

EMPLOYEE CODE OF CONDUCT POLICY			
Effective Date	August 31, 2018	Policy Type	Administrative
Responsibility	Director, Human Resources	Cross-Reference	
Approver	Executive Council	Appendices	1. Declaration of Conflict of Interest Form
Review Schedule	Every 3 years		

1. Policy Statement

- 1.1. Northwestern Polytechnic (the "Polytechnic") is committed to accountable and transparent practices which serve the best interests of the Polytechnic as a whole. All members of the Polytechnic community are expected to uphold the Polytechnic's high ethical standards, demonstrating integrity, honesty and responsibility in all of the Polytechnic's operations and in relationships with the community at large.
- 1.2. The Polytechnic is further committed to creating and maintaining an inclusive and safe teaching, learning and working environment in which everyone behaves with respect, adheres to professional standards, and complies with the rules of law.
- 1.3. The Polytechnic will not abide or tolerate unethical behavior or impermissible conflicts of interest. Awareness of the provisions of this Code is fundamental in ensuring employees act appropriately in all dealings involving the Polytechnic, its members, and its stakeholders.

2. Policy Objective

- 2.1. This *Employees' Code of Conduct* (the "Code") defines and explains the expectations placed on employees to engage in ethical behavior and to avoid unmanageable conflicts of interest.
- 2.2. Employees should use this Code in tandem with any applicable contractual agreement, collective agreement, or obligation at law, for guidance on how to correctly recognize, disclose and manage these or related situations.

3. Scope and Application

- 3.1 This Code applies in respect of all employees of the Polytechnic, including the President and CEO when acting in their role as an employee, but does not include:
 - 3.1.1. Members of the Board of Governors, who are governed by the separate *Board of Governors' Code of Conduct*; and
 - 3.1.2. Non-employees, such as volunteers and contractors.
- 3.2 Together, the *Employees' Code of Conduct* and the *Board of Governors' Code of Conduct* promote the Polytechnic's commitment to be ethical and credible in its relationships with its employees, students, industry partners, vendors, and others.

3.3 Any employee who contravenes this Code may be subject to a range of corrective measures, up to and including dismissal, with cause, from the Polytechnic in accordance with the principles of progressive discipline and any terms and conditions in any relevant collective agreement or contractual agreement.

3.3.1 In cases where the Polytechnic has suffered a financial loss, it may seek to recover its losses from the employee in full, along with all costs incurred in investigating and litigating its losses.

4. Definitions

4.1 **"Close Personal Relationship"** includes, with respect to an individual:

4.1.1 The individual's spouse (including common-law), child, sibling, parent, spouse's parent, niece, nephew, aunt, uncle, grandparent, grandchild, son-in-law, daughter-in-law, brother-in-law, sister-in-law, step-child, step-sister, step-brother or step-parent;

4.1.2 Any other member of the individual's family who resides at the same household as the individual; or

4.1.3 Another individual whom the individual has an intimate relationship with.

4.2 **"Conflict of Interest"** exists when an individual has an external interest, financial or otherwise, that could impact their conduct at the Polytechnic. This may occur when the external interest provides, directly or indirectly, a motivation or incentive to influence the individual's conduct in exercising their employment responsibilities. This creates a risk that the individual's judgment or actions could be, or could be seen to be, unduly influenced by that external interest. "Conflict of interest" includes both actual and apparent conflicts of interest.

4.2.1 **"Apparent Conflict of Interest"**: a situation where there exists a reasonable perception, which a reasonably well-informed person could properly have, that the individual's ability to exercise an official power or perform an official duty or function must have been affected by their private interest.

4.3 **"President and CEO"** means the individual appointed by the Board of Governors to the position of President and CEO pursuant to section 81 of the *Post-Secondary Learning Act*.

4.3.1 The President and CEO is the "chief executive officer" of the Polytechnic for the purposes of the *Conflicts of Interest Act*, as that term is defined at section 23.92(1)(b) of that Act.

4.3.2 The President and CEO is both a "senior official" and a "designated senior official" for the purposes of the *Conflicts of Interest Act*, as those terms are respectively defined at sections 23.92(1)(k) and 23.92(1)(d) of that Act, by designation under Order in Council 085/2018 of the Lieutenant Governor in Council.

