

## **The Newberry Library Policy on Research Integrity and Misconduct**

The Newberry Library takes issues of academic integrity seriously and aspires to the highest standards of scholarly ethics. It therefore expects, and provides the conditions to ensure, that these standards are met by its employees and other members of its community of scholars. The following pertains to Fellows and scholars-in-residence in the course of their Newberry-supported research, and to members of the Library's research staff while employed by the Newberry Library.

Research misconduct refers to violation of the professional ethical standards of a scholar's discipline or the standards established by a funding agency. Such a violation might include intentional, knowing, or reckless fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. The professional standards of the scholar's discipline shall be those established by the relevant professional association – for example the American Historical Association's published "Statement on Standards of Professional Conduct" or the Modern Language Association's "Statement of Professional Ethics."

Inquiry into misconduct in research should be initiated by written complaint from any individual, whether or not affiliated with the Library, and submitted to the President of the Library. The complaint must be detailed and specific, and accompanied by appropriate documentation. The Library has the responsibility to protect the position and reputation of the complainant so long as the complainant's allegations were made in good faith.

The President and the Vice President for Research and Education will determine whether an allegation is substantively plausible and has been made in good faith. If necessary they will draw upon the expertise of scholars and librarians on the Library staff. If the allegation is worthy of further consideration, the President will pursue the following steps:

1. If the individual in question has been supported by federal funds, the Newberry will promptly inform the relevant funding agency of the allegations. The standards and procedures established by the federal government would be invoked (see "NEH Research Misconduct Policy," n.d., received by Newberry from NEH, April 2002).
2. If the individual in question is a Newberry Fellow or Scholar-in-Residence who is an employee of another institution the Newberry will forward the written complaint to that institution. If it becomes apparent to the Newberry that the scholar's home institution is not responding to the complaint, the Newberry will follow the procedures described in #3 below.
3. If the individual in question is a Newberry employee or an independent scholar, the President of the Library will ask the Academic Council to inquire whether that resident scholar's activities constitute research misconduct. Academic Council will read the relevant publications and documents (including a statement from the accused individual) and report a recommendation to the President. If the Academic Council recommends institutional action, the accused individual will be offered the

opportunity to respond to the finding. The President, upon consideration of the Academic Council's recommendations, and the response submitted by the accused party, will determine whether misconduct has occurred, and if so, what the appropriate institutional response should be. Penalties might include, but are not limited to, appropriate steps to correct the research record, a letter of reprimand, imposition of special certification to assure compliance with applicable regulations or terms of an award, or loss of Newberry Library academic affiliation or funding.

If the President determines that academic misconduct has been committed by a Fellow or staff member who has been supported by federal funds during the period when the misconduct occurred, the Newberry will forward to the relevant agency a copy of the evidentiary record, the Academic Council's report and recommendations, the President's determination, and the scholar's response to this adjudication. In the case of a scholar supported by NEH funds, the Library will adhere to all responsibilities delineated in "Responsibilities of Institutions Administering National Endowment for the Humanities Fellowships Programs" and the "NEH Research Misconduct Policy," which are on file at the Newberry.

This policy will be administered in a manner that is consistent with all rights and responsibilities delineated in the Newberry's *Employee Handbook*. The Newberry Library's commitment to fairness and professional standards in investigating allegations of misconduct includes a commitment to confidentiality. The Library will make the best effort possible to preserve the confidentiality of any investigation of misconduct.

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