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Canada

Audit and Ethics
Branch

Direction générale de la vérification
et de l'éthique

2003-710

**Results-based Management and Accountability Framework
(RMAF)
for the
PWGSC Ethics Program**

Final Report

2003-08-21

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**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Table of Contents

1.0	Introduction	1
1.1	Purpose and Benefits of the RMAF	1
2.0	Ethics Program Profile and Logic Model	1
2.1	Ethics in the Federal Government	1
2.2	Department Background and Mandate	3
2.3	The Ethics Program within PWGSC	3
2.3.1	Rationale	3
2.3.2	Development	3
2.3.3	Governance	4
2.3.4	Delivery Approach	6
2.4	Target Population and Beneficiaries	7
2.5	Key Results	7
2.6	Activities	8
2.7	Outputs	9
2.8	Outcomes	10
2.8.1	Immediate Outcomes	10
2.8.2	Intermediate Outcomes.....	11
2.8.3	Final Outcomes	11
2.9	Ethics Program Logic Model	12
3.0	Ongoing Performance Measurement Strategy	14
3.1	Performance Measurement and Accountability Structure.....	14
3.2	Measurement Strategy and Performance Indicators.....	15
4.0	Evaluation Strategy	21
4.1	Identification of Evaluation Issues and Questions	21
4.2	Identification of Data Requirements	22
4.3	Data Collection Strategy	23
5.0	Reporting Strategy	25
6.0	Implementation and Review	25

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

1.0 Introduction

1.1 Purpose and Benefit of the Results-Based Management and Accountability Framework

Public Works and Government Services Canada (PWGSC) established the Ethics Program in 1999 to enhance awareness of ethical issues within the department. The Ethics Program provides the focus, framework and processes to guide, assess and continuously improve the ethical context of PWGSC and its employees.

The purpose of the RMAF is to provide a framework to measure and report the results of the Ethics Program. Section 2.0 of the framework, the profile, includes the historical context of ethics in government, a description of the Ethics Program, the key results and beneficiaries, and the Logic Model. The subsequent sections outline the ongoing performance measurement strategy, the evaluation strategy and the reporting strategy.

