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Code of Conduct of the Operation of Hong Kong Association of Educational Psychologists

Version	Effective Date
3.0	01/07/2022

This document is only current as at the date of printing. Please refer to the HKAEP website for current version.

Document Number	HKAEP-A-COC-v3
Author	HKAEP Interim Professional Council
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Summary of changes

	Location	Changes in Version 3
1.	Whole document	Added a section 14 on fairness and diversity
2.	Section 2.3	Deleted "principles of society"
3.	Section 3	Revised wordings in section 3.2 from "incl. Government / public body employee" to "including employee of the Government or
		any public body"
4.	Section 4, 5, 6	Revised to prohibit members from accepting and offering advantages of any form
5.	Section 9.3	Elaborated in section 9.3.1 on the timeline of declaration of interests
6.	Section 12	Revised wordings in sections 12.2 and 12.3 from "All members and staff" to "All HKAEP Council members, Committee members and staff"
7.	Section 13.3	Revised wordings from "Any Member or staff member" to "Any HKAEP member or staff member"

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1 Ethical Commitment

The Hong Kong Association of Educational Psychologists Limited (hereafter referred to as the "HKAEP") believes that honesty, integrity and fair play are important corporate values. This Code sets out the basic standard of conduct expected of all Members¹ and staff², and the HKAEP's policy on acceptance of advantages and handling of conflicts of interest when dealing with HKAEP's business.

2 Integrity and Honesty

- 2.1 All Members and staff are expected to be trustworthy in their acts to serve the HKAEP, as opposed to serving their self-interest at the expense of the HKAEP. At no time should personal advantages be gained through exploiting positions or relationships. All potential conflicts of interests must be declared, and precautions taken. Actions and decisions should be able to withstand the "sunshine test" and be justified.
- 2.2 All registration decisions made by Members and staff are expected to be independent and objective with avoidance of conflicts of interest.
- 2.3 All Members and staff are expected to operate business fairly and honestly and comply with prevailing laws and regulations.

3 Prevention of Bribery

The HKAEP prohibits all forms of bribery and corruption. All Members and staff are prohibited from soliciting, accepting or offering any bribes in conducting the HKAEP's business or affairs, whether in Hong Kong or elsewhere. In conducting all business or affairs of the HKAEP, they must comply with the Prevention of Bribery Ordinance (POBO) of Hong Kong and must not:

- 3.1 solicit or accept any advantage from others as a reward for or inducement to doing any act or showing favour in relation to the HKAEP's business or affairs, or offer any advantage to an agent of another as a reward for or inducement to doing any act or showing favour in relation to his principal's business or affairs;
- offer any advantage to any public servant (including employee of the Government or any public body) as a reward for or inducement to his performing any act in his official capacity or his showing any favour or providing any assistance in business dealing with the Government / a public body; or
- offer any advantage to any staff of a Government department or public body while they are having business dealing with the latter.
 - (The relevant provisions of the POBO are at Annex 1.)

¹ "Members" refer to the members of the Board of Directors, Professional Council and Committees.

² "Staff" refer to all full-time, part-time and temporary staff, except where specified.

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4 Acceptance of Advantages

- 4.1 It is the HKAEP's policy that Members and staff should not solicit or accept any advantage of any form for themselves or others, from any persons, companies or organizations having business dealings with the HKAEP.
- 4.2 If a Member or staff member has to act on behalf of a client in the course of carrying out the HKAEP's business, he/she should also comply with any additional restrictions on acceptance of advantages that may be set by the client (e.g. Members and staff performing any duties under a Government or public body contract will normally be prohibited from accepting advantages in relation to that contract).

5 Offer of Advantages

Members and staff are prohibited from offering any advantage of any form to any director, staff member or agent of another company or organization, for the purpose of influencing such person in any dealing, or any public official, whether directly or indirectly through a third party, when conducting the HKAEP's business.

6 Entertainment

Member or staff are prohibited from accepting lavish or frequent entertainment from persons with whom the HKAEP has business dealings (e.g. suppliers or contractors) or from his/her subordinates to avoid placing himself/herself in a position of obligation.

