



Defence Ethics Program

Programme d'Éthique de la Défense

GUIDELINES FOR DEFENCE ETHICS TRAINING

Foreword

The Guidelines for Defence Ethics Training are issued under the authority of Chief Review Services (CRS) in accordance with Defence Administrative Orders and Directives (DAOD) 7023-0 and 7023-1 and the DEP Terms of Reference. The Guidelines replace the previous Standards for Defence Ethics Training and are effective upon release.

The Guidelines for Defence Ethics Training are generic and apply to both military and civilian personnel. The Guidelines outline the knowledge and skills that CF and DND personnel must possess in order to perform their duties and fulfil their obligations to the highest ethical standard and contribute to a Defence ethical culture. It has been written in a style consistent with training development terminology and concepts to facilitate the translation of these guidelines into training development initiatives. Questions on the content of the Guidelines may be addressed to the DEP subject matter expert, DEP Development Officer, Defence Ethics Program, NDHQ, Ottawa.

Suggestions or inquiries on the Guidelines for Defence Ethics Training should be forwarded through normal channels to Chief Review Services, attention: Director Ethics Program, NDHQ, Ottawa.

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PART 1 – GENERAL

Aim

1. The aim of the training and other activities resulting from the Guidelines for Defence Ethics Training is to assist members of the Canadian Forces and employees of the Department of National Defence, functioning as a Defence Team within the greater Canadian society, to perform their work in an ethical manner. It is also to assist all those who have obligations to fulfil in regards to the Defence Ethics Program.

Objective

2. The Canadian Forces and the Department of National Defence require that Defence Team members possess the knowledge, skills and attitudes necessary to perform their work to the highest ethical Standards.

3. The Guidelines apply to three different and overlapping defence organizational populations:

- a. Military members and civilian employees;
- b. Leaders and Managers;
- c. Senior Institutional Leadership.

Responsibilities for Training

4. The Canadian Forces and the Department of National Defence are integral to democratic government and have an obligation to provide sufficient ethics training to their members and employees. By providing ethics training, they reduce the risk that someone acting with good intentions will behave unethically for lack of adequate understanding of what is involved in ethics for defence.

5. As indicated in DAODs 7023-0 “Defence Ethics” and 7023-1 “Defence Ethics Program” and the Defence Ethics Program Terms of Reference, all senior institutional leaders have the responsibility to ensure that personnel within their sphere of responsibility possess the required knowledge, skills and attitudes to accomplish their functions in an ethical manner. More specifically, Environmental Chiefs of Staff (ECS) and Level One Advisors have the responsibility to ensure that the Defence Ethics Program is implemented within their areas of responsibility “in a manner consistent with their organizational cultures”. They must ensure, therefore, that their planning includes the necessary resources to carry out that responsibility.

Use of the Guidelines for Defence Ethics Training

6. The Guidelines for Defence Ethics Training shall be used as the primary authority governing the development, conduct and evaluation of training activities required for the implementation of the Defence Ethics Program within the Canadian Forces and the Department of National Defence.
7. Chief of Review Services will also use these Guidelines for the audit and evaluation of the implementation of the Defence Ethics Program by the Environmental Chiefs of Staff and Level One Advisors within their areas of responsibility.

Training Strategy

8. A two-pronged authority structure has been adopted for the implementation of Defence Ethics, which determines how Defence ethics training will be carried out. The Program Authority addresses the general policy requirements of Defence Ethics while the Level-1 Implementation Authorities respond to the specific needs of their defence organizational cultures. As stated in its DAOD 7023-0 “Defence Ethics”, the responsibility for implementing the Defence Ethics Program tailored to specific environmental cultures belongs to the Environmental Chiefs of Staff and to Level One Advisors. They will determine which training strategy, methods and media are best suited to meet their needs.
9. In general, the training requirement will be achieved best through a multiplicity of means. The current preference seems to be for the traditional classroom approach as the most likely way to facilitate a common understanding through the sharing and voicing of ethical matters, followed by small group work on ethical situations. However, there are other very good methods available that merit attention: distance learning, intranet chat groups, on-line conferences, workshops, individual training modules, and specialized discussion groups. The format and length of these activities can vary to meet the needs of the organizations and the individuals concerned.
10. Whatever training means are selected, training in practical ethics can only be satisfied by a continuous learning approach. Practical ethics involves the application of personal and organizational values to situations that range from the fairly simple to the very complex. The desired impact of training in practical ethics requires regular practice in the exercise of judgement that takes into consideration personal, situational and environmental factors. It is worth mentioning that practical ethics requires more than a one-time acquisition of knowledge, and therefore it is necessary to ensure regular practice in the application of ethical values. To this end it may be useful to refer to Defence Ethics reference material such as the Introduction to Defence Ethics course manual.
11. The following is an example of a two-level approach to Defence Ethics training currently being used at NDHQ. To teach general knowledge and basic skills in defence ethics at the first level, a one-day course called “*Introduction to Defence Ethics*” has been made available to all DND employees and CF members serving in the National Capital

Region through the Learning and Career Centre (LCC). The second level is modeled on an approach called *ethics across the curriculum* (also known as *ethics across the professions*). This approach involves the teaching of practical ethics to students in a discipline by the experts in that field and is being adopted in many universities across North America. Applied to Defence, it suggests that experts in various defence functions should be the ones leading others through ethical issues specific to their areas of expertise. This approach fits in well with the stated responsibilities of Level One Advisors and Environmental Chiefs of Staff: to put in place defence ethics training that is “consistent with their organizational culture”.

Evaluation of Training

12. It should be noted that evaluation of formal training in the Canadian Forces is geared to measuring the performance objective(s) established for training. Performance objectives are usually defined in detailed behavioural terms. The performance guidelines for the Guidelines for Defence Ethics Training were defined in more general behavioural and educational terms. Since ethics training focuses primarily on the development of attitudes and the acquisition of decision-making skills that lead to ethical behaviour, the immediate results of the training affecting these dimensions are not readily measurable. However, the knowledge components and the specific skills related to the performance guidelines for defence ethics training can be evaluated.

