

Statement of Shared Ethical Commitments, Code of Conduct, and Related Policies

Institute of Andean Studies

October 2021

April 2024

This policy statement is a living document and will be revised as needed, at the discretion of the IAS Board of Directors, according to the procedures and timeline established by the Board of Directors and any Officers or working groups working on their behalf. Implementation—including revisions to the bylaws to reflect the institutional changes recommended here—, interpretation, and assessment will require ongoing efforts. The Institute’s concern for ethical conduct is not limited to sexual harassment. The scope of this statement can and should be expanded in the future to include other aspects of ethical conduct in Andean studies.

I. IAS Statement of Shared Commitments and Code of Conduct:

A. Shared Principles of Professional and Ethical Commitments

The Institute of Andean Studies (IAS) and its members, conference attendees, contributors to *Ñawpa Pacha*, and participants in all IAS activities must be committed to upholding the highest standards of scientific and professional integrity, ethics, equity, inclusion, and the promotion of diverse perspectives in our professional practice. Participants in IAS activities and participants in the professional activities of IAS members should enjoy a safe, welcoming, and fair environment that facilitates learning and intellectual exchange. Following recent recommendations from other research communities (e.g., Voss 2021a, Voss 2021b), the IAS views harassment and assault as a category of professional misconduct due to its chilling impact on the advancement of research, heritage management, and professional careers.

B. Code of Conduct

Upholding these guiding principles requires that IAS activities and the professional activities of IAS members be free from any and all forms of discrimination and professional misconduct, including (but not limited to), scientific misconduct, sexual misconduct including sexual harassment, workplace hostility, violence, bullying, or retaliation for reporting any type of misconduct or for participating in IAS’ response to such reports.

The IAS Code of Conduct applies to any IAS activities and the professional activities of IAS members or anyone contributing articles to *Ñawpa Pacha* or presentations/posters to IAS events. This Code of Conduct also applies to in-person and virtual environments (including email and social media); to written, spoken, and physical conduct; and to professional activities regardless of their level of formality or the country or countries where the activities occur.

Compliance with this Code of Conduct includes, but is not limited to, the following:

- Abiding by the ethical norms and legal requirements of employers, institutions, and professional organizations, including but not limited to the IAS;
- Alerting the Community Relations Officer (CRO) (see Section II.C), or an IAS Board member or Officer who will confidentially relay the alert to the CRO, if someone is in immediate danger of harm;
- Ensuring that participants in IAS activities or the professional activities of IAS members are aware of the procedures for raising a concern related to this Code of Conduct;
- Complying with any restrictive orders of courts, employers, or institutional bodies with respect to being in contact with prohibited individuals or being present at prohibited locations; and
- Avoiding prohibited conduct, such as:
 - Harassment, threats/intimidation, discrimination;
 - Using offensive spoken, written, or body language, or offensive imagery related to gender, racial, or ethnic identity, sexual orientation, disability, religion, age, or other identity or innate characteristics;
 - Sexual misconduct, including harassment, unwanted sexual attention, offensive language, or unwanted sexual contact;
 - Stalking;
 - Inappropriate or unpermitted use of photographs, video, or audio;
 - Physical or verbal abuse;
 - Disruptive behavior;
 - Knowingly providing false information;
 - Abusing or mistreating stakeholder community members or project workers; or
 - Retaliation against individuals who intend to report or report violative conduct.

IAS members and participants can explore additional guidance on professional misconduct as defined by various laws and ethical codes of professional organizations in the U.S. and Andean countries contained in the non-exhaustive list in the [Appendix](#).

All members of the IAS community should take an active role in upholding our shared principles and Code of Conduct, and report violations to the IAS Board or Community Relations Officer (CRO).

II. Related Policies

A. Annual Meeting Safety

To prevent unsafe and offensive conduct, the Institute of Andean Studies has adopted a Code of Conduct for respectful behavior at IAS meetings, which includes a zero-tolerance policy for sexual misconduct. This policy prioritizes the well-being of survivors of harassment and assault to ensure their ability to participate freely in IAS events.

Violations of the IAS Code should be reported to the CRO/IAS Board by the person(s) affected or person(s) with firsthand knowledge of the events following the procedure outlined below. Any restrictions against contact between complainants/survivors and those accused of sexual misconduct will remain in effect at the IAS Annual Meeting. In developing this policy, the IAS follows the models of other professional organizations (including the Society for American Archaeology [[SAA](#)], Latin American Studies Association [[LASA](#)], Southeastern Archaeological Conference [[SEAC](#)], American Association of Biological Anthropologists [[AABA](#)], and the American Geophysical Union [[AGU](#)]) for recommendations on modification of bylaws on Annual Meeting attendance and termination of membership, and the creation of an Annual Meeting safety policy.