7 Records, Accounts and Other Documents

Members and staff should ensure that all records, receipts, accounts or other documents they submit to the HKAEP give a true representation of the facts, events or business transactions as shown in the documents. Intentional use of documents containing false information to deceive or mislead the HKAEP, regardless of whether there is any gain or advantage involved, may constitute an offence under the POBO.

8 Compliance with Laws of Hong Kong and in Other Jurisdictions

Members or staff must comply with all local laws and regulations when conducting the HKAEP's business, and also those in other jurisdictions when conducting business there³ or where applicable⁴.

³ The "Integrity and Compliance with the Law: a guide to the prevention of corruption for SME entrepreneurs investing in Guangdong and Hong Kong" jointly published by the ICAC and the Guangdong Provincial People's Procuratorate provides guidance on the anti-bribery laws in Mainland China and Hong Kong. Directors and staff conducting the HKAEP's business in Mainland China and Hong Kong may find it helpful.

⁴ Some other countries' anti-bribery laws have provisions with extra-territorial effect, e.g. the UK's Bribery Act 2010, the USA's Foreign Corrupt Practices Act.

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9 Conflict of Interest

- 9.1 Members and staff should avoid any situation that involves a conflict of interest (i.e. situation where their private interest conflicts with the interest of the HKAEP) or the perception of such conflicts. No member of the HKAEP shall derive any personal profit or gain, directly or indirectly, by reason of his or her participation in HKAEP. When an actual, potential or perceived conflict of interest arises, it is the sole responsibility of any member to make a declaration to the HKAEP Professional Council through the reporting channel using Form B (Annex 3).
- 9.2 Some common examples of conflict of interest to be declared are described below but they are by no means exhaustive:
- 9.2.1 Members and staff who have family members, friends or other personal or business relationships must carefully consider whether those relationships create any conflict of interest with their entrusted role in the HKAEP. Examples include:
- (i) hiring a relative or friend as a staff or vendor;
- (ii) reviewing membership or admission application;
- (iii) handling complaints and appeal of a registrant;
- (iv) reviewing and approving CPD providers or organizations.
- 9.2.2 Members and staff should disclose any outside activities, financial interest or relationship that may pose a real, potential or perceived conflict of interest.

9.3 Guidelines of declaration of interests

- 9.3.1 All HKAEP Council members, Committee members and staff of HKAEP shall declare their interests by signing Form B (Annex 3) upon commencement of their term/employment. During their term/employment, they shall make another declaration to state any change in any matter contained in the declaration as soon as possible and in any event within one month after the change occurs and undertake to provide further information on the particulars if so required by the HKAEP Professional Council.
- 9.3.2 In situations where Members and staff are not sure what to declare, or whether/when your declaration needs to be updated, they are strongly encouraged to err on the side of caution or seek advice from the HKAEP Professional Council.
- 9.3.3 All disclosure of interests made by Members or staff and decisions made by the HKAEP Professional Council on such matters must be recorded, updated and filed properly.
- 9.3.4 If the HKAEP Professional Council needs to make a decision on an issue where the member(s) has/have an interest, it is the responsibility of the HKAEP Professional Council to ensure that:
- (i) All decisions are made by vote, with a majority required based on the presence of a quorum;
- (ii) Members or staff involved with any conflict of interest must not vote on matters affecting their own interests;
- (iii) Only decide to hire or contract with any vendor if they are the best qualified individuals available, and willing to provide the goods or services needed at the best price. The HKAEP Professional Council's decision shall not be influenced in any way by a Member or staff who has an interest in the contract; and
- (iv) Record in the minutes of the Council Meeting the potential conflict of interest and how it is addressed following this policy.

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9.3.5 The HKAEP Professional Council shall have the right to suspend any involvement of any member/staff when it has come to their attention that a potential actual or perceived conflict has arose, but has not been voluntarily disclosed by the relevant member.