2.0 Ethics Program Profile and Logic Model

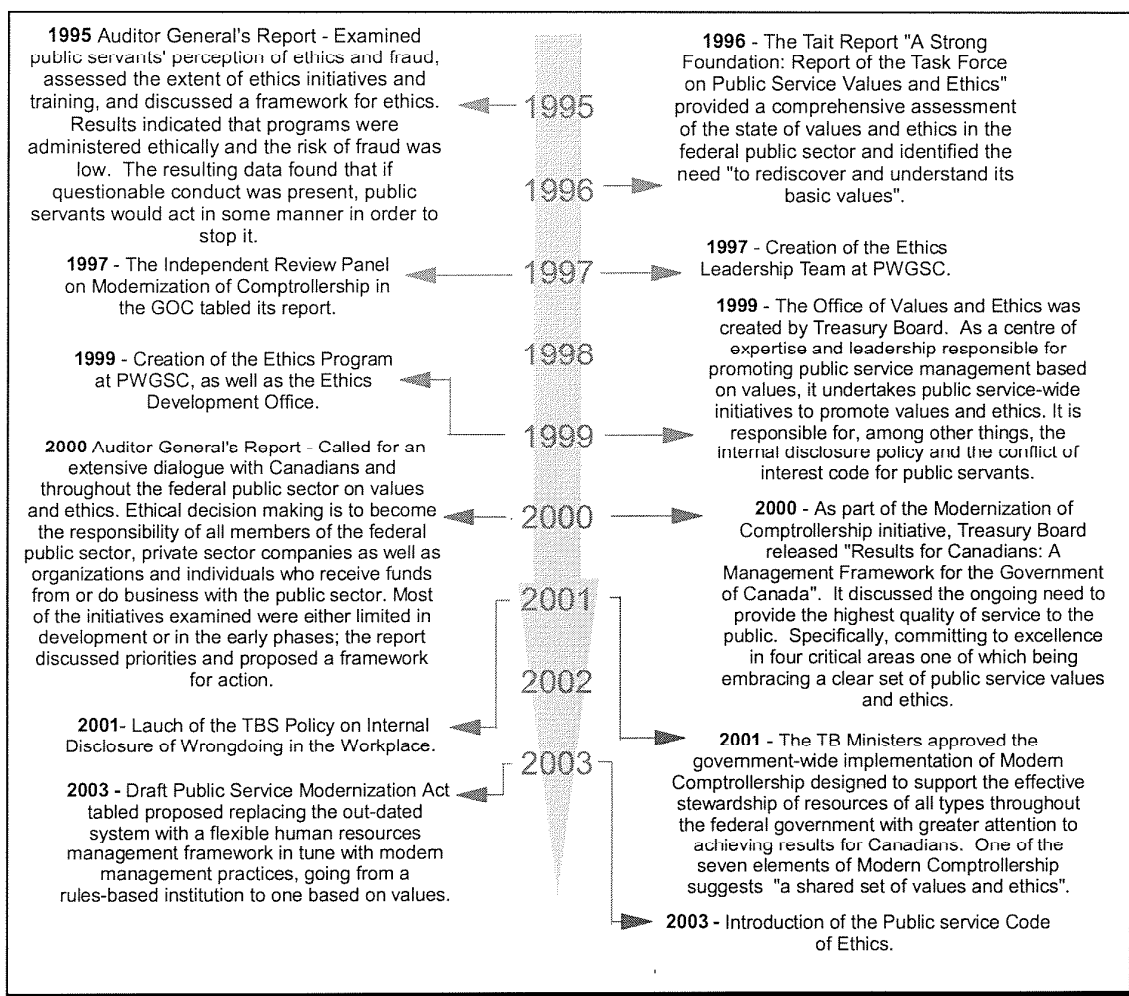
2.1 Ethics in the Federal Government

“A Strong Foundation: Report of the Task Force on Public Service Values and Ethics”, published in 1996 put a focus on values and ethics within the federal public service of Canada. The report advocated beginning a “dialogue” on values and ethics within the federal public service as well as the alignment of systems, policies and processes to ensure that they support a sound public service culture based on values.

Two departments, the Department of National Defence and the Royal Canadian Mounted Police, were at the forefront in departmental ethics program development within the Government of Canada (GOC). Today, many prominent departments in the GOC have developed formal ethics programs, including: Human Resource Development Canada, Health Canada, Environment Canada, Indian and Northern Affairs, Citizenship and Immigration Canada, and PWGSC.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 1 - A Historical Timeline of Ethics Within the Canadian Government



The Treasury Board Secretariat (TBS) which assists in the management of the GOC's human, financial, information and technological assets created the Office of Values and Ethics (OVE) in 1999 (see Figure 1 above). It serves as a 'centre of expertise and leadership' that addresses values and ethics within the context of a government-wide perspective. More specifically, the OVE is called upon to:

- promote values and ethics in the public service;
- support departmental values and ethics initiatives; and
- provide secretariat services to the co-champions of values and ethics.

2003-710 RMAF for the PWGSC Ethics Program Final Report

2.2 Department Background and Mandate

PWGSC provides common and central services to approximately one hundred departments and agencies within the GOC and delivers services directly to Canadians. The mission of the department is to provide innovative solutions to its clients, while respecting values of prudence, probity, and transparency.

PWGSC provides accommodation for 190,000 public servants and parliamentarians across Canada and managed six million square meters of space in some 2,500 locations. PWGSC is Canada's largest purchasing agent, administering more than 60,000 contractual documents worth more than \$10.4 billion. The department maintains Canada's accounts and carries out the federal government's banking and disbursing activities, which total \$1.1 trillion each year including making some 215 million payments to Canadians annually, approximately 65 percent of which are electronic. (*Report on Plans and Priorities 2003-2004 PWGSC*)

2.3 The Ethics Program within PWGSC

2.3.1 Rationale

While recognizing that departmental employees are ethical, the Deputy Minister at the time was sensitive that departmental employees and managers may need guidance to address the growing complexity associated with their duties. This led to the birth of a values and ethics initiative at PWGSC. The PWGSC Ethics Program was designed to provide the focus, framework and processes to guide, assess and continuously improve the ethical conduct of the department and its employees.

In addition to legislation, regulations and Treasury Board policies, PWGSC has some eighty departmental policies in place to regulate its activities. However, even with this formal network of rules and regulations in place, gaps may still exist as it is not possible to regulate every situation employees face. Many decisions made by employees could have ethical and professional consequences. A large number of departmental employees are members of various professional associations, many of which have their own codes of conduct and/or values statement. These may or may not be aligned with each other or with PWGSC values. A common set of understood ethical values will help to ensure employees and managers act consistently when faced with a set of choices that are not covered formally by existing rules or regulations.

2.3.2 Development

There are two broad strategies for implementing a values and ethics initiative. The first, a compliance-based approach, emphasizes rules, regulations, conformity and enforcement. The second, a values-based approach, helps to define the positive values that need to be fostered

2003-710 RMAF for the PWGSC Ethics Program Final Report

within the organization. PWGSC chose this latter strategic approach for the development of its Ethics Program.

In 1997, the Director General of the Audit and Review Branch was nominated as 'Champion' of the ethics initiative within PWGSC and was subsequently appointed as the Senior Departmental Ethics Counsellor in 1999. To establish the Ethics Program and secure buy-in from senior management within the department, an Ethics Leadership Team (ELT) comprised of leaders representing different areas within PWGSC was assembled. This provided a forum to discuss how values and ethics impact their work. The ELT developed a set of values designed to assist employees and managers address ethical dilemmas. Based on the premise that the vast majority of public servants are honest, a point made earlier in the Tait Report (1996), ELT members believed that establishing tools to provide guidance and assistance for PWGSC personnel dealing with ethical plights in their daily lives would be beneficial.

2.3.3 Governance

Ethics Development Office

Established in 1999, the Ethics Development Office (EDO), was designed to support the goals of the Ethics Program, which include ethical awareness, decision-making, action and leadership. The EDO is a small but pivotal office responsible for the continual development of the Ethics Program. It assists departmental employees, sectors and branches by providing them with information so that they can incorporate ethical considerations into their approaches, regimens, plans and strategies.

Specifically, the EDO:

- provides opportunities to increase ethical awareness, decision making, leadership and action through instruction, course work, advice and dialogue;
- provides tools to help individuals identify and resolve ethical predicaments;
- helps individuals learn to make ethical choices and take ethical actions; and
- studies best ethics practices and assists in incorporating them into departmental processes.