Due to the nature of the organization (namely, the small size) and number of meeting attendees, in principle IAS does not serve as an adjudicating body itself, nor do its members serve in an official ombudsperson capacity. The IAS acts on the judgments of other adjudicating bodies (see [Section E](#)). The IAS has established a position of Community Relations Officer (see [Section C](#)), who can act together with the Board to enact responsive measures related to complaints of misconduct or retaliation that have not yet been brought before, or are pending before, external adjudicating bodies, or who can act together with the Board to enact sanctions in cases where harm is imminent. The

IAS Board has the power to enact discretionary measures to sanction individuals for retaliation for complaints regardless of whether they are initially brought to the CRO/IAS Board or external bodies.

B. Demonstrating Commitment to the IAS Code of Conduct for Membership and IAS Activities

Members, journal contributors, Annual Meeting attendees, and others must formally agree to the Code of Conduct when doing any of the following: accepting membership; paying dues; submitting abstracts, travel grant applications, and/or registration for the Annual Meeting; accepting an invitation as a keynote speaker; submitting an article for publication.

As such, to participate in these or other IAS activities, members, attendees, journal contributors and others, including all co-authors of accepted meeting presentations/posters and journal articles, will be required to self-certify by truthfully affirming a statement as follows:

I have never been the subject of adverse findings from a discrimination or harassment proceeding, lawsuit, administrative or legal complaint, or disciplinary action; and

I am not currently the subject of an open investigation or proceeding related to professional misconduct, such as a discrimination or harassment lawsuit or administrative complaint.

In the case of multi-authored presentations/posters or journal articles, the lead author may complete the full submission application and provide their self-certification at the time of submission. The co-authors must complete a separate self-certification form to be included as an author prior to acceptance.

Self-certification is confidential, the responses viewable only to meeting organizers, editors, and the CRO, at the time of submission. If any potential IAS contributor has questions or concerns about the process of self-certification, they are encouraged to reach out to the CRO.

Public List of Meeting Registrants and Elimination of Onsite Registration:

A list of the names of registrants for the Annual Meetings or other IAS events will be posted online for other registrants and members to review within a reasonable period of time upon registration closing. Presenters who are on the program are also included in the

Preliminary Program when it is published online. No onsite or late registration will be permitted. Annual Meeting participants who have safety concerns may request exemption from the public participant list, to be assessed by the Community Relations Officer (CRO). International participants or others who require an option to pay the registration fee in cash will be given an option to pay onsite, but must also register in advance of the event, in accordance with the stated deadline. These changes are considered essential to creating a safe environment at the Annual Meetings for all participants.

C. Community Relations Officer

The IAS has established a new 3-year Community Relations Officer position whose primary responsibilities may include, but are not limited to: reviewing the membership list and/or the list of Annual Meeting registrants; overseeing Code of Conduct violation complaints; providing confidentiality, impartiality, and support to those making complaints; documenting incoming complaints and the process of addressing them; presenting complaints to the Board of Directors for action; archiving claims and curating the record of all complaints; and leading an evaluation of the Code of Conduct and meeting safety policy at least one time during their 3-year term. The Community Relations Officer, in the absence of a complainant coming forward, may initiate a complaint against a member, conference attendee, or prospective *Ñawpa Pacha* contributor, acting on behalf of the community as a whole.

Members interested in the Community Relations Officer position must respond to the open call with a short statement of interest (maximum 500 words) and two letters of reference to be reviewed by the Board. Examples of appropriate references include employers, mentors, colleagues, and former employees and/or students. Statements of interest and references are due by the deadline for abstracts for the Annual Meeting as set forth by the IAS. The membership will vote on potential candidates. Upon approval, the Community Relations Officer will be notified and required to complete sexual anti-harassment/misconduct training before the start of the Annual Meeting. Training will be provided and may cover topics such as trauma-informed responses to sexual misconduct, ways to appropriately support survivors, and intercultural perspectives.

Until the first Community Relations Officer is elected, an Interim CRO will serve in this capacity.

Complaints, questions, concerns, and comments can be sent to the CRO at CRO@andeanstudies.org. Although no email account is ever entirely secure, the CRO email account is considered private and will be used only by the current CRO (or current Interim CRO) and successor CROs. When referring complaints to the IAS Board for action, the CRO will not reveal the identity of the complainant unless the complainant explicitly asks that their name be included in the documentation. The CRO is required to maintain the highest level of confidentiality in their work.