PART 2 – PERFORMANCE GUIDELINES

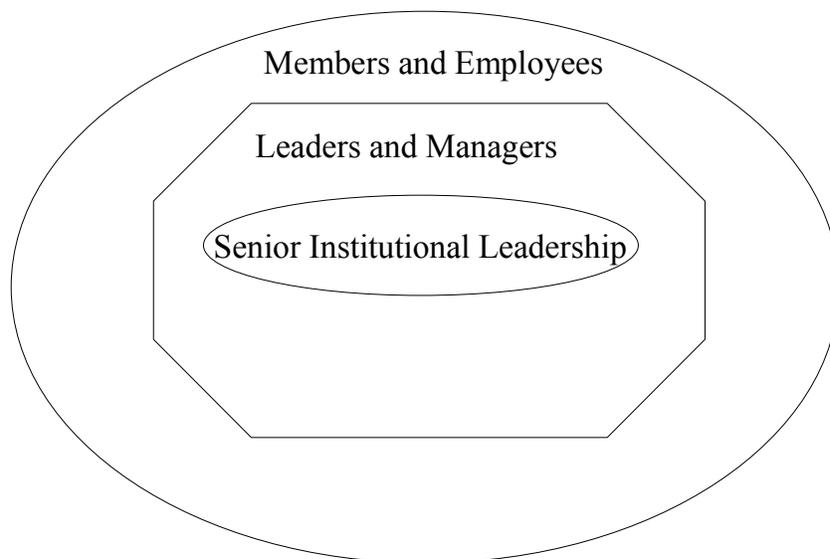
1. In developing the Guidelines for Defence Ethics Training, three target populations have been identified:

- a. Military members and civilian employees;
- b. Leaders and Managers;
- c. Senior Institutional Leadership.

The interrelationships between these three populations are represented in Figure 1.

Figure 1

Target Populations of Guidelines for Defence Ethics Training



2. A performance guideline (PG) has been developed for each of the three target populations:

- a. PG 001 – Perform work in an ethical manner;
- b. PG 002 – Lead in an ethical manner;
- c. PG 003 – Promote the Defence Ethics Program.

As indicated in figure–1, these populations overlap. Since the difference between the groups lie in the levels of responsibility and authority, an individual who rises to a superior rank is bound by the ethical obligations of the subordinate rank. For example, if one is a General, one is a senior institutional leader, but also a leader and a military member. Thus the performance guidelines that apply to leaders and managers also apply to senior institutional leaders.

3. The overlap of the roles of the target populations is carried over into the performance guidelines for these populations:
 - a. PG 001 – Military members and civilian employees;
 - b. PG 002 – Leaders and Managers (includes PG 001); and
 - c. PG 003 – Senior Institutional Leadership (includes PG 001 and PG 002).

PG 001 – Members and Employees

1. **Performance Guideline***. Perform his or her work in an ethical manner.
*(*This performance guideline depends on the attitudinal objective: Choose to perform work in an ethical manner.)*
2. **Conditions:**
 - a. Given:
 - (1) access to supervisors, superiors, colleagues, chaplains, social workers, Defence Ethics Program personnel, and
 - (2) references and work related documents (DAOD 7023-1 “Defence Ethics Program”, DAOD 7021-0 “Conflict of Interest and Post Employment”, 7021-1 “Conflict of Interest Guidelines”, 7021-2 “Post-Employment Guidelines”, 7021-3 “ Acceptance of Gifts, Hospitality and Other Benefits”, Values and Ethics Code for the Public Service, An Ethical Relationship, Fundamentals of Canadian Defence Ethics; Introduction to Defence Ethics, Statement of Defence Ethics, Canadian Defence Ethics Pocket Card etc.);
 - b. Environmental: operational and domestic environments.
3. **The Standard.** The Canadian Forces members and Department of National Defence employees will be able to:
 - a. **Perform job tasks in an ethical manner by:**
 - (1) Taking actions that are ethical (this standard involves the following decision-making process found in all activities detailed in this PG) to include:
 - (a) recognizing what is ethical in any situation (this activity requires knowledge of the object of ethics, the principles of democratic society and the difference between the ethics of public roles and private life), and
 - (b) making decisions that include ethical components by:
 - i. making a general assessment of the situation,
 - ii. considering the ethical aspects,
 - iii. identifying options and risks,
 - iv. choosing a course of action, and
 - v. committing to action.

- (c) moving from decision to action by:
 - i. determining the level of obligation that applies to a situation,
 - ii. recognizing various obstacles or risks that cause resistance to taking actions that are ethical, and
 - iii. choosing a strategy to resolve obstacles by doing the right thing.

