

Canadian Association for the Study of Adult Education (CASAE) Code of Conduct

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Acknowledgements

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- Catherine Irving
- Emily Dobrich
- Marlon Sanches
- Tannaz Zargarian

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Preamble

The objective of the Canadian Association for the Study of Adult Education (CASAE) is to promote the advancement of Canadian research and scholarship in adult education. CASAE, as a member of the Canadian Federation of Humanities and Social Sciences (the “Federation”), is “committed to the advancement of its goals through respectful, inclusive, and collegial discourse and engagement.”

A Code of Conduct supports the ethical framework of CASAE, aligned with its mission and values. As a professional association of academic, government, not-for-profit and independent scholars of education across the lifespan, CASAE promotes ethical conduct amongst our members and affiliates in all that we do – teaching, research, and service to CASAE and to society. CASAE believes in building a society in which ideas thrive, whether there is diversity of thought, and equity, diversity, inclusion and respect of all who participate in our business and activities.

CASAE does not tolerate violence, mistreatment, or harassment — verbal, physical, sexual, psychological, or otherwise — towards staff, volunteers, guests, community members, or partners at any of our events, in our business meetings, in our social media, and so on. Therefore, we promote and support a respectful and ethical workplace and professional environment, one where everyone has an opportunity to thrive, be heard, and treated with appreciation and compassion.

The CASAE Code of Conduct is applicable to any aspect of behaviour or service rendered by a CASAE member or a CASAE employee on CASAE business (including virtual meetings), at CASAE events (including virtual events and meetings), through our social networks and media, or at the CASAE office.

In the event of a discrepancy where sanctions from multiple groups may be recommended, discussions will be coordinated by the CASAE Executive Committee and the appropriate authority for the organization. For instance, CASAE members are governed by the Federation's Code of Conduct during Congress and Federation meetings and while serving on the Federation's Board and/or committees. The Federation's Code of Conduct applies primarily (but not solely) to the annual Congress, Federation meetings, and its employees. CASAE employees, Board and members are not covered by the Federation Code of Conduct outside of Federation meetings and when not on Federation business. However, when attending Congress, CASAE members must also abide by the Federation's Code of Conduct in addition to the CASAE Code of Conduct.

In the event of a conflict between CASAE associations and Special Interest Groups (SIGs) internal documents, the CASAE Code of Conduct will prevail.

Any complaint against CASAE staff will also be dealt with under the terms and conditions of their employment.

This policy will be reviewed and revised in accordance with CASAE policies and procedures from time to time.

DEFINITIONS

"Affiliate": Any organization or individual that has been recognized as a partner, sponsor, or collaborator in CASAE activity.

"Association": A constituent group of the Canadian Association for the Study of Adult Education (CASAE) and the corresponding Special Interest Groups (SIGs).

"Code of Conduct Standing Committee": The Code of Conduct Standing Committee (COCS) refers to the members of the committee which supports the implementation and review of the Code of Conduct, considers matters of compliance, and ensures that complaints are examined promptly and fairly. See the corresponding Terms of Reference.

"Complainant": One or more initiators of a complaint. A complainant need not have been directly involved in or affected by the matter complained about. Persons acting in a CASAE official capacity (that is, CASAE committees or other CASAE-constituted bodies) may also initiate a complaint.

"CASAE Activity": Any in-person or virtual event (including the annual conference) or meeting (inclusive of membership meetings) hosted or organized by CASAE, as well as any activity, discussion, or discourse related to CASAE events, meetings, mandate, or work.

"Member": Scholarly associations, universities and colleges, Directors, societies, organizations, and individuals who have applied for membership with CASAE.

“Non-Participant”: Any person who has accompanied a Member, Affiliate, or Participant in CASAE Activity but is not registered to attend an event or meeting.

“Participant”: Any registered attendee, speaker, invited guest, sponsor/exhibitor, staff member, or volunteer at a CASAE Activity.

“Respondent”: One or more persons who are subjects of the complaint.

“Sanctionable Conduct”: Any conduct, as outlined below, which violates the standards specified in the code of conduct for which CASAE may impose sanctions at its sole discretion.