5. Guiding Principles

- 5.1. The Polytechnic requires all employees to uphold its high ethical standards of conduct.
- 5.2. Employees must know and understand the duties and obligations of their role, including those provided in this Code. Employees must act impartially in carrying out their duties and meeting their obligations and must exercise any discretionary decision-making authority in accordance with the Polytechnic's ethical standards.
- 5.3. Employees of the Polytechnic are prohibited from acting primarily in self-interest or furthering their private interests by virtue of their position with the Polytechnic or through the carrying out of their employment responsibilities.
 - 5.3.1. An employee's primary responsibility is to the Polytechnic and this responsibility should take precedence over all other working relationships.
 - 5.3.2. An employee's external interests should not compromise their ability to perform all activities expected of them.
 - 5.3.3. The employee should act in the best interest of the Polytechnic and must not bring the Polytechnic into disrepute.
- 5.4. Employees must respect the confidentiality of the Polytechnic and are not permitted to use Polytechnic resources or information that is not publicly available for the private benefit of any person.
- 5.5. Any person who suspects or observes an employee engaging in unethical behavior or other activities contrary to this Code should raise the concern or notify an appropriate party in the manner specified by Section 11 of this Code.
 - 5.5.1. An employee should not attempt to personally conduct investigations or interviews related to any suspected unethical activity.
 - 5.5.2. The Human Resources Department may share any report with an employee's immediate supervisor and/or the President and CEO, as necessary.
- 5.6. The following are a non-exhaustive list of examples of situations, behaviors or activities that the Polytechnic may consider unethical behavior:
 - 5.6.1. Attempting, encouraging, or knowingly permitting anyone to breach the Polytechnic's policies, including this Code;
 - 5.6.2. Discriminating against or harassing anyone for cultural, religious, gender, lifestyle, or any other prohibited ground;
 - 5.6.3. Using social media, computers, or other electronic means/media in a manner that violates this Code;
 - 5.6.4. Using Polytechnic assets or resources in an abusive or fraudulent manner;
 - 5.6.5. Abusing computer or network resources of the Polytechnic, including violating copyright law; interfering in network operations; engaging in inappropriate messaging; making unauthorized use of another person's identification or credentials; or conducting inappropriate internet searches;

- 5.6.6. Causing or allowing any practice, activity, or decision which is unlawful, imprudent, indecent, or in violation of the law, commonly accepted business practices, or this Code;
 - 5.6.7. Exploiting a member of the Polytechnic community for personal gain;
 - 5.6.8. Disseminating information that is deceptive, false, misleading or prejudicial to the interests of the Polytechnic;
 - 5.6.9. Using any authority given by the Polytechnic in an excessive or abusive manner, including placing extraordinary, contradictory, or unfair demands on coworkers or students;
 - 5.6.10. Engaging in a personal relationship wherein one party is in a position of authority over another party, such as a student and their instructor or supervisor;
 - 5.6.11. Using or permitting the use of Polytechnic-owned equipment, material or property for personal profit (except where expressly allowed by contract between the Polytechnic and the employee);
 - 5.6.12. Speaking or acting on behalf of the Polytechnic when participating in any activity, without having such authority or agency;
 - 5.6.13. Disrespecting the confidentiality of the Polytechnic, coworkers, students, or other persons.
6. Obligations Respecting Conflicts of Interest
- 6.1. Employees must exercise care to avoid conflicts of interest.
 - 6.2. An employee engaging in an activity or situation that creates a conflict of interest must immediately:
 - 6.2.1 Self-report the conflict of interest to the Human Resources department using the specified form;
 - 6.2.2 End or resolve the conflict of interest or seek a determination the conflict is manageable; and
 - 6.2.3 Take reasonable steps to protect themselves and the interests of the Polytechnic.
 - 6.3. An employee with a conflict of interest that will not be immediately ended or resolved must request that the Polytechnic review the conflicting activity or situation and make a determination as to whether the conflict is a manageable conflict.
 - 6.3.1 A request is to be made to the Human Resources department and must specify:
 - 6.3.1.1 The nature of the conflict of interest;
 - 6.3.1.2 The actions the employee will take to ensure the conflict does not prejudice their ongoing employment responsibilities with the Polytechnic; and
 - 6.3.1.3 If the conflict relates to alternate employment, outside business interests, or other appointments, the contact information of persons involved with the other activity that the Polytechnic may contact if necessary to determine whether any conflict will be manageable or not.

- 6.3.2 The Human Resources department may involve an employee's immediate supervisor, the President and CEO, or any other appropriate parties in investigating whether the conflict of interest is manageable.
- 6.3.3 The Polytechnic will make a written determination within a reasonable time from the receipt of the request as to whether or not the conflict of interest is manageable.
 - 6.3.3.1 If the conflict of interest is determined to be unmanageable, the employee must end or resolve the conflict or resign from their employment with the Polytechnic.
 - 6.3.3.2 If the conflict of interest is determined to be a manageable conflict, it is the obligation of the employee to ensure the conflict remains manageable and to notify the Polytechnic of any material change in circumstances.
- 6.3.4 If the request is being made by the President and CEO, the request is to be made to the Board of Governors Chair (the "Chair"), who will review and make a determination in the same manner as normally assigned to the Human Resources department in this Section.
- 6.4. Notwithstanding the ongoing and active obligation to declare conflicts of interest immediately, employees may be asked to complete annual declarations that they are free from conflicts of interest.
 - 6.4.1 If an employee is not sure what or whether to declare, the employee should err on the side of caution.
 - 6.4.2 An employee may contact an immediate supervisor or the Human Resources department for guidance.
- 6.5. Any employee who observes or suspects another employee is engaging in a conflict of interest contrary to this Code should raise the concern or notify an appropriate party in the manner specified by Section 11 of this Code.
 - 6.5.1 An employee should not attempt to personally conduct investigations or interviews related to any suspected conflict of interest.
 - 6.5.2 The Human Resources department may share any report with an employee's immediate supervisor and/or the President and CEO, as necessary.
- 6.6. The following are a non-exhaustive list of examples of situations that may be a conflict of interest:
 - 6.6.1 Entering into a service contract on behalf of the Polytechnic with a company in which the employee has a financial interest;
 - 6.6.2 Hiring a consultant because they are related to the employee;
 - 6.6.3 Using Polytechnic resources (including time, equipment, or confidential information) for the benefit of another employer, business interest or appointment;

- 6.6.4 Participation in the recruitment, hiring, promotion, or evaluation of someone related to the employee;
 - 6.6.5 Facilitating the enrolment of a student who does not meet the entrance requirements of the Polytechnic because they are related to the employee;
 - 6.6.6 Awarding contracts to the employee's previous employer or firm without due process;
 - 6.6.7 Carrying on work related to an alternate employment, outside business interest or other appointment during a Polytechnic work day;
 - 6.6.8 Using non-public Polytechnic information for the personal gain or advantage of the employee;
 - 6.6.9 Receiving personal discounts of significant value from Polytechnic suppliers or service providers.
7. Alternate Employment
- 7.1. Employees holding alternate employment, outside business interests, or other appointments other than their position with the Polytechnic are in a situation of potential conflict and therefore must self-report the activity in accordance with the conflicts procedures in this Code.
 - 7.2. Employees are encouraged to consult with the Human Resources department before accepting or beginning any alternate employment, outside business interest, or other appointment, for a preliminary and non-binding opinion as to whether a potential conflict might be manageable or not. The President and CEO may consult the Chair.
8. Gifts
- 8.1. Employees must exercise care to avoid a conflict of interest due to the acceptance of gifts.
 - 8.2. Where a gift is offered to an employee directly or indirectly as a result of that employee's position with the Polytechnic, the employee may not accept the gift unless acceptance of the gift would not create a real or apparent conflict of interest. Situations not expected to create a conflict include where the gift is:
 - 8.2.1 a token received as part of reasonable protocol;
 - 8.2.2 given as a social obligation or cultural practice;
 - 8.2.3 given as incident for participating in a public event; or
 - 8.2.4 a gift reasonably given by a family member or friend.
 - 8.3. An employee may not accept without special approval:
 - 8.3.1 cash or a cash equivalent;
 - 8.3.2 any gift with a value exceeding \$200; or
 - 8.3.3 any combination of gifts from a single source within a year exceeding a combined total value of \$500.

