Policies and Procedures of the Committee on Ethics and Member Conduct  
American Society for Engineering Education

Introduction

The Committee on Ethics and Member Conduct (hereafter simply “the Committee”) provides general oversight for ASEE’s ethics-related policies: “ASEE Code of Ethics,” “Code of Conduct for ASEE Meetings,” and “Volunteer Code of Conduct.” The Committee reviews complaints about violations of these policies. The “Policy on Plagiarism and Duplicate Publication” has its own procedures for handling allegations of plagiarism.

The chair of the Committee is appointed by the ASEE Board of Directors (hereafter “the Board”) for a three-year, renewable term. Six additional members of the Committee are appointed by the Board for staggered three-year, renewable terms. Resolving Complaints

Initial Screening

Complaints must be submitted in writing to the ASEE Vice President Member Affairs within 180 days of the alleged violation, using the Ethics and Member Conduct Complaint Form. The complainant must specify the exact provisions of an ASEE policy that the respondent might have violated and include any supporting documentation. Complaints from both ASEE members and non-members will be considered without prejudice.

The Vice President will immediately forward the complaint to the chair of the Committee. The chair will determine whether the complaint fits the scope of the named policy. In consultation with one other member of the Committee, within 14 days the chair will decide whether to dismiss the complaint, pursue an informal resolution, start an investigation, or refer the complaint to a different adjudicating body. The chair will report this decision to the complainant.

Informal Resolution

To begin an informal resolution, the chair will appoint one member of the Committee as a mediator. While maintaining confidentiality, the mediator may take any reasonable steps toward the goal of achieving an informal resolution of the complaint. The mediator may meet separately or jointly with the complainant and the respondent, in person or electronically. If the mediator is unable to find a resolution that satisfies both parties within 30 days, the chair will then start an investigation.

Investigation

The chair will appoint an investigation panel consisting of three Committee members. The chair will send the names of the panel members to the respondent and ask whether the respondent has a conflict of interest with any panel member. The respondent must reply within 14 days.
At its discretion, the panel may interview the complainant, the respondent, or other witnesses. If the panel gathers additional documentary evidence, they must share that evidence with the complainant and the respondent.

The panel will submit a written draft report with its findings about the facts of the case and its recommendations for sanctions, if any, to the chair within 60 days. The chair will forward the draft report to the respondent and request a written response within 14 days. The panel will consider this response and finalize its report within 14 days.

The chair will deliver the panel’s final report with recommendations to the Board through the Vice President Member Affairs. The Board will review the report and reach a decision within 30 days. The Board may accept the panel’s recommendations or modify them as appropriate. The vice president will then notify the respondent in writing about the decision of the Board.

The respondent may appeal the decision of the Board, in writing, to the president of ASEE within 14 days of the decision. Upon reviewing the evidence in consultation with the chair of the Committee, the president may reduce the severity of the sanction but may not increase it. The president will then convey the decision on the appeal to the respondent. The president’s decision is final.

Sanctions

The investigation panel may recommend appropriate sanctions, such as

- Denial of participation in ASEE activities for up to five years, including
  - Attending ASEE conferences and meetings
  - Publishing in ASEE conference proceedings and journals
  - Serving as an officer or committee member in ASEE, at any level

- Suspension of ASEE membership for up to five years

- Expulsion from ASEE

In choosing an appropriate sanction, the panel should consider the severity of the violation of ASEE policy and the respondent’s prior violations, if any, of an ASEE policy.

Additional Policies

Confidentiality. All persons involved in resolving complaints will maintain the confidentiality of the identities of the complainant and respondent and the confidentiality of all correspondence and materials regarding a case and its disposition. ASEE staff may be informed as necessary to implement sanctions.

Conflicts of interest. All members of the Committee who have a conflict of interest with the complainant or respondent must recuse themselves from the resolution process.
**Non-retaliation.** Any act of retaliation against the complainant will be considered a violation of ASEE’s Code of Ethics.

**Records.** After the resolution of a case, all records will be maintained in a secure location at ASEE Headquarters for five years. At the end of this period, if an ASEE member was sanctioned, only a record of that sanction and the reason for it will be maintained. Modifications. The Vice President Member Affairs may make minor modifications to these procedures during the handling of a case. For example, the vice president may extend a time period for good reasons or appoint a substitute for the chair in the case of a conflict of interest.
ASEE Ethics and Member Conduct Complaint Form

Use this form to electronically file a formal complaint against organization members regarding violations of any of the ASEE ethics-related documents (see https://www.asee.org/member-resources/resources).

1. Name of Complainant:
   Address:
   Telephone:
   E-mail:
   ASEE Member: Y □ N □

2. Name(s) of person(s) against whom this complaint is being filed:

3. Describe the conduct involved and attach any supporting documentation.

4. Indicate specific violations of ASEE policy and provisions.

By signing this form, I certify that this information is true and accurate to the best of my knowledge and belief.

Signature: Date:

Please return this form and all attachments as an email attachment addressed to the ASEE Vice President Member Affairs at <board@asee.org>; please use the subject line “Ethics Complaint”.