10 Misuse of Official Position, Company Assets and Information

- 10.1 Members and staff must not misuse their official position in the HKAEP to pursue their own private interests, which include both financial and personal interests and those of their family members, relatives or close personal friends.
- 10.2 Members and staff in charge of or having access to any Company assets, including funds, property, information, and intellectual property, should use them solely for the purpose of conducting the HKAEP's business. Unauthorized use, such as misuse for personal interest, is strictly prohibited.
- 10.3 Members and staff should not disclose any classified information of the HKAEP without authorization or misuse any Company information (e.g. unauthorized sale of the information). Those who have access to or are in control of such information, including information in the HKAEP's computer system, should protect the information from unauthorized disclosure or misuse. Special care should also be taken when handling the personal data of Members, staff and service recipients to ensure compliance with Hong Kong's Personal Data (Privacy) Ordinance.

11 **Outside Employment**

If a staff member wishes to take up concurrent employment, either on a regular or consulting basis, he/she must seek the prior written approval of the HKAEP Professional Council. The HKAEP Professional Council should take into consideration whether the outside employment would give rise to a conflict of interest with the staff member's duties in the HKAEP or the interest of the HKAEP.

12 Confidentiality

- 12.1 All HKAEP Council members, Committee members and staff are expected to respect the confidentiality of information acquired as a result of professional and business relationships and, therefore, not disclose any such information to third parties without proper and specific authority, unless there is a legal or professional right or duty to disclose, nor use the information for the personal advantages of the professional accountant or third parties.
- 12.2 All HKAEP Council members, Committee members and staff are expected to uphold the information management and security policy to ensure that all information involving personal data are well protected.
- 12.3 All HKAEP Council members, Committee members and staff must sign the Confidentiality Agreement (Annex 4) upon commencement of their term.

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13 Compliance with the Code

- 13.1 It is the responsibility of every member and staff member of the HKAEP to understand and comply with this Code, whether performing his/her duties of the HKAEP in or outside Hong Kong. The HKAEP Professional Council should also ensure that all HKAEP members and staff understand and comply with this Code.
- 13.2 This Code is subject to review and revision from time to time by the HKAEP.
- 13.3 Any HKAEP member or staff member in breach of this Code will be subject to disciplinary action, including termination of appointment. Any enquiries about this Code or reports of possible breaches of this Code should be made to the Chairperson of the HKAEP Professional Council. In cases of suspected corruption or other criminal offences, a report should be made to the appropriate authority.

14 Fairness and Diversity

HKAEP strives to operate under the principles of fairness and diversity. When recruiting Council members, Committee members and staff, HKAEP shall consider candidates from different settings, with different years of experience, and from different qualified training institutions. This will enable HKAEP to meet the needs of people from diverse perspectives and make fair decisions that are less likely to be biased.

15 References

- 1 Code of Code, the Hong Kong Productivity Council (2015) https://www.hkpc.org/images/stories/corp_info/Council-n-StandingCommittees/code-of-conduct-council-members.docx
- 2 Sample Code of Conduct for NGOs, Hospital Authority (2014) http://www.ha.org.hk/haho/ho/bssd/SampleCodeofConductNGO.pdf
- 3 Sample Code of Conduct for Private Sector, Hospital Authority (2014) <u>https://www.ha.org.hk/haho/ho/bssd/SampleCodeofConductPrivateSector.pdf</u>

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Annex 1

Extracts of the Prevention of Bribery Ordinance (Cap. 201)

Section 9

- (1) Any agent who, without lawful authority or reasonable excuse, solicits or accepts any advantage as an inducement to or reward for or otherwise on account of his
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,

shall be guilty of an offence.

- (2) Any person, who, without lawful authority or reasonable excuse, offers any advantage to any agent as an inducement to or reward for or otherwise on account of the agent's
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,

shall be guilty of an offence.

- (3) Any agent who, with intent to deceive his principal, uses any receipt, account or other document
 - (a) in respect of which the principal is interested; and
 - (b) which contains any statement which is false or erroneous or defective in any material particular; and
 - (c) which to his knowledge is intended to mislead the principal,

shall be guilty of an offence.

