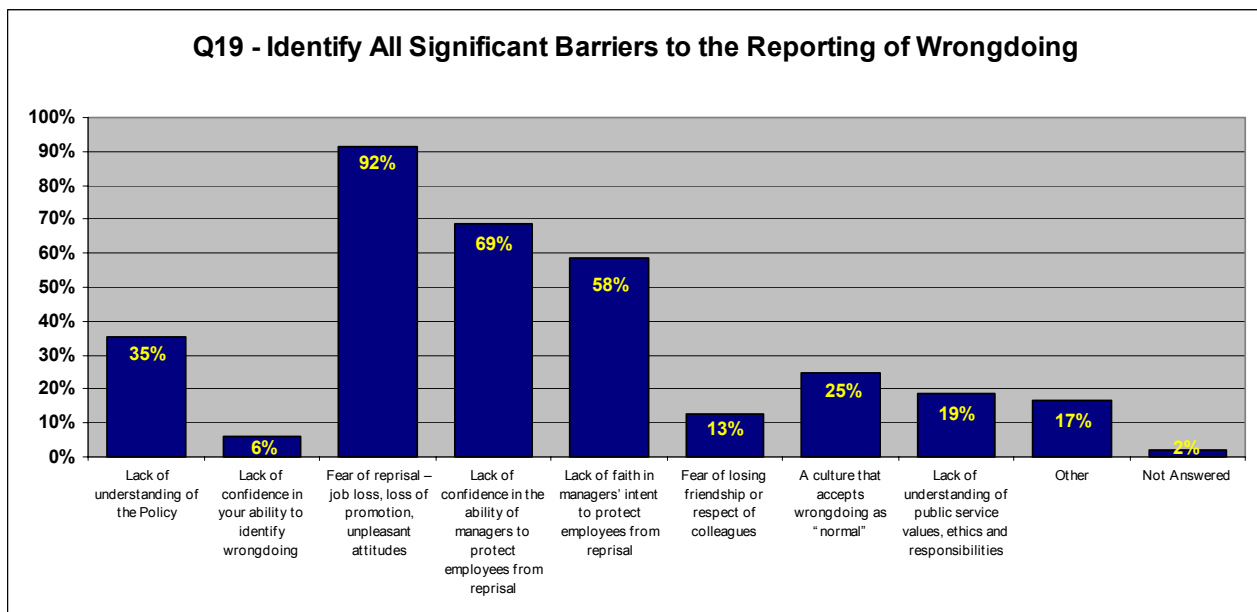
While there were varying reasons for failing to report the wrongdoing, as detailed below, one of the most common themes here was that of respondents being unable to and/or uncertain about reporting on hearsay, gossip and/or innuendo. Many responded that it was a far different thing to know about a wrongdoing than having the facts or direct knowledge of its happening.

- There were obvious staffing irregularities for selected, favoured individuals and run-away promotions. If PSC was not going to object...!!
- Had no proof – senior managers and staff who were subject of harassment did not complain and several received promotions (pay-off to keep quiet).

- J'ai signalé mais on m'a répondu que personne ne voulait ou irait le signaler plus loin.
- Reprisal at different levels.
- I was threatened.
- Did not have direct knowledge of wrongdoing.
- Not enough facts.
- Hiring, promotion and other practices were certainly viewed and perceived as fundamentally wrong – strong speculation, but no facts.
- Heard of the wrongdoing indirectly. As I had no direct knowledge, I felt I could not take the initiative. I only had direct knowledge of a human rights violation and reported that.
- Had no first-hand knowledge – had heard of excesses and drew my own conclusions re travel etc. Saw them coming back from long lunches but thought they had paid...
- Received threat not to pursue it.
- On ma toujours rappelé le sort réservé aux employés qui jugent ou critiquent la gestion ou qui causent trop de remous.
- Sometimes difficult to separate rumour from fact.
- No one to trust.

When asked, given their experiences in the OPC, to choose from a list what they felt the most significant barriers, again, fear of reprisal (92%) and lack of confidence in managers' ability (69%) or intent (58%) to protect employees were the leading barriers identified. Others, demonstrated in the chart below, include:

- 35% chose lack of understanding of the policy
- 25% chose a culture that accepts wrongdoing as "normal"



- 21% chose lack of understanding of public service values, ethics and responsibilities

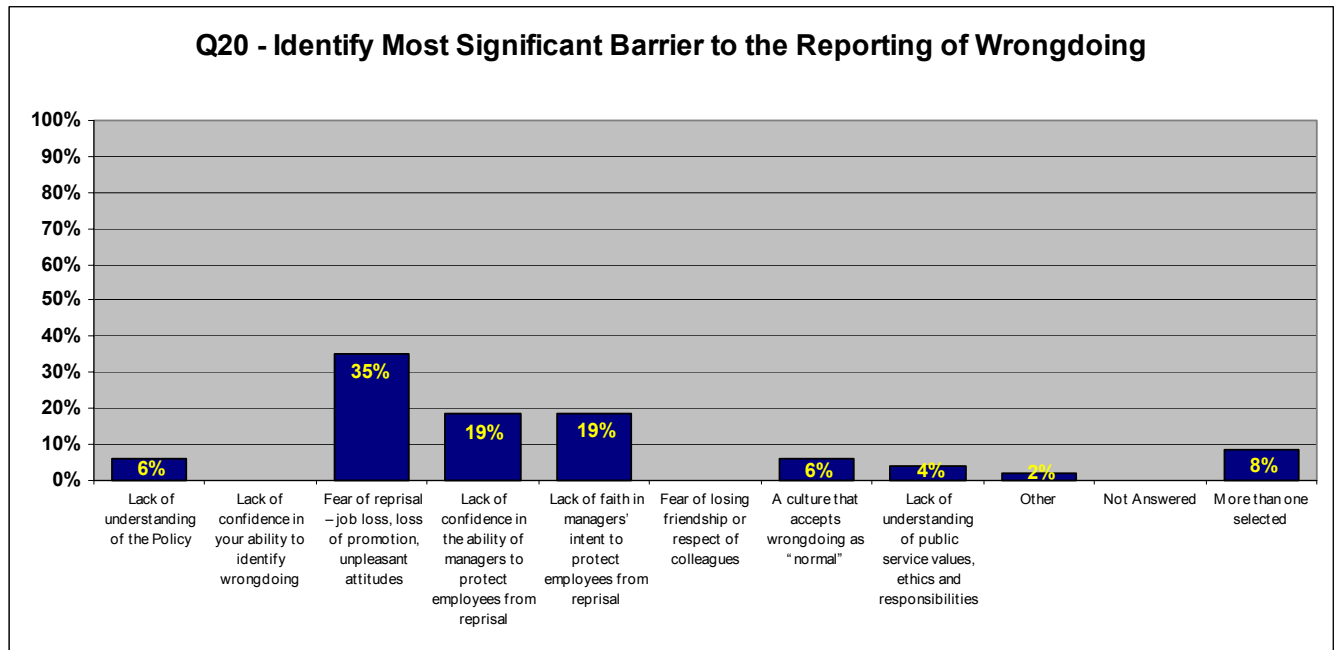
### **“Other” Responses**

Answers here also include comments provided by respondents that emphasized or elaborated upon their pre-offered selections. Responses also ranged from the previously mentioned lack of first-hand knowledge or facts to that of one respondent indicating no negative experiences to report.

- Après avoir signalé, on nous regarde comme si c’est nous qui est dans ou en l’erreur.
- Fear of reprisal with regard to work assignments.
- The place is managed by inexperienced managers – only one is respected.
- Lack of openness – inability to substantiate or disprove suspicions – no ATIA rights.
- Good guys finish last attitude.
- Wrongdoing takes place at upper management levels.
- Have no negative experiences regarding this issue.
- Clearly and before 2003, the culture of a ‘tyrant’ was clear as well as reprisals should a wrongdoing be brought forward.
- Limited to what you heard, not what you knew.
- There’s a fine line between reporting gossip and reporting known wrongdoing. In this size of an organization, if it turns out not to be wrongdoing, you would never be able to stay in an organization of 50-100 employees.

Employees were then asked to choose the single most important of the barriers identified previously. Their answers, as provided in the graph below, were consistent with the previous question, in that fear and lack of faith in management outweighed awareness or understanding:

- 35% chose fear of reprisal
- 19% chose lack of confidence in managers’ ability to protect employees, and
- 19% chose lack of faith in managers’ intent to protect employees



### “Other” Responses

The sole “Other” response in this instance was that of “Have no negative experience regarding this matter”.

### Multiple Responses

While the instructions for this question asked respondents to choose only one of the provided barriers, four respondents provided multiple selections. In order to accurately reflect the responses of these respondents, their multiple selections are provided below.

