

## ATB Ethical Conduct Requirements v.20110627

### A. Vendor Responsibility

#### Core Principle

The Vendor shall adhere to the highest standards of ethical business practices in all business dealings with ATB including:

#### Intent

Ensure that all relationships developed, implemented and managed by the Vendor are based on well recognized and sustainable ethical and business practice standards.

- To build respect, credibility, and ongoing value for the Vendor and for ATB.
- To directly contribute to the success of ATB.
- To encourage, through example, the highest professional standards.

#### Requirements

1. Understand and comply with all ethical and business practice standards of ATB, and in particular, Vendor Personnel engaged in providing the Services should be familiar with the *Code of Conduct and Ethics for the Public Service of Alberta*.
2. Identify and resolve standards conflicts, discrepancies, and omissions between the Vendor and ATB.
3. Understand and comply with all applicable laws in force in Alberta.
4. Promote decisions that support the best long-term interests of ATB as the client.
5. Obtain ATB's prior written approval of any Vendor communication to third parties representing new or changing ATB policies, strategies, directions and standards.
6. Bring to ATB's attention and encourage corrective action when there is observed non-compliance with these standards by others.

### B. Vendor Professional Representation

#### Core Principle

To represent Vendor skills, knowledge, and experiences with honesty and integrity.

#### Intent

- To ensure that the Vendor accurately represents its skills, knowledge, capabilities, and experiences.
- To help ensure fully-informed decisions by ATB.

## Requirements

1. In all written and verbal communications to accurately represent the Vendor's skills, experiences, and capabilities in a format that facilitates effective comparisons.
2. Engage only in activities for which the Vendor has the requisite education and experience.
3. Accurately represent information regarding current and future business operations and strategies, costs, pricing, resources, methods, requirements, risks, and assumptions.
4. Accurately represent the extent of executive support required for an outsourcing relationship and the intended decision-making and management process.
5. To disclose relevant past and all existing and potential business relationships that may, or may be perceived to, influence or affect a business decision or commitment made or to be made by ATB, and in particular, to disclose to ATB the Vendor's strategic business partners that may be interested in the delivery of services to ATB.
6. When providing references to make every possible effort to ensure that they accurately reflect all relevant experiences and accomplishments.
7. Disclose all material facts known that, if not disclosed, may affect the decision making of ATB.
8. To properly cite and credit the source of all information and ideas used, presented, and shared with others.

## C. Vendor Accountability for Outcomes

### Core Principle

To measure and share accomplishments in terms of the business outcomes actually achieved over time, using industry defined terms and thresholds where available, and in a way that can be objectively evaluated by others.

### Intent

- To ensure that the Vendor is focused on and evaluated based on actual outcomes achieved.
- To demonstrate economic value of the Services and deliverables in objective, standardized, and measurable terms.

## Requirements

1. Identify and recommend objective and standardized measures of success for all potential Vendor relationships that reflect the full range of business outcomes sought.
2. Identify and recommend objective and standardized measures of risks.
3. Collect and report actual outcomes achieved in objective measurable terms for the duration of the Contract.

4. Whenever possible, use outcomes-based data as the basis for business recommendations to ATB.
5. Evaluate measures of success and risk against industry trends and best practices and, where appropriate, update the same.