(4) If an agent solicits or accepts an advantage with the permission of his principal, being permission which complies with

Section 4

- (1) Any person who, whether in Hong Kong or elsewhere, without lawful authority or reasonable excuse, offers any advantage to a public servant as an inducement to or reward for or otherwise on account of that public servant's-
 - (a) performing or abstaining from performing, or having performed or abstained from performing, any act in his capacity as a public servant;
 - (b) expediting, delaying, hindering or preventing, or having expedited, delayed, hindered or prevented, the performance of an act, whether by that public servant or by any other public servant in his or that other public servant's capacity as a public servant; or
 - (c) assisting, favouring, hindering or delaying, or having assisted, favoured, hindered or delayed, any person in the transaction of any business with a public body,

shall be guilty of an offence.

(3) If a public servant other than a prescribed officer solicits or accepts an advantage with the permission of the public body of which he is an employee being permission which complies with subsection (4), neither he nor the person who offered the advantage shall be guilty of an offence under this section.

Section 8

- (1) Any person who, without lawful authority or reasonable excuse, while having dealings of any kind with the Government through any department, office or establishment of the Government, offers any advantage to any prescribed officer employed in that department, office or establishment of the Government, shall be guilty of an offence.
- (2) Any person who, without lawful authority or reasonable excuse, while having dealings of any kind with any other

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subsection (5), neither he nor the person who offered the advantage shall be guilty of an offence under subsection (1) or (2).

- (5) For the purposes of subsection (4) permission shall
 - (a) be given before the advantage is offered, solicited or accepted; or
 - (b) in any case where an advantage has been offered or accepted without prior permission, be applied for and given as soon as reasonably possible after such offer or acceptance,

and for such permission to be effective for the purposes of subsection (4), the principal shall, before giving such permission, have regard to the circumstances in which it is sought.

public body, offers any advantage to any public servant employed by that public body, shall be guilty of an offence.

Section 2

"Advantage" means:

- (a) any gift, loan, fee, reward or commission consisting of money or of any valuable security or of other property or interest in property of any description;
- (b) any office, employment or contract;
- (c) any payment, release, discharge or liquidation of any loan, obligation or other liability, whether in whole or in part;
- (d) any other service, or favour (other than entertainment), including protection from any penalty or disability incurred or apprehended or from any action or proceedings of a disciplinary, civil or criminal nature, whether or not already instituted:
- (e) the exercise or forbearance from the exercise of any right or any power or duty; and
- (f) any offer, undertaking or promise, whether conditional or unconditional, of any advantage within the meaning of any of the preceding paragraphs (a), (b), (c), (d) and (e),

but does not include an election donation within the meaning of the Elections (Corrupt and Illegal Conduct) Ordinance

"Entertainment" means:

The provision of food or drink, for consumption on the occasion when it is provided, and of any other entertainment connected with, or provided at the same time as, such provisions.

Section 19

In any proceedings for an offence under this Ordinance, it shall not be a defence to show that any such advantage as is mentioned in this Ordinance is customary in any profession, trade, vocation or calling.

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Annex 2 Form A

HONG KONG ASSOCIATION OF EDUCATIONAL PSYCHOLOGISTS (HKAEP) REPORT ON GIFTS/ADVANTAGES RECEIVED

Part A –	To be completed by Receiving Staff	
To: The	HKAEP Professional Council	Date:
Name & Compar		
Occasion	n on which the Gift/Advantage was / is to be rec	eived :
Descript	ion & (assessed) value of the Gift/Advantage:	
Suggeste	d Method of Disposal :	Remark :
()	Retain by the Receiving Staff	
()	Retain for Display / as a Souvenir in the Office	
()	Share among the Office	
()	Reserve as Lucky Draw Prize at Staff Function Donate to a Charitable Organization	
$\frac{()}{()}$	Return to Offeror	
()	Others (please specify):	
Γο: (<u>Nan</u>	To be completed by the HKAEP Professing of Receiving Staff)	Block Letter:
The reco	mmended method of disposal is *approve ed should be disposed of by way of:	d/not approved. *The gift/advantage
		(Name)
*Delete	as appropriate	
Delete d	as appropriate	(Name) (Chairman, HKAEP Professional Coun