	Count
Fear of reprisal – job loss, loss of promotion, unpleasant attitudes	<b>3</b>
Lack of confidence in the ability of managers to protect employees from reprisal	<b>3</b>
Lack of faith in managers’ intent to protect employees from reprisal	<b>3</b>
Lack of understanding of public service values, ethics and responsibilities	<b>1</b>

## SURVEY RESULTS – COMPARATIVE

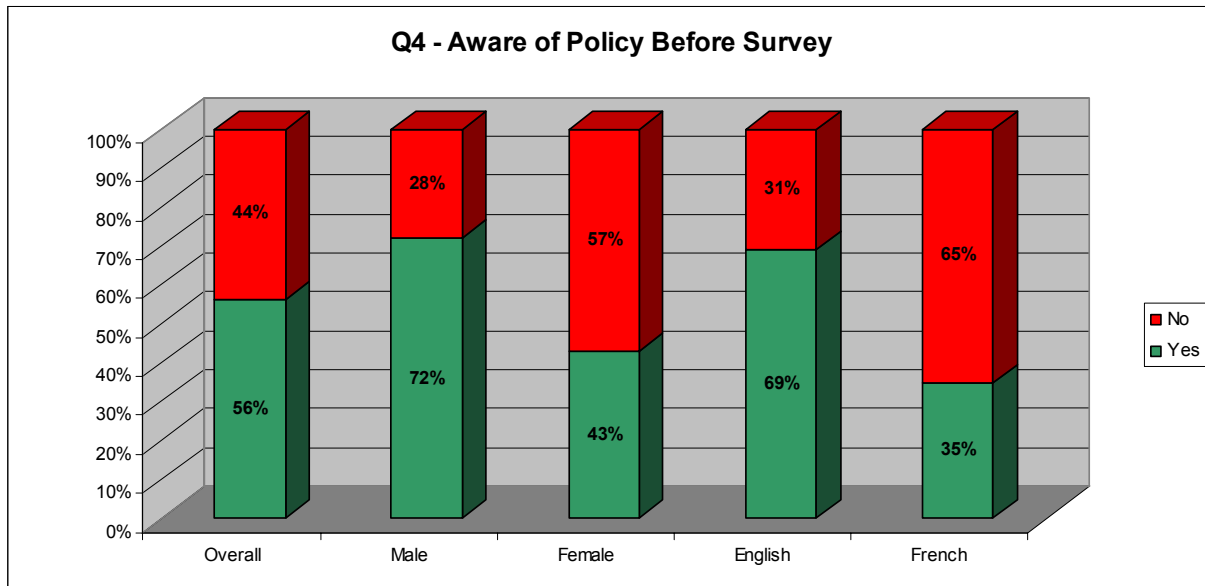
The following charts provide a comparison of the Overall results with those of Male, Female, French, and English respondent answers.

The most prevalent theme to arise from these comparisons is that of a potential communication issue with French language and Female employees. In almost every awareness question there are obvious discrepancies between English and Male, and French and Female respondents. Communication plans targeting these specific audiences should be taken under consideration.

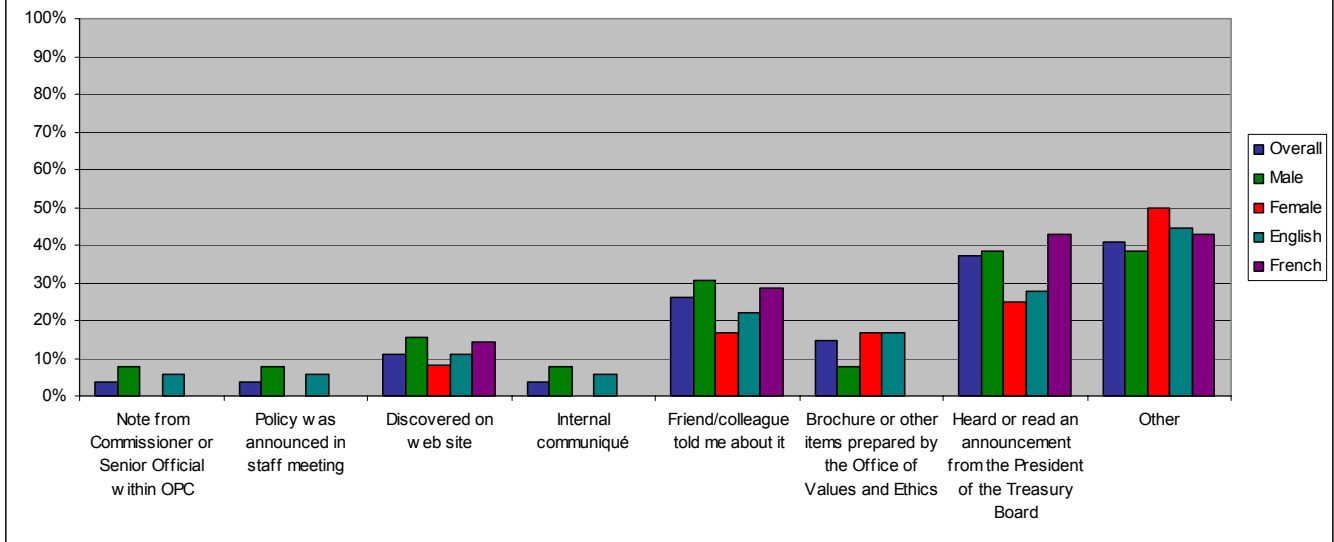
Also note that the anomalous results of over-response to Question 10 become strikingly obvious in the comparison chart. Again, this is due to respondents mistakenly answering this question, causing considerable over-reporting in the comparisons.

Also note that two participants choose not to complete the demographic questions, which further impacts on the data in these comparisons as these responses are not captured and a dataset for two respondents would not be of value in these comparisons.

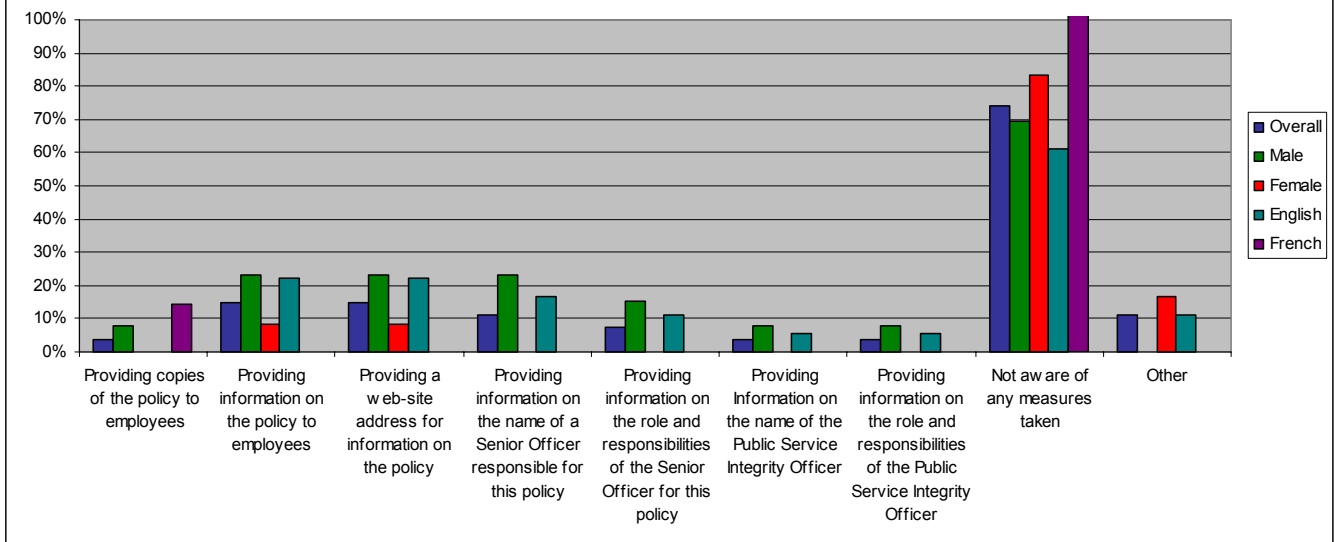
### Awareness



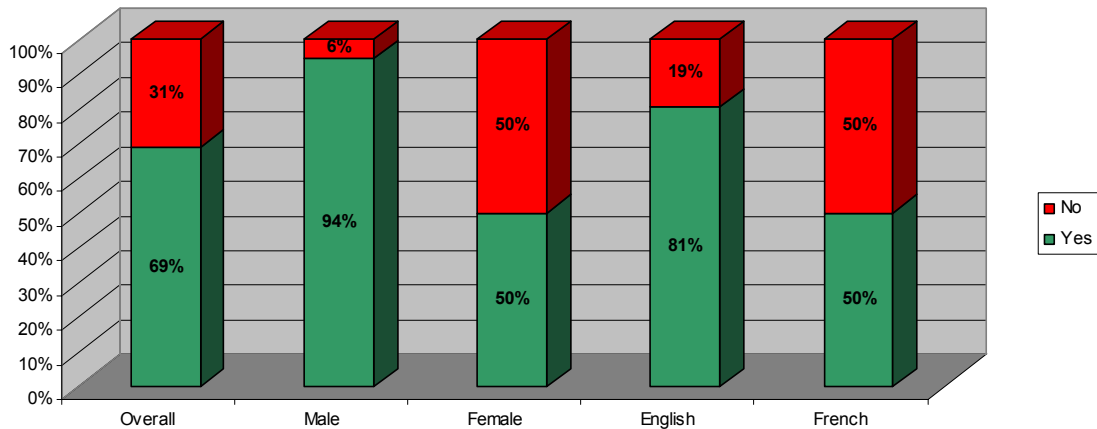
### Q5 - How Heard About Policy



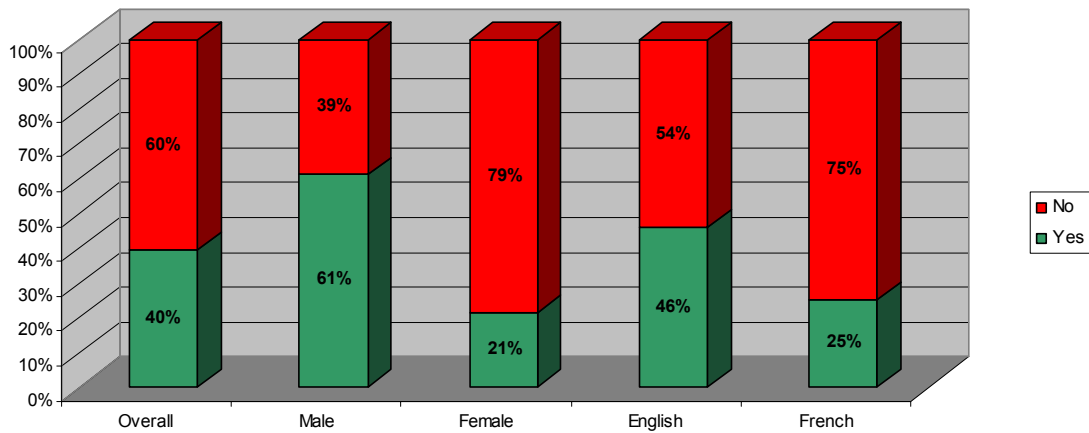
### Q6 - Measures Taken to Communicate Policy