- 8.4. Notwithstanding the above, the President and CEO may accept from a donor or friend of the institution without special approval:
 - 8.4.1 a gift with a value that does not exceed \$1,000; and
 - 8.4.2 any combination of gifts and event invitations (inclusive of all registration fees, transportation arrangements, and accommodation) from a single source within a year which does not exceed a combined total value of \$1,500.
 - 8.5. If a gift is offered to a spouse, adult independent partner or minor child of the employee, the same considerations apply as if the gift were given to the employee directly.
 - 8.6. An employee who is uncertain whether the acceptance of a gift is appropriate may contact the Human Resources department for direction. The President and CEO may contact the Chair.
 - 8.7. If the valuation of any gift is disputed, the value will be determined in the sole discretion of the President and CEO. If the President and CEO is the recipient of the gift, the value will be determined in the sole discretion of the Chair.
 - 8.8. If an employee is offered a gift which may exceed a maximum value, the employee may contact the Human Resources department in writing to seek special approval to accept the gift. If the gift is being offered to the President and CEO, the President and CEO may seek special approval in writing from the Chair. Approval will be granted in writing only if acceptance of the gift would not create a conflict of interest and is not contrary to the principles of this Code.
 - 8.9. If an employee accepts a gift with a maximum value in excess of any maximum stipulated by this Code, and special approval has not been received, the gift must be returned to the offeror within a reasonable time of its acceptance. If returning the gift is impractical, or would be socially or culturally unacceptable, the gift must be forfeited to the Polytechnic through the Human Resources department.
9. Event Invitations
 - 9.1. Employees must exercise care to avoid a conflict of interest due to the acceptance of an invitation to an event.
 - 9.2. Where an employee is invited to attend an event directly or indirectly as a result of the employee's position with the Polytechnic, the employee may accept the event invitation if the acceptance and attendance at the event would not create a real or apparent conflict of interest. Situations not expected to create a conflict include events where:
 - 9.2.1 the event is open to the general public (e.g., annual parades, small community BBQs, Calgary Stampede, Edmonton K-Days);
 - 9.2.2 the employee's attendance at the event is within the scope of duties or obligations normally accompanying their position with the Polytechnic; or
 - 9.2.3 the employee pays for their own costs of attendance (including registration fees, transportation arrangements, food and beverages and accommodation).

- 9.3. Where an employee is offered tickets to an event, but the offeror is not attending with the employee and is instead offering the tickets to do with as the employee pleases, the tickets should be treated as a "gift" in accordance with this Code.
- 9.4. If more than one invitation is given to an event (e.g. two or more tickets), the total cost of all tickets received by the employee are to be included in valuing the event invitation. (e.g. two tickets at \$100 each is \$200 for the purposes of calculating the value of the invitation).
- 9.5. An employee may not accept an invitation to an event, without special approval, where:
 - 9.5.1 If the event is a conference, seminar, or other event for which the employee has been invited as a speaker or active participant, and the speaking or participation is related to their duties as an employee of the Polytechnic:
 - 9.5.2 The total value of attending the event, inclusive of all registration fees, transportation arrangements, food and beverages, and accommodation, exceeds \$8,000;
 - 9.5.2.1 The total value of attending all such event invitations made by a single source, inclusive of all registration fees, transportation arrangements, food and beverages, and accommodation, exceeds \$16,000 in a calendar year; or,
 - 9.5.2.2 The total value of attending the event would be unreasonable in the circumstances.
 - 9.5.3 For any other event:
 - 9.5.3.1 the total value of attending the event, inclusive of all registration fees, transportation arrangements, food and beverages, and accommodation, exceeds \$300; or
 - 9.5.3.2 the total value of attending all event invitations made by a single source, inclusive of all registration fees, transportation arrangements, food and beverages, and accommodation, exceeds \$400 in a calendar year.
- 9.6. Notwithstanding the above, the President and CEO may accept from a donor or friend of the institution without special approval:
 - 9.6.1 An invitation to an event where the total value of attending the event, inclusive of all registration fees, transportation arrangements, food and beverages, and accommodation, does not exceed \$1,000; and
 - 9.6.2 Any combination of gifts and event invitations (inclusive of all registration fees, transportation arrangements, food and beverages and accommodation) from a single source within a year which does not exceed a combined total value of \$1,500.
- 9.7. An employee who is uncertain whether the acceptance of an event invitation is appropriate may contact the Human Resources department for direction. The President and CEO may contact the Chair.