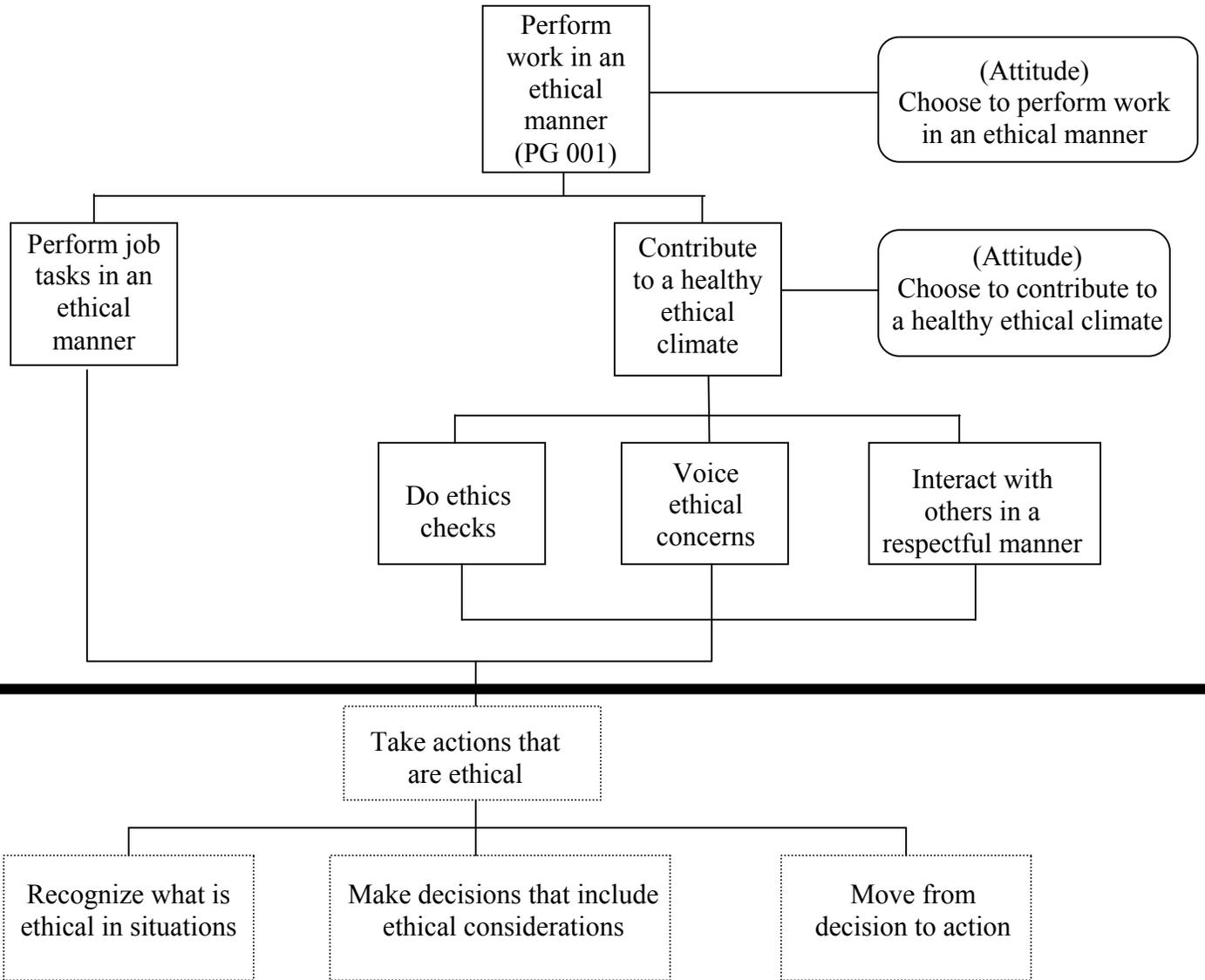
b. **Contribute to a healthy ethical climate*** by:

(*This task depends on the attitudinal objective: Choose to contribute to a healthy ethical climate.)

- (1) doing ethics checks,
- (2) voicing ethical concerns, and
- (3) interacting with others in a respectful manner.

4. **References.** References usually serve to describe formally and in more detail the standards expected. Further information and clarification of the standards in 3.a, b and c may be found in the DAOD 7021-1 “Conflict of Interest Guidelines”, Values and Ethics Code for the Public Service, Duty with Honour: The Profession of Arms in Canada; Statement of Defence Ethics, Introduction to Defence Ethics Course Manual, the Fundamentals of Canadian Defence, and the Canadian Defence Ethics Pocket Card.

Performance Guideline (PG) 001 – Members and Employees



The dotted boxes are part of the ethical decision making process that is present in all activities detailed in the performance guideline.

PG 002 – Leaders and Managers

1. **Performance Guideline***. Lead in an ethical manner.

(*This performance guideline depends on the attitudinal objective: Choose to lead in an ethical manner.)

2. **Conditions:**

a. Given:

- (1) access to superiors, colleagues, chaplains, social workers, Ethics coordinators, Defence Ethics Program personnel, and
- (2) references and work related documents ((DAOD 7023-1 “Defence Ethics Program”, DAOD 7021-0 “Conflict of Interest and Post Employment”, 7021-1 “Conflict of Interest Guidelines”, 7021-2 “Post-Employment Guidelines”, 7021-3 “ Acceptance of Gifts, Hospitality and Other Benefits”, Defence Ethics Program Terms of Reference, Values and Ethics Code for the Public Service, An Ethical Relationship, Fundamentals of Canadian Defence Ethics; Introduction to Defence Ethics, Statement of Defence Ethics, Canadian Defence Ethics Pocket Card , Level-1 Implementation Plans, Session Guide for Leaders, Leaders Ethical Climate Assessment, etc.);

b. Environmental: operational and domestic environments.

3. **The Standard.** The Canadian Forces members and Department of National Defence leaders and managers will be able to:

a. **Act as a role model for ethics by:**

- (1) performing work in an ethical manner,
- (2) demonstrating an appropriate understanding of the main ethical theories: rule-based, consequences-of-action-based, virtue-based, and care-based,
- (3) applying conflict of interest and post-employment measures, and
- (4) being accountable for one’s action in terms of the Statement of Defence Ethics;

- b. **Promote an ethical climate by:**
 - (1) ensuring expectations on ethics are known to personnel:
 - (a) ensuring leaders' expectations on ethics are known, and
 - (b) transmitting one's expectations on ethics;
 - (2) integrating other ethics related departmental programmes (for example, Sexual Harassment and Racism Prevention Program),
 - (3) providing feedback on behaviours and activities, and
 - (4) providing opportunities for ethical growth;
- c. **Provide a healthy voice environment by:**
 - (1) creating dialogue opportunities,
 - (2) ensuring employees are aware of voice mechanisms,
 - (3) making provision for anonymity and confidentiality, and
 - (4) fostering a reprisal free environment;
- d. **Manage ethical risks by:**
 - (1) identifying ethical risks to include:
 - (a) assessing the implementation of the processes of Defence Ethics Program,
 - (b) performing a regular assessment of workplace, and
 - (c) reviewing workplace performance through reports from independent sources;
 - (2) developing action plans to deal with ethical risks,
 - (3) communicating the contents of the action plans, and
 - (4) implementing action plans to deal with ethical risk;

- e. **Implement controls of workplace ethical behaviours by:**
 - (1) ensuring work is performed in an ethical manner,
 - (2) ensuring personnel apply conflict of interest and post-employment measures , and
 - (3) being accountable for controls of employees’ ethical behaviour;
- f. **Deal with non compliance by:**
 - (1) determining reasons of non-compliance:
 - (a) verifying if expectations are understood,
 - (b) verifying if negative impact of non-compliance is understood, and
 - (c) verifying if reasons provided for non-compliance are IAW ethical expectations;
 - (2) taking remedial action.