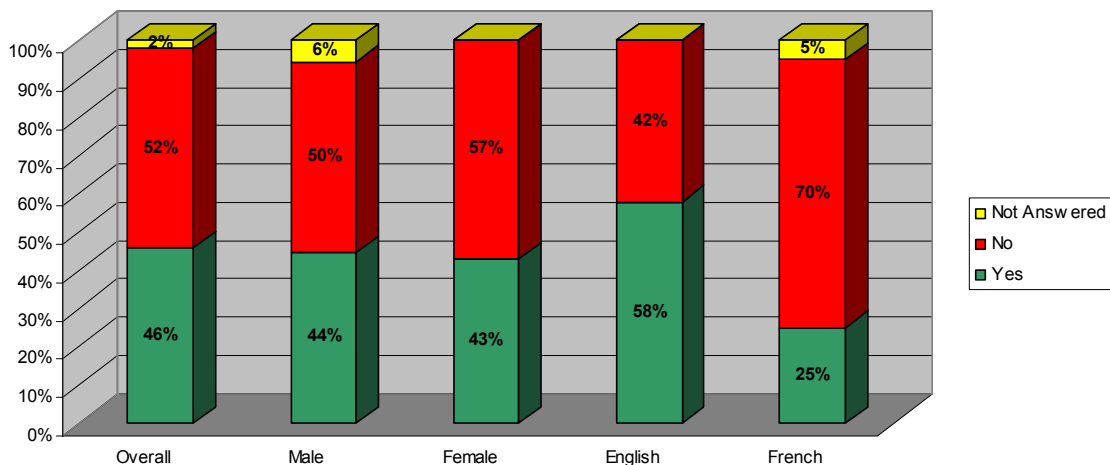
**Q7 - Before June 2003 - Aware a Wrongdoing Could be Reported to Supervisor or Designated Officer**

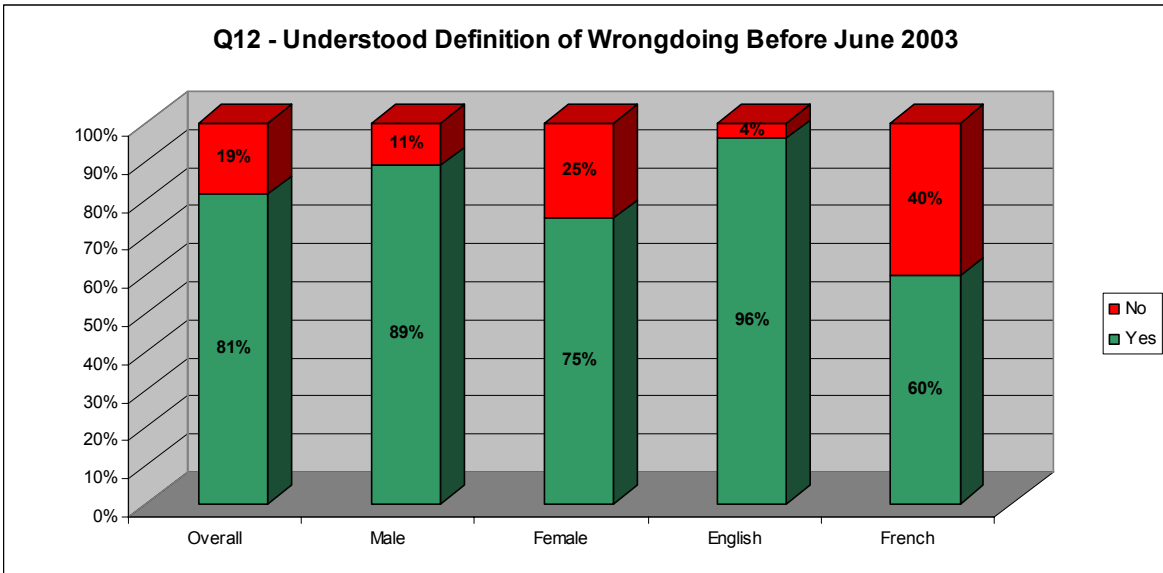


**Q8 - Before June 2003 - Aware a Wrongdoing Could be Reported to the Public Service Integrity Officer**

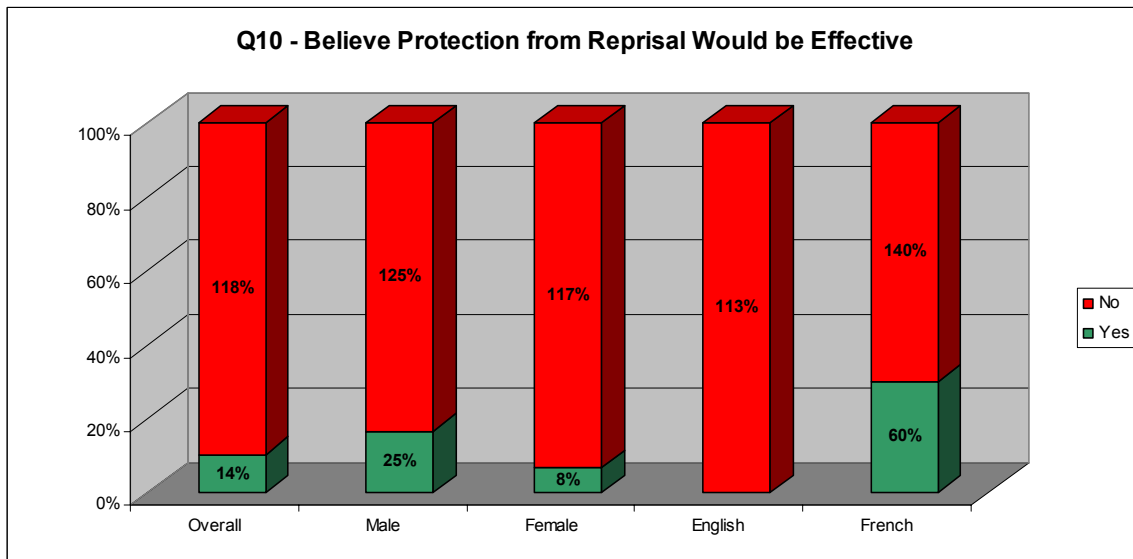


**Q9 - Before June 2003 - Aware of Protection from Reprisal**





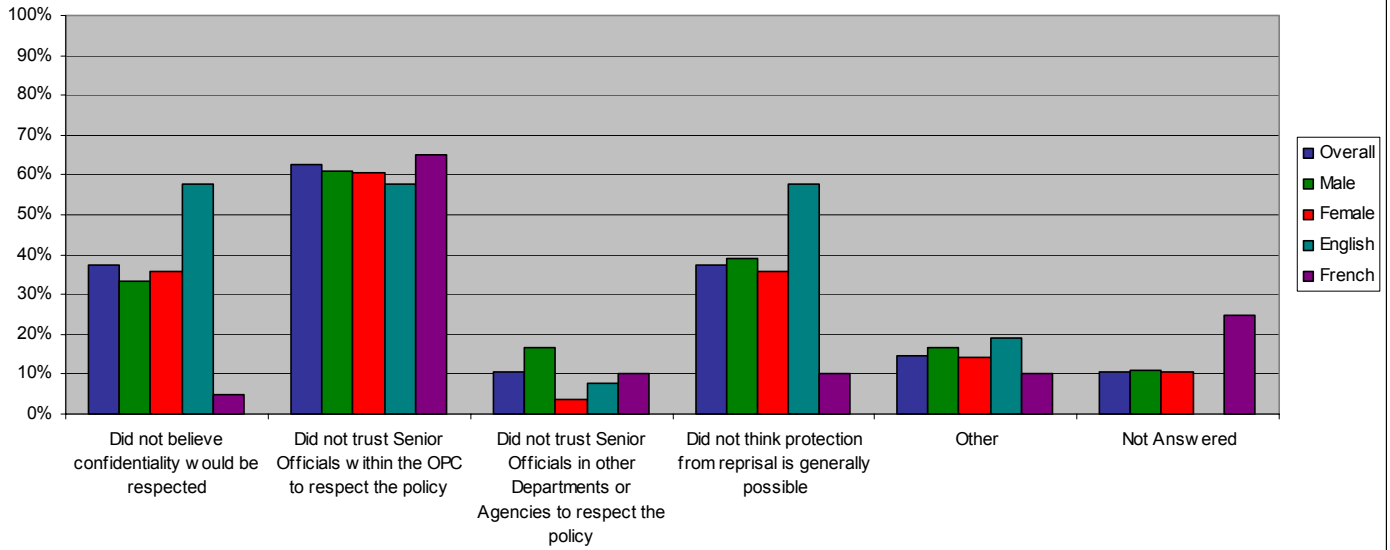
## Belief in Protection from Reprisal



Please note that respondents were only to answer this question if they responded “Yes” to Question 9. As such, the sample size for this question should have been 22, yet there were 29 total responses. This results in a 132% response rate overall and from which these figures are representative. For detailed counts and percentage results, which better reveals why these percentages are so high, please see **page 40**. *Leadership Unlimited Inc.* does not make it a practice to adjust erroneous inputs from respondents and instead reports the data as provided.