“SIG”: Special Interest Group

SCOPE

The CASAE Code of Conduct:

- Provides a guideline for behaviour and expectations within the workplace and scope of CASAE activity.
- Reinforces and informs stakeholders of CASAE’s values and mission.
- Serves as a means for maintaining compliance and helping organizations and individuals protect themselves from damaging risks by providing specific steps to follow in minimizing or even avoiding unethical or illegal acts.

How is the Code of Conduct administered?

The CASAE Code of Conduct is the responsibility of all members and employees of CASAE and its affiliated societies and associations. Employing the principles of Natural Justice and a Complaints Process that ensures respectful processes for complainants and the respondent, CASAE shall establish a CASAE Code of Conduct Standing Committee (COCSC) to administer and adjudicate this Code of Conduct and any complaints and allegations of misconduct. See the Complaints Procedure. The COCSC will be operated pursuant to the relevant Terms of Reference.

To be respectful of the complainant and those accused of misconduct and to preserve as much as possible the individual reputations of those involved, CASAE will manage the complaint process in a timely manner, respecting the confidentiality of the process.

CASAE will acknowledge receipt of any complaint and request any necessary information in writing. While CASAE contracts the secretariat services of CSSE, the CSSE Executive Director will be responsible for maintaining official records of decisions and sanctions.

Complaints will be managed in a confidential manner. Only the President, Executive Director, and the COCSC will have knowledge of filed complaints, until a decision is rendered and appeals completed.

Briefly, complaints will be received and reviewed by the Executive Director, who will coordinate with the COCSC. If the complaint is against the Executive Director, the President will be responsible for coordinating the process. A response will be issued in writing in accordance with the Complaints Procedure below. Those involved in any complaint investigation and adjudication will declare any conflict of interest. The President will be responsible for determining whether an individual with a conflict of interest will be recused from the investigation or if there are reasonable means for managing the conflict of interest.

The COCSC is responsible for investigating any complaint received in accordance with this Code of Conduct. The COCSC will recommend a decision and propose sanctions, if applicable, to the CASAE Executive Committee. The CASAE Executive Committee, on behalf of the Board, makes the final decision and communicates the decision to the respondent.

As with all such codes of conduct, CASAE and its affiliate societies and associations will engage in a systematic and regular education process to ensure its members (new and current), employees, and those who attend its activities are aware of their rights and responsibilities to work in a respectful and inclusive environment. An objective of the COCSC is to make the CASAE Code of Conduct accessible to members.

Guiding Principles

1. All members of CASAE and their guests shall treat others with respect and dignity, ensuring that every interaction reflects courtesy, professionalism, and appreciation for diverse perspectives. The Association expects all members to engage in collegial and collaborative and constructive dialogue while engaged in CASAE's activities.
2. CASAE values equity, diversity, and inclusion, creating spaces where individuals of all backgrounds and identities are welcomed, respected, and supported. CASAE is also committed to Indigenization and seeks to create an environment in which Indigenous ways of knowing, being, and relating are respected and encouraged.
3. CASAE is dedicated to maintaining safe and respectful environments, free from harassment, bullying, violence, or any behavior that threatens the physical or psychological well-being of others.
4. Members are responsible for their actions and decisions, including adherence to CASAE's expectations for respectful conduct and policies. Any conduct that negatively affects, or could reasonably be perceived to affect, the CASAE, its community, or the health, safety, rights, or property of others may result in a response to ensure the safety and rights of the Association and its members.
5. The CASAE recognizes that conflict between members of the Association may arise. Whenever possible, members, affiliates, and participants are encouraged to engage in informal conflict resolution to foster a culture of effective conflict management that

emphasizes honest discussion and collaborative problem solving. The CASAE will strive to facilitate informal conflict resolution. When informal conflict resolution is not possible, is unsuccessful, or is otherwise inappropriate, complaints and allegations may be dealt with through the formal Process.