4. **References.** References usually serve to describe formally and in more detail the standard expected. Further information and clarification of the standard may be found in the Values and Ethics Code for the Public Service, Duty with Honour: The Profession of Arms in Canada; Defence Ethics Terms of Reference, DAOD 7021-0 “Conflict of Interest and Post Employment”, DAOD 7021-1 “Conflict of Interest Guidelines”, DAOD 7021-3 “Acceptance of Gifts, DAOD 7023-0 “Defence Ethics”, DAOD 7023-1 “Defence Ethics Program”, Statement of Defence Ethics, Introduction to Defence Ethics Course Manual, the Fundamentals of Canadian Defence, An Ethical Relationship, Defining Effective Leadership in the Canadian Forces: A content and process framework, Leaders Ethical Climate Assessment, DEP Surveys and the Canadian Defence Ethics Pocket Card.

TRAINING AND NON-TRAINING REQUIREMENTS FOR ETHICS RELATED TASKS

To determine the ethics related training and education required, the ethics related tasks to be performed by the three target populations have been identified. However, *there is no ethics related tasks table for the group of military members and civilian employees* since the tasks or activities identified were all deemed to require some education and training.

For the two remaining groups, each of the ethics related tasks were identified and listed and then were assessed to decide whether training or education was necessary to enable these groups to accomplish the tasks. The tables below present a summary of the assessment. Every “Yes” in the training required column means that the task identified is reflected in one of the boxes in the related Performance Objective diagram.

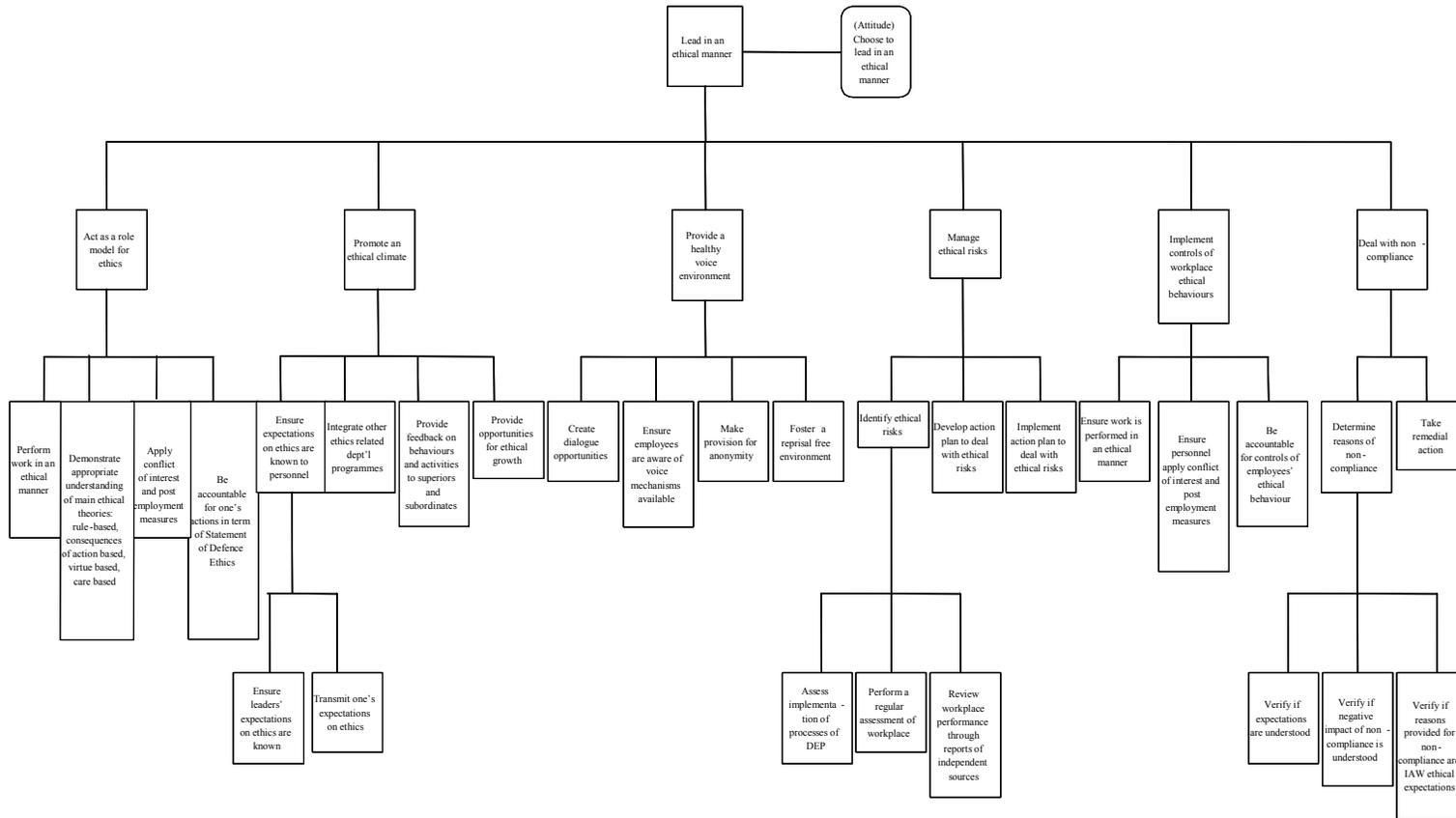
Table of ethics related tasks for Leaders and Managers.

