

MOUNT ROYAL UNIVERSITY
PERFORMANCE APPRAISAL FORM
ANNUAL REVIEW

Employee Name: _____

Department: _____

Position Title: _____

Appraisal Period: _____ To: _____

SECTION I : AREAS OF RESPONSIBILITY AND OBJECTIVES

This performance appraisal will be based on the following criteria as agreed upon during the employee's last performance appraisal:

- (a) Duties and responsibilities as identified on the employee's position description, as well as other related behaviour. Is the position description accurate and up-to-date?

yes

no

requires review

- (b) Special objectives, goals, projects, and tasks which have been set for this period and are identified below.

INTERIM PERFORMANCE REVIEW DATE (if desired):

SECTION II : ASSESSMENT OF PERFORMANCE

Please assess the employee's performance with regard to the duties and responsibilities identified on the position description, other related behaviour, and special objectives, if appropriate.

- (a) Evaluative comments regarding overall performance during this appraisal period:
- (b) Comments on factors which may have positively or negatively affected performance:
- (c) Area(s) in which employee has been most successful:
- (d) Professional development workshops/courses completed:
- (e) Area(s) in which employee requires improvement, or where improvement is desirable:
- (f) Recommendation(s) for employee training and development:
- (g) Additional comments on employee performance:

(h) Salary increment (place your signature on the appropriate line):

- (i) salary increment to be granted (subject to the terms and conditions of the current Collective Agreement, if any):
- (ii) salary increment to be denied:
- (iii) salary increment to be withheld and may be granted pending a performance review on:

SECTION III: MRU SERVICE AND COMMUNITY ENGAGEMENT

Please note involvement and the contributions made to the mission of the university outside the position description duties and responsibilities, if applicable. Examples include, but are not limited to, MRSA Executive and Association related committees, departmental or institutional committees, convocation and student orientation and MRU community activities such as United Way fundraising and corporate challenge events.

SECTION IV: REVIEW OF APPRAISAL

(a) Employee requested training and development:

(b) Employee's comments on this assessment:

(c) Employee reviewed the Code of Ethics and Conduct; and Conflict of Interest Policy (included but also available on the p: university drive: Forms: HR) on _____.

(d) _____
Supervisor's Printed Name and Signature Employee's Signature Date

(Signatures indicate that the appraisal has been discussed by signatories)

NEXT LEVEL OF SUPERVISION

I have reviewed this performance appraisal form for information.

Signature

Date

SECTION IV

Please complete the Areas of Responsibility and Objectives for the next appraisal period and retain for your records.

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ANNUAL REVIEW

Employee Name:

Department:

Position Title:

Appraisal Period:

To:

SECTION I : AREAS OF RESPONSIBILITY AND OBJECTIVES

This performance appraisal, for the period noted above, will be based on the following criteria:

- (a) Duties and responsibilities as identified on the employee's position description, as well as other related behaviour. Is the position description accurate and up-to-date?

yes

no

requires review

- (b) Special objectives, goals, projects, and tasks which have been set for this period and are identified below.

Supervisor's Signature

Employee's Signature

Date



Mount Royal University Information Security
Code of Ethics and Conduct
Conflict of Interest
October, 2010

Security and confidentiality are matters of concern to all University employees and to all other persons who have access to University records. Recognizing this and that all institutional data is a valuable resource to Mount Royal University, and that the value can be diminished through misuse, this Code of Ethics and Conduct has been developed to formally establish roles and responsibilities of **all** employees who access University records.

This code pertains to information in all its forms regardless of medium including, but not limited to, computer files, paper files, e-mail, books, microfilm/fiche, video, audio tape, voice mail, pictures and images.

I, as an employee of Mount Royal University have access to University records and computing accounts. I am therefore responsible and accountable for the information I input. As well I am responsible and accountable for the use of any University assigned computing accounts and the security, integrity, and validity of the information I input. I will also take reasonable measures to ensure that entries in any report or record are complete and accurate.

Accordingly, I understand and accept my responsibilities to protect and enhance the value of the information by:

Security

- ensuring the content of any record or report is not revealed by me to anyone, except in the conduct of my work assignments and in accordance with University policies and procedures
- maintaining the security of my personal passwords
- ensuring I take appropriate security measures for any official record or document and not removing or copying that record or document except in the performance of my assigned duties
- ensuring nothing I do will facilitate an attempt to subvert the security and access restrictions or mechanisms associated with my computer accounts

Use

- ensuring that I do not use or allow unauthorized or inappropriate use of information that I am authorized to access, due to my actions or lack thereof
- not seeking personal benefit or allowing others to benefit personally from the knowledge of any confidential information I have acquired through work assignments. Computer resources are the property of the University and are to be used for authorized business purposes only. (See University Conflict of Interest Policy #960-15 attached)

Access

- ensuring that I have access only to the information I require to do my job and that I will not provide it to others inappropriately
- ensuring that if my job status changes I will ensure, through consultation with my supervisor, that my access levels to information change as required

Accuracy

- ensuring that I do not knowingly enter or alter information inaccurately or misleadingly in any report or record
- ensuring that I do not knowingly and improperly delete a data record or data from any record, report or file

Any knowledge of a **perceived** violation of this code must be reported immediately to my supervisor.