6. CASAE will ensure that all processes for addressing complaints and conflicts are fair, impartial, and guided by the principles of natural justice, providing equal opportunity for all parties to be heard. The Association will conduct a timely investigation into allegations of misconduct that could, if substantiated, constitute a violation of this policy. Outcomes for addressing misconduct shall be weighed in light of the risk of harm to individuals or the organisation, as well as the perceived severity of the breach of the Code of Conduct.
7. CASAE members shall respect the confidentiality and privacy of individuals and organizations, safeguarding sensitive information and personal boundaries at all times. All parties and witnesses are expected to maintain confidentiality. Breaches of confidentiality may result in disciplinary action. All documents and information (physical or electronic) related to an investigation will be destroyed after three (3) years.
8. No one, including, but not limited to complainants, witnesses, or respondents, will face retaliation or threats of retaliation for participating in any part of the Code of Conduct process. Any form of retaliation may result in separate disciplinary measures under this policy.
9. Respondents have the right to appeal an outcome of a formal conduct process. All appeals must meet articulated grounds to be considered.

Application

For the purposes of this Code, members include any individual who has been granted membership in CASAE and remains in good standing. This encompasses faculty, students, independent researchers, education professionals, and others who are engaged in the study or advancement of education and who have joined CASAE either directly or through affiliated associations or SIGs.

This Code of Conduct will apply to any event or meeting held by CASAE. In addition, it shall apply to all interactions between staff, members, directors and officers.

For greater clarity, the Code applies to any conduct that may reasonably be seen to affect the integrity, operations, or reputation of CASAE, whether that conduct occurs in formal or informal settings, including online environments. It also applies to public or professional activity where an individual represents CASAE or is associated with its work. Behaviour outside of CASAE-hosted settings may be subject to the Code where the connection to CASAE is clear and the impact on its community is material.

Nothing in this Code displaces the terms of employment for CASAE staff. Staff-related matters will be governed by their employment agreements and applicable employment policies.

Jurisdiction

The Code of Conduct Standing Committee (COCS) has the jurisdiction to receive complaints, assess their admissibility, investigate allegations, and make determinations on whether there has been a breach of the Code of Conduct. The COCS may consider any material evidence, written submissions, and oral statements provided by the parties, as well as relevant contextual factors.

The CASAE Executive Committee, serving as the Appeal Panel, holds the authority to receive appeals of decisions and sanctions imposed by the COCS. In considering an appeal, the Executive Committee may review the complaint record, consider new evidence where appropriate, and assess whether the process or the outcome involved an error in fact, procedure, or interpretation of policy.

Both the COCS and the Executive Committee are empowered to act within the scope of the CASAE's governance documents and this Policy. Their authority extends to implementing measures necessary to protect the integrity of the Association's standards, reputation, and operations, subject to the limits of procedural fairness and natural justice.

What is Sanctionable Conduct?

Sanctionable Conduct refers to any behaviour or action that violates the mission and values of CASAE. Such conduct reflects negatively on the reputation of CASAE and may create a hostile, unwelcoming or unsafe environment for Members, Affiliates, and Participants.

Sanctionable Conduct shall be assessed in relation to the potential risk of harm to individuals or the organisation, as well as the perceived severity of the breach of the Code of Conduct. Decisions regarding appropriate actions or sanctions may, for example, be guided by the matrix outlined below.

Severity of breach of Code of Conduct	(Perceived) Risk of Impact		
	Somewhat harmful	Harmful	Extremely harmful
	Minor risk or impact to person(s) Behaviour may be considered disrespectful, inappropriate, but likely the result of	Notable threat and/or experience of harm to individuals or groups. Reputational damage to CASAE possible.	Serious risk of physical or mental harm. National level reputational damage to CASAE possible.

	inadvertent action		
Minor breach One-time or first breach of Code of Conduct involving limited or inadvertent impact	Low-level sanctions: e.g., verbal/written reminder, informal discussion, documentation of the incident	Low- to mid-level sanctions likely: e.g., formal written warning, temporary restriction, required written acknowledgement, removal from role	Mid- to high-level sanctions likely: e.g., suspension, termination of membership, formal public notice
Moderate breach Repeated or multiple breaches of the Code of Conduct Organisational rules broken	Low- to mid-level sanctions likely	Mid-level sanctions	High-level sanctions
Major breach Egregious behaviour May include criminal or civil law offenses	Mid- to high-level sanctions likely	High-level sanctions	Highest possible sanctions

