

Research Misconduct

The Institute expects and encourages the highest standards of scholarly ethics and honesty from its Faculty, Members, and all who carry out academic work under its auspices. Misconduct by a scholar that violates the standards of scholarly integrity demeans the individual, undermines the credibility of the scholarly community, and jeopardizes academic inquiry. The Institute defines research misconduct as intentional, knowing, or reckless fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include differences of opinion or honest error.

Allegations of misconduct in research are a very serious matter. When such allegations are raised, and where a School judges it appropriate to proceed to a formal examination, the Institute's response to an allegation of research misconduct will consist of one or more of several phases, as appropriate, including:

- (1) an inquiry – the assessment of whether the allegation has substance and if an investigation is warranted;
- (2) an investigation – 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 research misconduct or other appropriate remedies;
- (3) adjudication – during which recommendations are reviewed and appropriate corrective actions are determined.

Inquiry. Allegations of misconduct made against a Member will be reviewed by a committee of one or more Faculty from the appropriate School, including, if needed, outside experts. If the allegation is against a member of the Faculty, the committee will also include one representative from the Faculty of each of the other Schools. The committee will undertake a review, with the person in question having been informed, and mindful at all times of the privacy rights of the individual. The committee also will be expected to make the best effort to preserve the confidentiality of any investigation. The committee will examine the published record and determine if the allegations have substance. If it appears that there may have been misconduct, the Institute will report this finding to the individual scholar, along with any relevant supporting materials. A hearing will then take place, with written materials offered as part of the process, to give the scholar the opportunity to respond and, when appropriate, to confront his or her accusers.

Should the response not satisfy the committee's concerns regarding the report, the Institute will communicate its findings to the institution where the scholar is employed (if the scholar is employed by another institution) and ask that institution to carry out an investigation, or (if the accused scholar is not employed by another institution) carry out an investigation itself. In either case, if the research was accomplished at the Institute with funds from federal grants from such institutions as the National Endowment for the Humanities or the National Science Foundation, where appropriate the allegation also will be reported to the relevant body in accordance with that body's policies.

Investigation. In forwarding allegations of research misconduct to a scholar's home institution, the Institute will ask that institution to specify the process and schedule by which it will

investigate the allegation. It is expected that such an investigation, conducted by faculty peers according to the institution's governance procedures, will develop a factual record, examine that record, and recommend either the dismissal of the case or a finding of research misconduct. It is also expected that the investigation institution will provide the subject of the investigation with written notification of the charges, offering opportunity for a response. It is expected that any related proceedings will be carried out in as confidential a manner as possible.

The Institute will carry out an investigation directly if: a) the scholar's home institution declines to carry out an investigation; b) an allegation, judged by the Institute's inquiry to be substantive, has been made against an independent scholar; c) an allegation, judged by the Institute's inquiry to be substantive, has been made against a member of the Faculty or staff of the Institute. In the latter two cases, the Director of the Institute will appoint a special committee consisting predominantly of Faculty (in the case of a Faculty member, the committee will include Faculty representatives from each School) to investigate the allegation. The investigation will develop a factual record, examine that record, and recommend either the dismissal of the case or a finding of research misconduct. Prior to making a final recommendation the Institute will provide the subject of the investigation with written notification of the charges, and will offer the accused the opportunity to confront the allegations, and to respond. The entire proceedings will be carried out in as confidential a manner as possible.

If the research in question was conducted with federal funds, the Institute will forward the report on the investigation to the relevant federal agency.

Adjudication. Having referred an allegation to another institution that has accepted responsibility for investigating the allegation, the Institute will await the results of any investigation conducted by the authority prior to taking action. If, after reviewing the findings of the other institution's investigation, the committee initially appointed to inquire into the allegations agrees that there was misconduct, the committee will be expected to recommend an action to be taken by the Director of the Institute. Similarly, if an investigation carried out by a committee appointed by the Institute reports a finding of research misconduct, the committee of inquiry will recommend actions to the Director.

Possible action may include corrective measures, retraction, public apology, letter of reprimand with copies to the home institution, or suspension of stipend and all other forms of Institute recognition and support. If there is reason to believe that the misconduct is criminal in nature, the appropriate authorities will be notified. A written report of the adjudication will be given to the subject of the investigation, to any federal or private agency supporting the research in question, and a copy retained in the Institute's confidential files for at least ten years.

This policy is set out with the understanding that all scholars associated with the Institute for Advanced Study are expected to abide by appropriate standards for their field of research. Such standards have been set out in guidelines for professional conduct as provided by relevant academic societies including the American Philosophical Society, the American Physical Society, and the American Historical Association. Such guidelines, which will be referred to in the review of any allegations of scholarly misconduct at the Institute, can be obtained from the appropriate organization.