Task No.	Task	Trg or not	Reason for trg or non-trg decision
1	Institute a basic ethics program (L) ¹	No	Manual of guidelines will suffice
2	Act as a role model for ethics (SDE) (L)	Yes	Complexity of supervisory situations
3	Use ethical decisions-making process (DM) (is subsumed in “Perform work in an ethical manner)	Yes	Assumed to be acquired at employees level, however needs to be practised with supervisory cases
4	Handle ethical inquiry (D+L)	No	Manual of guidelines will suffice
5	Intervene when aware of unethical behaviours (L)	No	Sub-element of task 2
6	Influence the development of ethical policies and codes (L+I)	No	Task does not require specific skills
7	Manage ethical risks (L+R+ I)	Yes	A complex task that may have serious impact
7.a.	Develop action plan to deal with ethical risks (R+I)	Yes	Included in task 7
8	Implement action plan to deal with ethical risks (R+I)	Yes	Included in task 7
9	Assess compliance with ethical expectations using formal and informal mechanisms (E+I)	No	Task does not require specific skill
10	Assess knowledge of expectations using measurement tools (E+I)	No	Manual of guidelines will suffice
11	Ensure SDE is practised by employees (L)	No	Is part of generic supervisory skills
12	Ensure that SDE is known to employees (E+L)	No	Is part of generic supervisory skills
13	Ensure “Ethics Check” is a routine practise (DM)	No	Is part of generic supervisory skills
14	Ensure employees are using the decision-making process (L+DM)	No	Is part of generic supervisory skills
15	Promote an ethical climate (L+I)	Yes	A complex task that can have a serious impact
16	Be accountable for one’s actions in terms of SDE (E+L)	Yes	A complex task that can have a serious impact
17	Acknowledge a significant contribution to ethical climate (L)	No	Is part of generic supervisory skills
18	Provide a healthy voice environment (L+D)	Yes	A complex task that can have a serious impact
19	Ensure employees are aware of voice mechanisms available (L+D)	Yes	Sub-element of task 18
20	Create dialogue opportunities (L+D)	Yes	Sub-element of task 18
21	Foster a reprisal-free environment (L+D)	Yes	Sub-element of task 18
22	Make provision for anonymity (L+D)	Yes	Sub-element of task 18
23	Promote opportunities for ethical growth (L+I)	Yes	Complex knowledge required
24	Deal with resistance to expectations using conflict management techniques (E)	No	Included in task 11

¹ The letters following the task correspond to the different components of the Defence Ethics Program Integrity Framework: L: leadership, E: expectations, D: dialogue, R: risks, T: training, I: Improvement, DM: decision-making.

Task No.	Task	Trg or not	Reason for trg or non-trg decision
25	Deal with non-compliance (E)	Yes	A complex task that can have a serious impact
26	Be accountable for controls of employees' ethical behaviour (L+I)	Yes	Knowledge and attitude required
27	Implement controls of workplace ethical behaviours (L+I)	Yes	Knowledge required
28	Apply Conflict of Interest and post-employment measures (E)	Yes	Interpretation of Conflict of Interest and post-employment measures are complex. Note: Post-employment measures apply only to Lcol and above and Ex minus 2 and above.
29	Ensure expectations on ethics are known to personnel (E)	Yes	Crucial element of success of Defence Ethics Program
30	Ensure leaders' expectations on ethics are known (L+E)	Yes	Included in task 29
31	Transmit one's expectations on ethics (L+E)	Yes	Included in task 29
32	Integrate other ethics related departmental programmes (L)	Yes	Impact on overall organizational climate
33	Provide feedback on behaviours and activities to superiors and subordinates (D)	Yes	Crucial element of success of Defence Ethics Program
34	Identify ethical risks (R)	Yes	Included in task 7
35	Assess implementation of processes of DEP (I)	Yes	Included in task 7
36	Perform a regular assessment of workplace (I+R)	Yes	Included in task 7
37	Review workplace performance through reports from independent sources (I)	Yes	Included in task 7
38	Ensure work is performed in an ethical manner (E)	Yes	A task that may have serious impact
39	Ensure personnel apply Conflict of Interest measures (E)	Yes	A task that may have serious impact
40	Determine reasons for non-compliance (I+R)	Yes	Important task
41	Verify if expectations are understood (E+I+D)	Yes	Included in task 40
42	Verify if negative impact of non-compliance is understood (E+I+D)	Yes	Included in task 40
43	Verify if reasons provided for non-compliance are IAW ethical expectations (E+R)	Yes	Included in task 40
44	Take remedial action (L)	Yes	Included in task 25
45	Lead in an ethical manner (L)	Yes	A complex task that may have serious impact
46	Choose to lead in an ethical manner (DM+L)	Yes	Attitude must be favourable to DEP
47	Demonstrate an appropriate understanding of the main ethical theories: Rule-based, Consequences-of-action-based, Virtue-based, and Care-based (DM)	Yes	Knowledge required

Performance Guideline (PG) 002 – Leaders and Managers *



*This PG presupposes PG 001

PG 003 – Senior Institutional Leadership

(* This PG presupposes PGs 001 and 002.)

1. **Performance Guideline***. Promote the Defence Ethics Program (DEP).
(*This performance guideline depends on the attitudinal objective: *Commit to manage the Defence Ethics Program.*)
2. **Conditions:**
 - a. Given:
 - (1) access to superiors, members and employees, colleagues, chaplains, social workers, Ethics coordinators, and Directorate of Defence Ethics personnel, and
 - (2) references and work related documents; DAOD 7023-0 “Defence Ethics”, DAOD 7023-1 “Defence Ethics Program”, DAOD 7021-0 “Conflict of Interest and Post Employment”, 7021-1 “Conflict of Interest Guidelines”, 7021-2 “Post-Employment Guidelines”, 7021-3 “ Acceptance of Gifts, Hospitality and Other Benefits”, Values and Ethics Code for the Public Service, Defence Ethics Program Terms of Reference, Chapter 3 of CDS Guidance to Commanding Officers, An Ethical Relationship, Fundamentals of Canadian Defence Ethics; Introduction to Defence Ethics, Statement of Defence Ethics, Canadian Defence Ethics Pocket Card, Level-1 Implementation Plans, Session Guide for Leaders, Leaders Ethical Climate Assessment, DEP Survey Reports, etc.);
 - b. Environmental: operational and domestic environments.
3. **The Standard.** The Senior Institutional Leader will:
 - a. **Implement the DEP in one’s own organization following the DEP Framework by:**
 - (1) adapting the implementation of DEP to one’s own organizational culture,
 - (2) manage DEP performance measurement framework to monitor program effectiveness.
 - (3) managing organizational ethical risks to include:
 - (a) identifying ethical risks,