Types of Sanctionable Conduct

The following conduct, whether in writing, in person, or by other virtual form, will not be tolerated by CASAE. The definitions provided below shall be used to classify and assess such behavior during a complaint and review process:

Discrimination:

1. Any act or omission, whether intentional or unintentional, that denies or limits an individual or group equal treatment, access, or opportunities. This may include excluding or overlooking individuals from participation or recognition based on identity; establishing practices or schedules that unintentionally disadvantage certain groups (such as continuing to hold meetings in inaccessible spaces or at times that exclude caregivers); using biased or stereotypical language; making derogatory jokes or remarks; or failing to address known incidents of discrimination, thereby allowing inequitable treatment to persist; or
2. Any conduct, statement, remark or comment that is derogatory, discriminatory or engages inappropriate stereotypes based on a prohibited ground, including (but not

limited to) race, ancestry, place of origin, language, colour, ethnic origin, religion, citizenship, creed, sex, sexual orientation, gender identity, gender expression, body size, age, marital status, family status or disability.

3. No protected ground may be invoked to justify or excuse discriminatory behaviour toward another individual or group. For example, a person cannot justify sexist or homophobic remarks on the basis of religious belief, nor can age, cultural background, or personal opinion be used to excuse discriminatory treatment or exclusion. All members are expected to uphold the principles of equity, respect, and inclusion, regardless of their own identity or beliefs.

Note: In assessing the discriminatory nature of any alleged conduct, the COCSC shall be guided by any applicable legislation in the province wherein CASAE Activity is occurring/has occurred.

Harassment and Bullying:

1. A course of vexatious comment or conduct that is known, or ought reasonably to be known, to be unwelcome. This may include repeated unwelcome remarks, jokes, gestures, or actions that demean, humiliate, or intimidate an individual. For example: Making repeated jokes or comments about a person's appearance, gender identity, or cultural background after being asked to stop, or sending persistent unwanted messages that make someone feel uncomfortable or unsafe.
2. Sexual Harassment refers to any unwelcome sexual advance, request for sexual favour, or other verbal, non-verbal, or physical conduct of a sexual nature that is known, or ought reasonably to be known, to be unwelcome. It can create an intimidating, hostile, or offensive environment or be used to influence decisions related to participation or advancement. Examples may include unwanted sexual comments, jokes, or gestures; displaying or sharing sexually explicit materials; making suggestive remarks or requests; unwanted touching or invasion of personal space; or implying that acceptance or rejection of sexual advances could affect a person's opportunities or treatment.
3. Invasion of Privacy refers to any unauthorized access, disclosure, or use of another Member's or Participant's personal information obtained through involvement in CASAE activities. This includes sharing private communications or materials without consent, recording or photographing individuals without permission, or discussing personal matters disclosed in confidence. Such actions violate trust and the expectation of confidentiality within CASAE spaces.

Harassment need not be intentional and need not be on the basis of a prohibited ground, as defined above. Examples of harassment and/or bullying include:

- Unwelcome, unwanted, or inappropriate jokes, comments, teasing, especially those of a personal or mocking nature
- Taunting, name calling or mimicry intended to embarrass or demean
- Making another person feel unsafe

- Inappropriate comments about one's physical appearance, clothing, or mannerisms
- Derogatory or dismissive comments
- Spreading rumours or gossip that harms someone's reputation.
- Offensive or belittling comments or gestures
- Displaying and circulating offensive or derogatory material
- Isolating, shunning or excluding individuals from discussions, activities, or opportunities
- Undermining someone's contributions or taking credit for their work. Disrupting talks, presentations, or events in a manner intended to intimidate, silence, or undermine others
- Creating an intimidating, offensive, or hostile environment
- Yelling, swearing, or aggressive outbursts directed at another person
- Repeated interruptions, dismissive gestures, or public humiliation.

Violence:

Any form of violence, including the use of physical or sexual force, actual or threatened and/or emotional, psychological or verbal abuse.

