



CODE OF CONDUCT POLICY

Policy Type:	Board of Governors	Initially Approved:	February 26, 2009
Policy Sponsor:	President and CEO	Last Revised:	April 25, 2023
Primary Contact:	Human Resources	Review Scheduled:	April 2028
Approver:	Chair, Board of Governors		

A. INTENT

The Alberta University of the Arts (AUArts) is a public Board-governed institution operating under The Post-Secondary Learning Act. As a publicly funded institution, AUArts requires the highest standards of professional and ethical conduct from Employees and Governors.

B. SCOPE

The Code of Conduct applies to AUArts Employees and members of the Board of Governors. Conflicts between the private interests of AUArts Employees and Governors and their duty to the public not specifically addressed in this Code must be dealt with according to the principles and the intent of the Code. If there is any doubt about the application of this Code or the appropriate course of action to be adopted in a particular situation, questions may be directed to the Code Administrator.

C. POLICY STATEMENT

1. Values

- 1.1 **Passion:** We are curious and thoughtful risk takers; we celebrate our creative process.
- 1.2 **Respect:** We build relationships based on trust and accountability; we are connected to one another’s success and wellness.
- 1.3 **Openness:** We embrace diversity and inclusivity in culture identity and perspective; we are transparent, confident, approachable and welcoming.
- 1.4 **Unique:** We pursue excellence in our studio-based practices, and in our support for our learners, faculty, staff, and external partners.
- 1.5 **Daring:** We are courageous and deeply committed to experimentation, free enquiry, and research.
- 1.6 In addition to the above values, AUArts is committed to the principles of academic and creative freedom; that is the right to examine, to question, to teach, to learn, to investigate, to speculate, to comment, to criticize without deference to the prescribed doctrine. Academic and artistic freedom does

not confer legal immunity; nor does it diminish the obligations of faculty members to meet their responsibilities to AUArts.

2. Guiding Principles

- 2.1 AUArts Employees and Governors are required to:
- a. Treat Employees, Governors, Contractors, Students and Visitors with dignity and respect at all times.
 - b. Use honesty and integrity in performing their duties and activities while exercising care and diligence.
 - c. Comply with all AUArts policies and procedures.
 - d. Demonstrate a high standard of personal conduct at AUArts, and in other activities related to AUArts by upholding the law and following the requirements of all applicable legislation.
 - e. Contribute to a safe, healthy, productive and respectful workplace that is free from discrimination, harassment or violence. This applies to behaviour in and out of the office, including online behaviour.
 - f. Avoid entering into a personal, supervisory, evaluative or financial relationship outside the normal scope of their duties, with a student with whom the Employee or Governor has or has the potential to exercise any influence, direct or indirect, in decisions that may affect the student.

3. Behavioural Standards

- 3.1 Impartiality
- a. Applicable to Employees, President + CEO and Governors; we must conduct our duties with impartiality at all times. We must not give or be perceived to give preferential treatment in a matter to individuals or organizations in which we have a private interest or relationship.
- 3.2 Prohibition from Acting in Self Interest
- a. Applicable to Employees, President + CEO and Governors; we must not act in self-interest or further our private interests by virtue of our position or through the carrying out of our duties. We must not participate or influence or be perceived to participate or influence a decision in the course of carrying out our duties which might further our private, personal or financial interest or the private, personal or financial interest of a family member, or others with whom we have a significant personal or business relationship.
- 3.3 Confidentiality
- a. Applicable to Employees, President + CEO and Governors; we must respect and protect confidential information and use it only for the work of AUArts and not use it for the private benefit of ourselves or others. We shall not use or communicate any information acquired as a result of our position for purposes unrelated to that position. This includes information pertaining to Employees, Students and Others.
- 3.4 Gift Acceptance
- a. Applicable to Employees