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Annex 3 Form B

HONG KONG ASSOCIATION OF EDUCATIONAL PSYCHOLOGISTS (HKAEP) DECLARATION OF CONFLICT OF INTEREST

To: The HKAEP Professional Council

I hereby declare that *:	
or may raise a conflict of inte	nal interest, directly or indirectly, in any matter that raises erest with my duties as Council member/Committeeing the term
or may raise a conflict of inte member/staff of the HKAEP durin	interest, directly or indirectly, in certain matter that raises erest with my duties as Council member/Committee ag the term The particulars
——————————————————————————————————————	ease provide supplementary sheet of needed):
in any matter contained in this declarati	that I shall make another declaration to state any change on as soon as possible and in any event within one month to provide further information on the particulars if so ouncil.
* Remarks: Please put a "√" is	n the appropriate box
	Signature:
	Name in Block Letter:
	Position:
	Date:

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Annex 4 Form C

HONG KONG ASSOCIATION OF EDUCATIONAL PSYCHOLOGISTS (HKAEP) CONFIDENTIALITY AGREEMENT FOR COUNCIL MEMBERS, COMMITTEE MEMBERS AND STAFF

This agreem	ent is made for the Year	term of the Hong Kong Association
of Education	nal Psychologists Limited ("HKAEP")	
Between:	HKAEP	
And:		(Full name same as HKID)

Whereas:

- A. The HKAEP possesses Confidential Information relating to the functions, businesses and registrants of the HKAEP.
- B. The Council/Committee Members and staff_are elected/appointed by the HKAEP Professional Council and on occasion he/she may be required to work in areas containing confidential information.
- C. The Council/Committee Members and staff agrees not to use, disclose or deal with the Confidential Information other than in accordance with the terms of this Agreement.

The parties agree as follows:

1. Definitions

For the purpose of this Agreement: -

- "Confidential Information" means all information, data, know-how or experience relating to the personal files of the HKAEP in all forms including documents, membership databases, records, drawings, oral disclosures
- "Document" includes but is not limited to: -
- i) any paper or other material on which there is writing; and
- ii) any paper or other material on which there are marks, figures, symbols, or perforations, having a meaning for a person qualified to interpret them; and,
- iii) any disc, computer file, recording tape, or other article or any material form which sounds, images, writings or messages are capable of being produced or reproduced (with or without the aid of another article or device).

2. Confidential Obligations

- 2.1. The Council/Committee members and staff, unless expressly otherwise agreed with the HKAEP, agrees:
 - i) not to make any use whatsoever of the Confidential Information disclosed to him/her except for the purpose (if any) referred to this Clause;
 - ii) not to reveal any of the Confidential Information to any person whatsoever except for those members and staff of the HKAEP who have a need to know the Confidential Information;
 - iii) to keep all the Confidential Information strictly confidential;
 - iv) to take such steps as are reasonable to preserve the confidentiality and secrecy of the Confidential Information:

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- v) not to take copies or duplicates of the Confidential Information except to the extent that it is reasonably necessary to carry out the Council/Committee member's and staff duties.
- **2.2.** The obligation to maintain confidentiality and not to use the Confidential Information shall remain valid and in effect permanently and for indefinite period. Notwithstanding the obligation to maintain confidentiality shall cease if the Confidential Information enters the public domain.

3. General clause

- **3.1.** Alterations or variations of the Agreement will not be valid unless in writing and signed by both parties.
- **3.2.** No rights under this Agreement will be deemed to be waived except where the waiver is in writing and is signed by the Chairperson of the HKAEP Professional Council.
- **3.3.** The HKAEP Professional Council shall have the rights to dismiss any Council/Committee members or staff if there is any failure to enforce any clause of this Agreement and/or breach of any clause of this Agreement. If any director is in breach of this Agreement, he/she shall not be entitled to vote on the resolutions regarding his dismissal.

Executed as An Agreement: