

CANADA

RESPONSE TO THE QUESTIONNAIRE

MESICIC - FIFTH ROUND OF REVIEW

DECEMBER 2016

SECTION I

FOLLOW-UP ON THE IMPLEMENTATION OF THE RECOMMENDATIONS FORMULATED IN THE SECOND ROUND AND NEW DEVELOPMENTS IN RELATION TO THE CONVENTION PROVISIONS SELECTED FOR REVIEW IN THAT ROUND

I. FOLLOW-UP ON THE IMPLEMENTATION OF THE RECOMMENDATIONS FORMULATED IN THE SECOND ROUND

A. IMPLEMENTATION OF THE CONVENTION AT THE PROVINCIAL AND TERRITORIAL LEVEL

The Committee took note of the satisfactory consideration of the sole recommendation formulated to the country under review in this section and therefore it is not required to provide information.

B. CONCLUSIONS AND RECOMMENDATIONS AT THE FEDERAL LEVEL

1. SYSTEMS OF GOVERNMENT HIRING AND PROCUREMENT OF GOODS AND SERVICES (ARTICLE III (5) OF THE CONVENTION)

1.1. Systems of Government Hiring

RECOMMENDATION:

Continue strengthening the systems of government hiring of public servants, when applicable, that assure the openness, equity and efficiency of such systems.

Measure a):

Promote the adoption of the relevant measures that ensure that all departments, organizations and separate employers that do not fall under the purview of the PSEA conduct its recruitment based on the principles of merit and non-partisanship.

With respect to the foregoing measure, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web

page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

Nothing to report.

- B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Nothing to report.

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

Nothing to report.

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The Public Service Commission (PSC) and the Treasury Board of Canada (TBC).

Measure b):

Encourage the Office of the Senate Ethics Officer and the Office of the Conflict of Interest and Ethics Commissioner to continue to adopt appropriate hiring practices based on merit, and allowing for adequate advertisement opportunities and recourse mechanisms.

With respect to the foregoing measure, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

Office of the Senate Ethics Officer (OSEO): The OSEO has a staff of two full-time employees and one part-time employee. The OSEO is a separate employer under the *Parliament of Canada Act*. The OSEO is not subject to the *Public Service Employment Act* (PSEA), but rather it is subject to the *Parliamentary Employment and Staff Relations Act* (PESRA).

The OSEO entered into a formal agreement with the Senate Administration in 2005 for the provision of support services, including human resources (HR) services, as were required from time to time.

This agreement has been renewed a number of times over the years and is still in effect. The OSEO has adopted the policies of the Senate Administration for all HR matters, including the Senate Administration's policy on hiring and recruitment, which was adopted by the Standing Senate Committee on Internal Economy, Budgets and Administration on November 23, 2006. Under this policy, the appointment processes and appointment decisions are required to respect the three key values of fairness, transparency and accessibility. In compliance with this policy and the PESRA, an employee may grieve an appointment or proposed appointment.

Under the Office's policy on hiring and recruitment, an employee, who would like to grieve an appointment or proposed appointment, must inform the Director of HR, in writing, of the grievance within fifteen business days of the date of notification, indicating the grounds for the complaint. The SEO, or the authorized representative of the SEO, will consider the grievance and respond within thirty calendar days after the grievance has been presented. The decision at this level is final and conclusive for the employee, unless the grievance is sent to arbitration under paragraph 63(e) of the PESRA.

All appointments are based on merit. Essential qualifications, asset qualifications, operational requirements and organizational needs form the basis for the assessment of merit. Managers establish merit criteria, which must be identified and communicated at the beginning of an appointment process. Merit criteria must be relevant and based on the needs of the position and of the organization.

With respect to allowing adequate advertisement opportunities, the details concerning the advertisement of positions would depend on the nature of the position and related circumstances.

The *Parliament of Canada Act* and the PESRA can be found respectively at:
<http://laws-lois.justice.gc.ca/eng/acts/P-1/>; and,
<http://laws-lois.justice.gc.ca/eng/acts/P-1.3/>.

Office of the Conflict of Interest and Ethics Commissioner: Although the Office of the Conflict of Interest and Ethics Commissioner is not covered by the PSEA, it has adopted the principles and values upon which the legislation is built. In October 2009, the Office issued an internal staffing manual for managers, entitled "Manager's Handbook on Staffing Procedures", which specifically mentions that the Office has adopted the principles and the values of the PSEA and documents the importance of respecting the core values of staffing. The objectives of the manual are as follows: (1) Present general values and principles that support responsible staffing practices; (2) Provide a consistent approach to staffing within the Office; and (3) Outline the responsibilities and accountabilities of the managers and HR advisors. The Office also posts its employment opportunities on the website established by the PSC. In 2013, a copy of the manual was provided to the Technical Secretariat of the MESICIC for its use only.

- B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Please refer to information provided under section A) above.

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

N/A

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The Office of the Senate Ethics Officer:

<http://sen.parl.gc.ca/seo-cse/eng/Home-e.html>

The Office of the Conflict of Interest and Ethics Commissioner:

<http://ciec-ccie.parl.gc.ca/EN/Pages/default.aspx>

Therefore, Canada believes that the recommendation relating to measure b) be considered as satisfactorily considered, and adopted where appropriate.

Measure c):

Maintain statistics regarding investigations conducted by the Public Service Commission on external appointment processes and their results.

With respect to the foregoing measure, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

The PSC continues to publish on its website summaries of founded and unfounded PSC investigations. These investigations are organized by themes, to inform and educate the HR community, organizations, public servants, and the general public about what constitutes a breach of the PSEA. More information on summaries of investigations reports can be found at: <http://www.psc-cfp.gc.ca/inv-enq/summaries-resumes-eng.htm>.

It also shares case studies, based on past investigations, during ad hoc outreach sessions held for organizations to inform them of the types of cases that should be referred to the PSC for investigation. On an ongoing basis, presentations are also given to functional communities, such as hiring managers and HR personnel, including the heads of HR, to share trends and observations stemming from PSC investigations. Annual meetings and training sessions are also held for Departmental Liaisons for investigations.

The PSC's *Appointment Policy* and Appointment Delegation and Accountability Instrument (ADAI) were revised and came into effect on April 1, 2016. Section 4 of the ADAI outlines investigation-related responsibilities delegated from the PSC to deputy heads, while Annex D outlines reporting requirements. For the first time, the PSC is asking organizations to report on some basic information related to any internal investigations they will have conducted in 2016/2017. The Investigations website was recently revised. It offers more complete information on the investigations process, including on investigations on external appointment processes, leading to greater transparency on investigations processes and techniques, including new material on service standards, procedural fairness, privacy rights, and recourses.

Investigations data is published quarterly on the PSC website and annually by fiscal year in the Government of Canada's open data portal. More information can be found at: <http://www.psc-cfp.gc.ca/inv-enq/table-eng.htm> and <http://open.canada.ca/data/en/dataset/fc0ea6c8-11e7-4252-8ac1-38232424e5fe>, respectively. The data is broken down by investigation type, with the PSC having exclusive authority to investigate alleged fraud or political influence in both internal and external appointment processes; and merit, error, omission, or improper conduct in external appointment processes. As such, the data shows specifically how many investigations were completed to address allegations that an error, omission, or improper conduct may have affected the selection of an individual in an external appointment process and whether the allegations were founded or unfounded.

- B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Please refer to information provided under section A) above.

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

N/A

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The PSC has participated in the implementation of the foregoing recommendation. The websites dealing in greater detail with these issues have been cited above at question A).

Therefore, Canada believes that the recommendation relating to measure c) be considered as satisfactorily considered.

1.2. Government Systems for the Procurement of Goods and Services

Recommendation:

Continue strengthening systems for the procurement of goods and services by the government.

Measure a):

Support the Office of the Procurement Ombudsman so that, once established, it has the necessary trained personnel and resources to carry out its functions properly as well as establishing mechanisms that permit ongoing evaluation and follow-up of said activities.

The Committee took note of the satisfactory consideration of measure a) formulated to the country under review in this section and therefore it is not required to provide information.

Measure b):

Continue building awareness among industry stakeholders of their obligations and rights under the Code of Conduct for Procurement.

With respect to the foregoing measure, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

Public Services and Procurement Canada (PSPC) continues its efforts to increase awareness in relation to the *Code of Conduct for Procurement* (Code). The Code is integrated into PSPC's solicitation processes and must be complied with in order to conduct business with the Government of Canada. It explicitly outlines expected behaviours and commitments of the vendor when contracting with the Government, including prohibiting corrupt behaviour, among other practices, in the procurement process. A vendor bidding on a competitive or non-competitive solicitation (i.e., the process of seeking proposals and quotations from vendors) must certify that it meets the all the requirements of the Code. After a contract is awarded, these solicitation conditions are carried forward as a contractual obligation. The Code and supplementary information are available on the PSPC public website: <http://www.tpsgc-pwgsc.gc.ca/app-acq/cndt-cndct/index-eng.html> .

The Office of Small and Medium Enterprises (OSME), a sector within PSPC, helps vendors/suppliers understand how to navigate the federal procurement process. Assistance, provided through six regional offices, includes:

- Business seminars/webinars;
- One-on-one supplier consultations;
- Presentations at industry events; and
- Information booths at trade shows.

Additionally, through the toll-free National InfoLine service and the regional offices, OSME answers a variety of procurement-related questions, including those related to the Code.

- B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Since the Thirteenth Meeting of the Committee of Experts of the MESICIC (June 2008), the Government of Canada has implemented additional measures to strengthen the system for the procurement of goods and services by the Government.

On July 3, 2015, the Government of Canada introduced a new Government-wide Integrity Regime to demonstrate its commitment to conduct business with ethical suppliers and to support open, fair and transparent procurement and real property processes.

Under the Regime, the *Ineligibility and Suspension Policy* (Policy) sets out the circumstances in which PSPC, the department responsible for administering the Policy, may declare ineligible or suspend a supplier from the awarding of a contract or real property agreement. More specifically, this includes instances where a supplier has been convicted or charged, in the previous three years, with an applicable listed offence (i.e., those related to unethical business conduct, such as corruption, bribery and fraud, etc.) in Canada or with a similar offence abroad. Affiliates and subcontractors are also covered by the Regime.

Furthermore, the names of all ineligible and suspended suppliers under the Integrity Regime are published on the PSPC website under the heading, "Government of Canada's Integrity Regime". A publicly-available ineligibility list provides prime contractors with the ability to confirm that they are not entering into subcontracts with ineligible suppliers. The list can be found at: <http://www.tpsgc-pwgsc.gc.ca/ci-if/four-inel-eng.html>. Prime contractors may also contact PSPC to request that a verification be conducted on individuals with whom they wish to subcontract.

Since the introduction of the Regime, the Department has undertaken outreach efforts to promote and inform stakeholders of the Regime, clarify its elements and implications, and solicit ongoing feedback for improvement. Presentations and information sessions have been given to federal partners, suppliers, industry members, third party service providers and civil society organizations, in addition to the Department offering to discuss particular issues on a one-on-one basis. OSME has played a critical role in coordinating SME engagement opportunities across the regions, for example, through its Supplier Stakeholder Network meeting, a Small Business Expo, and Business to Government Information Fairs. These outreach measures have been widely used to increase stakeholders' awareness and understanding of their obligations under the Regime.

PSPC has also participated in a number of events where it has promoted measures that it has implemented within its procurement and real property processes, such as the Integrity Regime and the Code, to reduce instances of fraud and corruption in procurement and real property transactions. These have included delivering presentations at Transparency International Canada's Day of Dialogue: Spotlight on Corruption and at the Organization for Economic Cooperation and Development's Public Governance Committee Symposium, as well as participating in a number of events hosted by Industry Associations and third party service providers.

Supplementary resources and information on the Integrity Regime are publicly available on the PSPC website: <http://www.tpsgc-pwgsc.gc.ca/ci-if/ci-if-eng.html>.

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

N/A

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The following internal agencies have participated in the implementation of the foregoing measures:

- PSPC's Acquisitions Branch participated in the integration of the Code as a requirement to bid on government solicitations and has conducted outreach efforts to inform procurement staff of the Integrity Regime and clarify its elements and implications.
- OSME participated by providing continued support in responding to stakeholders' questions, including those with respect to the Code; and, by coordinating SME engagement, in order to increase awareness of supplier obligations when conducting business with the Government of Canada.
- The Integrity team conducted outreach efforts to promote and inform stakeholders of the Integrity Regime, clarify its elements and implications, and solicit ongoing feedback for improvement.

Therefore, Canada believes that the recommendation relating to measure b) be considered as satisfactorily considered.

2. SYSTEMS FOR PROTECTING PUBLIC SERVANTS AND PRIVATE CITIZENS WHO IN GOOD FAITH REPORT ACTS OF CORRUPTION (ARTICLE III (8) OF THE CONVENTION)

Recommendation:

Ensure that those public bodies that do not fall under the purview of the Public Servants Disclosure Protection Act have adopted measures that protect persons who disclose wrongdoings.

With respect to the foregoing recommendation, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web

page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

Canadian Security Intelligence Service (CSIS): The *Public Servants Disclosure Protection Act* (PSDPA) came into force in April 2007. Though CSIS was excluded from the PSDPA, the legislation required CSIS to establish disclosure procedures similar to those provided for under the Act. In November 2008, CSIS implemented an internal disclosure policy establishing a confidential mechanism for employees to disclose wrongdoing and protection against reprisal for employees who make disclosures.

The Department of National Defence (DND) and Canadian Armed Forces (CAF): The DND and the CAF have addressed this recommendation with the following actions:

On April 23, 2009, the Queen's Regulations and Orders (QR&O) 19.15 Prohibition of Reprisal was promulgated. This QR&O provides members of the CAF with protection against any form of reprisal for having reported alleged wrongdoing in good faith. The QR&O can be found at: <http://www.forces.gc.ca/en/about-policies-standards-queens-regulations-orders-vol-01/ch-19.page>.