Branch and Agency Heads

Heads of branches, heads of agencies and regional directors general are responsible for bringing PWGSC's Ethics Program to life in their branches, agencies and regions. These senior executives are responsible for the Ethics Program's performance throughout their respective organizations. They do this by promoting the merits and significance of the Program, fostering ethics learning for their employees, addressing instances of unethical behavior and making certain that their processes and programs are compatible with PWGSC's Statement of Ethical Values.

2003-710 RMAF for the PWGSC Ethics Program Final Report

Management

Management is responsible for implementing the Ethics Program throughout PWGSC. Managers are responsible to:

- develop employees ethical consciousness;
- encourage a candid, forthcoming dialogue with employees;
- foster the construction of an ethical-base for employees to build on; and
- encourage the development of a climate that is sensitive to ethics.

Employees

All PWGSC employees have an obligation to familiarize themselves with the PWGSC Statement of Ethical Values and the Ethics Program. Every employee has a duty to adhere to the statement of values and to strive towards achieving the program goals. As such, employees are called upon to disclose any deeds thought to be unethical to management, the Senior Departmental Ethics Counsellor or the EDO.

Senior Departmental Ethics Counsellor

The Senior Departmental Ethics Counsellor is the departmental Ethics Program authority; and oversees activities relating to the ongoing and overall development of the Program.

Ethics Leadership Team

The ELT provides functional guidance to the Ethics Program. These senior department members act as disseminators of the ethics principles laid in the Program and are the '*Ethics Champions*' within the department. Changes in the departmental environment have lead to the revision of the ELT composition. The present members are reviewing their roles and responsibilities to determine if they are still appropriate given changes that have occurred since the group was originally formed.

Assistant Deputy Minister of Human Resources

The Assistant Deputy Minister (ADM) of Human Resources is responsible for assuring that all human resource programs and services are consistent with the goals of the Ethics Program. The ADM is also responsible for applying and monitoring programs that are linked to ethics (e.g. conflict-of-interest and harassment).

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

2.3.4 Delivery Approach

The Ethics Program provides a framework and a set of processes to help employees maintain their commitment to ethical standards. The program is made up of the following five elements:

PWGSC Statement of Ethical Values

The Statement of Ethical Values is seen as critical in that it serves as a basis for ethical conduct. It includes the following major themes:

- acting with integrity, respect and in the best interests of the public;
- respecting our commitments;
- remaining nonpartisan; and
- providing government with the best advice possible.

Alignment of Governance Structures and Processes to the PWGSC Statement of Ethical Values

In order for the Ethics Program to be successful, congruence between the Statement of Ethical Values and governance processes is sought. This will help ensure the integrity of initiatives on the wider departmental scale where functions and roles may vary greatly.

Education, Development & Training

The EDO administers training/learning initiatives designed to enable employees at all levels to better understand values and ethics and how these concepts relate to their environment. This information provides employees and managers with the tools they need to address ethical concerns and cope with any ethical dilemmas they may face.

Leadership Commitment

It is essential that managers be committed at all levels to ensure a trickle-down effect so that the ethics message can be absorbed into the organizational culture. This helps to create a climate where employees are thoughtful before acting, responsible for their actions, truthful and cognizant of situations that compromise their ability to perform in the best interest of the department and, in turn, the people of Canada.

Communication

Communication is essential to build awareness and recognition, invite feedback and, in general, encourage the building of the first four elements.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

2.4 Target Population and beneficiaries

The direct, or first level, beneficiaries of the Ethics Program are the department's managers and employees. Clearly communicating PWGSC's ethical expectations of its employees creates an honest and trustworthy working environment and ensures employees have a clear understanding of the department's expectations.

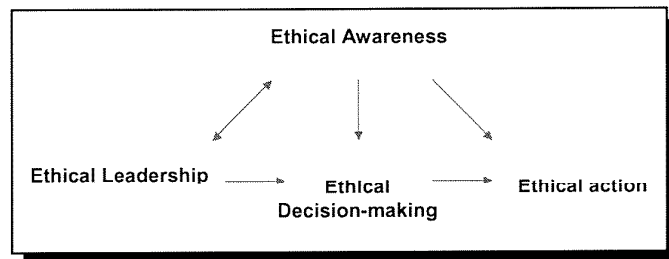
The second level, or indirect, beneficiaries of the Ethics Program are the clients and suppliers that conduct business with PWGSC. These organizations benefit by knowing that their dealings with PWGSC will be handled in a manner consistent with the PWGSC Statement of Ethical Values.

The third level, or tertiary, beneficiaries are the citizens of Canada who do not have direct contact with the department. Canadians benefit by having increased confidence that the department is truly working to uphold the public trust.

2.5 Key Results

The key program goals include the promotion of ethical awareness, ethical leadership, ethical decision-making and ethical action. These four goals were developed on the premise that acquiring such skills will enable employees and managers to effectively handle ethical dilemmas they may face. As illustrated in Figure 2, the notion is that an increase in one goal will allow for an increase in the others.

Figure 2 - Illustration of the Goals of the Ethics Program



Ethical awareness is a key step in the process and has been the primary focus of the Program. The first step is to ensure that individuals are aware of the department's values and ethical expectations. Ethical leadership is simply *'walking the talk'*. Ethical leaders know what is expected of them; they act according to these expectations and communicate these expectations through words and conduct to others. Ethical decision-making means that an individual recognizes the ethical impacts of their decisions and they take into consideration the department's values and ethics when choosing among a set of alternatives. Having individuals who are aware

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

of the department's values and ethics, include them in their decision-making process and promote them to others (leadership) contributes to an environment where all employees integrate the department's values and ethics into their daily working lives.

2.6 Activities

The main activities of the Ethics Program can be categorized as:

i) Establish Plans & Expectations

This activity coordinates and supports the Program's governance function by establishing clear guidelines on ethics in the department. In particular, this activity:

- determines the ethical roles and responsibilities of employees at every level;
- sets performance expectations and develops overriding values; and
- establishes governance structures and management frameworks for the program.

ii) Inform & Educate Management / Employees

The EDO communicates the department's ethical position by:

- delivering education geared towards departmental values and ethics, handling ethical dilemmas, and ethics in government;
- delivering formal training sessions that can be customized to meet the needs of specific target audiences within PWGSC (e.g. managers versus non-managers); and
- developing promotional material.

iii) Guide & Advise Management / Employees

The Program provides a guidance function to all employees in the department. Employees are empowered to call on managers and/or the EDO for advice on ethical issues and dilemmas.

iv) Network Inside & Outside of the Department

The Program's networking functions include participation in groups, committees and initiatives inside the department, at an interdepartmental level and within the ethics community at large.

v) Monitor / Assess Results

This activity consists of the ongoing review and evaluation work to measure the progress towards attaining the Ethics Program's objectives along with the overall success of the program.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

2.7 Outputs

Activities and corresponding outputs of the Ethics Program, are as follows:

i) Establish Plans & Expectations

Setting expectations and plans involves producing/accumulating the following:

- PWGSC Statement of Ethical Values;
- Program goals statement;
- Terms of References for the Ethics Program; and
- annual and multi-year performance expectations.

ii) Inform & Educate Management / Employees

In order to inform and educate management and employees, the Program has developed the following:

- ethics workshops for departmental employees;
- tailored presentations and courses to meet the needs of specific groups;
- ethics components that are incorporated into departmental learning initiatives (e.g. orientation course for new employees and management orientation course);
- website containing information and decision making tools; and
- promotional material, such as bookmarks and brochures.

iii) Guide & Advise Management / Employees

To allow for the guiding and advising function, the Program:

- provides specific guidance, referrals and counseling to employees faced with ethical dilemmas using 'decision-making' steps.

iv) Network Inside & Outside of the Department

The networking activity will allow for **the**:

- participation and memberships in public and private sector ethics associations and networks;
- departmental champions to emanate and communicate the merits of the Program throughout PWGSC; and
- establishment of formal and informal connections with other programs inside and outside the department.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

v) Monitor / Assess Results

The monitoring and assessing activity will produce the following outputs:

- data collection on awareness, decision-making, leadership, and action;
- performance reports (eg. benchmarking and surveys);
- evaluation undertakings; and
- reports and studies on performance and additional aspects of this program.

2.8 Outcomes

2.8.1 Immediate Outcomes

Immediate outcomes are results that the Ethics Program would anticipate attaining during the first year. Ethics Program activities and corresponding immediate outcomes are as follows:

i) Establish Plans & Expectations

By establishing plans and expectations, immediate outcomes should include:

- increased understanding of roles, responsibilities and expectations in regards to the Ethics Program;
- better accountability structure;
- increased understanding of organizational values;
- increased understanding of program direction and objectives; and
- increased knowledge at the program governance level of the ethics environment in the public and private sector.

ii) Inform & Educate Management / Employees

iii) Guide & Advise Management / Employees

The outputs from these activities lead to the following immediate outcomes:

- increased awareness and knowledge on the part of management and employees about the Program and its purpose in the department;
- increased awareness and knowledge of management and employees of ethical issues; and
- increased ability of employees to address ethical dilemmas through available channels and resources.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

iv) Network Inside and Outside the Department

The outputs from this activity lead to the following immediate outcomes:

- increased program profile and acceptance in the public and private sectors;
- increased knowledge of the benefits of ethics programs in organizations;
- increased interaction and collaboration between organizations; and
- increased ethics learning and understanding at the program level.

v) Monitor / Assess Results

The outputs from these activities result in the following immediate outcomes:

- increased understanding of the Program's direction;
- increased ability to monitor the achievement of intended results; and
- improved use of resources.

2.8.2 Intermediate Outcomes

Intermediate outcomes are results that the Ethics Program can be expected to achieve within two to four years, having already achieved the immediate outcomes.

For the Ethics Program the intermediate outcomes include:

- increased ability to handle ethical dilemmas;
- improved ethical leadership;
- better ethical decision making and action; and
- better alignment of departmental policies and processes.

In the intermediate term, the monitoring and assessment of results will lead to the following outcomes:

- better measurement of the Ethics Program's performance; and
- amendments and improvements to how the program is planned and administered.

2.8.3 Final Outcomes

The final or ultimate outcomes look at a time horizon of five year and beyond in regard to what is expected to be achieved. Achievement of the immediate and intermediate outcomes of the Ethics Program will lead to the following ultimate outcomes:

- increased confidence in values and ethics at PWGSC; and,
- enhanced ethical practices.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

2.9 Ethics Program Logic Model

The logic model for the Ethics Program is displayed in Figure 3. It depicts the linkages among the main activities, key outputs and outcomes (at the immediate, intermediate, and final level). The logic model can be simply summarized through its:

- **Activities, "what the program does"** in terms of the main or important work tasks;
- **Outputs, "what the program produces"** arising from these activities; and,
- **Outcomes, "why the program is doing"** these activities and producing these outputs.