D. Reporting Violations of the IAS Code of Conduct

1. The IAS Board and Community Relations Officer (CRO) shall be empowered to review membership and/or the list of Annual Meeting registrants and rescind membership and/or acceptance of presentation or poster, permission to attend, award of travel grant, etc. of those found to be in violation of the Code of Conduct. See [Section E](#) for potential categories of evidence.
2. Members, meeting attendees, or others who participate in IAS activities can make a verbal or written complaint about anyone to the CRO, or to an IAS Officer, Director, or the Program Chair who will confidentially relay the complaint to the CRO, providing evidence of a pending or resolved adjudication of a violation of the code of conduct. See [Section E](#) for potential categories of evidence.
3. During the Annual Meeting, a complainant/survivor (or someone they have designated to speak on their behalf) or person(s) with firsthand knowledge of the events can make an immediate and provisional complaint to the CRO/IAS Board about an incident, either verbally or in writing. The IAS Board, together with the CRO, shall be empowered with the discretion to take action at the Annual Meeting to expel someone, or otherwise respond to the situation of harm, in order to prioritize the safety of all meeting participants. After the meeting, the CRO will complete a written report on the incident, summarizing the facts obtained and the actions taken. The complainant and sanctioned individual will receive a copy. The complaint will be accepted as provisionally true for the purposes of expulsion from the meeting, but a formal complaint to the CRO/IAS Board should follow if necessary due to the nature of the incident.

There is no statute of limitations for when a complainant/survivor can make a complaint to the CRO/IAS Board.

E. Evidence of Complaints or Findings

Evidence of an existing complaint of sexual misconduct, harassment, bullying, discrimination, or retaliation may include any of the following in this *non-exhaustive* list:

- A complaint, made by an IAS member or participant, or the CRO, to the IAS Board regarding any IAS member, prospective attendee, prospective *Ñawpa Pacha* contributor, or other participant in IAS activities (for the purposes of Scenarios 2 and 3 in the table below);
- Pending Title IX or other university complaints (e.g., Title VII) or evidence of substantiated Title IX or other claims;
- The existence of any civil pleadings related to sexual misconduct;
- The existence of criminal complaints, arrest warrants, guilty verdicts (jury or bench trials), pleas of guilty or other forms of responsibility, or deferred prosecution agreements;
- The existence of criminal protective orders, restraining orders, or similar protections relating to alleged actions of the IAS member / prospective *Ñawpa Pacha* contributor / prospective meeting attendee / prospective participant in other IAS activities;
- Any other official complaints, including South American forms such as denuncias legales formales; órdenes de restricción; expedientes de denuncias en Museos, Universidades, Institutos de Investigación or organismos de ciencia; or other declarations from employers, universities, or other institutions; or
- In exceptional circumstances, the CRO, or someone appointed by the CRO, may seek and review additional evidence related to a pending case.

F. Overview of Procedures

Three different scenarios for the initiation of complaints, including possible sanctions and the appeals process for complaints raised via each of these scenarios are outlined below. All reports and inquiries will be handled in confidence by the CRO/IAS Board.

Scenarios for initiating a complaint:	Extent of possible sanctions:	Appeals:
--	--------------------------------------	-----------------

<p>Scenario 1 (Where a formal external complaint is pending or has been adjudicated, e.g., Title IX complaints or court proceedings):</p> <p>The IAS Board is made aware of formal external proceedings against an individual, either in writing from a complainant/survivor, CRO, other IAS member, or via verification by the IAS Board/CRO of pending external proceedings such as those listed in Section E.</p>	<p>Upon verification of a pending complaint or an adverse finding and depending on the severity of the conduct, the IAS Board can levy any of the sanctions listed in Section G, or any combination of these sanctions:</p> <p>a) for a reasonable period of time, or b) permanently, in both cases with the possibility of appeal.</p>	<p>Upon the granting of an external appeal favorable to the accused, the CRO/IAS Board may lift related sanctions.</p> <p>At any time after sanctions are levied, the CRO/IAS Board may hear evidence in support of shortening the period of sanction or to lift sanctions and will weigh their decisions based on evidence of rehabilitation or other compelling evidence that membership should be restored and/or sanctions should be lifted, and on the potential impact on the complainant/survivor and the IAS community.</p>
<p>Scenario 2 (Where there is not yet an existing formal external complaint):</p> <p>A complainant/survivor or an IAS member brings a complaint to the CRO/IAS Board, or the CRO brings a complaint to the IAS Board on the complainant/survivor's behalf.</p>	<p>Any appropriate sanctions can be provisionally levied for up to 2 years after the complaint is filed with the IAS Board, while any external matters are pending. If adverse findings occur, then the complaint will revert to Scenario 1. If non-adverse findings occur, sanctions may be lifted. If the complainant/survivor does not initiate a formal external complaint within 2</p>	<p>At any time after sanctions are levied, the CRO/IAS Board may hear evidence in support of shortening the period of sanction or to lift sanctions and will weigh their decisions based on evidence of rehabilitation or other compelling evidence that membership should be restored and/or sanctions should be lifted, and on the potential impact on the complainant/survivor and</p>
	<p>years from the initial notice to the Board, the provisional sanctions will be lifted in the absence of compelling circumstances to the contrary.</p>	<p>the IAS community.</p>