Wrongdoings reported under the *Defence Administrative Order and Directive* (DAOD) 7024-0, *Disclosure of Wrongdoings in the Workplace*, or DAOD 7024-1, *Internal Procedures for Disclosure of Wrongdoings in the Workplace*, are reviewed upon submission. Where a conflict of interest situation falls under the definition of wrongdoing, the Directorate of Special Examinations and Inquiries (DSEI) will investigate, seek a Defence Ethics Program opinion, and make recommendations for corrective action. The DSEI also conducts investigations of conflict of interest situations separate from the reporting of wrongdoing under the PSDPA and the CAF Disclosure Process, in accordance with its mandate to conduct administrative investigations into allegations of wrongdoing within DND and the CAF. As new situations arise and in aid of adapting to new realities, the DAODs are under constant revision to ensure that they best protect public servants and private citizens who, in good faith, report acts of corruption.

On April 8, 2013, the Chief of Defence Staff and the Deputy Minister issued the “Coming into Force – Canadian Armed Forces Disclosure Process”, which advised members of the CAF that they can report any alleged wrongdoing to the Internal Disclosure Office, ADM (Review Services).

On June 13, 2013, the *Department of National Defence and Canadian Forces Code of Values and Ethics* (Code) was established. It encompasses both the *Values and Ethics Code for the Public Sector* and the Treasury Board *Policy on Conflict of Interest and Post-Employment*. It was promulgated by a letter to all public servants of the DND and all CAF members, signed by the Deputy Minister and of the Chief of the Defence Staff. More information regarding the Code can be found at: <http://www.forces.gc.ca/en/about/code-of-values-and-ethics.page>.

The DND Internal Disclosure Office, ADM (Review Services) is mandated to ensure that the Department's obligations, as described in the PSDPA, are fully met. These obligations extend to providing the same support to CAF members under the CAF Disclosure Process. This office conducts awareness and educational sessions on the PSDPA and its implementation within DND and the CAF, and provides advice and guidance to supervisors and managers, as well as to DND employees and CAF members, who may be considering making a disclosure. The DSEI will initiate a formal investigation, or will pass the disclosure of wrongdoing to a more appropriate departmental agency.

Communications Security Establishment (CSE): In January 2010, the CSE established and staffed the position of “Ethics Officer” to assist the Director General, Audit, Evaluation and Ethics in discharging ethics-related responsibilities. With specific regard to wrongdoing, these responsibilities include: raising organizational awareness of the mechanism for disclosing a suspected wrongdoing and providing interpretation and related advice; conducting and reporting the results of investigations pursuant to allegations or reasonable suspicion of wrongdoing, and making recommendations regarding corrective action; and protecting the identity and privacy of persons involved in a disclosure or related investigation. The establishment of the CSE Ethics Officer position augments CSE’s capacity to deal with issues relating to wrongdoing and is intended to advance CSE's Ethics Program more broadly.

The CSE Values and Ethics Code, known as the *CSE Ethics Charter*, was approved by the Treasury Board of Canada on June 23, 2011. The *CSE Ethics Charter* defines the values and ethics and expected behaviours of employees of the CSE. More information on the Charter can be found at this link: <https://www.cse-cst.gc.ca/en/about-aporos/ethics-charter>. The CSE continues to monitor the existing mechanism and process in the Charter for CSE employees to disclose wrongdoing without risk of reprisal.

B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Please refer to the information provided above under section A).

C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

N/A

D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The DND, CAF, CSE and CSIS have participated in the implementation of the measures, as noted above.

Therefore, Canada believes that this recommendation be considered as satisfactorily considered, and adopted where appropriate.

3. ACTS OF CORRUPTION (ARTICLE VI (1) OF THE CONVENTION)

Recommendation:

Making its statistical information on offences related to acts of corruption, in a manner that is more readily available and user-friendly to the general public.

With respect to the foregoing recommendation, provide the following information:

- A) Please briefly describe the specific actions that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

The Canadian Centre for Justice Statistics (CCJS) of Statistics Canada reports that a number of initiatives have been undertaken to improve the availability and utility of its data holdings since the Thirteenth Meeting of the Committee of Experts of the MESICIC (June 2008).

Statistics Canada has modernized its website to conform to the Government of Canada Common Look and Feel Standards for the Internet established by Treasury Board.

Additionally, the search function has been upgraded and a new module on “statistics by subject”, including a portal for crime and justice statistics, has been developed. These two features allow users to more readily access and download the CCJS products, including all analytical reports and a selection of statistical tables.

<http://www5.statcan.gc.ca/subject-sujet/theme-theme?pid=2693&lang=eng&more=0>

Due to the volume and confidential nature of the information collected by the CCJS surveys, it is not possible to provide micro-level data on the Internet. Instead, a selection of statistical tables is available reflecting the crime and justice information that is most commonly requested by Canadians.

The content of these tables is reviewed regularly and additions and/or deletions are made accordingly. Data in relation to corruption offences, which are relatively low volume offences in Canada, are not available from the selection of tables on the Internet, but these data continue to be available by special request. Specialized requests for detailed information that is not available from the selection of tables on the Internet should be submitted directly to the CCJS at statcan.ccjs-ccsj.statcan@canada.ca.

From the Integrated Criminal Court Survey (ICCS), information is now available up to and including 2013/2014 from all 13 of Canada’s provinces and territories. As of October 31, 2016, the ICCS has released updated data for 2013/2014, as well as new data for 2014/2015, for both adult criminal and youth courts. The data in this report (<http://www.statcan.gc.ca/pub/85-002-x/2015001/article/14226-eng.htm>) is based on the previously released counts for 2013/2014, which have not been updated.

- B) Indicate the new information and developments related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, indicating whether they are deemed to have an

impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

Please refer to the information provided above under section A).

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

Due to the volume and confidential nature of the information collected by the CCJS surveys, it is not possible to provide micro-level data on the Internet. Instead, a selection of statistical tables is available reflecting the crime and justice information that is most commonly requested by Canadians. Specialized requests for detailed information that is not available from the selection of tables on the Internet should be submitted directly to the CCJS at statcan.ccjs-ccsj.statcan@canada.

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The CCJS of Statistics Canada and the Department of Justice Research and Statistics Division participated in the implementation of the foregoing recommendation.

Therefore, Canada believes that the above recommendation be reformulated taking into account the information provided above.

4. GENERAL RECOMMENDATIONS

Recommendation 4.1:

Continue to design and implement, when appropriate, training programs for public servants responsible for implementing the systems, standards, measures and mechanisms considered in this Report, for the purpose of guaranteeing that they are adequately understood, managed and implemented.

The Committee took note of the satisfactory consideration of the recommendation formulated to the country under review in this section and therefore it is not required to provide information.

Recommendation 4.2:

Continue to select and develop procedures and indicators, when appropriate and where they do not yet exist, to analyze the results of the systems, standards, measures and mechanisms considered in this Report, and to verify follow-up on the recommendations made herein

With respect to the foregoing recommendation, provide the following information:

- A) Please briefly describe the specific actions / that have been carried out to implement the above recommendation and the above measure suggested by the Committee, or the alternative

measure(s) adopted by the country to that end. If deemed appropriate, please indicate the web page on which more detailed information on those actions can be obtained, clearly indicating the information of the web site in question:

N/A

- B) Indicate the new information and developments / related to the subject matter of the above recommendation and the above measure suggested by the Committee, briefly describing the new provisions and/or measures adopted in connection with the subject, / or the provisions and/or measures unknown to or not taken into consideration by the Committee when that recommendation and measure were formulated, / indicating whether they are deemed to have an impact on the validity of that recommendation and measure or whether they could lead to its restatement or reformulation:

N/A

- C) Please briefly indicate the possible difficulties encountered in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information of the web site in question:

N/A

- D) If deemed appropriate, please indicate which internal agencies have participated in the implementation of the foregoing recommendation and the foregoing measure suggested by the Committee, and identify specific technical cooperation needs related to its implementation. In addition, if deemed relevant, please also indicate the web page dealing in greater detail with these issues, clearly indicating the information of the web site in question:

The Treasury Board of Canada.

In line with the decision made by the Committee of Experts in examining the reports from the Fifth Round of Review, and given that this response in its entirety provides an updated and detailed follow-up of the recommendations formulated to Canada in the Second Round of Review, as well as the systems, standards, measures and mechanisms that the suggested recommendations concern, Canada believes that this recommendation is redundant.

II. NEW DEVELOPMENTS IN RELATION TO THE CONVENTION PROVISIONS SELECTED FOR REVIEW IN THE SECOND ROUND

1. SYSTEMS OF GOVERNMENT HIRING AND PROCUREMENT OF GOODS AND SERVICES (ARTICLE III (5) OF THE CONVENTION)

1.1. Systems of Government Hiring

A) Legal Framework

Please list and briefly describe any new legal provisions and/or measures, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Please refer to information provided under SECTION I of the Questionnaire.

Although several amendments have been made to the *Public Service Employment Act* (PSEA) since November 2, 2007, the mandate and authorities of the Public Service Commission (PSC) have not changed. The most recent amendments to the PSEA came into force in July 2015, resulting from the *Veterans Hiring Act*, which granted greater access to public service jobs to veterans and members of the Canadian Armed Forces (CAF).

The Act can be found at: http://laws-lois.justice.gc.ca/eng/annualstatutes/2015_5/FullText.html.

Amendments to the PSEA were also made as a result of the *Public Service Labour Relations and Employment Board Act*, which came into force on November 1, 2014, and merged the former Public Service Labour Relations Board and the Public Service Staffing Tribunal.

Past iterations of the PSEA can be found on the Canadian Legal Information Institute site at: (<http://www.canlii.org/en/ca/laws/stat/sc-2003-c-22-ss-12-13/latest/sc-2003-c-22-ss-12-13.html>).

B) Technological Developments

Please list and briefly describe any technological developments, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Launched as a pilot project in January 2012, INGENIUM is the PSC's single point of access to all the staffing activity data for reporting and analysis. It provides an easy and efficient way to access the PSC's extensive data holdings, which provide the basis for many reporting, monitoring and planning needs. In May 2013, additional reporting tools and enhanced options were added to improve its data capabilities. More information regarding INGENIUM can be found at: <http://extranet.psc-cfp.gc.ca/ingenium/index-eng.php>.

Enhancements have also been made to the PSC's resourcing systems, which are used by organizations to conduct their staffing activities. These enhancements have included the

consolidation of the systems used for internal and external appointment processes into a single platform (Public Service Resourcing System) to ease administration as well as to provide a single source for applicants to search for employment. The website is located at: jobs-emplois.gc.ca.

In accordance with the 2014 Directive on Open Government, which can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=28108>, "Open Government" is officially defined as "A governing culture that holds that the public has the right to access the documents and proceedings of government to allow for greater openness, accountability, and engagement." In the most recent biennial plan on Open Government for 2016 - 2018, the Government of Canada stated that its "commitment to openness is intended to foster greater transparency and accountability, and to help create a more cost-effective, efficient, and responsive government for all Canadians"

More information on Canada's New Plan on Open Government can be found at: <http://open.canada.ca/en/content/canadas-new-plan-open-government-2016-2018>.

C) Results

Please briefly mention the objective results obtained in your country in connection with the above provision of the Convention, for the last five years, including available statistical data:

The overall results and data are available in the PSC's Annual Reports which can be found on the PSC's website.

Together with deputy heads, hiring managers and Human Resources (HR) advisors, the PSC has accumulated 10 years of experience with the fully delegated staffing system that was introduced in 2005.

The PSC's oversight activities have demonstrated the overall integrity of the staffing system and provided confidence that deputy heads and their organizations can manage and monitor their own staffing systems. In 2014-2015, the PSC completed a comprehensive review of its policy and oversight frameworks and conducted consultations with key stakeholders to continue efforts in modernizing the staffing system with streamlined requirements, risk-based oversight and simplified processes to be more responsive to evolving demands.

This review and consultations resulted in a modernized staffing system designed to simplify and streamline staffing where departments and agencies will now have greater ability to customize their approaches to staffing, based on their own day-to-day realities. This New Direction in Staffing (NDS) came into effect on April 1, 2016. The PSC's goal is to support and enable departments and agencies to attract talented people, with modern skills, in a timely fashion.

In its 2015-2016 Annual Report, the PSC indicated that the NDS represents a true shift from a rules-based system to one that encourages greater managerial discretion to meet organizational needs. In addition, the oversight model has been reoriented to enhance the role of deputy heads in monitoring staffing in their respective organizations, while reducing the reporting demands. To supplement ongoing monitoring, deputy heads are required to conduct a comprehensive review based on their organizational risks at least once every 5 years and provide the results to the PSC.

In recognition that a change of this magnitude, in a very large institution like the public service, would require an equally significant culture shift, the PSC engaged a group of organizations to ensure that the changes made sense to those who would be implementing them. Beyond providing

operational considerations and to inform changes, these “early adopters” became ambassadors for change across government.

The PSC will be turning its attention to the next phase of the NDS, where it will continue to work with stakeholders across the public service to look at new approaches to recruitment in order to meet the evolving expectations of hiring managers and Canadians. The implementation of strengthened oversight will also remain a priority in 2016-17.

Finally, in June 2013, the Clerk of the Privy Council launched Blueprint 2020, which sets out the vision for a high-performing public service that embraces innovation, transformation and continuous renewal, as well as an engagement process for determining how to realize this vision. The PSC contributes to achieving the Blueprint 2020 vision by fostering innovation and ensuring that the staffing framework supports departments and agencies in managing their staffing risks against business deliverables.

More information on the PSC’s Annual Reports can be found at: <http://www.psc-cfp.gc.ca/arp-rpa/index-eng.htm>.

1.2. Systems for government procurement of goods and services

A) Legal Framework

Please list and briefly describe any new legal provisions and/or measures, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Please refer to information provided under SECTION I of the Questionnaire.

B) Technological Developments

Please list and briefly describe any technological developments, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

N/A

C) Results

Please briefly mention the objective results obtained in your country in connection with the above provision of the Convention, for the last five years, including available statistical data:

N/A

2. SYSTEMS FOR PROTECTING PUBLIC SERVANTS AND PRIVATE CITIZENS WHO, IN GOOD FAITH, REPORT ACTS OF CORRUPTION (ARTICLE III (8) OF THE CONVENTION)

A) Legal Framework

Please list and briefly describe any new legal provisions and/or measures, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Please refer to information provided under SECTION I of the Questionnaire.

B) Technological Developments

Please list and briefly describe any technological developments, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Nothing to report.

C) Results

Please briefly mention the objective results obtained in your country in connection with the above provision of the Convention, for the last five years, including available statistical data:

Nothing to report.