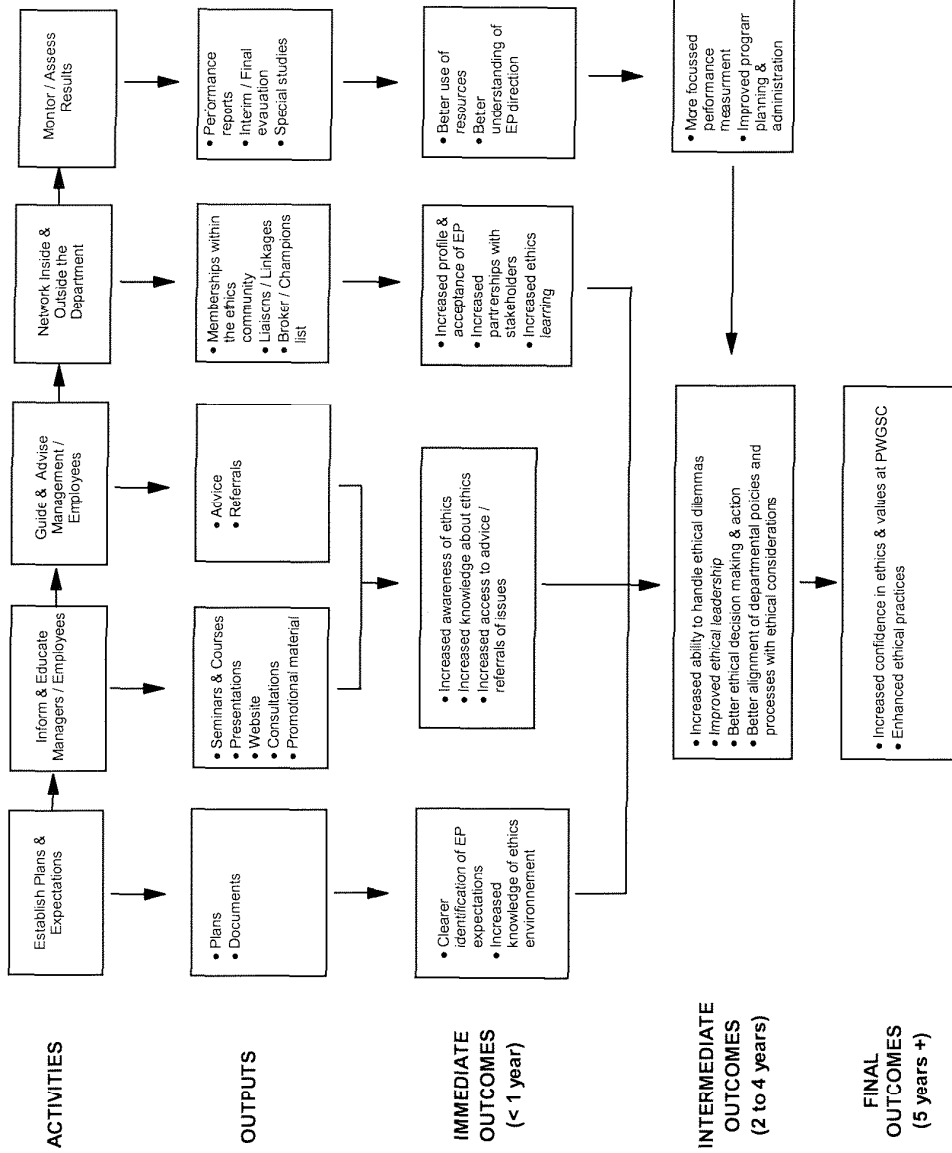
The outcomes are the key focus of the logic model, as they effectively show the 'bottom-line' or intended results of the program, thereby demonstrating accountability to the public why the program makes a difference.

Note: The logic model contains horizontal arrows representing an inter-connection between Ethics Program activities. These arrows do not necessarily represent a causal relationship, rather they are meant to demonstrate that all activities are interconnected.

The Ethics Program logic model is presented on the following page.

2003-710 RMAF for the PWGSC Ethics Program
Final Report

Figure 3 - Ethics Program Logic Model



**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

3.0 Ongoing Performance Measurement Strategy

3.1 Performance Measurement and Accountability Structure

Ongoing performance measurement is the regular collection of information for monitoring how a program is doing at any given time. It can be used to report on the level of attainment of planned results and on performance trends over time.

The accountability structure shown in Figure 4 provides an overview of the role of formal authorities in the Ethics Program.