- i. Employees may accept gifts that are part of the normal exchange of hospitality between persons doing business together, tokens exchanged as part of protocol or the normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.
 - ii. We must not accept any gift, perquisite, benefit, or other favour which may be intended or would reasonably be perceived as being provided in exchange for a favour or advantage to a third party carrying on business with AUArts.
 - iii. We will not accept any gift of cash or cash equivalent nor will we accept a single gift with a value of over \$200.
 - iv. The combined total value of the events attended, tickets, hosting, gifts, or benefits given from a single source to an Employee in any calendar year cannot exceed \$500 and the combined total value of the events attended, tickets, hosting, gifts or benefits from all sources cannot exceed \$500 in any calendar year.
 - v. For an invitation to a conference, seminar, workshop, panel or other similar engagement where travel, admission, hospitality and/or accommodation expenses are gifted (“conference attendance invitation”), the value of the travel, admission, hospitality, accommodation and related incidentals, which may be accepted together, shall not exceed \$1,000. The cumulative maximum cash value limit for conference attendance invitations permitted by this section from a single source in a calendar year is \$1,500. The cash value of conference attendance invitation will be calculated and considered separately from other event invitations.
 - vi. Notwithstanding the above, if an employee accepts an invitation to speak or participate in an active role at a conference, seminar, workshop, panel or other similar engagement, in their role as an AUArts employee or in relation to their academic activities (“conference participation invitation”) then the maximum cash value of attending the conference participation attendance invitation including all travel, admission, hospitality, accommodation and related incidentals, must not exceed \$3,000 per invitation or \$6,000 per calendar year for invitations from a single source. The cash value of conference participation invitations will be calculated and considered separately from other event invitations.
- b. Applicable to the President + CEO and Governors
- i. The President + CEO and Governors may accept gifts that are part of the normal exchange of hospitality between persons doing business together, tokens exchanged as part of protocol, or the normal presentation of gifts to persons participating in public functions, awards, speeches, lectures, presentations or seminars.
 - ii. The President + CEO and Governors will not accept any gift, perquisite, benefit or other favour which may be intended to or would reasonably be perceived as being provided in exchange for

a favour or advantage to a third party carrying on business with AUArts.

- iii. The President + CEO and Governors will not accept any gift of cash or cash equivalent nor will they accept a single gift with a value of over \$200.
- iv. The combined value of the events attended, tickets, hosting, gifts or benefits given from a single source, except for donors and friends of the institution, to the President + CEO and Governors cannot exceed \$500 per calendar year.
- v. The combined total value of the events attended, tickets and, hosting, gifts or benefits from all sources, except for donors and friends of the institution, to the President + CEO and Governors cannot exceed \$1000 per calendar year.
- vi. Gifts from donors and friends of the institution with a maximum value of \$1000 per calendar year may be accepted by the President + CEO and Governors.

3.5 Specific standards for Employees:

- a. AUArts Employees may take concurrent employment including self-employment and participate in other offices or appointments if it is disclosed and approved in accordance with sections 4.4.3 and 4.4.4 below. Concurrent employment including self-employment and participation in other offices or appointments are not permitted if such employment or activity causes an actual or perceived conflict of interest or if it:
 - i. Interferes with the Employee's regular duties.
 - ii. Is performed in such a way as to appear to be an official act or to represent an AUArts opinion or policy.
 - iii. Involves the use of AUArts property unless such use is authorized.
 - iv. Competes with the business and/or interest of AUArts.
 - v. Involves the Employee's participation in an organization doing business with AUArts.
 - vi. Involves the participation in the acquisition and disposal of assets including supplies or services from or to an organization in which the employee has a financial or other interest.
- b. Employees who run as candidates in a federal, provincial or municipal council election must request a leave of absence without pay commencing on the day after the writ for the election is issued or on the day that their candidacy is publicly announced, whichever is later. Until a leave of absence commences, an Employee cannot solicit funds for their own campaign.

3.6 Specific standards for Governors:

- a. Governors may exercise their democratic rights as a citizen so long as it is clear that they are representing themselves as a private citizen and in no way represent the interests of AUArts.
- b. Governors shall declare in writing any concurrent appointment, business, undertaking or employment, including self-employment, upon

initial appointment and immediately at any time there is a change from the initial declaration.

