

ASCSA Scholarly Misconduct Policy
as adopted by the ASCSA Managing Committee May 8, 2004

I. Preamble

The American School of Classical Studies at Athens (ASCSA) expects its members to abide by the highest standards of scholarly conduct and accepts responsibility for investigating allegations of misconduct against its staff; scholars whose research was conducted with funds from the ASCSA; or scholars undertaking archaeological excavation or survey, research, or publication of archaeological and archival primary source materials in the care of the ASCSA, including the Blegen and Gennadius Libraries, the Excavations of the Athenian Agora, and the Excavations of Ancient Corinth. Allegations of misconduct made against scholars whose research was conducted at the ASCSA with funds from federal or foundation grants such as the National Endowment for the Humanities, the National Science Foundation, the Mellon Foundation, the Kress Foundation, or others will be reported to the relevant body and adjudicated in accordance with the policy of that funding agency or institution.

II. Definition of Scholarly Misconduct

Excavation and Survey Misconduct:

- Excavation and Survey Misconduct is defined as the willful and deliberate abuse or misappropriation of archaeological material or property while carrying out archaeological excavation or survey.

Research and Publication Misconduct:

- Research and Publication misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.
 - Fabrication is making up data or results and recording or reporting them.
 - Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the

research is not accurately represented in the research record [i.e. the record of data or results that embody the facts emerging from the research, and includes, but is not limited to, research proposals, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and books].

- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Research and Publication Misconduct is further defined as the misappropriation and use of intellectual property without the express written permission of the person or persons afforded oversight and responsibility for that property.
 - Intellectual property refers to archaeological or archival primary source material in the care of the ASCSA.

Misconduct of any sort does not include honest error or differences of opinion.

III. Findings of Scholarly Misconduct

A finding of scholarly misconduct requires that:

- there be a significant departure from accepted practices of the research community
 - Research community refers to classical studies and classical archaeology specifically, and the humanities and social and natural sciences more generally
- the misconduct be committed intentionally, or knowingly, or recklessly
- the allegation be proven by a preponderance of evidence.

IV. Procedures of Inquiry, Investigation, and Adjudication

Informal Procedure:

The complainant is encouraged to consult first the appropriate supervising authority, either Officer of the School in Athens, Officer of the Managing Committee, or Chair of a Standing Committee of the Managing Committee, to determine if the complaint may be resolved informally to the satisfaction of those involved.

- Officer of the School, Officer of the Managing Committee, and Standing Committee are as defined in the Regulations of the ASCSA. By appropriate is meant that officer or committee chair who most immediately supervises or oversees the area in which the complaint lies.
- If there is any doubt as to who the supervising authority may be, if the complaint involves the supervising authority, or in the event it is inappropriate for the supervising authority to act for any reason with respect to a specific case, the complainant may consult the Director of the School in Athens and/or the Chair of the Managing Committee. If the complaint involves the Chair of the Managing Committee, the Vice-Chair of the Managing Committee together with the Executive Committee of the Managing Committee may be consulted.

Formal Procedure:

If the complaint cannot be resolved informally or in the event that an informal procedure is for any reason deemed inappropriate with respect to a specific case, the following formal procedure is to be followed.

- Grievance Panel: A grievance panel, consisting of the Executive Committee of the Managing Committee and chaired by the Chair of the Managing Committee, will convene to inquire into, investigate, and adjudicate the case.
 - If the Chair of the Managing Committee is party to the case or has a conflict of interest in relation to it, he or she will recuse himself or herself from the entire procedure, and the Vice-Chair of the Managing Committee will act as Chair.
 - If any member of the Executive Committee is party to the case or has a conflict of interest in relation to it, he or she will recuse himself or herself from the entire procedure.

- Inquiry: The grievance panel shall first conduct an inquiry in order to assess whether the allegation has substance and if an investigation is warranted.
 - If the allegation is judged to have no substance, the case will be dismissed.
 - If the allegation is judged to have substance, an investigation will be conducted.
- Investigation: The investigation will consist of the formal development of a factual record, and the examination of that record leading to dismissal of the case or to a recommendation for a finding of scholarly misconduct. If a finding of scholarly misconduct is recommended, the grievance panel will undertake adjudication of the case.
- Adjudication: The grievance panel will determine what appropriate corrective actions are to be taken. These may vary from a reprimand, either oral or written, to revocation of membership in and/or use of the facilities of the ASCSA for a determined period of time.

Both informal and formal procedures should be executed in the most expedient manner possible and in no case should take longer than six months. Extension to formal procedures will be granted only by a two thirds majority vote of the grievance panel in favor of an extension. If an extension is voted, it will be limited to a maximum of three additional months with no provision for any further extension.

The decision of the grievance panel will be final.

V. Review of ASCSA Scholarly Misconduct Policy

This document shall be fully reviewed by the Executive Committee of the Managing Committee, or an ad hoc committee formed by the Executive Committee, no longer than five years after its ratification by the Managing Committee.