3. ACTS OF CORRUPTION (ARTICLE VI OF THE CONVENTION)

A) Legal Framework

Please list and briefly describe any new legal provisions and/or measures, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Nothing to report.

B) Technological Developments

Please list and briefly describe any technological developments, if any, adopted by your country subsequent to November 2, 2007, in connection with the above provision of the Convention. This date was established by the Committee for your country to provide information on the implementation of said provision of the Second Round of Review:

Please refer to information provided under SECTION I of the Questionnaire with respect to the CCJS.

C) Results

Please briefly mention the objective results obtained in your country in connection with the above provision of the Convention, for the last five years, including available statistical data:

A customized tabulation, prepared by Justice Canada, which draws on information provided in the Integrated Criminal Court Survey (ICCS), reveals the following statistical information on offences related to acts of corruption, having regard to certain relevant sections of the *Criminal Code (CC)*:

Adult Cases by Decision

Section 118 of the CC - Definitions						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	0	0	...	0	0	0
2010/2011	0	0	...	0	0	0
2011/2012	0	0	...	0	0	0
2012/2013	0	0	...	0	0	0
2013/2014	0	0	...	0	0	0

Section 119 of the CC - Bribery of judicial officers, etc.						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	0	0	...	0	0	0
2010/2011	0	0	...	0	0	0
2011/2012	0	0	...	0	0	0
2012/2013	0	0	...	0	0	0
2013/2014	0	0	...	0	0	0

Section 120 of the CC - Bribery of officers						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	6	5	83%	0	1	0
2010/2011	10	8	80%	0	1	1
2011/2012	7	4	57%	2	1	0
2012/2013	9	6	67%	0	3	0
2013/2014	11	6	55%	0	5	0

Section 121 of the CC - Frauds on the government						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	2	2	100%	0	0	0
2010/2011	8	4	50%	0	4	0
2011/2012	5	5	100%	0	0	0
2012/2013	4	1	25%	1	1	1
2013/2014	3	1	33%	0	0	2

Section 122 of the CC - Breach of trust by public officer						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	10	5	50%	0	4	1
2010/2011	28	7	25%	2	5	14
2011/2012	18	12	67%	1	5	0
2012/2013	20	14	70%	0	2	4
2013/2014	19	14	74%	0	5	0

Section 123 of the CC - Municipal corruption						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	2	0	0%	0	0	2
2010/2011	0	0	...	0	0	0
2011/2012	0	0	...	0	0	0
2012/2013	2	2	100%	0	0	0
2013/2014	1	0	0%	0	0	1

Section 124 of the CC - Selling or purchasing office						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	0	0	...	0	0	0
2010/2011	0	0	...	0	0	0
2011/2012	1	1	100%	0	0	0
2012/2013	0	0	...	0	0	0
2013/2014	0	0	...	0	0	0

Section 125 of the CC - Influencing or negotiating appointments or dealing in offices						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	0	0	...	0	0	0
2010/2011	0	0	...	0	0	0
2011/2012	3	3	100%	0	0	0
2012/2013	0	0	...	0	0	0
2013/2014	0	0	...	0	0	0

Section 322 of the CC - Theft						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	86	45	52%	0	17	24
2010/2011	73	52	71%	0	18	3
2011/2012	76	41	54%	0	10	25
2012/2013	53	37	70%	0	13	3
2013/2014	66	54	82%	0	8	4

Section 334 of the CC - Punishment for theft						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	40992	26809	65%	364	13549	270
2010/2011	41533	25601	62%	343	15297	292
2011/2012	38762	24222	62%	329	13934	277
2012/2013	37985	23512	62%	359	13865	249
2013/2014	34925	21172	61%	334	13198	221

Section 380 of the CC - Fraud						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	7261	4634	64%	87	2437	103
2010/2011	7005	4149	59%	99	2637	120
2011/2012	6243	3905	63%	97	2149	92
2012/2013	6020	3724	62%	104	2076	116
2013/2014	5856	3531	60%	124	2111	90

Section 426 of the CC - Secret Commissions						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	7	0	0%	0	7	0
2010/2011	4	1	25%	0	3	0
2011/2012	8	6	75%	0	1	1
2012/2013	9	7	78%	0	2	0
2013/2014	10	8	80%	0	2	0

Section 462.31 of the CC – Laundering Proceeds of Crime						
	Total Decisions	Guilty	Guilty %	Acquitted	Stay/ Withdrawn	Other Decisions
2009/2010	88	30	34%	2	56	0
2010/2011	86	15	17%	0	71	0
2011/2012	130	31	24%	0	87	12
2012/2013	108	29	27%	4	72	3
2013/2014	114	40	35%	7	63	4

Source: Canadian Centre for Justice Statistics (CCJS), Integrated Criminal Court Survey (ICCS). Customized tabulation prepared by Justice Canada.

SECTION II

QUESTIONS ON IMPLEMENTATION OF THE CONVENTION PROVISIONS SELECTED FOR REVIEW IN THE FIFTH ROUND

CHAPTER ONE

INSTRUCTIONS TO GOVERNMENT PERSONNEL TO ENSURE PROPER UNDERSTANDING OF THEIR RESPONSIBILITIES AND THE ETHICAL RULES GOVERNING THEIR ACTIVITIES (ARTICLE III, PARAGRAPH 3 OF THE CONVENTION)

- A) Select up to a maximum of three groups of government personnel from your country's branches of government or public institutions, at the national/federal level, that, due to them being a majority or based on the importance of their functions, are considered principal groups that merit review for the purpose set out in Article III, paragraph 3, of the Convention, which refers to giving instructions to government personnel for the proper understanding of their responsibilities and the ethical rules governing their activities.

The Canadian institutions selected for responding to this chapter are the Treasury Board of Canada Secretariat (TBS) and the Public Service Commission (PSC).

- B) Indicate why your country believes the personnel group(s) selected under the previous question merit review.

In Canada, the TBS, as well as the PSC, are mandated to provide training to Canadian public servants in the areas of values, ethics, integrity and non-partisanship.

The TBS's mission is to:

- Cultivate the federal public service as a model workplace where professional, skilled workers are trained and motivated to serve Canadians;
- Build management frameworks, support pro-active risk management, and empower partners to manage resources and report results; and
- Provide guidance so that resources are soundly managed across government with a focus on results and value for money.

The PSC's mission is to promote and safeguard a non-partisan, merit-based and representative public service that serves all Canadians. More information on PSC's vision, mission and guiding principles can be found at: <http://www.psc-cfp.gc.ca/centres/mission-eng.htm>.

It follows from the scope of their mandates and responsibilities that they are two Canadian institutions which merit review under Article III, paragraph 3 of the Convention.

The Treasury Board of Canada Secretariat

- C) Indicate whether there are provisions and/or measures in your country for providing instructions to the selected government personnel group(s) which ensure proper understanding of their responsibilities and the ethical rules governing their activities, and attach a copy of them or provide links to the web pages where they can be consulted.

As previously indicated the TBS' mission is to:

- Cultivate the federal public service as a model workplace where professional, skilled workers are trained and motivated to serve Canadians;
- Build management frameworks, support pro-active risk management, and empower partners to manage resources and report results; and
- Provide guidance so that resources are soundly managed across government with a focus on results and value for money.

More information on TBS's vision, mission and mandate can be found at: <https://www.tbs-sct.gc.ca/ip-pi/mandate-mandat/index-eng.asp>.

RESPONSIBILITIES

The public service has the following set of provisions and measures in place related to the proper understanding of responsibilities:

(1) Work descriptions

As stated in collective agreements and in compliance with the TBS Policy on Classification, every public servant has access to a work description that details the roles and responsibilities associated with their employment position.

(2) The Policy on Learning, Training and Development

The Policy on Learning, Training and Development supports deputy heads in meeting their responsibilities by addressing specific training requirements for new employees, managers at all levels and functional specialists in domains defined by the employer.

It is designed to help build a skilled, well-trained and professional workforce, strengthen organizational leadership and adapt management practices that encourage innovation and continuous improvement in performance.

Among others, this Policy is expected to achieve the following goals:

- Ensuring that new employees will share a common understanding of their role as public servants;
- Managers at all levels have the necessary knowledge to effectively exercise their delegated authorities;

- Employees at all levels will acquire and maintain the knowledge, skills and competencies related to their level and functions; and
- Leading-edge practices in public sector management will be applied to encourage innovation and continuous improvements in performance.

The Policy on Learning, Training and Development can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12405>

(3) Directive on Performance Management

The Directive on Performance Management sets out the responsibilities of deputy heads, or their delegates, regarding the administration of a consistent, equitable and rigorous approach to performance management in their organizations. With respect to employees, it reinforces the importance of demonstrating the required knowledge, skills, competencies, behaviours (including reliability and respectful behaviour expected in a professional workplace), and engagement required to be productive and perform their duties in the service of Canadians.

The Directive provides for annual written performance objectives for all employees, including commitments that reflect Government of Canada priorities, expected behaviours and learning or development plans.

The Directive also requires a mid-year review for each employee (except employees on probation), which consists of an informal conversation with the employee's manager to:

- Review accomplishments in relation to performance commitments;
- Adjust commitments, if necessary;
- Solicit and provide feedback; and
- Adjust learning plans, if necessary.

The Directive on Performance Management can be found at: <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=27146>.

(4) Key Leadership Competencies

The Key Leadership Competencies serve as the basis for selection, learning and development, performance and talent management of executives and other senior leaders. The Key Leadership Competencies define the behaviours expected of the leaders in Canada's public service. This competency profile is a mandatory component of the Executive Group Qualification Standard and the Directive on the Performance Management Program for Executives. Leaders in the public service are expected to uphold integrity and respect in their behaviour, they must exemplify ethical practices, professionalism and personal integrity.

The Key Leadership Competency profile can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/pdps-ppfp/klc-ccl/index-eng.asp>.

Examples of effective and ineffective behaviours, which exemplify the Key Leadership Competency profile can be found at:

<http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/pdps-ppfp/klc-ccl/eff-eng.asp>

<http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/pdps-ppfp/klc-ccl/ineff-eng.asp>.

(5) Directive on the Performance Management Program for Executives

This Directive describes, among other things, the requirements for the Performance Management Program to manage the performance of executives in support of Key Leadership Competencies and values and ethics. Employees being paid as executives are to have valid performance agreements.

The Directive on the Performance Management Program for Executives: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=14226>.

ETHICAL RULES AND VALUES

In addition to these initiatives, the Government of Canada has the following set of provisions and measures relating to the proper understanding of ethical rules and values governing the activities of its workforce:

(1) Values and Ethics Code for the Public Sector:

The *Values and Ethics Code for the Public Sector* fulfills the requirement of section 5 of the *Public Servants Disclosure Protection Act* (PSDPA), which requires the TBS to establish a code of conduct applicable to the public sector.

The Code outlines the values and expected behaviours that guide public servants in all activities related to their professional duties. By committing to these values and adhering to the expected behaviours, public servants strengthen the ethical culture of the public sector and contribute to public confidence in the integrity of all public institutions.

The acceptance of the values and adherence to the expected behaviours is a condition of employment for every public servant in the federal public service, regardless of their level or position. A breach of these values or behaviours may result in disciplinary measures being taken, up to and including termination of employment.

The Code establishes the following duties and obligations:

- Chief executives have an overall responsibility for fostering a positive culture of values and ethics in their organization.

The Office of the Chief Human Resources Officer (within the TBS) is responsible for promoting ethical practices in the public service. The Office of the Chief Human Resources Officer will work with all relevant partner organizations to implement and promote the Code, and will provide advice to chief executives and designated departmental officials with respect to its interpretation.

Finally, the TBS has produced manuals and guides to orient public servants regarding ethical behaviour around Conflict of Interest, the *Values and Ethics Code for the Public Sector* and the PSDPA.

The PSDPA can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/ve/psdp-pfdar/index-eng.asp>.

The *Values and Ethics Code for the Public Sector* can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=25049>

A database of Frequently Asked Questions on the *Values and Ethics Code for the Public Sector* can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/ve/code/faq-eng.asp>.

The Values Alive: Discussion Guide to the *Values and Ethics Code for the Public Sector* can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/ve/code/va-vaq-eng.asp>.

The Application Guide for Post-Employment under the “Policy on Conflict of Interest and Post-Employment” can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/ve/conflict-confli/agcipe-gaciam-eng.asp>.

(2) Letter of offer:

Upon being hired, every public servant is provided with their letter of offer a copy of or a link to the *Values and Ethics Code for the Public Sector* and the Policy on Conflict of Interest and Post-Employment. Employees are, thus, strongly encouraged at the very outset of their employment in the public sector to familiarize themselves with these important policies.

(3) The Policy on Learning, Training and Development

Under the Policy on Learning, Training and Development, deputy heads are responsible for ensuring that newly-appointed employees complete required orientation training. Part of the training is the Values and Ethics Foundations course for employees.

The Policy on Learning, Training and Development can be found at: <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12405>.

D) Refer to the following aspects relating to the aforementioned instructions, with respect to the selected government personnel group(s), attaching copies of the provisions and/or measures on which the answers are based or indicating links to the web pages where they may be consulted:

- i. The manner in which personnel are informed of their responsibilities and functions, indicating whether this is done verbally or in writing and whether records are kept of those instructions.

Managers are responsible for ensuring that employees understand their roles and responsibilities and expected behaviours.

In the public service, there are written job descriptions for all positions, and employees are required to receive the necessary training to fulfill their functions. This training is provided through formal classroom and on-line training or through on-the-job training.

There is mandatory training for all employees, as well as training specific to functional groups, such as financial management officers or procurement specialists, to ensure their employees acquire and maintain the knowledge, skills and competencies related to their level and functions. Records are kept of employees' training attendance and completion, regardless of whether the training was given verbally or in writing.

The Policy on Learning, Training and Development can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12405>.

Two times per year, managers meet with employees as part of the performance management cycle. These conversations allow for managers and employees to discuss work objectives and understand what is expected in the performance of their duties. Records of the meeting are kept in the Performance Management Application.

The Directive on Performance Management can be found at: <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=27146>.

- ii. The occasion(s) when personnel are informed of their responsibilities and functions, indicating whether this is done when they begin performing them or at a later point; when those functions change; or when functions change due to a change of post.