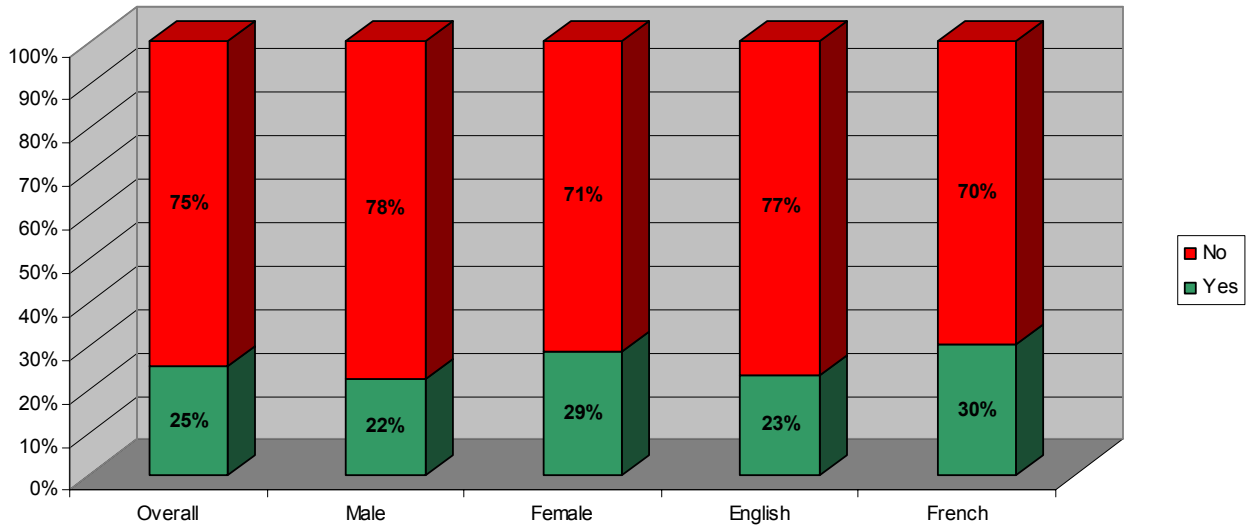


### Q11 - Indicate Why Did Not Believe Protection Would be Effective

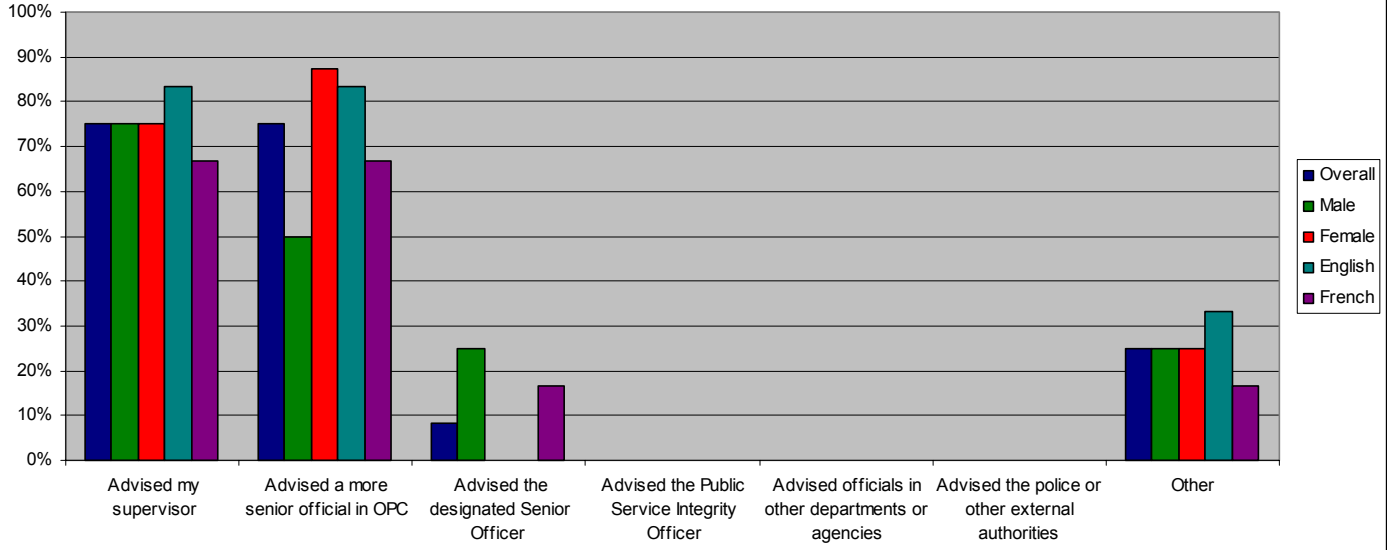


## Actions

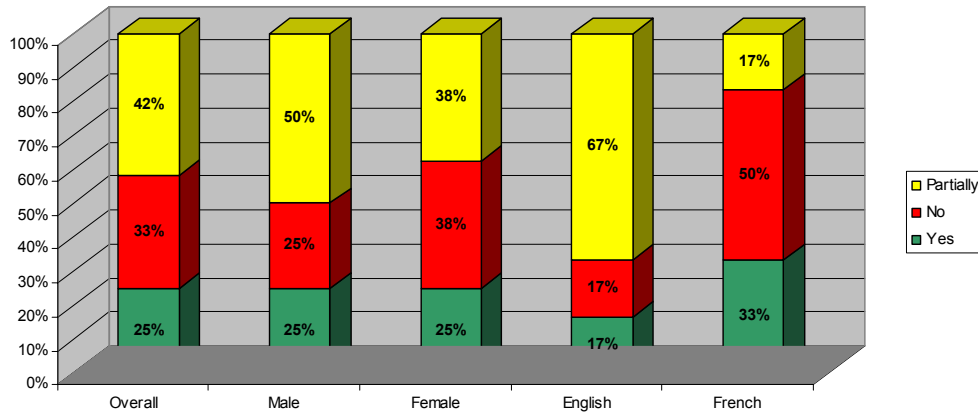
### Q13 - Attempted to Report a Wrongdoing When Policy Came Into Effect



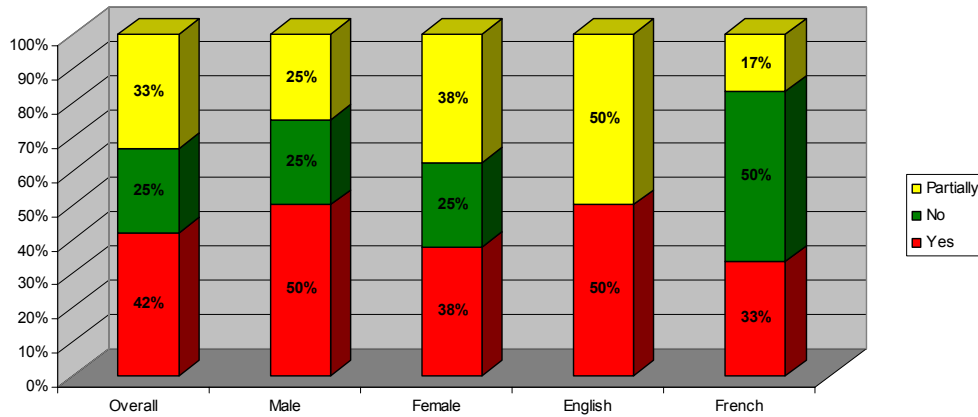
### Q14 - Measures Taken to Communicate Wrongdoing



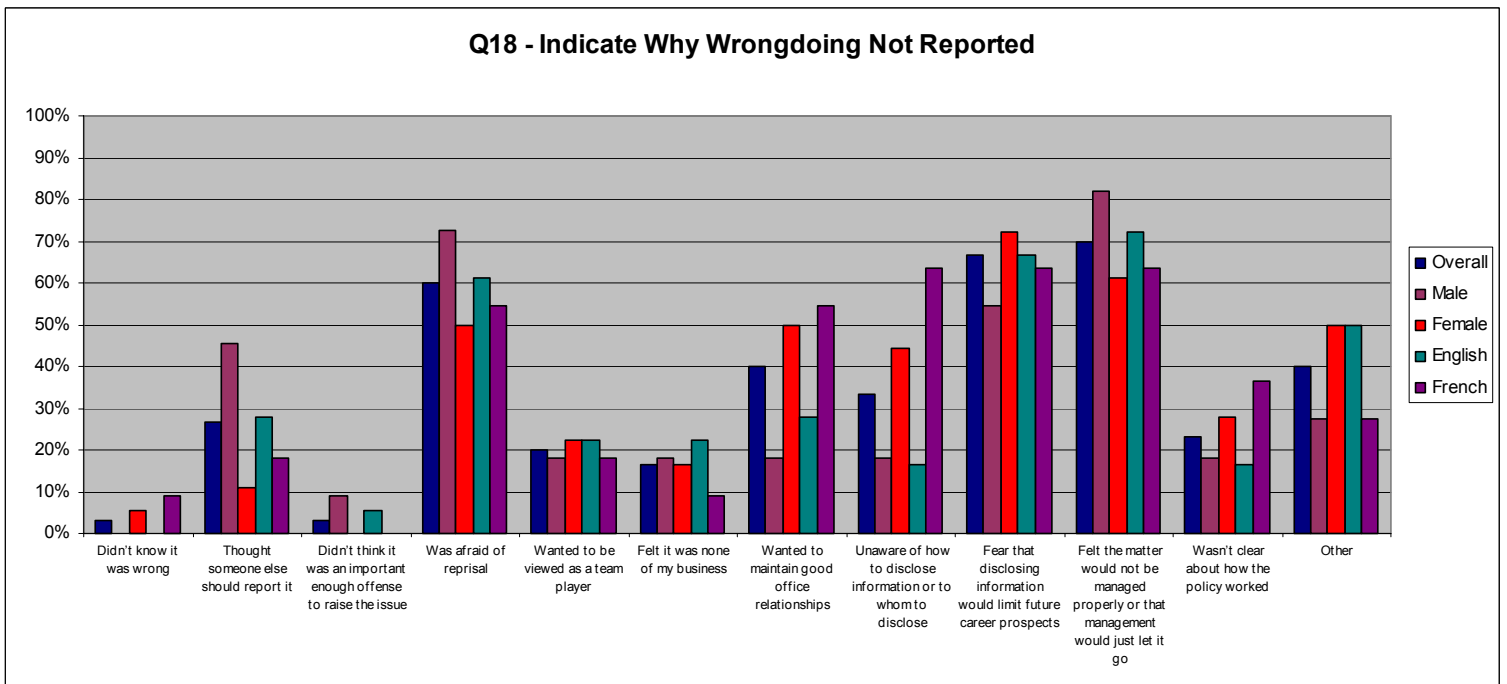
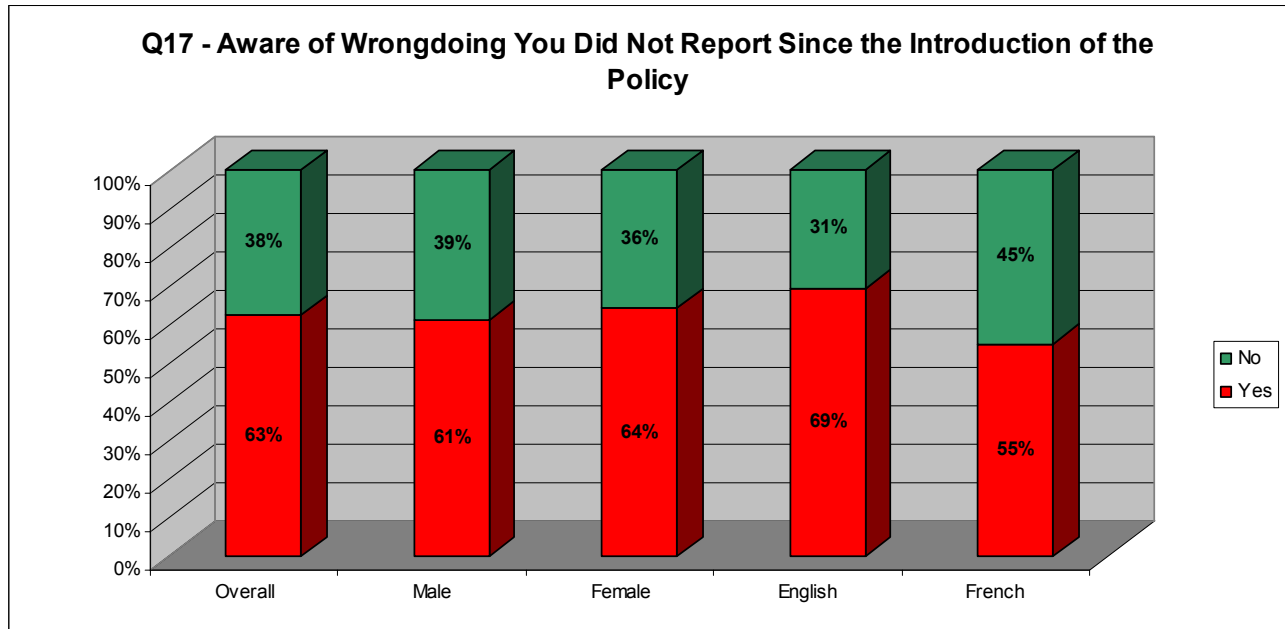
### Q15 - Feel Action Taken to Report Wrongdoing Supported