- 9.8. If the valuation or reasonability of attending any event is disputed, the value or reasonability will be determined in the sole discretion of the President and CEO. If the President and CEO is the recipient of the invitation, the value or reasonability will be determined in the sole discretion of the Chair.
- 9.9. If an employee is invited to an event which may exceed a maximum value, or is likely to be unreasonable, the employee may contact the Human Resources department in writing to seek special approval to accept the invitation. If the invitation is being offered to the President and CEO, the President and CEO may seek special approval in writing from the Chair. Approval will be granted in writing only if acceptance of the event invitation would not create a conflict of interest and is not contrary to the principles of this Code.
- 9.10. If an employee accepts an invitation to an event in excess of any maximum stipulated by this Code, and special approval has not been received, the amount in excess of the maximum value must be reimbursed by the employee to the Polytechnic.
10. Special Obligations of the President and CEO
- 10.1. In addition to the obligations owed in any code of conduct, the President and CEO:
- 10.1.1 Must not take part in a decision in the course of carrying out their office or powers knowing that the decision might further their own private interest, the private interest of their own minor or adult child, or the private interest of any person directly associated with them, pursuant to section 23.925(1) of the *Conflicts of Interest Act*;
- 10.1.2 Must not use their office or powers to influence or to seek to influence a decision to be made by or on behalf of the Crown or a public agency to further their own private interest, the private interest of their minor child, or the private interest of any person directly associated with them, or to improperly further any other person's private interest, pursuant to section 23.925(2) of the *Conflicts of Interest Act*;
- 10.1.3 Must not use or communicate information not available to the general public that was gained by them in the course of carrying out their office or powers to further or seek to further a private interest of their own, or any other person's private interest, pursuant to section 23.925(3) of the *Conflicts of Interest Act*; and
- 10.1.4 Must not fail to appropriately and adequately disclose a real or apparent conflict of interest in the manner specified in this Code, pursuant to section 23.925(4) of the *Conflicts of Interest Act*.
- 10.2. Notwithstanding any decision of the Polytechnic made under Sections 6 or 7 of this Code, the President and CEO may not be involved in any conflicting activity or situation that involves alternate employment, outside business interests, or other appointments without obtaining approval in writing from the Ethics Commissioner pursuant to section 23.926 of the *Conflicts of Interest Act*. The President and CEO must first obtain a determination from the Board that the conflict is manageable before applying to the Ethics Commissioner for approval.

TRANSITIONAL: If the President and CEO is continuing under the same contract, agreement, or appointment with the Polytechnic that was in effect as of December 15, 2017, the obligation to obtain approval from the Ethics Commissioner does not apply until the earlier of:

- a. December 15, 2019, or
- b. The date on which the President and CEO renews, extends, modifies, or otherwise enters into a new agreement or is re-appointed to continue as the President and CEO.

If the President and CEO renewed, extended, modified, entered a new agreement or was re-appointed as the President and CEO on any date after December 15, 2017, the obligation to obtain Ethics Commissioner approval applies as of that date, subject to any other time periods required by the *Conflicts of Interest Act*. The President and CEO may consult section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional exception.

- 10.3. The President and CEO, as a designated senior official under the *Conflicts of Interest Act*, has other special obligations. The President and CEO must know and meet the obligations of that Act. These include, but are not limited to:
- 10.3.1 The President and CEO must not own or have a beneficial interest in public-traded securities, subject to legislated exceptions, pursuant to section 23.93 of the *Conflicts of Interest Act*;
 - 10.3.2 The President and CEO must file and keep current regular disclosure statements and returns in the form and manner determined by the Ethics Commissioner, pursuant to sections 23.931 and 23.932 of the *Conflicts of Interest Act*; and
 - 10.3.3 The President and CEO must observe all restrictions on post-employment activity pursuant to section 23.937 of the *Conflicts of Interest Act*.