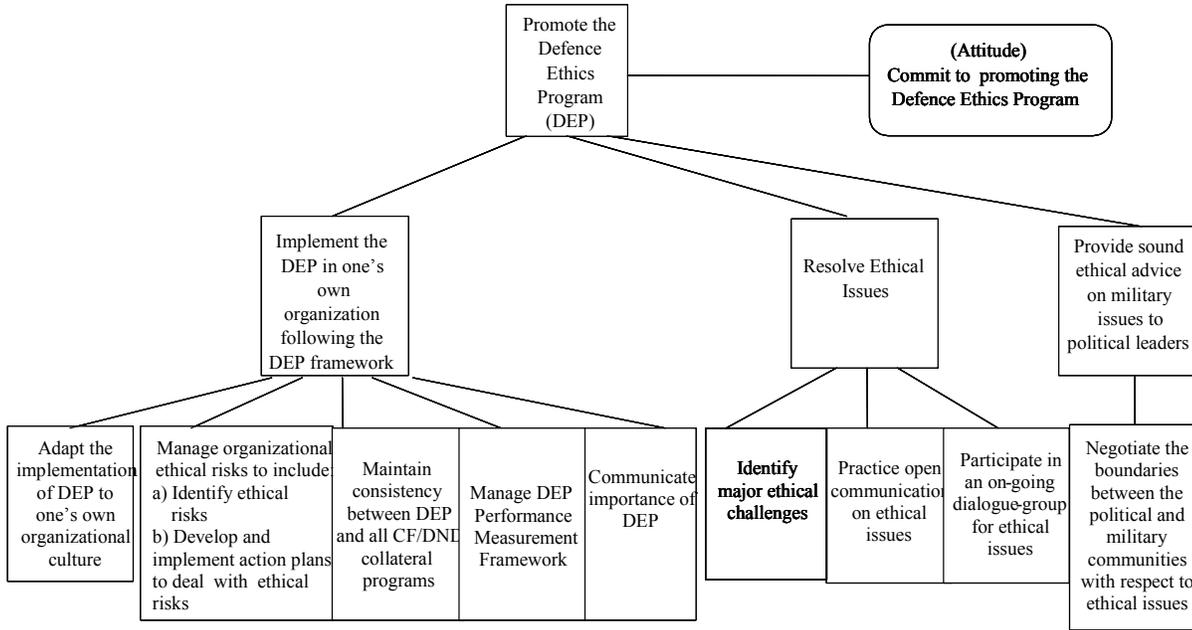
- (b) developing action plan to deal with ethical risks, and
- (c) implementing action plan to deal with ethical risks;
- (4) maintaining consistency between the DEP and all CF/DND collateral programs, including, and
- (5) communicating the importance of DEP;
- b. **Resolve Ethical Issues by:**
 - (1) identifying major ethical issues,
 - (2) practising open communication on ethical issues,
 - (3) fostering dialogue on what is ethical in any situation, and
 - (4) participating in an ongoing peer dialogue-group on ethical issues;
- c. **Provide sound ethical advice on military issues to political leaders by:** negotiating the boundaries between the political and military communities with respect to ethical issues.

4. **References.** References usually serve to describe formally and in more detail the standards expected. The following reference present additional information on the above standard: DAOD 7023-0 “Defence Ethics”, DAOD 7023-1 “Defence Ethics Program”, DAOD 7021-0 “Conflict of Interest and Post Employment”, 7021-1 “Conflict of Interest Guidelines”, 7021-2 “Post-Employment Guidelines”, 7021-3 “Acceptance of Gifts, Hospitality and Other Benefits”, Values and Ethics Code for the Public Service, The Profession of Arms in Canada; Defence Ethics Program Terms of Reference, Chapter 3 of CDS Guidance to Commanding Officers, Defining Effective Leadership in the Canadian Forces: A content and process framework, An Ethical Relationship, Level-1 Implementation Plans, Session Guide for Leaders, Leaders Ethical Climate Assessment, DEP Survey Reports, Fundamentals of Canadian Defence Ethics; Introduction to Defence Ethics, Statement of Defence Ethics, Canadian Defence Ethics Pocket Card, etc.).

Table of ethics related tasks for Senior Institutional Leadership

Task No.	Task	Trg or not	Reason for trg or non-training decision
1.	Manage organizational and operational ethical risks (R)	Yes	Complexity of strategic ethical risks and seriousness of consequences
2.	Identify current major ethical challenges (R)	Yes	Complexity of strategic ethical risks and seriousness of consequences
3.	Identify trends regarding ethical issues	No	Generic management skills
4.	Deal with unfair systemic processes	No	Generic management skills
5.	Communicate regularly with Ethics Coordinator	No	Administrative
6.	Contribute to a central repository of ethical issues	No	Administrative
7.	Practice open communication on ethical issues (D)	Yes	Complexity of ethical issues and seriousness of consequences
8.	Participate in on-going ethical dialogue group (D)	Yes	Complexity of ethical issues
9.	Develop a statement of ethical guidance for the executive level	No	Use subject matter expert to assist in development
10.	Implement a statement of ethical guidance for the executive level	No	Skills similar to applying the Statement of Defense Ethics
11.	Institutionalize a review process for ethical issues relating to personnel behaviour	No	Generic management skills
12.	Institutionalize an executive self-regulatory system	No	Generic management skills
13.	Ensure ethics performance indicators are in place	No	Generic management skills
14.	Propagate a policy statement on ethics for your area of responsibility	No	Administrative
15.	Implement the DEP in one's own organization applying at a minimum the DEP Integrity Framework (L+E+I)	Yes	Extensive knowledge of DEP
16.	Adapt the implementation of DEP to one's own organizational culture (L+I)	Yes	Extensive knowledge of DEP and applied ethics
17.	Communicate the importance of DEP (L+D)	Yes	Extensive knowledge of DEP and applied ethics
18.	Promote the DEP (T)	Yes	Extensive knowledge of DEP and applied ethics
19.	Ensure that DEP elements and related ethics training is included in applicable training programs	No	Administrative
20.	Maintain consistency between DEP and all CF/DND collateral programs (I)	Yes	Extensive knowledge of DEP and applied ethics
21.	Manage DEP Performance Measurement Framework	No	Generic management skills
22.	Evaluate implementation of DEP	No	Generic management skills
23.	Provide sound ethical advice on military issues to political leaders (D+DM)	Yes	Extensive knowledge of DEP and applied ethics
24.	Negotiate the boundaries between the political and military communities with respect to ethical issues (D)	Yes	Extensive knowledge of DEP and applied ethics
25.	Implement the requirements of DEP within their areas of responsibility	No	Generic management skills
26.	Seek improvements to DEP implementation	No	Experience based
27.	Identify ethical risks (R)	Yes	Included in task 1
28.	Develop action plan to deal with ethical risks (R)	Yes	Included in task 1
29.	Implement action plan to deal with ethical risks (R)	Yes	Included in task 1
30.	Resolve ethical issues (DM)	Yes	Complexity of strategic ethical risks and seriousness of consequences
31.	Commit to promote the DEP (DM)	Yes	Attitude towards the DEP needs to be favourable