When they begin their career in the public service, employees have access to a job description with information on their duties and responsibilities. They must also complete the mandatory orientation training, as well as any mandatory training specific to their functions. Thus, they are informed at the outset, before they begin performing their duties, of the roles and responsibilities associated with their position.

Every time a public servant changes position, they have access to a job description of their new duties, as well as information on their position through their letter of offer and/or through a discussion with their manager.

At the mandatory performance management meetings, which happen twice a year, managers must set work objectives and performance indicators with their employees. There is also a discussion on expected behaviours in the workplace and all public servants must attest that they have read the *Values and Ethics Code for the Public Sector* and understand their responsibilities.

- iii. The existence of introductory, training or instructional programs and courses for personnel on how to perform their responsibilities and functions properly and, particularly, for making them aware of the risks of corruption inherent in the performance of those functions.

The TBS collaborates with the Canada School of Public Service (CSPS) to develop training for employees in the area of values and ethics.

Through the CSPS, there are various courses available to public servants. Some are mandatory courses specific to functional groups, such as financial management officers and procurement specialists, and others are mandatory courses for all public servants, such as "The Values and Ethics Foundations for Employees" course. As stated above, this course helps employees understand the

elements of the *Values and Ethics Code for the Public Sector* by exploring topics, such as conflicts of interest, ethical dilemmas, and accountability.

Organizations have developed their own supplemental training and/or workshops to ensure that employees understand their responsibilities under the *Values and Ethics Code for the Public Sector* or the specific responsibilities and duties of their position.

The CSPS website can be found at: <http://www.cspc-efpc.gc.ca/index-eng.aspx>. Up-to-date information on learning events can be found on the site, as well as a host of information for learners.

- iv. The use of modern communication technologies to apprise personnel of their responsibilities or functions and to provide guidance on how to perform them properly.

The GCcampus – a collection of rich, interactive and open online resources, videos, courses and seminars – is a great example of the way modern communication technologies are used to apprise personnel of their responsibilities and functions in the public sector.

The purpose of GCcampus is to implement a public service-wide, online learning gateway. Learners are able to access a wide range of formal and informal learning opportunities including: online self-paced products, job aids and templates, blogs, videos, and online self-paced, virtual and classroom courses. Searching and registering for online and in-person events are completed through GC campus, which can be accessed anytime, and anywhere through the world-wide web.

More information on the GCcampus can be found at: <http://www.cspc-efpc.gc.ca/index-eng.aspx>.

- v. The existence of bodies to which personnel can resort to obtain information or resolve doubts about how to perform their responsibilities and functions properly.

The primary contact for employees, when they have doubts about how to perform their responsibilities and functions properly, is their manager. Managers are the best placed persons to inform and provide clarification to employees regarding their work description, roles and responsibilities because they are responsible for setting the work objectives for employees and are the principal resources to inform employees of their roles and responsibilities.

A secondary point of contact is Human Resources (HR) advisors who can act as resource persons by providing advice on HR-related matters and policy interpretation to managers and employees, as well as by making recommendations on problem resolution.

- vi. The existence of a governing organ, authority or body responsible for defining, steering, advising, or supporting the manner in which personnel are to be informed of their responsibilities and functions, and for seeing that this task is fully carried out, and the measures or actions that such bodies can take to enforce the norms and/or measures in force in this regard.

The TBS is responsible for the Directive on Performance Management, which requires managers to meet twice a year with employees as part of the performance management cycle. These conversations allow for managers and employees to discuss work objectives and understand what is expected in the performance of their duties.

The TBS monitors compliance with this directive and reports annually through the Management Accountability Framework. The Framework is an oversight tool used to help ensure that federal departments and agencies are well-managed, accountable and that resources are allocated to achieve results. More information about the Management Accountability Framework can be found at: <http://www.tbs-sct.gc.ca/hgw-cgf/oversight-surveillance/maf-crg/index-eng.asp>.

Moreover, departmental leads in every organization are responsible to ensure that the Directive on Performance Management is respected.

Should an employee not meet performance expectations, the employee will be subject to an Action Plan to help the employee in successfully meeting the responsibilities of their position.

Departments ensure that employees take all required training and report on an ongoing basis on employees' successful completion.

- vii. The way in which personnel are informed of the ethical rules governing their activities, indicating whether this is done verbally or in writing and whether records are kept of those instructions.

Upon being hired, employees are informed of their responsibility under the *Values and Ethics Code for the Public Sector* in their letter of offer. By signing their letter of offer, they attest that they have read and will abide by the Code. A copy of the letter of offer is kept in the employee's personal file.

Every time an employee changes functions, they are reminded of this through their letter of offer. Employees must also review their responsibility under the Policy on Conflict of Interest and Post-Employment in light of their new functions and ensure that they are in compliance.

A discussion on values and ethics between manager and employee takes place twice a year, at the performance management meetings. During those discussions, both review and discuss the obligations under the *Values and Ethics Code for the Public Sector*. A record is kept electronically in the Performance Management Application.

New public servants must complete a 3-hour online self-paced course on Values and Ethics administered by the CSPC. Records of course completion are kept.

All organizations build awareness of values and ethics through communications, training and workshops and by giving advice. This is done in person and in writing through various virtual platforms (e.g., newsletter, intranet, e-mails). For some activities, records of attendance are kept.

- viii. The occasion(s) when personnel are informed of ethical rules governing their activities, indicating whether this is done when they begin performing them or at some later point; when a change in their functions entails a different set of applicable ethical rules; or when changes are made to those rules.

When employees begin their career in the public service, they must complete a 3-hour online self-paced and interactive course on Values and Ethics.

In every letter of offer, there is mention to employees' responsibilities under the *Values and Ethics Code for the Public Sector* and the Policy on Conflict of Interest and Post-Employment. Compliance with the Code and Policy is a necessary condition of employment.

Every time a public servant changes position, they are reminded of their responsibilities through the letter of offer.

During the performance management discussions, which occur twice a year, a discussion on values and ethics between public servants and their manager occurs and the employees attest that they have read the *Values and Ethics Code for the Public Sector*, have discussed any questions they may have with their manager and that they understand their responsibilities.

- ix. The existence of introductory, training or instructional programs and courses for personnel on the ethical rules governing their activities and, particularly, on the consequences of failure to abide by them for public institutions and for wrongdoers.

Through the CSPS, there are various courses available to public servants:

- Values and Ethics Foundations Course for Employees: This course is a required training for all new public servants. It helps employees understand the elements of the *Values and Ethics Code for the Public Sector* as they explore topics such as conflicts of interest, ethical dilemmas, and accountability.
- Values and Ethics Foundations Course for Managers: This online course helps managers to better understand the foundational concept of values and ethics and how to apply these principles when dealing with conflicts of interest, ethical dilemmas, harassment situations and issues of workplace well-being. Through practical exercises and scenarios, participants identify, discuss and apply the key principles and policies related to values and ethics in the public service.

Both of these courses address the consequences of non-compliance.

Compliance with the *Values and Ethics Code for the Public Sector* is a condition of employment and failure to comply may result in disciplinary measures being taken, up to and including termination of employment. The *Values and Ethics Code for the Public Sector* can be found at: <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=25049>.

Organizations build awareness of values and ethics by developing their own supplemental training and/or workshops on employees' responsibilities under the *Values and Ethics Code for the Public Sector*.

- x. The use of modern communication technologies to apprise personnel of the ethical rules governing their activities and to provide guidance as to their scope or interpretation.

The Values and Ethics Foundations Course for Employees is accessible on the world-wide web for all employees to complete from any location. The training is interactive and self-paced. The course will be available to the general public in the near future.

Many web-based meetings (WebEX), panel discussions and conversations accessible to all public servants from their offices and in-person, have taken place on the subject of values and ethics. Most of them are still available for viewing on the internal CSPS website for employees to access at their convenience.

The CSPS Values and Ethics website promotes a video on the disclosure of wrongdoing in the

federal public service through its internal website. This video is also available on YouTube at: <https://www.youtube.com/watch?v=L7cmlwcLhZg>.

The PSC has a short video on Political Activities available on its website at: <http://www.psc-cfp.gc.ca/plac-acpl/index-eng.htm>.

Periodically, when employees log on to their computer, there is a “pop-up” message reminding them of their responsibilities under the *Values and Ethics Code for the Public Sector*. Unless the employees check a box indicating that they have reviewed their responsibilities under the Code, they will not be able to continue.

- xi. The existence of bodies to which personnel can resort to obtain information or resolve doubts about the scope or interpretation of the ethical rules governing their activities.

When ethical issues arise, public servants are encouraged to discuss and resolve these matters with their immediate supervisor. They can also seek advice and support from other appropriate sources within their organization, such as the Senior Officer for Values and Ethics, the Values and Ethics Champion for the department or the Integrity Officer for the department. A list of departmental contacts for Values and Ethics is maintained by the TBS and is accessible to all public servants at the following link: <http://intranet.canada.ca/hr-rh/ve/vec-cve/sopsve-csrvefp-eng.asp>.

The TBS provides advice and guidance to departmental representatives in values and ethics and to public servants directly and also liaises with networks that serve as platforms for the exchange of best and leading practices and the development of tools for the public service.

Specific to values and ethics and to anti-corruption, the TBS maintains partnerships with federal networks that include senior officers responsible for the disclosure of wrongdoing, senior officials for values and ethics, and officers responsible for conflict of interest and post-employment measures in government departments and agencies.

- xii. The existence of a governing organ, authority or body responsible for defining, steering, giving guidance on, or supporting the manner in which personnel are to be informed of the ethical rules governing their activities, and for seeing that this task is fully carried out, and the measures or actions that such bodies can take to enforce the norms and/or measures in force in this regard.

The TBS is responsible for promoting ethical practices in the public service. It will work with all relevant partner organizations to implement and promote the *Values and Ethics Code for the Public Sector*, and will provide advice to chief executives and designated departmental officials with respect to its interpretation.

The TBS has produced manuals and guides to orient public servants regarding ethical behaviour around conflict of interest, the *Values and Ethics Code for the Public Sector* and the PSDPA.

The Management Accountability Framework process informs the TBS on departments’ management practices and performance, including values and ethics, on an annual basis.

The Public Service Employee Survey, which happens every 3 years, is used to validate employees’ awareness of values and ethics, to identify gaps and to inform on areas of improvement.

Values and Ethics Code for the Public Sector

As stated earlier, compliance with the *Value and Ethics Code for the Public Sector* is a condition of employment and failure to comply may result in disciplinary measures being taken, up to and including termination of employment.

Policy on Conflict of Interest and Post-Employment

A public servant, who has not complied with the requirements for public servants to prevent and deal with conflict of interest and post-employment situations, may be subject to disciplinary measures, up to and including termination of employment.

Organizational consequences of non-compliance with this policy may include measures allowed by the *Financial Administration Act* that the TBS may determine to be appropriate, such as an audit of the organization or monitoring or reporting measures.

- E) Summarize the results obtained in the application of the provisions and/or measures relating to the instructions given to the selected government personnel group(s) to ensure that they have an appropriate understanding of their responsibilities and functions, providing the relevant information available in your country, and making reference, to the extent that is possible, to issues such as the following: the holding of introductory, training or instructional programs and courses to that end, the periodicity or frequency with which they have been held, and the number of public servants covered by them; implementation of programs for the same purpose; preparation of guidelines to counsel public servants on the proper performance of their functions and to alert them to the risks of corruption inherent in the performance of their responsibilities; responses to inquiries by public servants on the correct performance of their functions and the use of modern communication technologies for that purpose; activities undertaken to ascertain whether the objective of ensuring that responsibilities or functions are understood was in fact achieved; and measures or actions developed by the authorities or bodies responsible for ensuring that instructions to that end are fully provided and with ensuring the enforcement of provisions and/or measures in force.

Mandatory training offered through the CSPS and directly in departments has helped to ensure that employees have the necessary knowledge to perform the duties of their position. There is also training specific to functional groups, such as inspectors or financial specialists, which ensures that they have proper understanding of their specific role and of the ethical risks associated with the performance of their duties. There is usually a test at the end of these courses to ensure that the employees have assimilated the content, and they must obtain the minimum passing grade in order for the course to be considered to have been completed.

These courses also have a feedback or evaluation component at the end, which is used to improve the quality of instruction and to validate the content. Moreover, training coordinators in every department ensure that employees have completed all the training required for their positions.

The Directive on Performance Management sets out the responsibilities of deputy heads, or their delegates, regarding the administration of a consistent, equitable and rigorous approach to performance management in their organizations. For employees, it reinforces the importance of demonstrating the required knowledge, skills, competencies and behaviours. The Directive provides for an annual written performance objectives for all employees, and a mid-year review in the form of

informal conversations to review accomplishments in relation to performance commitment. It also provides for the opportunity to solicit and provide feedback and adjust commitments and learning plans, where necessary. These conversations allow for managers and employees to discuss work objectives and understand what is expected in the performance of their duties.

Records of the meetings are kept in the Performance Management Application and the TBS Secretariat monitors and reports on compliance with the Directive annually through the Management Accountability Framework.

The TBS liaises with a network of departmental representatives to ensure that the Directive is understood and applied consistently. Frequently-asked questions and tools for guidance have also been developed by the TBS. The statistics show that a vast majority of public service employees are compliant with the Directive on Performance Management and the TBS will continue to monitor and provide guidance as necessary.

These measures help to ensure that employees have an appropriate understanding of their responsibilities and functions.

See tables below for the statistics on the past 2 cycles of performance management:

	Population (Subject to the Directive) (Assujettie à la Directive)	Registered* - Inscrits	Claimed* - Réclamés	Performance Agreement created - Ententes de rendement créées	Learning & Development Plan - Plan d'apprentissage et de perfectionnement	Beginning of year completed by the manager - Début d'année complété par le gestionnaire	Beginning of year completed by the employee - Début d'année complété par l'employé	Mid-year completed by the manager - Mi-exercice complétée par le gestionnaire	Mid-year completed by the employee - Mi-exercice complétée par l'employé	Year-end completed by the manager - Fin d'exercice complétée par le gestionnaire	Year-end completed by the employee - Fin d'exercice complétée par l'employé
2014-2015	171,696	97.7%	89.7%	94.7%	88.3%	93.5%	93.0%	90.9%	90.4%	86.9%	85.1%
2015-2016	174,555	98.8%	89.2%	95.2%	91.5%	94.1%	93.7%	92.4%	92.0%	87.3%	85.6%
*Registered and Claimed excludes the Department of National Defence and Canada Coast Guards from denominator (paper PAs)											
2014-2015 Data as of May 08, 2015											
2015-2016 Data as of May 31, 2016											

	Population (Subject to the Directive) (Assujettie à la Directive)	% of Employees Offered a Talent Management Plan	% of Employees Given an Action Plan
2014-2015	171,696	3.3%	0.6%
2015-2016	174,555	6.2%	1.1%

Talent Management Plans offers include system generated plans due to an overall rating of "surpassed", manager requested plans, and plans that are carried forward from the previous cycle.