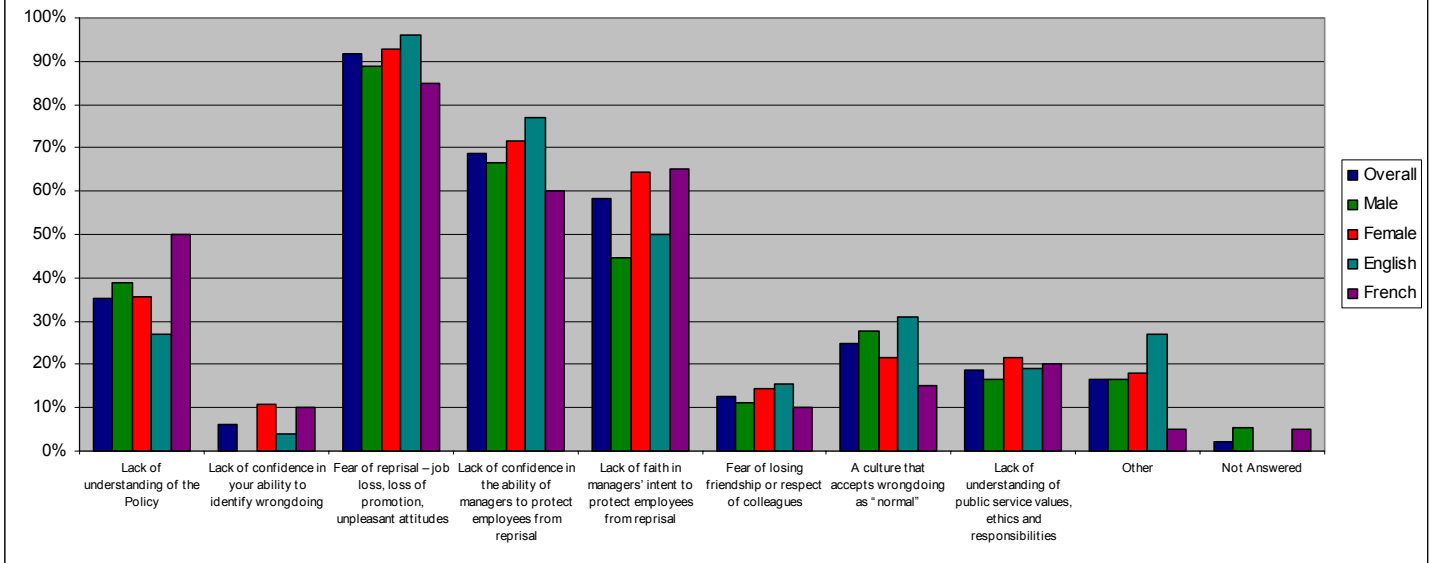
### Q16 - Feel Action Taken to Report Wrongdoing Discouraged



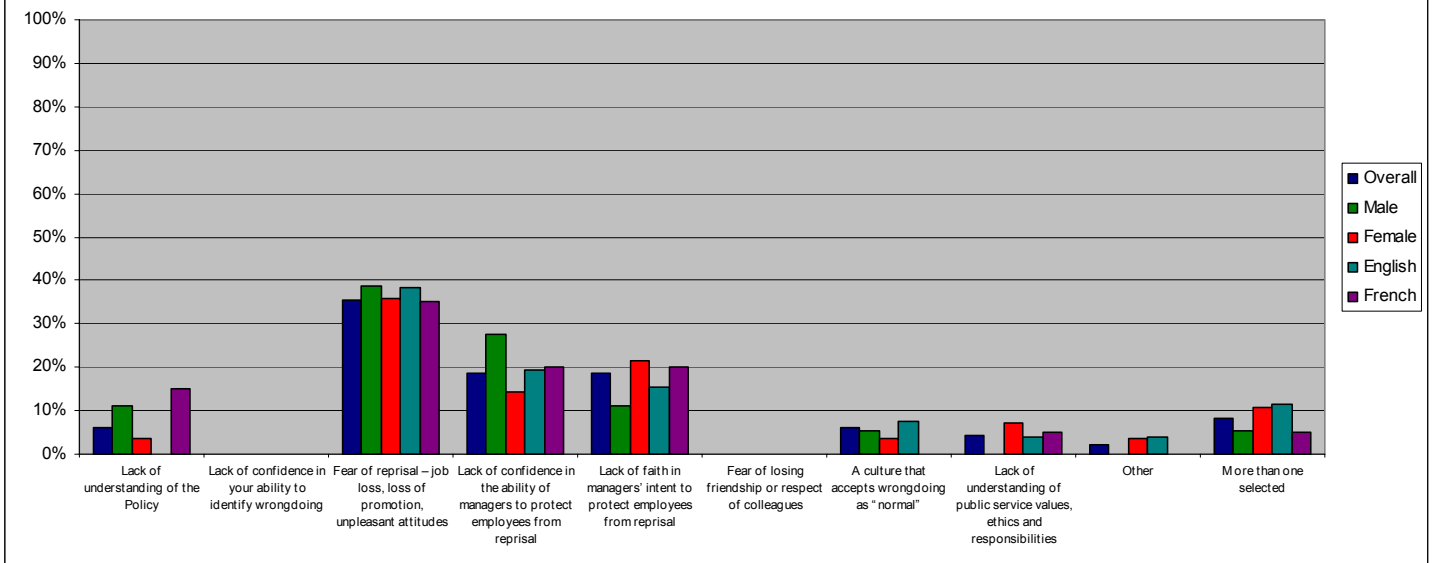
## Barriers



### Q19 - Identify All Significant Barriers to the Reporting of Wrongdoing



### Q20 - Identify Most Significant Barrier to the Reporting of Wrongdoing



## FULL SURVEY RESULTS

The following table provides the Overall and Demographic count and percentage results.