TRANSITIONAL: If the President and CEO is continuing under the same contract, agreement, or appointment with the Polytechnic that was in effect as of April 4, 2018, the obligations of the President and CEO as a designated senior official under the *Conflicts of Interest Act* do not apply until the earlier of:

- a. April 4, 2020, or
- b. The date on which the President and CEO renews, extends, modifies, or otherwise enters into a new agreement or is re-appointed to continue as the President and CEO.

If the President and CEO extended, renewed, modified, entered a new agreement or was re-appointed as the President and CEO on any date after April 4, 2018, the obligations as a designated senior apply as of that date, subject to any other time periods stipulated by the *Conflicts of Interest Act*. The President and CEO may consult section 23.971 of the *Conflicts of Interest Act* for greater detail on the transitional exception.

11. Complaints, Investigations and Responses to Alleged Violations
 - 11.1. It is the right of every person to make a report in good faith under this Code without fear of reprisal. Retaliation or reprisals against persons making such reports in good faith will not be tolerated.
 - 11.2. Concerns about violations of this Code, including ethical violations or conflicts of interest, can be raised in a number of ways including:
 - 11.2.1 Raising the concern with an immediate supervisor;
 - 11.2.2 Notifying the Human Resources department;
 - 11.2.3 Notifying the applicable Vice-President; or
 - 11.2.4 Notifying the President and CEO.
 - 11.3. The Human Resources department has the primary responsibility for initiating investigations. The Director will conduct an initial assessment to determine who, if anyone, will conduct the investigation (internally or externally) and will make a recommendation to the President and CEO and/or external legal counsel, as appropriate.
 - 11.4. All initial assessments will be reviewed periodically by the Human Resources department to ensure that:
 - 11.4.1 A consistent approach is being applied to all suspicions or complaints following discovery or notification of an alleged violation; and
 - 11.4.2 Any necessary risk mitigation activities are being undertaken to minimize any losses the Polytechnic could experience.
 - 11.5. Any employee suspected or alleged to have committed an ethical violation or to have engaged impermissibly in a conflict of interest are to be treated fairly and consistently.
 - 11.5.1 All investigations undertaken, externally or internally, will be carried out in accordance with any applicable laws in the Province of Alberta and any obligations existing in any collective agreement or contractual agreement.
 - 11.6. If the investigation substantiates that a violation of this Code has occurred, including any unethical behavior, fraudulent activity, or unreported conflicts of interest, the Human Resources department will advise the President and CEO and any others, as appropriate, in determining the appropriate course of action.
 - 11.6.1 An employee found to be in violation of the Code may be disciplined in the manner specified by Section 3.3 of this Code.

12. Confidentiality

- 12.1. The Polytechnic treats all information received confidentially where possible. Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. This is important in order to avoid damaging the reputations of persons suspected but subsequently found innocent of wrongful conduct and to protect the Polytechnic from potential civil liability.
- 12.2. All copies of written complaints, findings, warnings, reprimands, or other documentation relating to an actual or alleged breach of this Code, including the result of any investigation, will be added to an employee's personnel file with the Polytechnic.

13. Political Activity

- 13.1. Employees may engage in political activity as long as the activity does not impair, or is perceived to impair, their ability to carry out their employment responsibilities in an impartial and timely manner.
- 13.2. The Polytechnic itself does not participate in municipal, provincial, or federal politics. Therefore:
 - 13.2.1. No employee may endorse a political party, campaign, or candidate on behalf of the Polytechnic or using the Polytechnic's name.
 - 13.2.2. No employee may infer political support, bias, or contribution on behalf of the Polytechnic or using the Polytechnic's name to any political event, party, candidate or campaign.
- 13.3. Any employee who contributes, participates, or voices or otherwise expresses political opinions or support must do so in their personal capacity and not as employees or representatives of the Polytechnic.