Figure 4 – Accountability Structure for the Ethics Program

<i>Who is accountable?</i>	<i>What are they accountable for?</i>	<i>To whom they report on performance?</i>
Senior Departmental Ethics Counsellor (SEC)	<ul style="list-style-type: none"> • Departmental Ethics Program Authority; • Overseeing governance activities relating to the overall development of the Ethics Program; 	Deputy Minister
Ethics Development Office (EDO)	<ul style="list-style-type: none"> • Providing opportunities to increase ethical awareness, decision making, leadership, and action; • Providing tools to help individuals identify and address ethical predicaments; • Helping individuals learn to make ethical choices and take ethical actions; • Researching ethics and studying best practices; 	Senior Departmental Ethics Counsellor
Executive Committee	<ul style="list-style-type: none"> • Members are responsible for fostering the Ethics Program within their areas of responsibility. 	Deputy Minister
Ethics Leadership Team (ELT)	<ul style="list-style-type: none"> • Providing functional guidance; • Playing the role of ‘<i>Ethics Champions</i>’ within the department (Senior Management level); 	Senior Departmental Ethics Counsellor

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

3.2 Measurement Strategy and Performance Indicators

The following performance measurement strategy lists the planned outputs and outcomes of the Ethics Program as well as the key pieces of information that need to be collected in order to monitor the program's progress towards the achievement of the final outcomes as described in the logic model. Figure 5 provides a synopsis of the key results and elements of the ongoing performance measurement strategy. This strategy includes:

- Performance 'area' (i.e. outputs and outcomes)
- Performance indicator
- Data source/collection method
- Responsibility for data collection
- Timing/frequency of measurement - this section is separated into three components:
 - ongoing measurement;
 - mid-term evaluation (during year three, approximately); and,
 - final evaluation (after five years).

Please note that the use of 'Documents' in the indicator column of the table is comprised of records that are accumulated on an ongoing basis and filed in a consistent fashion. These records will allow future evaluators to have readily accessible material.

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 5 - Performance Measurement Strategy

Intended Results	Performance Indicators	Data Source & Collection Method	Responsible for Collection	Timing/Frequency of Measurement		
				Ongoing Measurement	Formative Evaluation	Summative Evaluation
OUTPUTS						
Plans	<ul style="list-style-type: none"> • Planning documents 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Documents	<ul style="list-style-type: none"> • Documents e.g. <ul style="list-style-type: none"> • Terms of Reference • Memcranda of Understanding • Research compilation 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Seminars & Courses	<ul style="list-style-type: none"> • Teaching documents • Number of events • Participant demographics 	<ul style="list-style-type: none"> • File Review • Operational data 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Presentations	<ul style="list-style-type: none"> • Presentation documents • Number of events • Demographics of attendees 	<ul style="list-style-type: none"> • File Review • Operational data 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Website	<ul style="list-style-type: none"> • Intranet site • Number of hits • Number of unique hits 	<ul style="list-style-type: none"> • Website review • Operational data 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Consultations	<ul style="list-style-type: none"> • Documents • Number of consultations provided 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Promotional Material	<ul style="list-style-type: none"> • Promotional documents • Number distributed 	<ul style="list-style-type: none"> • File review 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓
Advice	<ul style="list-style-type: none"> • Documents • Number of advisory occurrences 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓	✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 5 - Performance Measurement Strategy					
Intended Results	Performance Indicators	Data Source & Collection Method	Responsible for Collection	Timing/Frequency of Measurement	
				Ongoing Measurement	Formative Evaluation
Referrals	<ul style="list-style-type: none"> • Documents • Number of referrals provided 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
Memberships within the ethics community	<ul style="list-style-type: none"> • Documents • Membership lists 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
Liaisons / Linkages	<ul style="list-style-type: none"> • Documents 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
Broker / Champion List	<ul style="list-style-type: none"> • Documents 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
Performance reports	<ul style="list-style-type: none"> • Reports • Documents • Budgets • Forecasts 	<ul style="list-style-type: none"> • File Review • Surveys • Benchmarking data 	<ul style="list-style-type: none"> • EDO 	✓	✓
Interim / final evaluations	<ul style="list-style-type: none"> • Documents 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • IAED * 	✓	✓
Special studies	<ul style="list-style-type: none"> • Documents • Reports 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
IMMEDIATE OUTCOMES					
Clearer identification of EP expectations	<ul style="list-style-type: none"> • Documents 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓
Increased knowledge of ethics environment	<ul style="list-style-type: none"> • Documents • Evidence of research compiled 	<ul style="list-style-type: none"> • File Review 	<ul style="list-style-type: none"> • EDO 	✓	✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 5 - Performance Measurement Strategy						
Intended Results	Performance Indicators	Data Source & Collection Method	Responsible for Collection	Timing/Frequency of Measurement		
				Ongoing Measurement	Formative Evaluation	Summative Evaluation
Increased awareness of ethics	<ul style="list-style-type: none"> Number and percent of PWGSC employees with ethics 'learning' Feedback from PWGSC internal stakeholders 	<ul style="list-style-type: none"> File Review Surveys Interviews 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Increased knowledge about ethics	<ul style="list-style-type: none"> Number and percent of PWGSC employees with ethics 'learning' Feedback from PWGSC internal stakeholders 	<ul style="list-style-type: none"> File Review Surveys Interviews 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Increased access to advice / referrals of issues	<ul style="list-style-type: none"> Documents Documented referrals / advice 	<ul style="list-style-type: none"> File Review 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Increased profile & acceptance of EP	<ul style="list-style-type: none"> Documents Feedback from public / private sector on the EP 	<ul style="list-style-type: none"> File Review Interviews 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Increased partnerships with stakeholders	<ul style="list-style-type: none"> Documents 	<ul style="list-style-type: none"> File Review 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Increased ethics learning	<ul style="list-style-type: none"> Documents Research compilation 	<ul style="list-style-type: none"> File Review 	<ul style="list-style-type: none"> EDO 	✓	✓	✓
Better use of resources	<ul style="list-style-type: none"> Changes made to the EP & how it is administered / operated 	<ul style="list-style-type: none"> File Review Operational data 	<ul style="list-style-type: none"> EDO SEC 	✓	✓	✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