Overall Results		
	#	%
<b>Gender</b>		
Male	18	38%
Female	28	58%
Not Answered	2	4%
<b>Language</b>		
French	20	42%
English	26	54%
Not Answered	2	4%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Education</b>										
Secondary School	16	33%	6	33%	10	36%	6	23%	10	50%
Some College	7	15%	1	6%	6	21%	3	12%	4	20%
College Complete	8	17%	2	11%	6	21%	2	8%	6	30%
Technical	3	6%	2	11%	1	4%	1	4%	2	10%
Some University	7	15%	3	17%	4	14%	3	12%	4	20%
University Degree	12	25%	5	28%	7	25%	9	35%	3	15%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Education (Cont'd)</b>										
Post-graduate Degree	7	15%	4	22%	3	11%	6	23%	1	5%
Other	2	4%	1	6%	1	4%	1	4%	1	5%
Not Answered	3	6%	0	0%	1	4%	1	4%	0	0%
<b>Question 4 - Before reading materials connected with this survey, were you aware of the TBS's Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace?</b>										
Yes	27	56%	13	72%	12	43%	18	69%	7	35%
No	21	44%	5	28%	16	57%	8	31%	13	65%
<b>Question 5 - How did you hear about this policy?</b>										
Note from Commissioner or Senior Official within OPC	1	4%	1	8%	0	0%	1	6%	0	0%
Policy was announced in staff meeting	1	4%	1	8%	0	0%	1	6%	0	0%
Discovered on web site	3	11%	2	15%	1	8%	2	11%	1	14%
Internal communiqué	1	4%	1	8%	0	0%	1	6%	0	0%
Friend/colleague told me about it	7	26%	4	31%	2	17%	4	22%	2	29%
Brochure or other items prepared by the Office of Values and Ethics	4	15%	1	8%	2	17%	3	17%	0	0%
Heard or read an announcement from the President of the Treasury Board	10	37%	5	38%	3	25%	5	28%	3	43%
Other	11	41%	5	38%	6	50%	8	44%	3	43%
Not Answered	20	42%	5	28%	15	54%	8	31%	12	60%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 6 - What measures do you recall were taken by the Office of the Privacy Commission with respect to communicating this policy to employees?</b>										
Providing copies of the policy to employees	1	4%	1	8%	0	0%	0	0%	1	14%
Providing information on the policy to employees	4	15%	3	23%	1	8%	4	22%	0	0%
Providing a web-site address for information on the policy	4	15%	3	23%	1	8%	4	22%	0	0%
Providing information on the name of a Senior Officer responsible for this policy	3	11%	3	23%	0	0%	3	17%	0	0%
Providing information on the role and responsibilities of the Senior Officer for this policy	2	7%	2	15%	0	0%	2	11%	0	0%
Providing Information on the name of the Public Service Integrity Officer	1	4%	1	8%	0	0%	1	6%	0	0%
Providing information on the role and responsibilities of the Public Service Integrity Officer	1	4%	1	8%	0	0%	1	6%	0	0%
Not aware of any measures taken	20	74%	9	69%	10	83%	11	61%	8	114%
Other	3	11%	0	0%	2	17%	2	11%	0	0%
Not Answered	19	40%	5	28%	14	50%	8	31%	11	55%
<b>Question 7 - Prior to June 2003, did you know that you could report a wrongdoing in the workplace to your supervisor or to a designated officer in the Privacy Commission?</b>										
Yes	33	69%	17	94%	14	50%	21	81%	10	50%
No	15	31%	1	6%	14	50%	5	19%	10	50%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 8 - Prior to June 2003, did you know that you could also report a wrongdoing to the Public Service Integrity Officer?</b>										
Yes	19	40%	11	61%	6	21%	12	46%	5	25%
No	29	60%	7	39%	22	79%	14	54%	15	75%
<b>Question 9 - Prior to June 2003, were you aware that you would be protected from reprisal if you did disclose information concerning a wrongdoing in the workplace?</b>										
Yes	22	46%	8	44%	12	43%	15	58%	5	25%
No	25	52%	9	50%	16	57%	11	42%	14	70%
Not Answered	1	2%	1	6%	0	0%	0	0%	1	5%
<b>Question 10 - Did you believe that this protection from reprisal would be effective?</b>										
Yes	3	14%	2	25%	1	8%	0	0%	3	60%
No	26	118%	10	125%	14	117%	17	113%	7	140%
<b>Question 11 - Please indicate why you did not believe that this protection would be effective.</b>										
Did not believe confidentiality would be respected	18	38%	6	33%	10	36%	15	58%	1	5%
Did not trust Senior Officials within the OPC to respect the policy	30	63%	11	61%	17	61%	15	58%	13	65%
Did not trust Senior Officials in other Departments or Agencies to respect the policy	5	10%	3	17%	1	4%	2	8%	2	10%
Did not think protection from reprisal is generally possible	18	38%	7	39%	10	36%	15	58%	2	10%
Other	7	15%	3	17%	4	14%	5	19%	2	10%
Not Answered	5	10%	2	11%	3	11%	0	0%	5	25%



	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 12 - Prior to June 2003, did you understand the definition of wrongdoing in the workplace?</b>										
Yes	39	81%	16	89%	21	75%	25	96%	12	60%
No	9	19%	2	11%	7	25%	1	4%	8	40%
Not Answered	0	0%	0	0%	0	0%	0	0%	0	0%
<b>Question 13 - Between November 2001, (when the Policy came into effect), and June 2003, did you at any time attempt to report a wrongdoing in the workplace?</b>										
Yes	12	25%	4	22%	8	29%	6	23%	6	30%
No	36	75%	14	78%	20	71%	20	77%	14	70%
Not Answered	0	0%	0	0%	0	0%	0	0%	0	0%
<b>Question 14 - When you reported the wrongdoing in the workplace, what mechanisms did you employ?</b>										
Advised my supervisor	9	75%	3	75%	6	75%	5	83%	4	67%
Advised a more senior official in OPC	9	75%	2	50%	7	88%	5	83%	4	67%
Advised the designated Senior Officer	1	8%	1	25%	0	0%	0	0%	1	17%
Advised the Public Service Integrity Officer	0	0%	0	0%	0	0%	0	0%	0	0%
Advised officials in other departments or agencies	0	0%	0	0%	0	0%	0	0%	0	0%
Advised the police or other external authorities	0	0%	0	0%	0	0%	0	0%	0	0%
Other	3	25%	1	25%	2	25%	2	33%	1	17%
Not Answered	36	75%	14	78%	20	71%	20	77%	14	70%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 15 - Did you feel that the action you took to report the wrongdoing was supported by the persons you contacted?</b>										
Yes	3	25%	1	25%	2	25%	1	17%	2	33%
No	4	33%	1	25%	3	38%	1	17%	3	50%
Partially	5	42%	2	50%	3	38%	4	67%	1	17%
Not Answered	36	75%	14	78%	20	71%	20	77%	14	70%
<b>Question 16 - Did you feel that the action you took to report the wrongdoing was actively discouraged by the persons you contacted?</b>										
Yes	5	42%	2	50%	3	38%	3	50%	2	33%
No	3	25%	1	25%	2	25%	0	0%	3	50%
Partially	4	33%	1	25%	3	38%	3	50%	1	17%
Not Answered	36	75%	14	78%	20	71%	20	77%	14	70%
<b>Question 17 - Since the introduction of the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace in November 2001, were you ever aware of wrongdoing in the workplace that you did not report?</b>										
Yes	30	63%	11	61%	18	64%	18	69%	11	55%
No	18	38%	7	39%	10	36%	8	31%	9	45%
Not Answered	0	0%	0	0%	0	0%	0	0%	0	0%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 18 - Can you help us understand why you did not report this wrongdoing?</b>										
Didn't know it was wrong	1	3%	0	0%	1	6%	0	0%	1	9%
Thought someone else should report it	8	27%	5	45%	2	11%	5	28%	2	18%
Didn't think it was an important enough offense to raise the issue	1	3%	1	9%	0	0%	1	6%	0	0%
Was afraid of reprisal	18	60%	8	73%	9	50%	11	61%	6	55%
Wanted to be viewed as a team player	6	20%	2	18%	4	22%	4	22%	2	18%
Felt it was none of my business	5	17%	2	18%	3	17%	4	22%	1	9%
Wanted to maintain good office relationships	12	40%	2	18%	9	50%	5	28%	6	55%
Unaware of how to disclose information or to whom to disclose	10	33%	2	18%	8	44%	3	17%	7	64%
Fear that disclosing information would limit future career prospects	20	67%	6	55%	13	72%	12	67%	7	64%
Felt the matter would not be managed properly or that management would just let it go	21	70%	9	82%	11	61%	13	72%	7	64%
Wasn't clear about how the policy worked	7	23%	2	18%	5	28%	3	17%	4	36%
Other	12	40%	3	27%	9	50%	9	50%	3	27%
N/A	17	35%	8	44%	8	29%	7	27%	9	45%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 19 - Given your experiences in the OPC, what do you think are the most significant barriers to the reporting of wrongdoing in the workplace?</b>										
Lack of understanding of the Policy	17	35%	7	39%	10	36%	7	27%	10	50%
Lack of confidence in your ability to identify wrongdoing	3	6%	0	0%	3	11%	1	4%	2	10%
Fear of reprisal – job loss, loss of promotion, unpleasant attitudes	44	92%	16	89%	26	93%	25	96%	17	85%
Lack of confidence in the ability of managers to protect employees from reprisal	33	69%	12	67%	20	71%	20	77%	12	60%
Lack of faith in managers' intent to protect employees from reprisal	28	58%	8	44%	18	64%	13	50%	13	65%
Fear of losing friendship or respect of colleagues	6	13%	2	11%	4	14%	4	15%	2	10%
A culture that accepts wrongdoing as “normal”	12	25%	5	28%	6	21%	8	31%	3	15%
Lack of understanding of public service values, ethics and responsibilities	9	19%	3	17%	6	21%	5	19%	4	20%
Other	8	17%	3	17%	5	18%	7	27%	1	5%
N/A	1	2%	1	6%	0	0%	0	0%	1	5%

	Overall Results		Male		Female		English		French	
	#	%	#	%	#	%	#	%	#	%
<b>Question 20 - If you were going to pick one of these barriers as the most significant, which would it be?</b>										
Lack of understanding of the Policy	3	6%	2	11%	1	4%	0	0%	3	15%
Lack of confidence in your ability to identify wrongdoing	0	0%	0	0%	0	0%	0	0%	0	0%
Fear of reprisal – job loss, loss of promotion, unpleasant attitudes	17	35%	7	39%	10	36%	10	38%	7	35%
Lack of confidence in the ability of managers to protect employees from reprisal	9	19%	5	28%	4	14%	5	19%	4	20%
Lack of faith in managers' intent to protect employees from reprisal	9	19%	2	11%	6	21%	4	15%	4	20%
Fear of losing friendship or respect of colleagues	0	0%	0	0%	0	0%	0	0%	0	0%
A culture that accepts wrongdoing as “normal”	3	6%	1	6%	1	4%	2	8%	0	0%
Lack of understanding of public service values, ethics and responsibilities	2	4%	0	0%	2	7%	1	4%	1	5%
Other	1	2%	0	0%	1	4%	1	4%	0	0%
N/A	0	0%	0	0%	0	0%	0	0%	0	0%
More than one selected	4	8%	1	6%	3	11%	3	12%	1	5%



## **APPENDIX A – CASE STUDY DOCUMENTS**

**Interim Commissioner Robert Marleau's  
Preliminary e-mail Memo**

**Interim Commissioner Robert Marleau's follow-  
up e-mail Memo issued mid-process**

**“Privacy Provisions” Statement**

**Methodology and Participation Outline**

**Survey Questionnaire**

## Interim Commissioner Robert Marleau's Preliminary e-mail Memo

July 30, 2003

**To: All Staff of the Privacy Commission**  
**From: Robert Marleau, Acting Commissioner**

**Re: Requesting your participation in a case study on the application of the Internal Disclosure Policy at the Office of the Privacy Commission**

As you may know, Treasury Board Secretariat is responsible for the Government of Canada's *Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace*. Recent events at the Privacy Commission have raised concerns about the effectiveness of this policy, and have led to an understanding that a fuller picture of the experiences of our Commission staff in recent months might be helpful in refining it. I am writing today to request your assistance in helping the TBS minister understand the issues and barriers that may have undermined effective use of this policy.