Violence refers to any form of physical, sexual, emotional, psychological, or verbal abuse, including the use or threat of force that causes, or could reasonably cause, harm, fear, or distress to another person. This includes but is not limited to hitting, pushing, or unwanted physical contact; threats or acts of harm; verbal aggression or intimidation; sexual assault or coercion; and persistent behaviours that cause emotional or psychological distress, such as harassment, humiliation, or controlling actions.

Disrespectful behaviour toward others:

Any other conduct that causes, or has the potential to cause, damage to the reputation of CASAE, Associations, staff, and members.

Any action, language, or gesture that undermines the dignity, professionalism, or well-being of others. This includes but is not limited to rude, dismissive, or aggressive communication; public criticism or humiliation; ignoring or excluding others; or any behaviour that creates discomfort or hostility. It also encompasses any conduct that causes, or has the potential to cause, harm to the reputation of CASAE, its associations, staff, or members.

Dishonour, Misrepresentation, Fraudulence, and Impact to Reputation:

Activity by those that have or will receive awards or distinctions which dishonours, misrepresents, is fraudulent, and/or negatively impacts the reputation of CASAE. Examples of this might include:

- the individual violates the professional codes of behaviour present in their institutional or professional affiliation; and/or
- the individual honoured is convicted of a criminal offense; and/or

- the individual honoured is censured or struck off a list by a professional or regulatory body for an offense directly relevant to their honour (e.g., plagiarism when one has been honoured for publications); and/or
- the individual misrepresents their affiliation with or purported heritage in a First Nations, Métis, or Inuit community or other designated group.

Academic Misconduct:

Academic misconduct refers to any action through which a member gains, attempts to gain, or assists another person in gaining an unfair advantage or benefit by compromising the integrity of the academic or conference process. Such conduct violates the core value of honesty, trust, fairness, respect, responsibility, and courage that uphold a culture of academic integrity.

Academic misconduct may include (but is not limited to):

- Biases, competing interests, or breaches of confidentiality
- Inappropriate duplication of publications or conference submissions
- Falsification or misattribution of data (i.e., affecting data integrity) with the intent to deceive
- Impersonation
- Improper or unethical research practices (i.e., affecting research integrity)
- Inappropriate or undisclosed use of artificial intelligence (i.e., affecting publication integrity)
- (Self-) Plagiarism

Responsible Governance, Professional Integrity, and Ethical Conduct:

Members are expected to act with honesty, transparency, and accountability within CASAE. Ethical misconduct refers to behavior that violates these principles or undermines the integrity of the Association and may include (but is not limited to):

- Breach of confidentiality through sharing of private or sensitive information obtained via activities within the Association.
- Misrepresentation or falsification of information, including misusing CASAE's name or logo.
- Violation of CASAE policies, bylaws, procedures, or guidelines.
- Conflict of interest or misuse of position by using one's role or access to the Association's resources for personal or professional benefits.

SANCTIONS

The COCSC may recommend sanctions when a complaint is upheld, ranging from a formal reprimand to the termination of membership and/or affiliation with CASAE.

More specifically, the COCSC may recommend to CASAE Executive Committee one or more of the following sanctions, to be applied either temporarily or permanently:

- Verbal or written warning or reprimand, whether public or private;
- Withdrawal or cancellation of conference proposal(s), presentation(s), or other activity;
- Cancellation or removal of CASAE events, podcasts, or other media;

- Suspension of the member from CASAE activity without reimbursement;
- Suspension of the member from a specific portion of a CASAE activity without reimbursement;
- Expulsion of the member from CASAE activities on a permanent basis;
- Termination of membership;
- Suspension or expulsion of the member from CASAE and its affiliate societies, special interest groups (SIGs) and/or working groups and committees;
- Rescinding of any honours, awards, or funding and/or becoming ineligible to receive future honours, awards, or funding; and/or
- Requirement to undergo training, education, or to acknowledge wrongdoing in order to address the specific nature of the Sanctionable Conduct.

Where a Non-Participant accompanies a Member to CASAE activity and engages in Sanctionable Conduct, the Non-Participant may be banned from future CASAE activities. In appropriate circumstances, the accompanying Member may also be expelled from CASAE Activity and/or be subject to other sanctions as set out above.