<i>Figure 5 - Performance Measurement Strategy</i>						
<i>Intended Results</i>	<i>Performance Indicators</i>	<i>Data Source & Collection Method</i>	<i>Responsible for Collection</i>	<i>Timing/Frequency of Measurement</i>		
				<i>Ongoing Measurement</i>	<i>Formative Evaluation</i>	<i>Summative Evaluation</i>
Better understanding of EP direction	<ul style="list-style-type: none"> • Analysis of trends from other indicators • Changes made to the EP & how it is administered / operated 	<ul style="list-style-type: none"> • File Review • Statistical data • Operational data 	<ul style="list-style-type: none"> • EDO • SEC • ELT 	✓	✓	✓
INTERMEDIATE OUTCOMES						
Increased ability to handle ethical dilemmas	<ul style="list-style-type: none"> • Enquiries about ethical dilemmas from PWGSC management and employees • Analysis of trends in advisory services, departmental issues, etc. 	<ul style="list-style-type: none"> • File Review • Survey data • Operational Data • Statistical data 	<ul style="list-style-type: none"> • EDO • IAED 	✓	✓	✓
Improved ethical leadership	<ul style="list-style-type: none"> • Feedback from external and internal stakeholders 	<ul style="list-style-type: none"> • Survey data • Interview data 	<ul style="list-style-type: none"> • EDO • IAED 	✓	✓	✓
Better ethical decision making & action	<ul style="list-style-type: none"> • Documents • Opinions of external and internal informants 	<ul style="list-style-type: none"> • File Review • Survey data • Operational data • Statistical data 	<ul style="list-style-type: none"> • EDO • IAED 	✓	✓	✓
Better alignment of departmental policies and processes with ethical considerations	<ul style="list-style-type: none"> • Documents • Policies enacted with EP input and/or ethical considerations 	<ul style="list-style-type: none"> • File Review • Policy Review 	<ul style="list-style-type: none"> • EDO • IAED 	✓	✓	✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 5 - Performance Measurement Strategy

Intended Results	Performance Indicators	Data Source & Collection Method	Responsible for Collection	Timing/Frequency of Measurement		
				Ongoing Measurement	Formative Evaluation	Summative Evaluation
More focused performance measurement	<ul style="list-style-type: none"> Documents Quality of performance measures 	<ul style="list-style-type: none"> File Review Operational data Statistical data 	<ul style="list-style-type: none"> EDO IAED 		✓	✓
Improved program planning & administration	<ul style="list-style-type: none"> Documents Changes made to the EP & how it is administered / operated 	<ul style="list-style-type: none"> File Review Operational data 	<ul style="list-style-type: none"> EDO SEC ELT IAED 		✓	✓
ULTIMATE OUTCOMES						
Increased confidence in ethics and values at PWGSC	<ul style="list-style-type: none"> Documents Opinions of staff, management Stakeholder views (workforce, managers, clients, suppliers, public) on ethics in the department 	<ul style="list-style-type: none"> File Review Survey data Operational data Interview data Media data Statistical data 	<ul style="list-style-type: none"> EDO IAED 			✓
Enhanced ethical practices	<ul style="list-style-type: none"> Documents Opinions of staff, management Stakeholder views (workforce, clients, suppliers, public) on ethics in the department 	<ul style="list-style-type: none"> File Review Survey data Operational data Interview data Statistical data Media data 	<ul style="list-style-type: none"> EDO IAED 			✓

* IAED (Internal Audit & Evaluation Directorate)

4.0 Evaluation Strategy

4.1 Identification of Evaluation Issues and Questions

The Evaluation Study provides an in-depth, periodic opportunity to examine important questions with respect to how this program has performed in the past and how it is currently doing. The broad themes for examination have been identified as:

- Program Relevance/Rationale;
- Program Delivery/Design;
- Program Success;
- Cost Effectiveness; and
- Alternatives.

The evaluation issues and related questions are intended to provide the basis for future evaluations of the Ethics Program.

Figure 6 - Evaluation Strategy: Measurement

Evaluation Issue	Evaluation Question	Timing/Frequency of Measurement		
		Ongoing Measurement	Formative Evaluation	Summative Evaluation
1.0 Program Rationale / Relevance	1.1 Is there a perceived continuing need for the Ethics Program?		✓	✓
2.0 Program Design and Delivery	2.1 Are the goals of the Ethics Program understood and agreed upon throughout the organization?		✓	✓
	2.2 Are the activities of the Ethics Program contributing towards the achievement of stated goals including: ethical awareness, ethical leadership, ethical decision making, and ethical action?		✓	✓
	2.3 What structures are in place for the Ethics Program to ensure clear accountability?		✓	✓
	2.4 Is there a need to change the design of the program to improve its effectiveness?		✓	✓
	2.5 Are there appropriate performance measures in place?	✓	✓	✓
	2.6 Is the Ethics Program properly marketed?	✓	✓	✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 6 - Evaluation Strategy: Measurement