Action Plans include system generated plans due to a rating of "did not meet" in either core competencies or work objectives, manager requested plans, and plans that are carried forward from the previous cycle.

Table 1 / Tableau 1		
2014-2015 Population		
	Total number of employees with CPA Nombre total d'employés dans l'APC	209,615
Not subject to the Directive Not registered to the PSPM App <i>Non assujettis à la directive Ne s'inscrivent pas à l'application GRFP</i>	including Casual Employees, Students, Terms < 3 months, Leave without pay, others, etc <i>en incluant les employés occasionnels, étudiants, employés déterminés pour moins de 3 mois, employés en congés sans solde, autres, etc</i>	30,881
Not subject to the Directive Registered to the PSPM App <i>Non assujettis à la directive S'inscrivent à l'application GRFP</i>	including Order-In-Council Appointees, EXs, DMs, DSs, LCs, MD-MOFs, MD-MSPs, Other <i>en incluant les personnes nommées par décret, les EXs, DMs, DSs, LCs, MD-MOFs, MD-MSPs, autres, etc</i>	5,623
Not reporting to OCHRO under the Directive/ <i>Exclus de la surveillance de BDPRH selon la directive</i>	Parliamentary Agents <i>Agents du Parlement</i>	950
Not in the year-end completion reporting in the first year for administrative reasons - <i>Pas dans le rapport d'achèvement de la fin d'exercice dans la première année pour raison administrative</i>	Tribunals and others <i>Tribunaux et autres</i>	465
	Total number of employees that are not in the year-end compliance report Nombre total d'employés pas dans le rapport de conformité de fin d'exercice	37,919
Subject to the directive and using to the PSPM App - <i>Assujettis à la directive et utilisant l'application GRFP</i>	Total number Performance Agreement to be documented in the PSPM App <i>Nombre total d'entente de rendement à être documentés dans l'application GRFP</i>	146,941
Subject to the directive (Paper PA) Not using the PSPM App - <i>Assujettis à la directive (ER format papier) N'utilisent pas à l'application GRFP</i>	Number of exceptions who will not be using the PSPM App such as : DND, SUC, DFO, employees in remote locations, Canadian Coast Guards (seagoing personnel and light keepers), LPs, etc <i>Nombre d'exceptions qui n'utiliseront pas l'application GRFP tel que : DND, SUC, DFO, employés dans des endroits éloignés, Garde côtière canadienne (personnel navigant et gardiens de phares), les praticiens du droit, etc.</i>	24,755

2015-2016 Population		
	Total number of employees with CPA Nombre total d'employés dans l'APC	209,143
Not subject to the Directive Not registered to the PSPM App <i>Non assujettis à la directive Ne s'inscrivent pas à l'application GRFP</i>	Including Casual Employees, Students, Terms < 3 months, Leave without pay, others, etc <i>En incluant les employés occasionnels, étudiants, employés déterminés pour moins de 3 mois, employés en congés sans solde, autres, etc</i>	27,522
Not subject to the Directive Registered to the PSPM App <i>Non assujettis à la directive S'inscrivent à l'application GRFP</i>	Including Order-In-Council Appointees, EXs, DMs, DSs, LCs, MD-MOFs, MD-MSPs, Other <i>En incluant les personnes nommées par décret, les EXs, DMs, DSs, LCs, MD-MOFs, MD-MSPs, autres, etc</i>	5,703
Not reporting to OCHRO under the Directive <i>Exclus de la surveillance de BDPRH selon la directive</i>	Parliamentary Agents <i>Agents du Parlement</i>	895
Others <i>Autres</i>	Others <i>Autres</i>	468
	Total number of employees that are not in the year-end compliance report Nombre total d'employés pas dans le rapport de conformité de fin d'exercice	34,588
Subject to the directive and using to the PSPM App - <i>Assujettis à la directive et utilisant l'application GRFP</i>	Total number Performance Agreement to be documented in the PSPM Application <i>Nombre total d'entente de rendement à être documentés dans l'application GRFP</i>	149,617
Subject to the directive (Paper PA) Not using the PSPM App - <i>Assujettis à la directive (ER format papier) N'utilisent pas à l'application GRFP</i>	Number of exceptions who will not be using the PSPM App such as : DND, DFO, employees in remote locations, Canadian Coast Guards (seagoing personnel and light keepers), LPs, etc. <i>Nombre d'exceptions qui n'utiliseront pas l'application GRFP tel que : DND, DFO, employés dans des endroits éloignés, Garde côtière canadienne (personnel navigant et gardiens de phares), les praticiens du droit, etc.</i>	24,938
	Total number of employees that are subject to the directive Nombre total d'employés assujettis à la directive	174,555

Performance management information can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/index-eng.asp>

- F) Summarize the results obtained in the application of the provisions and/or measures relating to the instructions given to the selected personnel group(s) to ensure that they have an appropriate understanding of the ethical rules governing their activities, providing the relevant information available in your country, and making reference, to the extent that is possible, to issues such as the following: the holding of introductory, training or instructional programs and courses to that end, the periodicity or frequency with which they have been held, and the number of public servants covered by them; implementation of programs for the same purpose; preparation of guidelines to counsel public servants on the scope and interpretation of those ethical rules and about the consequences of failure to abide by them for public institutions and the wrongdoers; responses to inquiries by public servants to that same end and the use of modern communication technologies for that purpose; activities undertaken to ascertain whether the objective of ensuring that the ethical rules are understood was in fact achieved; and actions undertaken by the authorities or bodies responsible for ensuring that instructions to that end are fully imparted and with ensuring the enforcement of provisions and/or measures in force.

The Values and Ethics Foundations Courses for Employees and Managers, as well as the values and ethics workshops in all departments to launch the 2012 renewal of the *Values and Ethics Code for the Public Sector*, have ensured consistent messaging and understanding of roles and responsibilities by all public servants. The Public Service Employee Survey results showed a positive increase related to values and ethics when comparing 2011 and 2014 results. The 2014 report highlights:

In 2014, employees tended to be more positive than in 2011 about ethical aspects of their workplace, particularly with respect to discussions about values and ethics and carrying out duties in the public's interest.

When asked whether discussions about values and ethics occur in their workplace (Q49), 62% of employees agreed, an increase from 2011 (57%). In 2014, 82% of employees felt that employees in their organization carry out their duties in the public's interest (Q47), higher than in 2011 (78%)...

More than three quarters of employees (77%) reported that, if faced with an ethical dilemma or a conflict between values in the workplace, they know where to go for help in resolving the situation (Q48), higher than in 2011 (74%) and much higher than in 2008 (70%).

The results regarding the employee values and ethics portions of the 2011 and 2014 Public Service Employee Survey can be found respectively at: <https://www.tbs-sct.gc.ca/pses-saff/2011/ve-eng.asp> and <http://www.tbs-sct.gc.ca/psm-fpfm/modernizing-modernisation/pses-saff/dr-rd-eng.asp>.

Moreover, the Values and Ethics Foundations for Employees course will also be made available shortly on the public website of the CSPS to enable potential future employees to better understand our shared values and behavioural expectations prior to joining the public service.

The TBS has produced manuals and guides to orient public servants regarding ethical behaviour around conflict of interests, the *Values and Ethics Code for the Public Sector* and the PSDPA (please see the response to Question C) for links to relevant documentation).

The TBS liaises with or coordinates federal networks that include senior officers responsible for disclosure of wrongdoing, senior officials for values and ethics, and officers responsible for conflict of interest and post-employment measures in government departments and agencies. Through these collaborative initiatives, the public service is continuing the dialogue on values and ethics and raising awareness.

See the tables below for the statistics on training for the past three years:

Table 1: Number of Registered Learners – Values & Ethics Related Courses

Number of Registered Learners			2013-14	2014-15	2015-16
C255	Values and Ethics Foundations for Employees	Online - Self-paced	4,571	5,808	8,835
C355	Values and Ethics Foundations for Managers	Online - Self-paced	398	502	829
D102	Leadership Through Values and Ethics	Classroom	32	28	0
C218	Who We Work For	Online - Self-paced	3,722	4,628	6,930
C218	Who We Work For	Virtual Classroom	2,041	0	0
G203	How Government Works	Classroom	654	527	664
E131	Orientation to the Public Service	Classroom	2,169	381	0
G221	Orientation for Assistant Deputy Ministers	Classroom	46	57	35
Z156	Orientation For Crown Corporation Directors	Classroom	60	46	12
E260	Public Service Orientation Workshop	Learning Event(in person)	0	0	269
G124	Essentials of Supervising in the Public Service	Classroom	1,635	1,606	1,224
G110	Authority Delegation Training for Managers	Classroom	2,559	2,482	168
		Online - Self-paced	40	35	2,830
C451	Authority Delegation Assessment for Managers	Online - Self-paced	2,406	2,575	2,645
C451-1	ADT Revalidation for Managers	Online - Self-paced	2,271	2,682	2,601
C451-2	Authority Delegation Ten-Year Revalidation Assessment for Managers	Online - Self-paced	0	0	25
G126	Essentials of Managing in the Public Service for New Executives (EX-01)	Classroom	246	251	3
G226	Essentials of Authority Delegation in the Public Service for New Executives	Classroom	199	283	427
		Online - Self-paced	0	0	26
C452/C1	Authority Delegation Assessment for EX-01	Online - Self-paced	734	800	584
C452	ADT Revalidation for EX01	Online - Self-paced	492	535	644
C452-2	Authority Delegation Ten-Year Revalidation Assessment for EX-01s	Online - Self-paced	0	0	8
G127	Essentials of Executive Management (EX-02/03)	Classroom	295	305	359
		Online - Self-paced	0	0	22
C453-1	Authority Delegation Assessment for EX-02 and EX-03	Online - Self-paced	335	292	385
C453	ADT Revalidation for EX2/EX3	Online - Self-paced	192	279	296
G221	Authority Delegation Assessment for EX-04 and EX-05	Online - Self-paced	7	53	36
C454/C1	Authority Delegation Assessment for EX-04 and EX-05	Online - Self-paced	52	40	32
C454	ADT Revalidation for EX4/EX5	Online - Self-paced	28	46	38
G312	Becoming a Supervisor: The Basics	Online - Self-paced	0	0	314
No cours	The Role of Ethics in Project Management	Online - Self-paced	0	0	67
X003	Core PM® Values and Ethical Standards	Online - Self-paced	0	0	54

Table 2: Number of Registered Learners – Selected Courses with Values & Ethics segments /components from the Finance Curriculum.

Number of Registered Learners			2013-14	2014-15	2015-16
A705	Internal Audit Introduction Workshop	Classroom	84	71	83
C210	Introduction to Risk Management	Online - Self-paced	874	837	1,255
C264	Managing Public Funds	Online - Self-paced	0	1	1
C361	Integrated Risk Management	Classroom	0	46	59
F002	Fundamentals of Budget Formulation and Control	Classroom	266	220	229
F007	Introduction to Financial Management	Classroom	278	288	315
F106	Business Analysis	Classroom	157	104	93
F111	Financial Management Control Frameworks	Classroom	472	502	401
F112	Government Planning, Budgeting, Reporting and Evaluation Cycle (F112)	Classroom	591	433	409
F113	Financial Management Systems	Classroom	530	393	272
F130	Introduction to Revenues and Revenue Spending	Classroom	38	75	104
F132	Introduction to Costing	Classroom	74	176	227
F133	Application of Costing	Classroom	47	216	143
F150	Risk Management for Finance Professionals	Classroom	45	74	161
F405	Managing Grants and Contributions	Classroom	206	244	275
F601	Accounting and Control of Expenditures	Classroom	149	125	98
G243	Managing Public Funds	Classroom	48	43	0
No cours	Controlling Costs	Online - Self-paced	0	0	70
No cours	Estimating and Budgeting Project Costs	Online - Self-paced	0	0	95
No cours	Identifying Project Risks	Online - Self-paced	0	0	63
No cours	Performing Risk Analysis	Online - Self-paced	0	0	66
Z116	Financial Literacy for Directors of Crown Corporations	Online - Self-paced	36	10	50

Table 3: Number of Registered Learners – Selected Courses with Values & Ethics segments /components from the Human Resources Curriculum.

			2013-14	2014-15	2015-16
Number of Registered Learners					
C001	Act on Employment Equity: Expand your Vision	Online - Self-paced	208	186	296
C101	Diversity Leadership in Action	Online - Self-paced	103	108	134
C139	Find the Right Fit Using an Objective Eye	Online - Self-paced	712	877	947
C345	Workplace Accommodation for Federal Public Service Employees	Online - Self-paced	0	100	411
E009	Leadership Advantage: Managing Diversity 2.0	Online - Self-paced	0	15	32
E407	Labour Relations Council Performance Management Learning Event	Learning Event (Virtual/in person)	0	235	0
G244	Principles and Practices of Labour Relations for Supervisors and Managers (G244)	Classroom	348	202	543
No cours	Understanding Workplace Diversity	Online - Self-paced	0	0	40
P001	Introduction to Human Resources	Classroom	215	155	112
P026	Handling Disability Management Cases	Classroom	115	155	47
P220	Labour Relations for Non-Specialist Human Resources Advisors	Classroom	79	91	59
P703	Labour Relations for Human Resources Advisors	Classroom	113	104	74
P720	Introduction to Employment Equity and Diversity	Classroom	48	9	27
A352	Staffing Principles for Managers	Virtual Classroom	42	56	0
P801	Staffing for Staffing Specialists - Part I	Classroom	156	120	153
P802	Staffing for Staffing Specialists - Part II	Classroom	115	86	120
P803	Staffing for Staffing Assistants	Classroom	167	201	165
P901	Staffing: A Resourcing Tool for Managers	Classroom	1,034	808	1,215

Table 4: Number of Registered Learners – Selected Courses with Values & Ethics segments /components from the Procurement Curriculum.