Complaint Procedure

Initiating a Complaint and Who may file

A CASAE member may file a complaint if they believe that behaviour or service rendered by another CASAE member or staff has violated the Code of Conduct. In the first instance, informal means should be used to resolve any dispute. If, however, this is not possible the procedure set out below should be followed.

Any person, member, director, officer or employee of CASAE, who has reason to believe that another member of CASAE or its member associations or related committees (e.g., CJE Editorial Board) has acted in violation of the Code of Conduct. For greater clarity, the sanctions set out in this Code of Conduct may only be issued against CASAE members, directors, officers, or employees.

The COCSC may initiate a complaint based on alleged violations brought to its attention, with or without a complaint form being filed, and act if allegations are considered to have the potential to cause harm to the reputation and professional standards of CASAE and other members.

How to file

Any person, member, or employee of CASAE may file a Complaint under this Policy by:

- completing the CASAE Code of Conduct Complaint Form.
- forwarding the completed form and any supporting documents to the CSSE Executive Director (coc_cdc@casae-aceea.ca), who will send it to the Chair of the Code of Conduct Standing Committee.

Timing of filing

The Complainant shall file their complaint within one (1) year of the incident occurring. Complaints filed outside this timeline will not normally be accepted by CASAE.

Sanctions for abusing complaint procedures

Any member who files a complaint to harass another member or abuse the ethics procedures will be subject to disciplinary sanctions at the discretion of the COCSC.

Conflict of Interest

Members of the COCSC shall recuse themselves if they have a perceived or actual conflict of interest in any complaint.

Procedural Rights of the Parties

The complaint resolution process shall be conducted in accordance with the principles of natural justice. These principles afford both the Complainant and the Respondent the following procedural rights:

- (a) The right to proper notice of the complaint and any subsequent hearing or meeting;
- (b) The right to a fair and unbiased process;
- (c) The right to be represented by counsel or a representative of their choice;
- (d) The right to make both oral and written submissions;
- (e) The right to have the complaint reviewed and decided upon by individuals free from actual or perceived bias; and
- (f) The right to receive a written summary of the outcome of the complaint process.

Both parties to the complaint are entitled to fairness throughout the process. Each party is entitled to be made aware of the allegation(s), the response(s) to those allegations, and be provided with an opportunity to provide their version of events with respect to each of the material facts.

So as to provide fairness to the respondent, and to preserve the integrity of the investigation, no conclusions or statements will be made by CASAE or COCSC members regarding whether the allegations are substantiated until such time as the investigation has been completed.

At all times during the process, the details of the complaint, the allegations, the identities of any parties and witnesses, and the statements made by the parties and the witnesses shall remain confidential except as is necessary for a fulsome and fair investigation to be conducted.

Throughout the process, which shall be completed as promptly as is practicable, the COCSC will provide reasonably regular updates to the complainant and the respondent as to the status of the investigation.

Upon the completion of the investigation report, the complainant and respondent will be entitled in writing to a summary of the investigation report which sets out the conclusions of the investigation. The summary shall be marked private and confidential and shall be addressed to either the Complainant or the Respondent. Neither party is entitled to the identity, or specifics regarding their statements, of any witness or any other party; non-parties are also not entitled to any information regarding the process.

All parties should expect to receive and enjoy these procedural rights throughout the complaint resolution process.

Informal Resolution

Where the COCSC determines that:

- a) There is insufficient information to determine whether there has been sanctionable conduct;
- b) The conduct falls outside the scope of CASAE activity; or
- c) The severity, nature, timeliness, and/or complexity of the complaint does not warrant a more fulsome investigation, the committee may pursue informal resolution. This may include, but is not limited to, informal mediation, reminding the respondent of their obligations under the Code of Conduct, or requesting that the alleged conduct cease. Informal resolutions aim to address concerns in a manner

that promotes understanding and corrective action without requiring a formal process.

Formal Resolution

Where the COCSC determines that a formal investigation is warranted, the committee shall have the discretion to recommend interim and final measures to ensure a safe and respectful environment during the complaint process. These measures will be tailored to the specific context and seriousness of the matter and may include temporary restrictions or conditions placed on the respondent's participation in CASAE activities.