Violations may lead to disciplinary action, including dismissal and/or actions being taken under the Criminal Code.

Conflict of Interest POLICY 960-15

A. OVERVIEW

Through its mandate Mount Royal recognizes that it has a responsibility for maintaining public trust and confidence with its internal and external communities. In carrying out its mandate Mount Royal employees interact with many individuals and organizations and this creates the possibility of perceived or actual conflicts of interest. To maintain public trust and confidence, Mount Royal must deal with conflict in a fair, open, consistent and practical manner.

All members of the Mount Royal community share in the responsibility to appropriately address conflicts of interest. This requires the collection of personal information as defined in the *Freedom of Information and Protection of Privacy Act* and the assessment of the information to identify and when appropriate, to manage potential conflict.

B. PURPOSE

The purpose of this policy is to ensure that the private interests of any Mount Royal employees do not conflict, or appear to conflict, with their duties and responsibilities at Mount Royal. The policy, therefore, is set out to identify and address potential, actual and apparent conflicts of interest to avoid, prevent, reduce, and deal with incidences of conflict.

C. SCOPE

This policy applies to all Mount Royal employees including full-time, part-time, those employed on term contracts and adjunct faculty. Further, the policy extends to other members of the Mount Royal community including students/former employees/members of committees who continue to have a relationship with Mount Royal and any person acting as an employee or on behalf of Mount Royal.

D. POLICY STATEMENT

Mount Royal will be pro-active and vigilant concerning conflicts of interest. Mount Royal employees are not to engage in activities where there may be a conflict of interest until those considerations are disclosed, assessed and appropriately dealt with. Mount Royal will establish procedures for disclosing conflict related considerations, assessing these considerations and managing allowed conflicts. The procedures for managing conflict of interest will be fair, open, consistent, practical and legislation compliant.

Conflicts of interest may be allowed if they can be managed in a way that is compliant with legislation, and considers, protects and serves the interests, integrity and reputation of Mount Royal, and will withstand the test of reasonable and independent scrutiny.

As with all Mount Royal policy and associated procedures, non-compliance constitutes misconduct, and may be pursued under the applicable collective agreement or Mount Royal policy. Mount Royal reserves the right to recover any profit or financial benefit achieved by a Person as a result of non-compliance.

E. DEFINITIONS

In this Policy,

(1) "Conflict of interest" means situations where:

- a) a Person has or could be seen to have used his/her authority, knowledge or influence derived from his/her position at Mount Royal to benefit the Person, the Person's Family, the Person's Close Personal Contact, or an Outside Party;
- b) a Person accepts outside employment or engages in outside activities which may interfere with the efficient performance of the person's duties with Mount Royal;
- c) gifts, gratuities, or favors of any kind are exchanged between a Person and any Outside Party whose relationship with Mount Royal involves the Person's sphere of responsibilities, but does not include the acceptance or giving of common courtesies associated with accepted business practices such as accepting or giving gifts of nominal value which could not be construed as a bribe or other improper payment; or,
- d) a Person enters in or is in a romantic, intimate or close personal relationship with a student or another employee that could lead to actual or perceived favoritism or an imbalance of power.

Examples of conflicts of interest include, but are not limited to the following:

- i. authorizing Mount Royal to purchase services, supplies or equipment from a source in which the Person or Person's Family has an interest;
- ii. when participation in outside activities prevents an instructor from being reasonably available to students for individual consultation, advice, and assistance;
- iii. offering a workshop or other activity as a private venture and who identifies himself/herself as a representative of Mount Royal;
- iv. use of Mount Royal resources or facilities for the Person's personal benefit;
- v. conducting an academic evaluation or the conferring or denying of an academic or administrative benefit for a student who is the Person's Family or Person's Close Personal Contact;
- vi. supervising the Person's family or Person's Close Personal Contact;
- vii. accepting gifts, benefits or favours from individuals or firms with which Mount Royal does business, with the exception of minor gifts as token courtesies;

- viii. entering into a research contract with a company in which the Person, Person's Family or Person's Close Personal Contact has financial interest;
 - ix. directing the Person's government-sponsored research program to serve the research or development needs of a private firm in which the Person has a financial or other interest; or
 - x. entering into a licensing agreement for the development of intellectual property, generated as a result of Mount Royal research, with a company in which the Person has a personal interest.
- (2) "Person" refers to academic staff, support staff, exempt staff, management, students, members of the Board of Governors and any other person who has a contractual or fiduciary relationship with Mount Royal.
 - (3) "Person's Family" refers to a Person's spouse or adult interdependent partner, parent, guardian, grandparent, grandchild, son, daughter, foster-child, nephew, niece, brother or sister, or brother-in-law or sister-in-law.
 - (4) "Person's Close Personal Contact" refers to an individual with whom a Person has a romantic or intimate personal relationship, whether that relationship currently exists or has recently existed.
 - (5) "Outside Party" refers to any corporation, partnership, sole proprietorship or other legal entity created to further their interest (either for profit or otherwise) and people to whom the Person or Mount Royal provides individual professional services.