			2013-14	2014-15	2015-16
Number of Registered Learners					
C233	Fundamentals 1: Overview of Materiel Management (C233)	Online - Self-paced	593	659	770
C234	Fundamentals 1: Overview of Real Property Management (C234)	Online - Self-paced	436	507	582
C235	Fundamentals 1: Overview of Procurement (C235)	Online - Self-paced	954	945	1,061
M704	Fundamentals 1: Introduction to Materiel Management (M704)	Classroom	100	78	90
M718	Fundamentals 1: Introduction to Procurement (M718)	Classroom	387	302	403
M721	Fundamentals 1: Introduction to Real Property Management (M721)	Classroom	126	141	110
M714	Fundamentals 2: Legal and Policy Environment for Procurement, Materiel Management and Real Property (M714)	Classroom	277	231	265
M716	Fundamentals 3: Procurement, Materiel Management and Real Property in the Government Context (M716)	Classroom	258	183	219
C215	Green Procurement (C215)	Online - Self-paced	5,395	3,196	5,299
A343	Aboriginal Considerations in the Federal Procurement Process	Learning Event (Virtual/in person)	160	0	0
C223	Aboriginal Considerations in Procurement (C223)	Online - Self-paced	373	360	472
A368	Project Complexity Associated with Contracting	Learning Event (Virtual/in person)	0	199	0
A372	Procurement to Support Northern Operations	Learning Event (Virtual/in person)	0	224	0
C279	Introduction to Commodity Management	Online - Self-paced	181	177	253
C281	Introduction to Fleet Management (C281)	Online - Self-paced	178	167	193
C282	Intellectual Property (C282)	Online - Self-paced	312	279	283
M404	Managing the Contract for Services (M404)	Classroom	166	210	129
M707	Contracting for Services	Classroom	8	32	32
M708	Bid Evaluation and Selection Methodologies	Classroom	9	26	45
M712	Introduction to Contracting and Acquisition for the Non-Specialist	Classroom	67	89	92
M715	Disposal of Surplus Moveable Crown Assets and Investment Recovery (M715)	Classroom	83	54	81
M720	Contract Management (M720)	Classroom	276	194	157

Table 5: Number of Registered Learners – Selected Courses with Values & Ethics segments/components from the Information Management Curriculum.

			2013-14	2014-15	2015-16
Number of Registered Learners					
I002	Recordkeeping for Public Servants	Online - Self-paced	20,066	21,816	2,225
I003	Fundamentals of Recordkeeping (I003)	Online - Self-paced	4,400	3,153	1,493
I015	Access to Information and Privacy Fundamentals (I015)	Online - Self-paced	0	0	650
I110	Information Management: Environment and Vision in the Government of Canada (I110)	Classroom	165	116	129
I120	Information Management: Legal and Policy Frameworks	Classroom	100	94	101
I701	Access to Information in the Government of Canada (I701)	Classroom	0	0	12
I703	Access to Information and Privacy in the Government of Canada	Classroom	284	264	280

Note for all tables:

Source for Classroom, Virtual Classroom and Online-Self-paced Courses- ILMS Registration Cube As of Sep 15, 2016

Following parameters used: Participants Registration Status: Confirmed, Offering Status: Delivered-Normal, Open-Normal, N/A (For online self-paced delivery type)

- G) For each of the selected personnel group(s), briefly report on difficulties and/or weaknesses related to instructions for ensuring an adequate understanding of their responsibilities and functions and, if applicable, identify specific technical cooperation needs.

There are no difficulties or weaknesses to report. There is no technical co-operation needed.

- H) For each of the personnel group(s) selected for review, briefly report on difficulties and/or weaknesses related to instructions for ensuring an adequate understanding of the ethical rules governing their activities and, if applicable, identify specific technical cooperation needs.

There are no difficulties or weaknesses to report, no technical co-operation needed.

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- C) Indicate whether there are provisions and/or measures in your country for providing instructions to the selected government personnel group(s) which ensure proper understanding of their responsibilities and the ethical rules governing their activities, and attach a copy of them or provide links to the web pages where they can be consulted.

The PSC safeguards the integrity of staffing and the non-partisan nature of the public service. As set out in section 11 of the *Public Service Employment Act* (PSEA), the PSC's mandate is to:

- (a) to appoint, or provide for the appointment of, persons to or from within the public service in accordance with this Act;
- (b) to conduct investigations and audits in accordance with this Act; and
- (c) to administer the provisions of this Act relating to political activities of employees and deputy heads.

The PSEA can be found at: <http://laws.justice.gc.ca/eng/acts/P-33.01/>.

Three groups of government employees that are particularly key to the PSC in its role of safeguarding the integrity of the staffing system and ensuring the non-partisan nature in the federal public service:

- (1) Delegated Deputy Heads and sub-delegated managers

In accordance with section 15 of the PSEA, the PSC authorizes specified deputy heads to exercise, in relation to their organization, the appointment and appointment-related authorities found in Annex A of the Appointment Delegation and Accountability Instrument (ADAI). It can be found at: <http://www.psc-cfp.gc.ca/plcy-pltq/frame-cadre/delegation/adai-idrn/index-eng.htm>.

Deputy heads are accountable to the PSC for the application of all of the appointment and appointment-related authorities delegated to them, including those that they have sub-delegated. Deputy heads and sub-delegated persons must respect the requirements set out in the ADAI, the PSEA, other applicable statutes and regulations, the PSC's Appointment Policy as well as, organizational staffing policies and the sub-delegation instrument.

By way of example, PSC's Appointment Policy has, as its objective, appointments to and within the public service that are based on merit and are free from political influence. This Policy sets rules that must be followed by deputy heads and sub-delegated persons when appointing persons in the public service. It ensures an ethical appointment process – one which values transparency, fairness and is based on merit in public service appointments. The Policy can be found at:

<http://www.psc-cfp.gc.ca/plcy-pltq/frame-cadre/policy-politique/index-eng.htm>.

When a new deputy head is appointed or designated, they are deemed to have accepted the delegation of the PSC's appointment and appointment related-authorities as described in the ADAI. The President of the PSC may also meet with the new deputy head to discuss areas of responsibility and any questions on the appointment system.

In accordance with the ADAI, prior to being sub-delegated the authority to make appointments, managers must read and sign an Attestation Form confirming that they understand and agree to the role and responsibilities they are assuming and they must also have completed the required training established by their deputy head. Managers are required to sign a new Attestation Form to be sub-delegated appointment authorities when they move to another organization.

The Attestation Form (Annex C) can be found at: <http://www.psc-cfp.gc.ca/plcy-pltq/frame-cadre/delegation/adai-idrn/index-eng.htm>. The form requires, among other things, that persons being sub-delegated the authority to make appointments attest that appointments will be based on merit and without undue influence.

(2) Human Resources (HR) Personnel

HR personnel are a key resource for delegated and sub-delegated managers responsible for staffing in their organizations. In accordance with the ADAI, delegated managers are to have access to knowledgeable HR personnel with whom they can obtain advice and guidance in making decisions related to making appointments in their organizations. Deputy heads are responsible for establishing the training pre-requisites for sub-delegation.

(3) Employees of the federal public service

The PSEA recognizes the right of federal public service employees to engage in political activities, while maintaining the principle of political impartiality in the public service.

The PSEA defines two types of political activities: political activities related to their political candidacy in an election; and non-candidacy political activities that can include supporting or opposing a political party or candidate.

As part of its role in ensuring the non-partisan nature of the public service, the PSC works to provide awareness to employees on their legal rights and responsibilities related to political activities. This obligation is included in the letter of offer of employment, which each employee signs.

- D) Refer to the following aspects relating to the aforementioned instructions, with respect to the selected government personnel group(s), attaching copies of the provisions and/or measures on which the answers are based or indicating links to the web pages where they may be consulted:
- i. The manner in which personnel are informed of their responsibilities and functions, indicating whether this is done verbally or in writing and whether records are kept of those instructions.

Delegated deputy heads and sub-delegated managers must respect the requirements set out in the ADAI, the PSEA, other applicable statutes and regulations, the PSC's *Appointment Policy* as well as organizational staffing policies and the sub-delegation instrument. Upon appointment or designation, deputy heads are deemed to have accepted the delegation of the PSC's appointment and appointment-related authorities outlined in the ADAI. The President may also meet with the new deputy head to discuss areas of responsibility and any questions on the appointment system. With respect to appointment-related responsibilities, the ADAI requires managers to read and sign an Attestation Form confirming that they understand and agree to the role and responsibilities they are assuming prior to being sub-delegated the authority to make appointments. They must also have completed the required training established by their deputy head.

Employees of the federal public service are advised in writing of their legal rights and responsibilities related to political activities. This is done in writing, in the letter of offer of employment, which each employee is required to sign.

- ii. The occasion(s) when personnel are informed of their responsibilities and functions, indicating whether this is done when they begin performing them or at a later point; when those functions change; or when functions change due to a change of post.

In both instances, the above-mentioned personnel is informed of their responsibilities and functions before and during the performance of their duties. The same is true when their functions change or evolve, or when their roles and responsibilities change as a result of a new position.

- iii. The existence of introductory, training or instructional programs and courses for personnel on how to perform their responsibilities and functions properly and, particularly, for making them aware of the risks of corruption inherent in the performance of those functions.

In collaboration with the CSPS, the PSC has contributed to the development of a curriculum related to staffing in the public service, which includes formal in-class training courses at the introductory, and advanced levels. On April 1, 2016, the PSC renewed its *Appointment Policy* and ADAI. The School's course content is currently being updated for delivery to new and existing HR personnel.

To support sub-delegated managers and employees interested in staffing, the School also delivers: (1) Courses focused specifically on staffing in the public service; and (2) Staffing-specific modules as part of the suite of mandatory training courses for supervisors, managers and executives in the public service.

In addition, the mandatory orientation to the public service for new employees that is delivered by the School includes a module on political activities.

The PSC routinely participates in key committees, such as the National Staffing Council, Human Resources Council, Personnel Advisory Group, in order to present workshops on staffing-related information and to answer questions of key Communities of Practice. In addition, the PSC partners with the School to provide interactive information and learning sessions.

- iv. The use of modern communication technologies to apprise personnel of their responsibilities or functions and to provide guidance on how to perform them properly.

Modern technology is routinely used by the PSC to apprise personnel of their responsibilities and functions and to provide them with guidance on exercising appointment and appointment-related authorities. For instance, the PSC utilizes different media in order to provide these employee groups with information related to exercising their staffing-related authorities, including:

- Internet sites – the PSC currently publishes the Appointment Framework documents, formal letters, and key pieces of information and guidance on its own website (<http://www.psc-cfp.gc.ca/index-eng.htm>) as well as, on GCPedia¹, the Government of Canada’s collaborative web-based reference tool.
 - Online forums – The PSC also leverages the Government of Canada Communities of Practice, such as the Human Resources Council and National Staffing Council, which have a presence on GCConnex², a Government of Canada forum where employees can ask questions, offer comments, and share information and experiences to communities of practice and other federal public service employees across Canada.
 - Online broadcasts – In partnership with the CSPPS, the PSC has participated in online broadcasts using tools, such as WebEX to hold interactive audio and video presentations in real-time to employees all across Canada.
 - Videos – The PSC has created two videos to increase awareness regarding political activities for public servants. The videos can be found by clicking on the “Political Activities: Make an Informed Decision!” box of the Political Activities website located at: <http://www.psc-cfp.gc.ca/plac-acpl/index-eng.htm>
 - Online tools – A Political Activities Self-Assessment Tool was developed to assist employees in making an informed decision about whether to participate in non-candidacy political activities. The tool can be found at: <http://www2.psc-cfp.gc.ca/pat-oap/intro.do>.
- v. The existence of bodies to which personnel can resort to obtain information or resolve doubts about how to perform their responsibilities and functions properly.

Support for resolving doubts on exercising sub-delegated staffing authorities are twofold: (1) each organization has expert HR personnel, who can be consulted, and (2) the PSC assigns Staffing Support Advisors to each organization to provide further clarification on exercising their appointment and appointment-related authorities within the Appointment Framework. Annual meetings and training sessions are also held for Departmental Liaisons for Investigations.

¹ GCPedia is a collaborative web-based reference tool for federal public service employees. Accessible via a computer or mobile device on the Government of Canada network, users are free to use the wiki as they see fit, within the terms of use.

² GCConnex is a professional networking and collaborative workspace for all public service, allowing people to connect and share information, leveraging the power of networking towards a more effective and efficient public service in Canada.

To provide further support for employees in terms of making a decision with regards to political activities, employees are encouraged to discuss their specific circumstances with their manager prior to making a decision. Employees may also consult the Designated Political Activities Representatives located at: <http://www.psc-cfp.gc.ca/plac-acpl/pol-cont-eng.htm>. Employees may also consult the Guidance Document for Non-Candidacy Political Activities, which can be found at: <http://www.psc-cfp.gc.ca/plac-acpl/pdf/guidance-direction-eng.pdf>.

Further, more information on political activities is available on the Political Activities website (see response to question iv. for link to website). The website includes access to the following information and documents – most notably, a Political Activities Self-Assessment Tool, a Guidance Document for non-candidacy political activities, or the Candidacy Request website for specifics on the process for requesting permission for candidacy.

Finally, most organizations have a Values and Ethics Champion and/or an Ombudsman to support its employees when they have questions or require advice or guidance.

- vi. The existence of a governing organ, authority or body responsible for defining, steering, advising, or supporting the manner in which personnel are to be informed of their responsibilities and functions, and for seeing that this task is fully carried out, and the measures or actions that such bodies can take to enforce the norms and/or measures in force in this regard.

There is a joint responsibility between the TBS and the PSC for matters relating to staffing in the federal public service. In accordance with its mandate, the PSC establishes the Appointment Framework and provides independent oversight for the integrity of staffing in the public service.

The Meeting of the Commission is the decision-making forum that allows the PSC to fulfill its obligations under the PSEA and the *Employment Equity Act* vis-à-vis the federal public service, and its governance role vis-à-vis the PSC as an organization. The *Employment Equity Act* can be found at: <http://laws.justice.gc.ca/eng/acts/e-5.401/>.