The formal process may involve the collection of statements, interviews with the complainant, respondent, and any relevant witnesses, and the gathering of any other material evidence. The COCSC may also retain a third-party investigator to assist in or carry out the investigation. The investigation will be fair, impartial, and completed as promptly as reasonably possible.

Investigation of a Bona Fide Allegation

If a Formal Process is initiated, then an investigation will occur by the COCSC. Generally, prior to an investigation, the respondent will be informed of the substance of the allegation and inform them that an investigation is beginning. In extenuating circumstances, in the interest of maintaining the integrity of the evidence gathering process, COCSC may delay informing the respondent until evidence has been gathered.

Once the respondent has been notified of the allegation, investigation, and evidence gathered, the respondent will be provided an opportunity to respond to the allegation. Based on all the information gathered from the complainant, respondents, and other parties, the COCSC will issue an outcome prescribed under its powers.

Powers of the Code of Conduct Standing Committee (COCSC)

The COCSC, when appointed to investigate and make determinations regarding a complaint, possesses all procedural authority necessary to ensure a fair, thorough, and impartial process. The COCSC may exercise the following powers:

- a) Dismiss the complaint;
- b) Uphold the complaint;
- c) Impose or recommend appropriate sanctions, which may include: (i) A reminder or warning; (ii) Temporary or permanent exclusion from CASAE activities; (iii) Suspension or revocation of CASAE membership; (iv) Any other action consistent with ensuring a respectful and safe environment;
- d) Amend or modify any interim measures as deemed appropriate;
- e) Refer the matter for further review or a new investigation, where necessary, by a different composition of the COCSC.

Accordingly, the COCSC has significant discretion in reaching an appropriate resolution in response to the complaint, and this authority is exercised in accordance with the governing policies of the CASAE.

Appeal of Decision and Sanctions

An individual who is found to have breached the CASAE Code of Conduct and has had a sanction imposed may appeal the decision to the CASAE Executive Committee sitting as an appeal panel (the “Appeal Panel”). The appeal process is conducted in accordance with the principles of natural justice and procedural fairness. Once the respondent has been informed of the outcome issued by the COCSC, they may file an appeal with the Appeal Panel within fourteen (14) calendar days by sending it directly by email to the Executive Director (coc_cdc@casae-aceea.ca).

The authority of the CASAE’s appeal process is limited to questions of whether:

- A substantial procedural error has been made in the process;
- Evidence, not reasonably available at the time the outcome was determined is available and the new evidence may change the outcome;
- The outcome determined is unreasonable or excessive;
- The conduct adjudicated by the COCSC is outside of its mandate.

The appeal should be supported by relevant documentation and evidence from the COCSC decision, but no new evidence can be submitted under an appeal by any party, including the CASAE Executive Committee.

The COCSC will be given an opportunity to provide a written response to the appeal within seven (7) calendar days of being notified.

The Appeal Panel will review the appeal within fourteen (14) calendar days of receiving the response of the COCSC. The Appeal Panel may take one or more of the following actions:

- a) dismiss the appeal;
- b) confirm the original decision;
- c) amend or revoke the sanction imposed;
- d) refer the matter back to the COCSC for further review; and,
- e) provide written reasons for its decision.

All decisions of the Appeal Panel are final. Where the complaint is not sustained, the Appeal Panel may, on behalf of the Board, make reasonable efforts to restore the reputation of the respondent. However, CASAE has no obligation to provide reparations to either party in relation to the complaint.

The appeal process is conducted in accordance with the principles of natural justice and procedural fairness. All information submitted during the appeal will be treated as confidential and used solely for the purpose of determining the appeal.

Requests for an extension of the filing deadline may be granted at the discretion of the Executive Committee, provided the request is submitted in writing before the expiry of the original period and establishes good cause.

All parties will receive notice of the outcome in writing. The written notice may or may not include reasons for the respective decision.

Waiver of Liability

Neither CASAE nor any officer, employee or agent of CASAE, nor any member of the Board of Directors and the COCSC shall be liable for any action taken or not taken in relation to these regulations.