Treasury Board Secretariat has retained *Leadership Unlimited Inc.*, an Ottawa-based consulting firm, to work with us to gather information on what people felt were barriers to using internal processes established by the internal disclosure policy. The purpose of the exercise is to identify potential problems or issues. The report from the data gathering exercise will be submitted to Treasury Board Secretariat and the Office of the Privacy Commission and used as one source of ideas to aid deliberations on the future of the policy.

In preparing for this exercise, much care and thought has gone into ways that we can gain valuable knowledge to improve the disclosure process, but respect and safeguard the privacy and confidentiality of the individuals providing it. For this reason, the consultants will not accept any e-mail correspondence from staff.

Participation in this information gathering exercise is completely voluntary. No one who participates will be required to give their names or position titles to the consultants. The purpose of the study is to learn about institutional and systemic barriers, not to gather information or report on individuals.

The process will be confidential, subject to the disclosure requirements of the Access to Information Act, the Privacy Act and any other applicable law.

The process for this exercise is as follows:

1) Questionnaire

The consultants have prepared a questionnaire that we would ask all staff to review. A hard copy will be distributed to each of you as soon as possible. While the questionnaires are numbered to prevent duplication, your name will not be attached to the number in any way. If you choose to participate, we would ask that you fill out the questionnaire, seal it in the envelope provided and drop it in the locked box in the third floor staff kitchen. Those not wishing to fill out the questionnaire are also asked to return the uncompleted document to the drop-off box.

2) Personal interviews with the consultants

If you wish to offer further commentary beyond the questionnaire, you may schedule a personal telephone interview with the consultants. Once again, they will be gathering your comments, but will not be recording any personal identifiers.

### 3) Facilitated discussion group sessions

If you would feel more comfortable in a group environment, and wish to offer further commentary beyond the questionnaire, you may sign up for a facilitated discussion group session. Sessions will be conducted in both English and French.

### 4) Writing and distribution of the report

The report, scheduled to be completed by the end of August, will be a summary of the survey and the interview processes. There will be no individual attribution of responses.

The report will be submitted by the consultants to Treasury Board Secretariat and OPC. I intend to share a copy with the Chairman of the Standing Committee on Government Operations and Estimates. No further distribution or publication is planned, subject to legislated disclosure requirements.

Further details on the methodology and process for this exercise can be found in the consultant's documents attached.

Let me stress again that your participation in this project is entirely voluntary. No records will be kept of who did or did not participate in any stage of the project. **If you were a witness before the Standing Committee on Government Operations and Estimates, the confidentiality of your testimony is paramount.** The consultants will respect that and will remind all participants of their obligation.

Having said that, I want you to know that I support Treasury Board Secretariat's genuine attempt to undertake a fair and neutral exploration of the issues, and I would encourage you to share your experiences, ideas and thoughts with the consulting team.

If you have any questions or concerns, please feel free to address me directly, or you may contact Leadership Unlimited Inc. at the following numbers:

Paul Lennox    Tel: (613) 834-7481  
Lynelle Spring    Tel: (613) 596-9848

Sincerely,

Robert Marleau  
Interim Commissioner

Attachment (1)



## Interim Commissioner Robert Marleau's Follow-up e-mail Memo

**To: All Employees of the Office of the Privacy Commission**  
**Re: Case Study on the Effectiveness of Internal Policies and Mechanisms on Disclosure of Information Concerning Wrongdoing in the workplace - New Timelines**

As you know, I wrote to you last week to provide information on the Case Study being conducted by Leadership Unlimited Inc. on behalf of TBS. We are now well into the process for the study, with questionnaires, telephone interviews and discussion group sessions being available to all OPC staff.

It is now apparent that the original timelines for the study need to be extended to accommodate staff holidays and work schedules. For this reason, the consultants, having no direct e-mail contact with any OPC staff, have asked me to pass along the following information:

### **QUESTIONNAIRES**

**The deadline for return of the questionnaires has been extended to August 19, at 4 p.m.** Please return all questionnaires - completed or not - to the drop box in the third floor staff kitchen.

### **PERSONAL TELEPHONE INTERVIEWS**

All staff are invited to book a personal telephone interview with one of the consultants. The deadline for booking interviews and discussion groups has been extended to noon on Monday, August 18th. Interviews must be completed by 4 p.m., Tuesday, August 19th. Please contact Kevin Wenekes of Leadership Unlimited Inc. at 276-2598 to book your interview.

### **FACILITATED DISCUSSION GROUPS**

Times for the discussion groups cannot be changed, however, the deadline for booking these sessions has now been extended to noon on Friday, August 8th. Two discussion group opportunities are available: August 11 (French) and August 12 (English). To book a discussion group, please contact Kevin Wenekes of Leadership Unlimited Inc. at 276-2598.

### **QUESTIONS?**

The consultants would be pleased to answer any questions you may have about the process, and are available at:

Paul Lennox (613) 834-7481 or (506) 532-5168

Lynelle Spring (613) 596-9848

Sincerely  
Robert Marleau  
Interim Commissioner

## Privacy Advisory

Prior to beginning any telephone interview or discussion group session, the consultants will advise all participants of the following:

1. The purpose of this study is to learn about institutional and systemic barriers to the effective use of the *Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace*. It is specifically not intended to gather information or report on individuals.
2. Please be advised that it is our intent to protect the privacy of all respondents, subject to the disclosure requirements of the *Access to Information Act*, the *Privacy Act* and any other applicable law.
3. Participation in the process is completely voluntary.
4. We ask that you do not provide your name or position title during our interaction.
5. We do not intend to include personal identifiers for any respondents in our final report.
6. Due to the fact that all information collected is from anonymous sources, our report will also not identify by name any other persons whose action may be described in the course of the interview, although, where relevant, position titles may be used.
7. If you were a witness before the *Standing Committee on Government Operations and Estimates*, the confidentiality of your testimony is paramount. We will respect that obligation.

# Memorandum

To: Employees of the Office of the Privacy Commission – Ottawa

Re: Disclosure of Information Concerning Wrongdoing in the Workplace: A Case Study on the Effectiveness of Internal Policies and Mechanisms

All employees of the Office of the Privacy Commission (OPC) are invited to participate in an information gathering process designed to provide a broader understanding of issues and barriers which may have undermined effective use of the Government of Canada's Policy on the *Internal Disclosure of Information Concerning Wrongdoing in the Workplace* and other internal mechanisms.

## How You Can Participate

Treasury Board Secretariat has retained *Leadership Unlimited Inc.*, an Ottawa-based consulting firm, to conduct the study. Your voluntary participation is invited through any of the following methods:

### Questionnaire

- Will be distributed to all employees
- Multiple-choice questionnaire – approximately 20 minutes to complete
- Return completed/uncompleted questionnaires to lock-box located in 3<sup>rd</sup> floor staff kitchen
- Please complete and return by August 12<sup>th</sup>

### Personal Telephone Interviews

- Available in either official language
- Elaborate on issues raised in the questionnaire or study's mandate
- All interviews must be completed between August 4<sup>th</sup> and August 12<sup>th</sup>
- Please contact Kevin Wennekes, of Leadership Unlimited Inc. at 276-2598 before the end of day August 6<sup>th</sup> to arrange your interview

### Facilitated Discussion Groups

- 1 French session (August 11) and 1 English (August 12) session available
- In a group setting, elaborate on issues raised in the questionnaire or study's mandate
- Please contact Kevin Wennekes, of Leadership Unlimited Inc. at 276-2598 before the end of day August 6<sup>th</sup> to confirm your attendance

## **Mandate of the Study**

The purpose of this study is to:

- Gain an understanding of the experiences and views of OPC staff
- Identify potential problems or issues with the policy and systems currently in place
- Focus on institutional and systemic problems

A report on the findings will be submitted to Treasury Board Secretariat and the Office of the Privacy Commission and used as a tool to aid the deliberations of future policy review processes, including Treasury Board Secretariat and the Standing Committee on Government Operations and Estimates.

The study is not intended to be an investigative tool focusing on the actions of individuals.

## **Privacy and Confidentiality**

Participation in this study is entirely voluntary. No employee should feel pressured to participate or to refrain from participating.

For your information, the following steps are being taken to respect the privacy and confidentiality of the individuals participating:

- The consultants will not record the name or any personal identifier of any respondent
- No respondents will be identified in the report
- No records will be retained of who does or does not participate in any aspect of the study
- The consultants will not accept any e-mail correspondence related to the study from employees
- The questionnaire will be administered through a paper-based instrument that will be collected by the consultants. No additional copies will be made of the questionnaires
- Telephone interviews and focus group sessions will be conducted on a first-name basis only

## **Methodology**

The information will be gathered in three ways: a Questionnaire, a Personal Telephone Interview, and Facilitated Discussion Groups.