As part of ongoing monitoring, deputy heads must assess on a cyclical basis (at least every 5 years), the adherence to the requirements established in the ADAI, the PSEA, other applicable statutes and regulations, the PSC's Appointment Policy, as well as organizational staffing policies and the sub-delegation instrument³. In addition, deputy heads must ensure that appropriate remedial action is taken to address any deficiencies and report back to the PSC on areas identified in Annex D of the ADAI.

The Public Service Labour Relations and Employment Board (PSLREB) is an independent quasi-judicial statutory tribunal established by the *Public Service Labour Relations and Employment Board Act*, which came into force on November 1, 2014. The PSLREB is responsible for the resolution of staffing complaints related to internal appointments (section 77 of the PSEA) and layoffs in the federal public service. It can also receive complaints about appointments that were made to comply with an order in a previous PSLREB decision, as well as revocations of internal appointments. More information with regards to the PSLREB can be found at: http://pslreb-crtefp.gc.ca/index_e.asp.

³ For smaller organizations, the deputy head may establish an arrangement with the PSC to do so on their behalf.

Furthermore, as part of its mandate to oversee the integrity of the staffing system and the political impartiality of the federal public service, the PSC investigates concerns relating to specific appointment processes and allegations of improper political activities for organizations that are subject to the PSEA. These organizations can be found at: <http://www.psc-cfp.gc.ca/plcy-pltq/rflilirf/a-z-eng.htm>.

The PSC is empowered to investigate external appointment processes⁴ when: (1) an appointment or proposed appointment may not have been based on merit; or (2) there may have been an error, omission or improper conduct that affected the selection of the person appointed or proposed for appointment. The PSC may also investigate external and internal appointment processes⁵ when: (1) fraud may have occurred; or (2) an appointment or proposed appointment may not have been free from political influence.

An organization that is subject to the PSEA may also request that the PSC investigate an internal appointment when there may have been an error, omission or improper conduct that affected the selection of the person appointed or proposed for appointment.

The objective of corrective action is to remedy irregularities or prevent reoccurrences where:

- An appointment is not made or proposed to be made on the basis of merit;
- An error, omission or improper conduct affected the selection of the person appointed or proposed for appointment;
- Fraud occurred in an appointment process;
- Political influence affected the selection of the person appointed or proposed for appointment; and
- An employee is involved in improper political activities.

The PSC can take any corrective action that it considers appropriate in founded allegations or concerns. Corrective action is determined on a case-by-case basis. Organizations and persons affected will be consulted on the Investigation Report and on the proposed corrective action before a final decision is made. Examples of corrective actions for founded concerns related to appointments or founded allegations of improper political activities can be found on the PSC's Investigations website located at: <http://www.psc-cfp.gc.ca/inv-enq/action-mesures-eng.htm>.

Lastly, in combination with its investigations, the PSC's oversight activities (including mechanisms such as government-wide audits and studies) can provide further information to organizations in identifying potential risk areas in the organization's staffing system.

- vii. The way in which personnel are informed of the ethical rules governing their activities, indicating whether this is done verbally or in writing and whether records are kept of those instructions.

Please see response to question i above.

⁴ An **external appointment process** is a process for making one or more appointments in which persons may be considered, whether or not they are employed in the federal public service. This type of appointment process is open to the public, including federal public servants.

⁵ An **internal appointment process** is a process for making one or more appointments in which only persons employed in the federal public service may be considered. This type of appointment process is open only to federal public servants.

- viii. The occasion(s) when personnel are informed of ethical rules governing their activities, indicating whether this is done when they begin performing them or at some later point; when a change in their functions entails a different set of applicable ethical rules; or when changes are made to those rules.

Please see response to question ii above.

- ix. The existence of introductory, training or instructional programs and courses for personnel on the ethical rules governing their activities and, particularly, on the consequences of failure to abide by them for public institutions and for wrongdoers.

In addition to the courses outlined above, which provide training, instructional programs and courses for personnel on ethical rules, the PSC's Investigation website provides information and guidance to inform organizations and individuals about the investigation process. It is located at: <http://www.psc-cfp.gc.ca/inv-eng/index-eng.htm> and provides a host of information on the entire investigatory process (i.e., before, during and after). Among the potential corrective actions, the PSC may order that an employee complete mandatory training, such as a course on staffing or values and ethics, and later engage in a discussion with their director or director general about the material covered in that course.

As indicated in response to question vi above, the PSC can take any corrective action that it considers appropriate in founded allegations or concerns. Corrective action is determined on a case-by-case basis. Organizations and persons affected will be consulted on the Investigation Report and on the proposed corrective action before a final decision is made.

- x. The use of modern communication technologies to apprise personnel of the ethical rules governing their activities and to provide guidance as to their scope or interpretation.

Please see the response to question iv above.

- xi. The existence of bodies to which personnel can resort to obtain information or resolve doubts about the scope or interpretation of the ethical rules governing their activities.

Please see response to question v above.

- xii. The existence of a governing organ, authority or body responsible for defining, steering, giving guidance on, or supporting the manner in which personnel are to be informed of the ethical rules governing their activities, and for seeing that this task is fully carried out, and the measures or actions that such bodies can take to enforce the norms and/or measures in force in this regard.

Please see response to question vi above.

- E) Summarize the results obtained in the application of the provisions and/or measures relating to the instructions given to the selected government personnel group(s) to ensure that they have an appropriate understanding of their responsibilities and functions, providing the relevant information available in your country, and making reference, to the extent that is possible, to issues such as the following: the holding of introductory, training or instructional programs and courses to that end, the periodicity or frequency with which they have been held, and the number of public servants covered by them; implementation of programs for the same purpose;

preparation of guidelines to counsel public servants on the proper performance of their functions and to alert them to the risks of corruption inherent in the performance of their responsibilities; responses to inquiries by public servants on the correct performance of their functions and the use of modern communication technologies for that purpose; activities undertaken to ascertain whether the objective of ensuring that responsibilities or functions are understood was in fact achieved; and measures or actions developed by the authorities or bodies responsible for ensuring that instructions to that end are fully provided and with ensuring the enforcement of provisions and/or measures in force.

In the current staffing system, there are 75 organizations⁶ delegated and subject to the ADAI as of March 31, 2016. Responsibilities and requirements for the delegation of appointment and appointment-related authorities are clearly outlined in the ADAI, including the establishment of training requirements for sub-delegation within each deputy head's organization. The PSC supports the training of one of its key employee groups through its collaboration with the CSPS, which develops and delivers the mandatory courses for supervisors, managers and executives. These courses are offered on a regular basis and are accessible to public servants across the country.

The PSC's staffing system benefits from the training provided to government employees in different stages of their careers in the public service, from an orientation training when they first become a public servant to when they assume a leadership role as an executive. The provision of support and guidance for making appointment decisions is embedded in the Appointment Framework, such that sub-delegated managers have access to expert advice from organizational HR personnel who in turn have access to the policy centres at the PSC which provide advice and guidance on exercising appointment-related authorities.

Recognizing the key supporting role of HR personnel, the PSC also partners with other stakeholders to regularly inform and offer guidance by leveraging modern technologies, which has the potential to reach a broad audience with consistent messaging.

The PSC maintains the integrity of the staffing system through its oversight framework, its regulatory authority and its policy setting function. The PSC's oversight approach includes the ongoing monitoring conducted by organizations, which assists organizations in the detection of any risk areas and provides the opportunity for the implementation of timely corrective measures as required. Using a system-wide lens, the PSC's oversight activities continue to be conducted through its:

- investigation and audit function;
- analysis of organization reports; and
- focus on a specific area of staffing or a system-wide review to explore effectiveness and efficiency in the system.

Given the maturity of the staffing system in the public service, PSC acknowledges that organizations are now best positioned to detect, examine and address staffing issues, and PSC expects these organizations to do so. Merit-based appointments continue to play an essential role, not only by protecting against political patronage, but also by ensuring that employees are hired, and can advance, based on their abilities rather than on favouritism or political influence. In its 2015-2016

⁶ In total, 78 organizations are delegated in accordance with the list of organizations and deputy heads subject to the ADAI (http://www.psc-cfp.gc.ca/plcy-pltq/frame-cadre/delegation/adai-idm/list_1-liste_1-eng.htm). There are 3 organizations not active. However, they are considered to be delegated.

Annual Report, the PSC notes that it is “not alone in safeguarding the non-partisanship of the public service – each public servant shares in this responsibility.”

To support organizations, the PSC has continued to develop better tools and approaches that better respond to the diverse needs of each organization, recognizing that a tailored approach, which responds to the needs of each organization, is required. With the implementation of the New Direction in Staffing, deputy heads have greater flexibility to customize their staffing systems to meet their unique business needs.

Further, the PSC has developed and launched various tools to ensure that employees in the organizations subject to the political activities provisions of the PSEA are aware of their legal rights and responsibilities in order to make an informed decision; these tools are discussed in great length at question iv. To recap they include:

- Launching the Suite of Political Activities Tools;
- Exploring new and innovative ways to raise employee awareness by conducting a workshop related to the Suite of Political Activities tools for Designated Political Activities Representatives in departments and agencies;
- Producing a two-minute animated video explaining the candidacy process by which employees must request and obtain permission from the PSC prior to seeking nomination as, or being, a candidate in an election; and
- Updating the on-line Political Activities Self-Assessment Tool and the Guidance Document for Participating in Non-Candidacy Political Activities.

The most recent Survey of Staffing collected data from questions related to political activities, including employee participation in non-candidacy political activities and their degree of awareness of, and the extent to which their organization keeps them informed of, their legal rights and responsibilities regarding political activities. The analysis of this data showed that the level of employee awareness of their legal rights and responsibilities is positively correlated to their accumulated experience within the federal public service. In response to this survey, the PSC focused its outreach activities in 2015-2016 to new employees with fewer years of experience in the federal public service, to help them understand their legal rights and responsibilities related to political activities.

In 2015-2016, the PSC drew on its network of young professionals for valuable insight on how to communicate with this target group more effectively including by reaching out via social media during the federal election, to raise awareness and share information.

The PSC's Annual Reports can be found at: <http://www.psc-cfp.gc.ca/arp-rpa/index-eng.htm>.

- F) Summarize the results obtained in the application of the provisions and/or measures relating to the instructions given to the selected personnel group(s) to ensure that they have an appropriate understanding of the ethical rules governing their activities, providing the relevant information available in your country, and making reference, to the extent that is possible, to issues such as the following: the holding of introductory, training or instructional programs and courses to that end, the periodicity or frequency with which they have been held, and the number of public servants covered by them; implementation of programs for the same purpose; preparation of guidelines to counsel public servants on the scope and interpretation of those ethical rules and about the consequences of failure to abide by them for public institutions and the wrongdoers;

responses to inquiries by public servants to that same end and the use of modern communication technologies for that purpose; activities undertaken to ascertain whether the objective of ensuring that the ethical rules are understood was in fact achieved; and actions undertaken by the authorities or bodies responsible for ensuring that instructions to that end are fully imparted and with ensuring the enforcement of provisions and/or measures in force.

Please see response provided above at question E). The response incorporates the ethics component of this question with the previous question that addresses measures, which ensure that selected government personnel or group(s) have an appropriate understanding of their responsibilities and functions as public servants. It does so because ethical conduct is an indivisible part of all public servant's functions and responsibilities. Ensuring that they have an appropriate understanding of their responsibilities and functions includes ethical conduct.

G) For each of the selected personnel group(s), briefly report on difficulties and/or weaknesses related to instructions for ensuring an adequate understanding of their responsibilities and functions and, if applicable, identify specific technical cooperation needs.

The PSC's Appointment Framework is based on the general assumption that the personnel will act in an ethical and accountable fashion. Through the ADAI, ongoing monitoring and oversight mechanisms, delegated and sub-delegated managers are held accountable for their actions and the appointment decisions they make.

There is a potential risk that not all elements of wrongdoing will be addressed in a staffing system, which is founded on compliance as the norm. The system is predicated on the fact that only a minority of individuals do not adhere to the responsibilities and principles, each of whom will be held accountable and subject to corrective measures as appropriate.

The PSEA and the Appointment Policy allow for organizations to conduct an informal discussion, upon request, with a candidate eliminated from an internal appointment process. This discussion may be an opportunity for an organization to discuss with a candidate the decision to eliminate him/her from the appointment process and to take any corrective action as required.

H) For each of the personnel group(s) selected for review, briefly report on difficulties and/or weaknesses related to instructions for ensuring an adequate understanding of the ethical rules governing their activities and, if applicable, identify specific technical cooperation needs.

Please see response provided above at question G).

CHAPTER TWO

THE STUDY OF PREVENTIVE MEASURES THAT TAKE INTO ACCOUNT THE RELATIONSHIP BETWEEN EQUITABLE COMPENSATION AND PROBITY IN PUBLIC SERVICE (ARTICLE III, PARAGRAPH 12 OF THE CONVENTION)

- A) Indicate whether your country has studied prevention measures that take into account the relationship between equitable compensation and probity in public service. If so, please describe the study or studies carried out and either enclose copies thereof or indicate the web pages where they may be consulted.

No studies have been conducted to date.

- B) Indicate whether your country has established objective and transparent criteria for determining the compensation of public servants. If so, please describe those criteria and enclose copies of the documents, provisions, and/or measures containing those criteria or indicate the web pages where they can be consulted.

Canada has objective and transparent criteria for determining the compensation of federal public servants. The terms and conditions of employment for the vast majority of public service employees are set through a process of negotiation called collective bargaining. The idea behind collective bargaining is that Federal Public Service (FPS) employees have the right to determine the terms and conditions of their employment, including their salary through negotiations with their employer.

The FPS is divided in two segments: (1) the Core Public Administration (CPA) and Separate Agencies (SA). The CPA departments and agencies are named in Schedules I and IV of the *Financial Administration Act*, while the SA are named in Schedule V of the same Act. The *Financial Administration Act* can be found at: <http://laws-lois.justice.gc.ca/eng/acts/f-11/>.

The Treasury Board is the employer for the CPA, which consists of nearly 200,000 employees in more than 60 departments and agencies. As such, Treasury Board directly negotiates compensation for about 164,000 unionized employees with their respective bargaining agents and determines compensation for the remaining non-unionized employees.