Performance Guideline (PG) 003 – Senior Institutional Leadership



* This PG presupposes PGs 001 and 002

ANNEX A – TRAINING SPECIFICATIONS FOR MILITARY AND CIVILIAN PERSONNEL

1. The Guidelines for Defence Ethics Training are generic and were developed for both military and civilian employees.
2. However, for the civilian employees, the guidelines also take into consideration the *Values and Ethics Code for the Public Service*. Specific ethics training requirements for civilian personnel should take into consideration the particulars of the Code as reflected in DEP documents.
3. Similarly, for military personnel, the *Duty with Honour: the profession of arms in Canada* manual, the Officer General Specifications (OGS) and the Non-Commissioned Member General Specifications (NCMGS) have also been taken into consideration in the production of the guidelines.

ANNEX B – SAMPLE ENABLING OBJECTIVES FOR TRAINING FOR MEMBERS AND EMPLOYEES

Note: The following four enabling objectives for guidelines 3.a.(1) and 3.b. of PG 001 are offered as an *example only* of how the corresponding training could be designed. The Introduction to Defence Ethics Course is an *example* of a course build on these enabling objectives (EO). It can be found on the DEP web site.

EO 001.01

1. **Performance.** Recognize what is ethical in any situation.
2. **Conditions:**
 - a. Given:
 - (1) realistic case studies or scenarios related to DND and CF generic type situations,
 - (2) realistic case studies or scenarios submitted by members and employees reflecting specific work or occupational ethical situations,
 - (3) references and work related documents, and
 - (4) access to colleagues.
3. **The Standard:**
 - a. By:
 - (1) explaining the object of ethics,
 - (2) describing the principles of democratic society,
 - (3) distinguishing between the ethics of public and private roles, and
 - (4) describing the ethics for Defence.
4. **Teaching Points:**
 - a. explanation of ethics:
 - (1) right and wrong, and
 - (2) all that affect human beings;

- b. description of the fundamental principle of our democratic society:
 - (1) equal moral worth of all individuals,
 - (2) respect due to all, and
 - (3) democracy as a source of ethical principles and values;
- c. description of the distinction between the private and the public:
 - (1) description of what is private and what is public, and of private and collective morality, and
 - (2) difference in values and principles when moving from private to public lives;
- d. description of ethics for Defence, i.e., democracy as a source of ethical principles and values for Defence:
 - (1) ethically acceptable purposes of military power, and
 - (2) ethically acceptable means of fulfilling those purposes.

EO 001.02

1. **Performance.** Make decisions that include ethical components.
2. **Conditions:**
 - a. Given:
 - (1) realistic case studies or scenarios related to DND and CF situations,
 - (2) realistic case studies or scenarios adapted to members specific work or occupation,
 - (3) references and work related documents, and
 - (4) access to colleagues.
3. **The Standard:**
 - a. By:
 - (1) making a general assessment of the situation which includes:
 - (a) determining the issue in the situation, and
 - (b) identifying relevant individual and environmental factors;
 - b. considering the ethical aspects which means:
 - (1) identifying the main ethical principles and obligations of the Statement of Defence Ethics present in the situation, and
 - (2) choosing an approach to Ethics amongst the four possible ones;
 - c. identifying options and risks to include:
 - (1) analyzing options and their effects,
 - (2) determining best ways of implementing options,
 - (3) considering personal and organizational risks, and
 - (4) using ethical principles in Statement of Defence Ethics to deal with dilemma resulting from this process;

- d. choosing a course of action; and
 - e. committing to the chosen course of action.
4. **Teaching Points:**
- a. questions to discover what is ethical;
 - b. facts and their importance:
 - (1) individual factors, and
 - (2) environmental factors:
 - (a) immediate job context,
 - (b) organizational culture, and
 - (c) characteristics of the work,
 - (3) relative weight of factors, and
 - (4) reconsidering assumptions;
 - c. description of Statement of Defence Ethics:
 - (1) three principles and six obligations,
 - (2) statement by which the Defence community wants to live and be judged, and
 - (3) aligned with Canadian shared values;
 - d. four approaches to ethics:
 - (1) rule-based,
 - (2) consequence-based,
 - (3) care-based, and
 - (4) character-based;

- e. ethical dilemmas:
 - (1) definitions of ethical situations and ethical dilemmas, and
 - (2) three types of ethical dilemmas:
 - (a) Uncertainty dilemma,
 - (b) Competing Values dilemma, and
 - (c) Harm dilemma.

EO 001.03

1. **Performance.** Move from decisions to actions that are ethical.
2. **Conditions:**
 - a. Given:
 - (1) realistic case studies or scenarios related to DND and CF situations,
 - (2) realistic case studies or scenarios adapted to members specific work or occupation,
 - (3) references and work related documents, and
 - (4) access to colleagues.
3. **The Standard:**
 - a. By:
 - (1) describing the various obstacles or risks that can cause a resistance to taking actions that are ethical,
 - (2) describing perceptions of different levels of obligation, and
 - (3) devising strategies to resolve obstacles to doing the right thing.
4. **Teaching Points:**
 - a. the “Ya But” syndrome or second thoughts about taking actions that are ethical,
 - b. examples of obstacles and risks about taking actions that are ethical,
 - c. three levels of obligations and corresponding degree of resistance:
 - (1) heroism,
 - (2) robust obligations, and
 - (3) optional obligations;
 - d. possible solutions to overcome indecision and obstacles.

EO 001.04

1. **Performance.** Contribute to a healthy ethical climate.
2. **Conditions:**
 - a. Given:
 - (1) realistic case studies or scenarios related to generic DND and CF situations,
 - (2) realistic case studies or scenarios adapted to members specific work or occupation,
 - (3) references and work related documents, and
 - (4) access to colleagues.
3. **The Standard:**
 - a. By:
 - (1) doing ethics check,
 - (2) voicing ethical concerns by, and
 - (3) interact with others in a respectful manner.
4. **Teaching Points:**
 - a. describing what is doing an ethics check,
 - b. explaining how voicing ethical concerns can contribute to the ethical climate,
 - c. describing two ways of voicing ethical concerns, and
 - d. describing the three characteristics of a healthy disclosure environment.