14. Personal Relationships

- 14.1. The Polytechnic permits individuals in close personal relationships to be employed at the Polytechnic but under strict guidelines that are designed to prevent the creation of situations where preferential treatment could exist or be perceived to exist.
- 14.2. Employees must not have influence, input or participate in decisions related to the hiring, engagement, evaluation, promotion or establishment of terms and conditions of employment or contracts of anyone with whom they have a close personal relationship.
- 14.3. Prospective employees, industry partners or contractors in close personal relationships with current employees are generally not eligible for hire to the business unit in which the current employee is employed, if the hire would create a supervisory relationship between the two individuals.
 - 14.3.1. In exceptional circumstances, the hire may be allowed by special approval from the appropriate Vice-President in consultation with the Human Resources department, if the hire is necessitated by bona fide occupational needs, the unique qualifications of the prospective employee or contractor, or other circumstances.

14.4. Employees in close personal relationships with other employees are not eligible for transfer or promotion to the department or work unit in which the other employee is employed if the transfer or promotion would create a supervisory relationship between the two individuals.

14.4.1. In exceptional circumstances, the transfer or promotion may be allowed by special approval from the appropriate Vice-President in consultation with the Human Resources department, if the supervisory relationship resulting from the transfer or promotion can be managed appropriately.

15. Administrative

15.1. The Polytechnic reserves the right to amend this Code as necessary.

15.1.1. Such amendments will be made in accordance with section 23.923 of the *Conflicts of Interest Act*, and any other relevant provisions or legislation.

15.2. The Polytechnic will respect and comply with its obligations under the law, its contractual agreements and its collective agreements.

15.2.1. Where there are inconsistencies between this Code and a law, collective agreement, or contractual agreement, the law, collective agreement or contractual agreement will prevail.

15.2.2. Employees are expected to know and comply with applicable Federal and Provincial laws and regulations relating to their employment responsibilities with the Polytechnic.

15.3. Questions or concerns about this Code can be addressed to an employee's immediate supervisor or the Human Resources department.

16. Implementation Period

16.1. This Code will be made public on the Polytechnic's website on or before April 30, 2019, after receiving approval from the Ethics Commissioner of Alberta pursuant to section 23.922 of the *Conflicts of Interest Act*.

16.2. This Code will be implemented on or before July 1, 2019.

17. Transitional

17.1. As of the date this Code is implemented, this Code replaces the following previous Polytechnic policies:

17.1.1. *Conflict of Interest Policy*,

17.1.2. *Ethics and Accountability Policy* and

17.1.3. *Political Contributions and Attendance at Political Events Policy*.

17.2. Prior to the implementation of this Code, the aforementioned policies remain in effect.

Appendix 1 – Declaration of Conflict of Interest Form

This form is available in the Human Resources Forms on the NWP Assistant.



DECLARATION OF CONFLICT OF INTEREST FORM
EMPLOYEE

Employee Name: _____

Position: _____

Department: _____

Date: _____

Employees must avoid conflicts of interest or situations where their personal interests could conflict or appear to conflict with their employment duties or responsibilities.

If employees find themselves in situations or potential situations, of conflict of interest they must seek guidance from their supervisor or HR Department to determine if a conflict exists and how to deal with it. If a conflict of interest or a potential conflict of interest is identified the employee must formally declare the conflict by using this Declaration of Conflict of Interest Form.

I, _____ Full Name _____, hereby declare the following actual or potential conflict of interest:

1. Description of the situation giving rise to the actual or potential conflict of interest:

2. Name of company(s) or individual(s) involved with the actual or potential conflict of interest:

3. Nature of personal interest or involvement with company(s) or individual(s):

4. If there is a gift or event please provide estimate value: \$ Amount

5. In agreement with my supervisor, we have agreed to the following actions to be taken to mitigate the actual or potential conflict of interest:

The undersigned hereby acknowledge the above noted actual or potential conflict of interest and agree to the above noted action to be taken to mitigate the actual or potential conflict of interest.

Signature of Employee

Date

Signature of Supervisor

Date

Signature of Director, Human Resources

Date

Signature of President (as needed)

Date

Please send completed form to humanresources@nwpolytech.ca