### **Questionnaire**

- A copy of the questionnaire will be distributed to all employees of the OPC. It will be numbered to prevent duplication, but no record will be taken of which numbers are given to individuals

- The questionnaire has 21 questions, and should take no more than 20 minutes to complete
- **If you choose to participate**, please fill out the questionnaire, seal it in the envelope provided and drop it in the locked box provided by the consultants in the 3<sup>rd</sup> floor staff kitchen
- **Those not wishing to fill out the questionnaire** are also asked to return the uncompleted document to the drop-off box
- The consultants will retrieve completed questionnaires on a regular basis. All questionnaires must be submitted by noon on Tuesday August 12<sup>th</sup>

### ***Personal Telephone Interviews with Consultants***

- If you wish to offer additional comment beyond the scope of the questionnaire, you may schedule a telephone interview with the consultant
- The scope of the interview discussion must necessarily be limited by the mandate of the study and should focus on an elaboration of issues raised in the questionnaire
- Interviews will be offered in either French or English
- Interviews must be completed between August 4<sup>th</sup> and noon, August 12<sup>th</sup>
- Please contact Kevin Wennekes, of Leadership Unlimited Inc. at 276-2598 before the end of day August 6<sup>th</sup> to arrange your interview

### ***Facilitated Discussion Groups***

- If you wish to offer additional comment beyond the scope of the questionnaire, and prefer a group setting, you may attend a group session
- The scope of the group sessions must necessarily be limited by the mandate of the study and should focus on an elaboration of issues raised in the questionnaire
- The Discussion Groups will be scheduled as follows (times/locations TBA):
  - French: August 11<sup>th</sup>
  - English: August 12<sup>th</sup>
- Please contact Kevin Wennekes, of Leadership Unlimited Inc. at 276-2598 before the end of day August 6<sup>th</sup> to confirm your attendance

### **Witnesses Before the Standing Committee on Government Operations and Estimates**

If you were a witness before the Standing Committee on Government Operations and Estimates, the confidentiality of your testimony is paramount. The consultants will respect that and will remind all participants of their obligation. If you need further information on this obligation, please consult the Law Clerk and Parliamentary Counsel at 952-1511.

## **Results Reporting**

The questionnaire results will provide the quantitative and qualitative results as derived from the respondent data. Any questionnaire comments provided will be reported verbatim but no attributing identifiers will be provided i.e. questionnaire number, demographic data, etc. Any demographic cross-tabulations which may narrow the respondent field to a number lower than 5 shall not be included in the analysis.

The consultants will summarize relevant issues raised in the interviews and focus groups for inclusion in the report.

Once again, you are reminded that the consultants will not record the names of any interview or discussion group participants.

## **Questions?**

Please feel free to contact the consultants if you have any questions about this survey. You can reach them at:

**Paul Lennox**                      **(613) 834-7481 or (506) 532-5168**  
**Lynelle Spring**                **(613) 596-9848**

Or, you are welcome to speak directly to Interim Commissioner Robert Marleau.

***We hope you will participate in this study and offer your experience  
and thoughts to the process of improving the disclosure of  
information concerning wrongdoing in the workplace.***

***Thank You!***

**CONFIDENTIAL**

**Will be seen only by Leadership Unlimited Inc. consultants when completed.**

**Please return to lock-box in 3<sup>rd</sup> floor staff kitchen before noon, August 12<sup>th</sup>**

**Questionnaire**

for

Employees of the Office of the Privacy Commission

Ottawa

August 2003

**Disclosure of Information Concerning  
Wrongdoing in the Workplace: A Case Study on the  
Effectiveness of Internal Policies and Mechanisms**

Leadership Unlimited Inc.

## SECTION I DEMOGRAPHIC INFORMATION

To protect the privacy of all survey participants, in cases where there are fewer than five respondents in any one demographic category, the category will be aggregated or dropped from the final report.

**1. Gender**

- Male  
 Female

**2. What is your official language “Mother Tongue” – the one you more frequently use?**

- English  
 French

**3. Education level (Please select all that apply)**

- Secondary school  
 Some college  
 College complete  
 Technical  
 Some university  
 University degree  
 Post-graduate degree  
 Other (Please specify) \_\_\_\_\_

### Questions?

Please feel free to contact the consultants if you have any questions about this survey.

Paul Lennox — (613) 834-7481 or (506) 532-5168  
Lynelle Spring — (613) 596-9848



**SECTION II**  
**YOUR KNOWLEDGE OF THE *POLICY ON THE INTERNAL DISCLOSURE OF INFORMATION CONCERNING WRONGDOING IN THE WORKPLACE***

4. **Before reading materials connected with this survey, were you aware of the TBS's *Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace*?**

- Yes (Go to Question 5)  
 No (Skip to Question 7)

5. **How did you hear about this policy? (Please select all that apply)**

- Note from Commissioner or Senior Official within OPC  
 Policy was announced in staff meeting  
 Discovered on web site  
 Internal communiqué  
 Friend/colleague told me about it  
 Brochure or other items prepared by the Office of Values and Ethics  
 Heard or read an announcement from the President of the Treasury Board  
 Other: (please specify) \_\_\_\_\_

6. **What measures do you recall were taken by the Office of the Privacy Commission with respect to communicating this policy to employees? (Please select all that apply)**

- Providing copies of the policy to employees  
 Providing information on the policy to employees  
 Providing a web-site address for information on the policy  
 Providing information on the name of a Senior Officer responsible for this policy  
 Providing information on the role and responsibilities of the Senior Officer for this policy  
 Providing Information on the name of the Public Service Integrity Officer  
 Providing information on the role and responsibilities of the Public Service Integrity Officer  
 Not aware of any measures taken  
 Other: (please specify) \_\_\_\_\_

- 7. Prior to June 2003, did you know that you could report a wrongdoing in the workplace to your supervisor or to a designated officer in the Privacy Commission?**
- Yes
- No
- 8. Prior to June 2003, did you know that you could also report a wrongdoing to the Public Service Integrity Officer?**
- Yes
- No
- 9. Prior to June 2003, were you aware that you would be protected from reprisal if you did disclose information concerning a wrongdoing in the workplace?**
- Yes (Go to Question 10)
- No (Skip to Question 11)
- 10. Did you believe that this protection from reprisal would be effective?**
- Yes (Skip to Question 12)
- No (Go to Question 11)
- 11. Please indicate why you did not believe that this protection would be effective. (Please check all that apply)**
- Did not believe confidentiality would be respected
- Did not trust Senior Officials within the OPC to respect the policy
- Did not trust Senior Officials in other Departments or Agencies to respect the policy
- Did not think protection from reprisal is generally possible
- Other: (Please specify) \_\_\_\_\_
- \_\_\_\_\_
- 12. Prior to June 2003, did you understand the definition of wrongdoing in the workplace?**
- Yes
- No

13. **Between November 2001, (when the Policy came into effect), and June 2003, did you at any time attempt to report a wrongdoing in the workplace?**
- Yes (Go to Question 14)
- No (Skip to Question 17)
14. **When you reported the wrongdoing in the workplace, what mechanisms did you employ? (Please check all that apply)**
- Advised my supervisor
- Advised a more senior official in OPC
- Advised the designated Senior Officer
- Advised the Public Service Integrity Officer
- Advised officials in other departments or agencies
- Advised the police or other external authorities
- Other: (Please specify) \_\_\_\_\_
- \_\_\_\_\_
15. **Did you feel that the action you took to report the wrongdoing was supported by the persons you contacted?**
- Yes
- No
- Partially
16. **Did you feel that the action you took to report the wrongdoing was actively discouraged by the persons you contacted?**
- Yes
- No
- Partially
17. **We are interested in understanding your feelings, perceptions and experiences relative to disclosure of wrongdoing in the public service. Since the introduction of the *Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace* in November 2001, were you ever aware of wrongdoing in the workplace that you did not report?**
- Yes (Go to Question 18)
- No (Skip to Question 19)

**18. Can you help us understand why you did not report this wrongdoing? (Please check all that apply)**

- Didn't know it was wrong
- Thought someone else should report it
- Didn't think it was an important enough offense to raise the issue
- Was afraid of reprisal
- Wanted to be viewed as a team player
- Felt it was none of my business
- Wanted to maintain good office relationships
- Unaware of how to disclose information or to whom to disclose
- Fear that disclosing information would limit future career prospects
- Felt the matter would not be managed properly or that management would just let it go
- Wasn't clear about how the policy worked
- Other: (Please specify) \_\_\_\_\_  
\_\_\_\_\_

**19. Given your experiences in the OPC, what do you think are the most significant barriers to the reporting of wrongdoing in the workplace? (Please check all that apply)**

- Lack of understanding of the Policy
- Lack of confidence in your ability to identify wrongdoing
- Fear of reprisal – job loss, loss of promotion, unpleasant attitudes
- Lack of confidence in the ability of managers to protect employees from reprisal
- Lack of faith in managers' intent to protect employees from reprisal
- Fear of losing friendship or respect of colleagues
- A culture that accepts wrongdoing as "normal"
- Lack of understanding of public service values, ethics and responsibilities
- Other: (Please specify) \_\_\_\_\_  
\_\_\_\_\_

**20. If you were going to pick *one* of these barriers as the *most significant*, which would it be?**

- Lack of understanding of the Policy
- Lack of confidence in your ability to identify wrongdoing
- Fear of reprisal – job loss, loss of promotion, unpleasant attitudes
- Lack of confidence in the ability of managers to protect employees from reprisal
- Lack of faith in managers’ intent to protect employees from reprisal
- Fear of losing friendship or respect of colleagues
- A culture that accepts wrongdoing as “normal”
- Lack of understanding of public service values, ethics and responsibilities
- Other: (Please specify) \_\_\_\_\_  
\_\_\_\_\_

**21. Given your current knowledge and experience of these issues, what would you propose to make the Policy more effective?**

***THANK YOU FOR YOUR PARTICIPATION!***

**Please return questionnaires by August 12<sup>th</sup> to the lock-box in the 3<sup>rd</sup> floor staff room kitchen.**