The CPA, and the SA, together include about 259,000 employees. The 27 different SA conduct their own negotiations for their respective unionized employees and determine compensation levels for their non-unionized employees. The Treasury Board, however, maintains its expenditure management role in relation to SA. As such, all SA with unionized employees are required to obtain a mandate for collective bargaining from the President of the Treasury Board through the Compensation and Labour Relations Branch. The collective bargaining mandate includes the objectives to be pursued and the limits to be observed throughout the negotiation. Compensation matters are only one aspect of the collective bargaining process, albeit an important one.

Rates of pay, as part of the terms and conditions of employment for public service employees in the core public administration, are publicly available at: <http://www.tbs-sct.gc.ca/psm-fpfm/pay-remuneration/rates-taux/index-eng.asp>.

Moreover, all Government of Canada employees can access tools to ensure timely and accurate processing of their compensation. These tools can be found at: <http://www.tbs-sct.gc.ca/psm-fpfm/pay-remuneration/index-eng.asp>.

In all cases, the compensation setting process for Canadian federal public servants is generally framed by are the *Public Service Labour Relations Act* (PSLRA) (<http://laws-lois.justice.gc.ca/eng/acts/p-33.3/>) and the Treasury Board Policy Framework for the Management of Compensation (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12084§ion=HTML>).

Strategic Compensation

The Treasury Board, based on advice from Secretariat, is responsible for establishing the overall compensation plan based on strategic direction from the Government. The global mandate reflects the government's overarching objective with respect to wages and other terms and conditions of employment. Group-specific mandates are also developed to address specific needs of the individual groups (i.e., bargaining units). Departments are consulted in advance of collective bargaining to determine whether there are any challenges with retention and recruitment within their workforce or other issues that require special consideration. Based on thorough research and consultation, a global mandate is created and this will provide the general parameters for collective bargaining. Examples of elements that are included in global mandates are wage increases, as well as sick leave and vacation leave entitlements for the general employee population.

Collective agreements are contracts between the Employer and the bargaining agent and are ratified by both parties. Compensation refers to total compensation, that is, the entire wage envelope including: economic increases; allowances; performance pay; as well as pension and health plans to name a few. Compensation costs are sizeable, making it critical that they are strategically managed. Compensation also acts as a critical piece, amongst other human resource management instruments, for attracting, retaining, and motivating the workforce required to deliver programs and services to Canadians.

To that end, compensation decisions by the Treasury Board in its various roles are guided by four overarching principles:

- External comparability: compensation should be competitive with, but not lead to that provided for similar work in relevant labour markets;
- Internal relativity: compensation should reflect the relative value the work provides to the employer;
- Individual/group performance: where appropriate and practicable, compensation should reward performance, based on individual or group contributions to business results; and
- Affordability: compensation provided must be affordable within the context of the commitments to provide services to Canadians, the fiscal circumstances, and the state of the Canadian economy.

Wage comparability studies and total compensation studies are conducted to support the assessment of these considerations. Wage comparability studies will situate public service wages relative to wages outside of the public service for similar work.

Performance Pay for Executives

In recognition of the specific nature and scope of their work, executives are compensated differently than other employees. Executive pay is divided into two components: a base salary and performance pay. Performance pay is calculated as a percentage of base salary and is a function of one's performance rating. Executive performance ratings are generally discussed amongst a committee of senior executives and must be approved by the head of the relevant department. The government publicly reports on aggregate performance pay expenditures each year.

A summary of the PSLRA can be seen at: <http://www.tbs-sct.gc.ca/psm-fpfm/modernizing-modernisation/reports-rapports/psma-lmfppr-eng.asp>

SECTION III

BEST PRACTICES

The Treasury Board of Canada Secretariat

1. Institution: The name of the institution that is implementing the best practice:

The Canada School of Public Service (CSPS) in collaboration with the Treasury Board of Canada Secretariat (TBS).

2. Title: The name of the best practice or the topic it covers:

The Values and Ethics Foundations for Employees course; and
The Values and Ethics Foundations for Managers course.

3. Description of the best practice: Include a brief description and summary of the best practice, as well as the reason why it should be considered a best practice:

Much of the training for public servants is centralized through the CSPS. TBS works closely with the School to develop training for employees in the area of values and ethics. The Values and Ethics Foundations for Employees course is currently one part of a mandatory curriculum for new public servants and is also used by departments as a refresher for existing employees to ensure they understand their responsibilities under the *Values and Ethics Code for the Public Sector*. The course has recently been updated to be fully accessible (respects accessibility standards). It is a self-paced course estimated to take three hours to complete.

The course focuses on familiarizing public servants with the relevant Acts and policies, such as the *Values and Ethics Code for the Public Sector*, the *Public Servants Disclosure Protection Act* (PSDPA) and the Policy on Conflict of Interest and Post-Employment.

Additionally, modules on ethical dilemmas, workplace well-being and harassment prevention are included in the training. The course ensures that public servants not only increase their awareness of the relevant policy and legislative frameworks, but also develop the skills to apply this knowledge as a foundation to their everyday duties and activities.

The Values and Ethics Foundations for Managers course is an online course that helps managers to better understand the foundational concept of values and ethics and how to apply it when dealing with conflicts of interest, ethical dilemmas, harassment situations and issues of workplace well-being. Through practical exercises and scenarios, participants identify and apply the key principles and policies related to values and ethics in the public sector.

These courses should be considered as a best practice because they provide public servants and managers:

- With a range of tools to cultivate ethical decision making;
- With information about the five core values for the Canadian public service and prompts them to think about how to apply these values in their everyday work responsibilities;

- With information relating to the key risk areas for unethical conduct that are identified, such as bribery, the improper use of government property, conflict of interest and the mismanagement of public funds; and
- With descriptions that put the risks into practical, easy-to-understand language for employees at all levels.

4. Reasons/Importance: Reasons for pursuing best practice should be given. A description should be made of the situation in place before the adoption of the best practice and identification of the problem or problems it is to address:

The *Values and Ethics Code for the Public Sector* is a condition of employment. New employees have to be made aware of their responsibilities and obligations as public servants in order to become comfortable in applying these values within their organization. The purpose of the best practice is to exemplify the core values of the Code and provide tools to reflect and deal with ethical dilemmas.

The School went from a classroom approach to an online one for this training. This change provides more flexibility to employees and managers as to when and where they can complete the required training. In addition, by having the course content online, it makes it available to all public servants and is no longer restricted to new employees. The accessibility and availability of the material are key features of the new approach.

5. Approach: What was the proposed design and methodology for applying the best practice? What was considered in its design and methodology? Were other countries' experience taken into account?

The proposed design and methodology are supported by policy documents that are made interactive through the use of videos, scenarios, and examples. Drawing from adult learning principles, the course is fragmented in smaller learning modules supported by regular knowledge checks and a final evaluation. The scenarios presented to the learner are intended to generate a self-reflection on the ethical reasoning process that is integral to solving ethical dilemmas. The experience of other countries was not taken into account when designing the best practice.

6. Implementation: How is the best practice being implemented?

The Values and Ethics Foundations for Employees course is mandatory for new public servants as part of their orientation and is to be completed as soon as possible upon joining the public service. It is strongly encouraged as a refresher for existing employees.

The Values and Ethics Foundations for Managers course is not mandatory. However, it is strongly encouraged. Employees and managers are allowed to complete both of these courses during work hours.

7. Challenges: What are the challenges in implementing the best practice?

There are no significant challenges in implementing this best practice. However, certain design and administrative elements are essential for the best practice to be effective in achieving its desired effect. For instance, in the designing of the course, it is important for the training to remain interactive. This provides end-users with engaging examples of the core values of the public sector and permits them to apply what they are learning in a concrete manner. Moreover, in implementing the best practice, it is important to have deputy heads (through their required training coordinator)

identify new employees in a timely manner, so they may complete the best practice as soon as possible after joining the public service.

8. Outcome: What is the end result or expected end result of implementing the best practice? Have benefits and/or success stories been identified? Have they addressed the problems originally identified as necessitating a best practice to be implemented?

The *Values and Ethics Code for the Public Sector* is a common foundation shared across the public service. One of the benefits of having such a Code is a common understanding for all public servants and managers of our values and ethics and expected behaviours. In addition, by addressing in the course the PSDPA, and policies such as the Policy on Harassment Prevention and Resolution and the Directive on the Harassment Complaint Process, the best practice components contribute to maintaining a productive, ethical and healthy workplace based on integrity and respect.

9. Follow-up: Who or what groups will monitor the practice's implementation? How will its implementation be monitored? Will there be a Follow-up Report?

Every deputy head is responsible for identifying employees that need to take the mandatory training. The CSPS then monitors the completion of the mandatory courses and keeps statistics on completion.

10. Lessons: What are some of the lessons learned in implementing the Best Practice?

It is important that the best practice be made available to all public sector employees, since all employees are subject to the same Code.

11. Documentation: Where can further information be found regarding the best practice (e.g., Internet links)?

The links to the courses are not available, as they are housed on the Intranet. However, by the end of the calendar year, a new version of the Values and Ethics Foundations for Employees course should be made available to the public on Internet, through www.Canada.ca.

12. Contact: Who can be contacted for further information?

Inquiries for additional information can be made by contacting the TBS or the CSPS.

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The Public Service Commission of Canada
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1. Institution: The name of the institution that is implementing the best practice:

The Public Service Commission of Canada (PSC).

2. Title: The name of the best practice or the topic it covers:

The New Direction in Staffing (NDS).

3. Description of the best practice: Include a brief description and summary of the best practice, as well as the reason why it should be considered a best practice:

The PSC's renewed policy and oversight frameworks came into effect on April 1, 2016. This New Direction in Staffing (NDS) is the most significant change to the staffing system seen in over ten years. It is designed to simplify and streamline staffing across the public service, while ensuring that staffing decisions remain merit-based and non-partisan. The goal is to ensure that departments and agencies are able to attract talented people, with modern skills, in a timely fashion. The NDS provides organizations with greater flexibility in customizing approaches to staffing for their particular needs, while respecting the spirit and letter of the *Public Service Employment Act* (PSEA).

The NDS should be considered as a best practice because will improve the staffing system by:

- Providing organizations with the ability to customize their own staffing system, based on their unique context and evolving organizational needs;
- Reducing the administrative and reporting burden;
- Increasing the focus on outcomes, including the quality and competency of the person hired rather than on the process; and
- Making monitoring more useful and relevant to organizations.

4. Reasons/Importance: Reasons for pursuing best practice should be given. A description should be made of the situation in place before the adoption of the best practice and identification of the problem or problems it is to address:

Consultations that were held with stakeholders indicated the need for a modernized approach to staffing. In fact, engagement with stakeholders showed that the current approach did not meet evolving needs of diverse organizations. While the intent of the 2005 PSEA was to provide for a flexible, merit-based staffing system, the PSC's oversight results and audits confirmed the public service staffing system was ready for change.

The NDS takes into account an evolving Human Resources (HR) landscape of the staffing system; it responds to evolving needs of organizations, while ensuring that staffing remains merit-based and non-partisan.

5. Approach: What was the proposed design and methodology for applying the best practice? What was considered in its design and methodology? Were other countries' experience taken into account?

Please see the response to questions 3 and 8. The experience of other countries was not taken into account.

6. Implementation: How is the best practice being implemented?

The PSC and other organizations have worked together to lay a solid foundation for this new approach before it came into force. All indications that the PSC has received show that organizations are ready and able to implement these changes.

7. Challenges: What are the challenges in implementing the best practice?

To date, there have been no difficulties in implementing the NDS.

8. Outcome: What is the end result or expected end result of implementing the best practice? Have benefits and/or success stories been identified? Have they addressed the problems originally identified as necessitating a best practice to be implemented?

The NDS results in a simplified, customized staffing system with a new oversight model. For instance, with respect to the PSC's *Appointment Policy*, 12 policies have been streamlined into a single policy and the new policy shifts from a rules-based system to one that places the emphasis on key values. While hiring managers have greater flexibility in the approach and strategy for attracting, assessing and selecting candidates, they are still expected to conduct staffing activities in accordance with the PSEA and the *Values and Ethics Code for the Public Sector*. Moreover, under the NDS, deputy heads are also better able to customize their staffing system to meet the demands of their organizations and their evolving business needs.

While PSC oversight and findings suggest that the staffing system is working effectively and is supported by a robust HR system, the NDS has been designed to address the new HR landscape. It modernizes staffing, while maintaining core values.

9. Follow-up: Who or what groups will monitor the practice's implementation? How will its implementation be monitored? Will there be a Follow-up Report?

The new oversight model involves ongoing self-monitoring within organizations, complemented by system-wide oversight. This means that organizations assume a much more directed and hands-on role in shaping and monitoring their staffing systems. The PSC will no longer prescribe how monitoring is to be conducted; rather, organizations will self-monitor and conduct a comprehensive assessment at a minimum of every five years.

The PSC will concentrate its efforts on system-wide monitoring, via a renewed Survey of Staffing and government-wide audits, alternating every two years between the two oversight mechanisms.

The PSC will support departments and agencies as they work to implement this revised framework by providing a variety of guidance, training and support.

10. Lessons: What are some of the lessons learned in implementing the Best Practice?

While the PSC recognized that a shift in culture would be necessary to realize NDS across the public service, it did not anticipate the magnitude of the culture change required both within and outside the PSC and its stakeholders.

The PSC expects that best practices and lessons learned will emerge in the coming years as organizations become accustomed to the new framework.

11. Documentation: Where can further information be found regarding the best practice (e.g., Internet links)?

Further information regarding the NDS can be found on the PSC's website or GCpedia.

Please see the following:

<http://www.psc-cfp.gc.ca/plcy-pltq/message-eng.htm>

<http://www.psc-cfp.gc.ca/plcy-pltq/video/nds-nod/transcript-eng.htm>.

http://www.gcpedia.gc.ca/wiki/New_Direction_in_Staffing

12. Contact: Who can be contacted for further information?

The PSC can be contacted by:

Questions and Comments Form at <http://www.psc-cfp.gc.ca/centres/contact/form-forme-eng.htm>.

TTY: 1-800-465-7735

Mail:

22 Eddy Street
Gatineau, Quebec, K1A 0M7

SECTION IV

INFORMATION ON THE OFFICIAL RESPONSIBLE FOR COMPLETION OF THIS QUESTIONNAIRE

Please provide the following information:

(a) State Party: **CANADA**

(b) The official to be consulted regarding the responses to the questionnaire is:

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Canada's Lead Expert to the Committee of Experts

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