ANNEX C – GLOSSARY

This glossary contains a brief explanation of some of the important terms that were used in producing the Guidelines for Defence Ethics Training.

Enabling Objective (EO): It states knowledge, skills and attitudes essential for attainment of the Performance Guideline.

NCMGS and OGS: The Officer General Specifications (OGS) and the Non-Commissioned Member General Specifications (NCMGS) are two distinct integrated policy and quality control documents that describe the common performance and professional development requirements that pertain to all Officers and Non-Commissioned Members of the Canadian Forces. One of its uses is to identify and develop common Officer and common Non-Commissioned Member training. These General Specifications usually specify levels of Tasks, Skills, and Knowledge required.

Performance Guideline (PG): Formal statements that specify what the person undergoing training must be able to do in terms of observable performance. A PG also includes the conditions that influence job performance and the Standard against which that performance is measured.

The Standard: Describe how well a specified performance must be achieved.

Training Strategy: A global approach is used to deliver training. It includes the learning activities and the environment needed to ensure the performance guidelines identified will be achieved. Classroom, distance learning or on-the-job training or a combination thereof can achieve it.

ANNEX D – RECOMMENDED RESOURCES

Note: Some of the following books, videos and other documentation on ethics can be accessed by contacting your Learning and Career Centre (LCC).

1. Government of Canada and Department of National Defence:

Canadian Defence Academy (2003), *Duty with Honour: The Profession of Arms in Canada* (Kingston: Canadian Forces Leadership Institute), October.

Department of National Defence of Canada (2003), *CDS Guidance to Commanding Officers* (Ottawa: Chief of Defence Staff/DND), January.

Department of National Defence of Canada (1999), *The Fundamentals of Canadian Defence Ethics* (Ottawa: Chief of Review Services/DND), November.

Department of National Defence of Canada (2003), *An Ethical Relationship* (Ottawa: Assistant Deputy Minister (Materiel) & Chief of Review Services/DND), September.

Department of National Defence of Canada (1998), *Defence Ethics Program Ethics Case Study Book, Second Edition* (Ottawa: Chief of Review Services/DND), January.

Department of National Defence of Canada (1999), *Facilitator Manual – Introduction to Defence Ethics for NDHQ* (Ottawa: Chief of Review Services/DND), March.

Department of National Defence of Canada (1999), *Course Manual – Introduction to Defence Ethics for NDHQ* (Ottawa: Chief of Review Services/DND), March.

Department of National Defence of Canada. *The Many Faces of Ethics in Defence*, Proceedings of the Conference on Ethics in Canadian Defence, Ottawa, 24-25 October 1996. (Ottawa: Chief Review Services/DND)

Department of National Defence of Canada. *Ethics in Practice*, Proceedings of the Conference on Ethics in Canadian Defence, Ottawa, 30-31 October 1997. (Ottawa: Chief Review Services/DND)

Treasury Board of Canada (2003), *Values and Ethics Code for the Public Service* (Ottawa: Treasury Board of Canada Secretariat), September

Universal Declaration of Human Rights. Available from Heritage Canada.

Canadian Charter of Rights and Freedoms. Available from Heritage Canada.

2. General:

Davis, Michael (1999), *Ethics and the University* (New York: Routledge)

Fishkin, James S. (1982), *The Limits of Obligations* (New Haven: Yale University Press)

Gutmann, Amy and Dennis Thompson (1996), *Democracy and Disagreement* (Cambridge: Harvard University Press)

Kidder, R.M. (1995), *How Good People Make Tough Choices: Resolving the Dilemmas of Ethical Living* (Firestone: N.Y.)

Kernaghan K. & Langford, J. (1990), *The Responsible Public Servant*. (Toronto: The Institute of Public Administration of Canada and Halifax: The Institute for Research on Public Policy)

Pojman, Louis P. (2002), *Ethics: Discovering Right and Wrong*, 4th edition, (Belmont, Cal: Wadsworth/Thomson Learning)

Thompson, Dennis F. (1987), *Political Ethics and Public Office*, (Cambridge: Cambridge University Press)

Wakin, Malham M. ed. (1986), *War, Morality, and the Military Profession*, 2nd edition, (Boulder: Westview Press)

Wenek, K.W.J. (2003) *Discussion Paper – Defining Effective Leadership in the Canadian Forces: A content and process framework*. (Kingston, Ontario: CF Leadership Institute)

Yukl, Gary A. (2002), *Leadership in Organisations*, 5th edition. (NJ: Prentice Hall)

3. Sociological and Psychological Works:

Gilligan, Carol, and J.V. Ward, J.M. Taylor, eds. (1988). *Mapping the Moral Domain: A Contribution of Women's Thinking to Psychological Theory and Education*. (Cambridge, MA: Harvard University Press).

Kirschenbaum, H. (1995). *101 Ways to Enhance Values and Morality in Schools and Youth Settings*. (MA: Allyn & Bacon).

Rest, J.R., and D. Narvaez, M.J. Bebeau, S.J. Thoma. (1999), *Postconventional Moral Thinking*. (Mahwah: Lawrence Erlbaum Associates)

Rest, J.R., and D. Narvaez, eds. (1994), *Moral Development in the Professions* (Hillsdale, NJ: Lawrence Erlbaum Assoc.)

Shay, J. (1994), *Achilles in Vietnam: Combat Trauma and the Undoing of Character* (Touchstone: NY).

Trevino, Linda Klebe (1986), “Ethical Decision-making in Organizations: A Person-Situation Interactionist Model.” in *Academy of Management Review*, Vol. 11, pp.601-617.

4. Videos:

Department of National Defence of Canada (1997), *Ethics in the Workplace* (French title – *L'éthique en milieu de travail*), VHS, 19 min 30 sec, Cat. No.: 21-0748A. Ottawa: Chief of Review Services: Art Direction by DGPA 2-6/DND), updated June 1997.

Department of National Defence of Canada (1998), *High Target* (French title – *Viser haut*), VHS, 57 min 58 sec, Cat. No.: 21-0750A. Ottawa: Chief of Review Services/ DND).