All possible claims or liability arising out of any such action or failure to act shall be deemed waived by all applicants and members of the Association, as a condition of obtaining and continuing membership.

Members of the COCSC shall recuse themselves if they have a perceived or actual conflict of interest in any complaint.

Fairness and Confidentiality

Complaints are to be considered privileged and confidential by all parties involved (complainant, respondent, COCSC members, CASAE Executive Committee, and CASAE staff). The people who know about the details of the complaint, at all stages of the complaint procedure, are to be kept to the fewest number possible.

Consistent with the policies and practices of the secretariat, CASAE will use a secured cloud server for the retention and circulation of documents related to any complaint.

Physical files will be sealed and protected for a period of at least three (3) years. After this limitation period, the physical files may then be destroyed by shredding documents. Normally, files shall be destroyed in accordance with CASAE records retention policy and procedures (including who is responsible for retaining and destroying the records).

Both parties to the complaint are entitled to fairness throughout the process. Each party is entitled to be made aware of the allegation(s), the response(s) to those allegations, and be provided with an opportunity to provide their version of events with respect to each of the material facts.

So as to provide fairness to the respondent, and to preserve the integrity of the investigation, no conclusions or statements will be made by CASAE or COCSC members regarding whether the allegations are substantiated until such time as the investigation has been completed.

At all times during the process, the details of the complaint, the allegations, the identities of any parties and witnesses, and the statements made by the parties and the witnesses shall remain confidential except as is necessary for a fulsome and fair investigation to be conducted.

Throughout the process, which shall be completed as promptly as is practicable, the COCSC will provide reasonably regular updates to the complainant and the respondent as to the status of the investigation.

Upon the completion of the investigation report, the complainant and respondent will be entitled in writing to a summary of the investigation report which sets out the conclusions of the investigation. The summary shall be marked private and confidential and shall be addressed to either the Complainant or the Respondent. Neither party is entitled to the identity, or specifics regarding their statements, of any witness or any other party; non-parties are also not entitled to any information regarding the process. At all times, CASAE is required to comply with its obligations pursuant to relevant law (e.g., *Personal Information Protection and Electronic Documents Act*).

CASAE Code of Conduct Complaint Form

A digital copy of this form is available.

(Co-)Complainant(s) - Please include relevant affiliation, contact information

Member(s) of CASAE:

Non-member(s) of CASAE:

1. CASAE member(s) being complained about (Respondent):
2. Describe in your own words what you consider the conduct violation to be, including all facts upon which you base your allegation:
3. What portion(s) of the CASAE Code of Conduct has been violated?
4. Date(s) of Incident(s):
5. Location/Occasion of Incident(s):
6. Were other CASAE members directly involved? If yes, who were they and briefly describe them:
7. How and when did you observe/discover the violation?
8. What practices or actions should the CASAE Code of Conduct Standing Committee investigate?
9. Who else knows or has possible information about the situation? (Please give names and contact information if known.)
10. Have you had any communication with anybody regarding this incident? If so, please explain and attach copies of any written communication:

11. What action, if any, have you taken to rectify the situation? List steps taken as well as dates:

12. Have you communicated with the Respondent about your concern? If so, when and what response did you receive?

13. Is this matter currently under legal action, or is it legally actionable?

EACH CASAE MEMBER SHOULD BE MINDFUL OF THEIR PROFESSIONAL OBLIGATIONS REGARDING CONFIDENTIALITY AND THE POSSIBLE SANCTIONS FOR ABUSE OF THE COMPLAINT PROCEDURES. YOUR SIGNATURE BELOW SIGNIFIES THAT THE COMPLAINT IS BROUGHT IN GOOD FAITH AND NOT TO HARASS OR HARM THE RESPONDENT.

Signature:

Name:

Date:

Normally, anonymous allegations or complaints will not be investigated. Normally, verbal allegations or complaints will not be investigated unless also submitted in writing. However, maintaining the anonymity of the submitter(s) will be prioritized for reasons of safety.

Please forward this form and any supporting documents to coc_cdc@casae-aceea.ca (or designated individual).

Please retain a copy of this form for your records.