Guidelines

The range and complexity of Mount Royal activities is such that it is not possible to produce a list of prohibitions which permit uniform application; thus, the following sections are therefore issued as guidelines to employees. The sections are not intended to be exhaustive and if other questions arise, they should be settled in accordance with the general principles of this policy.

Members of the Mount Royal community are expected to avoid real, apparent, or potential conflicts of interest between their duties to the institution and personal interests. In the event a conflict of interest is perceived, has occurred or may arise, the Person involved is required to disclose the conflict of interest or potential conflict of interest to his/her immediate supervisor in writing.

- (1) No conflict should exist or appear to exist between the private interests of employees and their duties and obligations to Mount Royal. Employees are under an obligation to manage their personal affairs so that no conflict of interest arises.
- (2) Employees are required, as necessary, to disclose any business, commercial or financial interest which the employee and/or immediate family may have, which could be construed to be in actual or potential conflict with the employee's role at Mount Royal.
- (3) Employees should not provide in the performance of their duties, preferential treatment to relatives or friends or to a business, proprietorship, corporation or organization in which they or their relatives have an interest, financial or otherwise. Whenever employees perceive a potential conflict of interest developing, they shall consult with their immediate supervisor. If the supervisor concludes that no conflict exists, the employees may request a written statement to

that effect.

- (4) Romantic, sexual and financial relationships may develop between members of the Mount Royal community and members of the Mount Royal community should bear in mind that:
- (a) All romantic, intimate or personal relationships must be consensual and legal but, even though the relationship is consensual, it can raise serious concerns about the validity of consent, conflicts of interest and favoritism.
 - (b) Mutual consent may be in question should a complaint of harassment and /or discrimination arise either during or after a relationship involving partners where there is an inherent power imbalance that exists with one partner (for example, an instructor and student or a supervisor and employee).
 - (c) Where there exists an inherent power imbalance simultaneous with a consensual romantic, intimate, or personal relationship, responsibility for direct supervision and/or evaluation will be removed and there should be no ability to influence the employment or academic status of the other individual with whom there is a relationship.
 - (d) Generally, Mount Royal will be unsympathetic to a defense that the relationship was consensual when the facts establish that the accused had the power to affect the complainant's academic or employment status or future prospects.
 - (e) While everyone is encouraged to maintain professional boundaries, the ultimate responsibility for these always lies with the individual with the inherent power, the faculty member or the supervisor, not the student or employee.
 - (f) Avoiding this type of conflict of interest requires that the person in the position of authority disclose the conflict of interest to his/her immediate supervisor.
- (5) **No employee shall:**
- (a) be a party, either personally or through an unincorporated business firm, partnership or proprietorship, to a subsisting contract with Mount Royal other than a contract of employment under which money of Mount Royal is payable or may become payable unless prior approval has been obtained from the Division Head;
 - (b) have a shareholding interest in any private corporation (other than a corporation whose shares are publicly traded) which has a subsisting contract with Mount Royal under which money of Mount Royal is payable or may become payable unless prior approval has been obtained from the Division Head;
 - (c) market for personal gain the results of Mount Royal's sponsored activities except where a written agreement has been reached with Mount Royal through the Department Head and approved by the Division Head;
 - (d) take undue advantage of their position with Mount Royal to derive personal gain;
 - (e) hold himself/herself to be an agent of Mount Royal when engaged in outside activities.
- (6) To preserve the image and integrity of both the employee and Mount Royal, business gifts should be discouraged. Gifts other than items of very small intrinsic value such as business diaries or calendars should not be accepted.
- (7) From time to time, particularly in the context of International Education, gifts are given by international students. It would be inappropriate to refuse such gifts. It should be assumed,

however, that such gifts are given to the Institution and not to the individual.

- (8) Moderate hospitality is an accepted courtesy of a business relationship. The recipients, however, should not allow themselves to reach a position whereby they might be deemed by others to have been influenced in making a business decision as a consequence of accepting such hospitality. When in doubt of what is acceptable in terms of gifts or hospitality, the offer should be declined or advice sought from the employee's immediate supervisor.

(9) **Use of Mount Royal Facilities or Services**

Use of Mount Royal facilities or resources for the private business of a Mount Royal employee is not permitted unless authorized by the Mount Royal President or their designate. For purposes of this policy, Mount Royal facilities or resources include Mount Royal personnel, physical facilities, equipment, computers, materials and supplies.