<p>Scenario 3 (Regardless of the existence of external complaints/complaints to the IAS Board):</p> <p>At an IAS event, a complainant/survivor, member, participant, or the CRO registers an emergency complaint with the CRO/IAS Board regarding a situation that creates a likelihood of imminent harm to a participant.</p>	<p>The CRO/IAS Board, at its discretion, may remove a participant for the remainder of the event to maintain order and prevent harm to the IAS community. A complaint can then be lodged if necessary via procedures outlined for Scenario 2.</p>	<p>There is no appeal since the sanction ends at the conclusion of the event.</p>
---	---	---

G. Sanctions

Individuals with pending complaints brought by the CRO/IAS Board or complaints pending before an external adjudicatory process will be provisionally suspended from IAS meetings or other activities (Section F above) without a refund of conference fees or travel expenses; provisionally suspended from eligibility to receive awards, travel grants, and/or keynote speaker invitations; and provisionally suspended from publication in *Nawpa Pacha*. These provisional suspensions will last for a maximum of 2 years while external complaints are pending or while awaiting the initiation of external complaints.

Individuals found by an outside adjudication process to have violated the IAS Code of Conduct may be sanctioned and/or expelled from IAS activities, publications, and/or membership at the discretion of the IAS Board without a refund of fees or travel expenses. Depending on the severity of the allegations and findings of external adjudicatory processes, the IAS Board can determine whether the time limit that sanctions will run: 1) for a reasonable period of time, or 2) permanently, subject to successful appeals.

Possible sanctions include:

- Suspension from the ongoing IAS meeting or activities;

- Barring from future IAS meetings or activities;
- Barring from assuming future governance positions within IAS;
- Barring from eligibility to receive awards, travel grants, and/or keynote speaker invitations;
- Barring from publication in *Ñawpa Pacha*;
- Revocation of IAS membership; or
- Any combination of these sanctions.

Sanctions will be levied in writing and delivered by email and mail to the most current addresses on file. In the case of meeting attendance restrictions, sanctions will be communicated within a reasonable period of time in advance of in-person meetings.

H. Appeals

Appeals of these sanctions can be entered in writing to the IAS Board. Grounds for an appeal may include any of the following non-exhaustive reasons:

- Deviation from this policy;
- Substantive new evidence;
- Evidence of bias in the IAS procedures; or
- Evidence of formal adjudication, rehabilitation, education, or training.

If the findings of external adjudicatory bodies are overturned on appeal, the IAS sanctions will be accordingly reversed (see Procedures, Section F above).

If the Board is unable to evaluate appeals impartially or needs outside expertise to do so effectively, then the Board members will work together with the CRO to appoint an Appeals Review Committee of IAS members as needed. To the extent practicable, this committee should be composed of students and scholars from different age cohorts and of diverse backgrounds (country of origin, race, ethnicity, gender, ability, sexual orientation, etc.). An Appeals Review Committee will stand only for the specific case for which it was called, after which it will be disbanded.

III. Prevention of Misconduct

Members are encouraged to take sexual harassment training at their home institution or employer prior to conducting field schools, fieldwork, or laboratory work; working with students and international colleagues; and attending professional meetings. Various training opportunities will be promoted periodically by the IAS, and a list of IAS-recommended training sessions will be made available to the IAS community.

In recognition of the links between excessive drug and alcohol consumption and sexual misconduct, the IAS encourages members and others to take special care of themselves and each other with respect to intoxicants. We also encourage program directors to establish culturally-sensitive and respectful boundaries around alcohol use and misuse and provide spaces for interaction that are inclusive for all participants.

The IAS recommends that project directors and Principal Investigators create, distribute, and enforce a code of conduct for fieldwork or laboratory work that spells out clear mechanisms for reporting and dealing with sexual harassment, discrimination, and/or other forms of professional misconduct for all team members, including, but not limited to, students, colleagues, volunteers, specialists, local vendors and workers, and others involved in directly supporting field and laboratory operations.