- 3.7 Specific standards for the Chair, Board of Governors and the President + CEO:
- a. The Chair, Board of Governors and the President + CEO must not use their office or power to influence, or seek to influence, a decision to be made by or on behalf of the Government of Alberta or AUArts to further a private interest of their own or their spouse, partner, child, relative or business associate's interest or to improperly further any other person's private interest.
 - b. The Chair, Board of Governors and the President + CEO must not gain personal financial benefit directly or indirectly (through a spouse, partner, child, relative or business associate) by virtue of their position or by use of AUArts information obtained in the course of their office or employment.
 - c. The Chair, Board of Governors and the President + CEO must not use or communicate information not available to the general public that was gained in the course of carrying out their office or powers to further or seek to further a private interest of the Chair, Board of Governors and/or the President + CEO or any other person's private interest.
 - d. The Chair, Board of Governors and the President + CEO must not participate or influence or be perceived to participate or influence a decision in the course of carrying out our duties knowing that the decision might further their private, personal or financial interest or the private, personal or financial interest of a family member or others with whom they have a significant person or business relationship.
- 3.8 Specific standards for the President + CEO, all of which come into effect on April 4, 2020, or when his/her contract or appointment is renewed or extended, whichever comes first:
- a. Restrictions on Concurrent Employment – The President + CEO may not participate in any outside appointment, business, undertaking or employment, including self-employment, unless they apply for and receive the approval of the Commissioner.

4. Administrative Procedure

- 4.1 Administration of the Code
- a. The Code of Conduct will be administered for Employees by the Code Administrator. Any questions regarding the interpretation of this Code are to be directed to the Code Administrator.
 - b. The Code of Conduct will be administered for Governors by the Chair of the Board of Governors.
 - c. The Code Administrator may consult with the Vice President, Administration, and legal counsel or external consultants as appropriate.
 - d. Reviews under this Code pertaining to the Code Administrator shall be directed to the President + CEO.

- e. Reviews under this Code pertaining to the Chair of the Board of Governors shall be directed to the Chair of the Governance and Human Resources Committee of the Board of Governors.
- 4.2 Code of Conduct Acknowledgement
- a. AUArts shall communicate the Code of Conduct Policy to Employees upon hire and on an annual basis thereafter and will require acknowledgement of their understanding.
 - b. AUArts shall communicate the Code of Conduct Policy to Governors upon initial appointment and on an annual basis thereafter and will require acknowledgement of their understanding.
- 4.3 Code of Conduct Violations
- a. Governors are required to immediately report in writing any real or perceived violation of the Code of Conduct to the Chair of the Board of Governors.
 - b. Employees are required to immediately report in writing to the Code Administrator any real or perceived violation of the Code of Conduct.
 - i. All real or apparent violations will be investigated by the Code Administrator, or delegate, who will ensure procedural fairness.
 - ii. A party alleged to have breached this Code will have the opportunity to respond to the allegations.
 - iii. The Code Administrator will complete a written report upon conclusion of the investigation.
 - iv. The written report may have facts about the reported violation(s) and the Code Administrator will decide whether or not the Employee under investigation has violated the Code.
 - v. The written report will be given to the Employee under investigation.
 - c. If there is any doubt about the application of this Code or the appropriate course of action to be adopted in a particular situation, Employees should consult with the Code Administrator.
- 4.4 Conflicts of Interest Disclosure
- a. Governors shall annually declare any real, potential or perceived conflict of interest in accordance with Board bylaws.
 - b. Employees shall declare any real, potential or perceived conflict of interest annually to Human Resources, or immediately at any time if there is a change from the annual disclosure.
 - c. Employees shall declare any concurrent employment, self employment, and/or appointment to other offices annually to Human Resources, or immediately at any time if there is a change from the annual disclosure.
 - d. Prior to accepting any concurrent employment, office, or self employment, Employees must disclose and seek approval in writing. The requests for approval will be reviewed and approved in writing by the Code Administrator.
 - e. The Code Administrator shall assess

D. DEFINITIONS

AUArts	Means the Alberta University of the Arts.
Code Administrator	Means the Director of Human Resources for Employees.
Commissioner	Means the Ethics Commissioner of the Province of Alberta.
Conflict of Interest	Arises when an AUArts Employee's or Governor's private interests, actual or perceived, compete with the interests of AUArts.
Employees	Includes all faculty, support staff, management and exempt personnel engaged by AUArts to perform a service in accordance with terms and conditions of employment.
Governor	Means an individual appointed to the AUArts Board of Governors.

E. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
04/01/2018	Revisions			
10/28/2020	Revisions as per amendments to the Act	3.5 Specific Standards for Employees	University Secretary	Board of Governors
04/25/2023	Amendment	4.1 e	University Secretary	Board of Governors