<i>Evaluation Issue</i>	<i>Evaluation Question</i>	<i>Timing/Frequency of Measurement</i>		
		<i>Ongoing Measurement</i>	<i>Formative Evaluation</i>	<i>Summative Evaluation</i>
3.0 Program Success	3.1 To what extent is the Ethics Program achieving its intended results?		✓	✓
	3.2 What major factors have contributed to achievement of these results?		✓	✓
	3.3 What barriers have been encountered that have interfered with the achievement of the program's intended results?		✓	✓
	3.4 What unintended outcomes have occurred as a result of the Ethics Program?		✓	✓
4.0 Cost Effectiveness	4.1 Is the Ethics Program the most appropriate and efficient means to achieve the department's ethics and values objectives?		✓	✓
	4.2 Has this program been allocated with sufficient funds to meet its stated objectives?		✓	✓
5.0 Alternatives	5.1 Are there more efficient / effective means of delivering the Ethics Program?		✓	
	5.2 To what extent do other departmental programs duplicate or overlap with the outputs and outcomes of the Ethics Program?		✓	
	5.3 To what extent is the Ethics Program congruent with comparable initiatives in place within the Canadian federal government?		✓	✓

4.2 Identification of Data Requirements

An Evaluation of the Ethics Program is planned for the 2003/2004 fiscal year. The proposed methodologies for the collection or data requirements include:

- Key informant interviews with stakeholders (i.e., senior managers, clients, and subject matter experts);
- File and document review;
- Surveys and focus groups (internal and external); and
- Trend analysis and comparative analysis (i.e., comparisons between different organizations, departments and countries).

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

4.3 Data Collection Strategy

The following Figure summarizes the data collection strategy by evaluation issue. The following data collection strategies are proposed:

1. Key informant interviews 3. Surveys 5. Trend and comparative analysis
2. File and document review 4. Focus groups

Figure 7 - Evaluation Strategy: Data Collection

Evaluation Issues	Evaluation Question	Data collection techniques				
		1	2	3	4	5
1.0 Program Rationale / Relevance	1.1 Is there a perceived continuing need for the ethics program?	✓	✓			✓
2.0 Program Design and Delivery	2.1 Are the goals of the Ethics Program understood and agreed upon throughout the organization?	✓		✓	✓	
	2.2 Are the activities of the Ethics Program contributing towards the achievement of stated goals including: ethical awareness, ethical leadership, ethical decision making, and ethical action?	✓	✓	✓	✓	
	2.3 What structures are in place for the Ethics Program to ensure clear accountability?	✓				
	2.4 Is there a need to change the design of the program to improve its effectiveness?	✓	✓			
	2.5 Are there appropriate performance measures in place?	✓	✓			✓
	2.6 Is the Ethics Program properly marketed?	✓	✓	✓	✓	✓
3.0 Program Success	3.1 To what extent is the Ethics Program achieving its intended results?	✓	✓	✓		
	3.2 What major factors have contributed to achievement of these results?	✓	✓			
	3.3 What barriers have been encountered that have interfered with the achievement of the program's intended results?	✓	✓			
	3.4 What unintended outcomes have occurred as a result of the Ethics Program?	✓	✓			

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

Figure 7 - Evaluation Strategy: Data Collection

<i>Evaluation Issues</i>	<i>Evaluation Question</i>	<i>Data collection techniques</i>				
		<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
4.0 Cost Effectiveness	4.1 Is the Ethics Program the most appropriate and efficient means to achieve the department's ethics and values objectives?	✓	✓			
	4.2 Has this program been allocated with sufficient funds to meet its stated objectives?	✓	✓			
5.0 Alternatives	5.1 Are there more efficient / effective means of delivering the Ethics Program?	✓	✓			✓
	5.2 To what extent do other departmental programs duplicate or overlap with the outputs and outcomes of the Ethics Program?	✓	✓			
	5.3 To what extent is the Ethics Program congruent with comparable initiatives in place within the Canadian federal government?	✓	✓			✓

**2003-710 RMAF for the PWGSC Ethics Program
Final Report**

5.0 Reporting Strategy

The Figure below details the reporting strategy:

Figure 8 - Reporting Strategy

<i>Results Measurement Activity</i>	<i>Report</i>	<i>Prepared by</i>	<i>Frequency of reporting</i>
Ongoing Performance Measurement	Annual Performance Report	EDO	At the end of each EP-program year
Mid-term (Formative) Evaluation	Mid-term (Formative) Report	IAED *	During the 3 rd year of the program
Final (Summative) Evaluation	Final (Summative) Report	IAED	At year 5 of the program

* IAED (Internal Audit & Evaluation Directorate)

6.0 Implementation and Review

The responsibility for implementing the RMAF rests with the Ethics Program management at PWGSC (i.e. the Ethics Development Office). The Ethics Program is currently operational and monitoring of results by the EDO will begin promptly.

The results will initially focus on the immediate prioritized results (mostly outputs and some outcomes) to ensure that useful information is maximized for guiding and/or adjusting the initial implementation of the program. Annual performance reports will gauge the effectiveness of the performance measurement strategy as detailed in Section 3.

The summative evaluation will focus on outcomes and the results of the Ethics Program. Reporting will enhance communication to the public in particular. At that time, it will be important to review the outcomes in the context of the broader ethics policy framework.