Furthermore, because there are multiple ways to prevent sexual harassment and assault, as well as multiple contexts in which it occurs (such as meetings, field schools, labs and museums, classrooms, among others), the IAS intends to periodically provide updated links to several institutions that offer strategies for students and colleagues to avoid and prevent incidents. (This list is meant to be suggestive, not exhaustive.) These links also suggest multiple mechanisms to help students to feel safe in international or domestic research settings (see [Appendix](#)).

IV. Survey of the Andean Studies Community

Recognizing that an understanding of the magnitude of the problem of sexual misconduct within the professional community of Andean Studies is necessary to inform IAS policy and the mandate of the Community Relations Officer, the Working Group that developed this policy proposal will continue as a research group unaffiliated with the IAS—but with IAS cooperation—to develop and administer an IRB-approved survey to the Andean Studies community at large, and to work with the results. The group intends to compare its survey findings to similar studies from other regions and submit those findings for peer review and dissemination. The research group may reach out to other researchers and experts as needed to develop, conduct, and disseminate an effective

study.

V. Creation of Additional Categories of IAS Affiliation

Students, practicing professionals, and others who would not otherwise be eligible for election to IAS membership may be among the primary victims of sexual harassment. The IAS aims to protect and enfranchise these individuals by ensuring that they are considered by this policy. Therefore, the IAS will create an additional, affordable, non-voting level of affiliation that includes categories of (1) students and (2) other IAS participants not eligible for membership, to increase inclusivity and diversity in IAS. These non-voting affiliates will be eligible to participate in some relevant committee service (including Sanctions Appeals review) and other IAS matters.

VI. Appendix ([link](#))

The Appendix contains a database of various resources for the IAS community. The resources are organized by four broad themes: 1) defining unethical conduct; 2) studies of unethical conduct; 3) prevention of unethical conduct; and 4) comparative policies of other research and professional organizations. This is a living document that should be continuously updated and published to the IAS website or to the membership.

VII. Postscript on Policy Development and Implementation

The creation and adoption of the policies described in this document are the result of more than a year of careful work and deliberations. The IAS Board met with the Officers in June 2020, leading to the call for nominations, formation, and charging of the Working Group in July 2020. These steps were taken in tandem with research and consultation with experts in Title IX law and with professionals associated with peer institutions including the American Geophysical Union, the Western History Association, and the Society for California Archaeology.

In July 2020, the IAS Board charged the seven-member Working Group on Ethical Conduct in Andean Studies to draft a Code of Conduct and statement of shared ethical commitments related to dimensions of safe educational, workplace, and research climates. Given recent events in the community of Andean Studies, the Working Group considered it most urgent to establish policy provisions on unlawful discrimination, sexual misconduct, retaliation, and related behaviors; however, policy provisions related to other ethical issues may be expanded upon in the future. In particular, because all paper and poster sessions at IAS Annual Meetings take place wholly in a few rooms, the safety issues at meetings are magnified (e.g., in comparison to larger professional

gatherings such as the Society for American Archaeology [SAA] meetings). Therefore, the Working Group prioritized policies related to meeting safety and took a strict approach to guaranteeing safety of meeting attendees, as outlined above.

The Working Group submitted their draft recommendations to the Board on December 28, 2020. Discussion of those recommendations took place in multiple meetings with legal counsel throughout the months of January and February 2021. The Working Group re-submitted their revised recommendations on April 13, 2021. Those recommendations were accepted by unanimous vote of the IAS Board of Directors on April 23, 2021 with minor administrative changes completed with review of counsel on June 10, 2021. That document was shared with IAS Members for an open comment period from June 25 to July 15, 2021. Modifications were made on August 4, 2021 in consultation with IAS's attorney to address comments and concerns submitted by six Members.

The document was shared again with Members and an advisory vote of the Members was called on the Board of Directors' plan to institute the Code of Conduct and policies related to sexual misconduct and meeting safety in advance of the January 2022 annual meeting. Voting was open from August 21 to September 20, 2021. Sixty-two votes were cast by Members: 57 in support (91.9%) and 5 not in support (8.1%). Comments were received from sixteen Members. The Membership has voiced its support for the implementation of the Code of Conduct and related policies by an overwhelming majority. We thank everyone who participated in this process. The Board of Directors voted on September 21, 2021 to put the Code of Conduct and related policies into effect, with some small clarifying revisions of language and two final substantive revisions to the document that was shared with Members in August, based on Member input. The Code of Conduct and these related policies are now in effect.