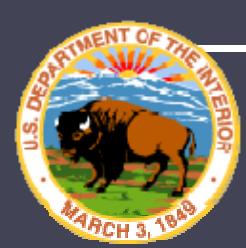




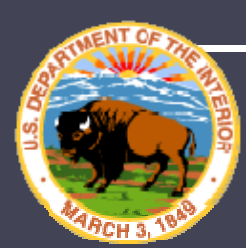
Scientific and Scholarly Integrity Policy at Department of Interior





Goals of the policy

- DOI decisions based on science and scholarship are respected as credible.
- DOI science is conducted with integrity and excellence.
- DOI has a culture of scientific and scholarly integrity that is enduring.
- DOI scientists and scholars are widely recognized for excellence.
- DOI employees are proud to uphold the high standards and lead by example.



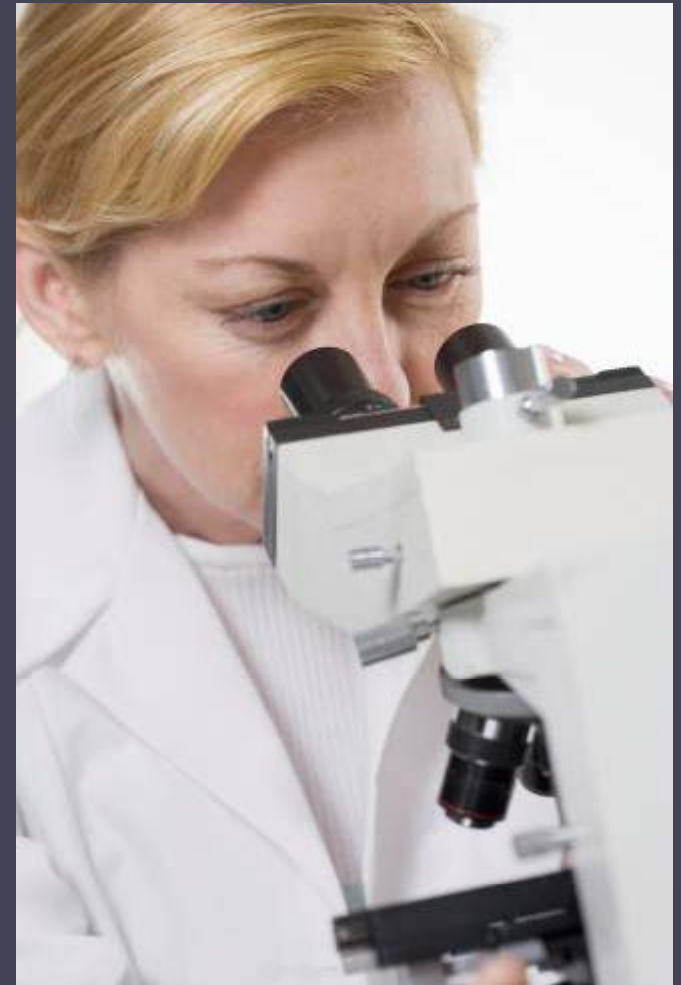
Purpose and Scope

Scientific and scholarly information considered in Departmental decision making must be robust, of the highest quality, and the result of as rigorous scientific and scholarly processes as can be achieved. Most importantly, it must be trustworthy.

Applies to all DOI employees, including political appointees, as well as:

- contractors
- cooperators
- partners
- permittees
- leasees
- grantees
- and volunteers

when they engage in, supervise, manage, or influence scientific and scholarly activities, or communicate information about the Department's scientific and scholarly activities, or utilize scientific and scholarly information in making agency policy, management or regulatory decisions.

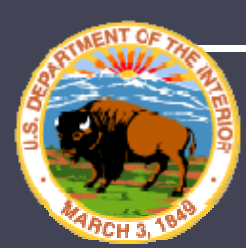




Background

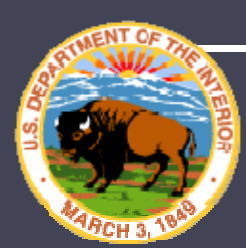


- Presidential Memorandum on Scientific Integrity (March 9, 2009)
- Secretarial Order 3305: Ensuring Scientific Integrity within the Department of the Interior (September 29, 2010)
- Office of Science and Technology Policy Memorandum on Scientific Integrity (December 17, 2010)



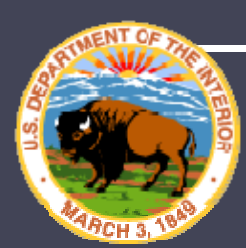
Principles

1. Define expectations of behavior for all
2. Encourage the free-flow of information
3. Establish transparency expectations
4. Make scientific credentials part of hiring criteria
5. Encourage scientists to communicate openly
6. Reinforce principles of whistleblower protection
7. Ensure training makes expectations clear to all
8. Encourage scientists to engage with communities of practice
9. Examine issues and correct any problems that arise
10. Best practices throughout the Department



Definitions and Responsibilities

- Explanations of terms
- Sets expectations for all levels of leadership
- Creates Scientific Integrity Officers (SIO)
 - Departmental and bureau-level
 - **SIOs** are the primary point of contact
 - Leads initial review of allegations
 - May determine that Scientific Integrity Review Panel (SIRP) is needed. SIO oversees the SIRP.



Reporting and Resolving Allegations

- Allegations must be submitted in writing
- Allegations may be submitted by entities internal or external to the Department
- Office of the Executive Secretariat will track status of allegations
- Fact finding regarding the allegation will be conducted by the appropriate SIO
- Appropriate HR office and supervisor will be involved if employee or volunteer; contracting officer or financial assistance officer for others



Professional Societies

- Encourages Enhancement of Scientific and Scholarly Integrity Through Involvement with Professional Societies
- Provides Process Whereby Employees can Avoid Perception of Conflict of Interest

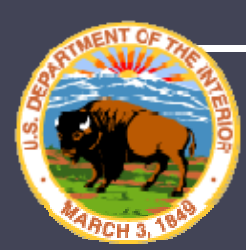




Authorities

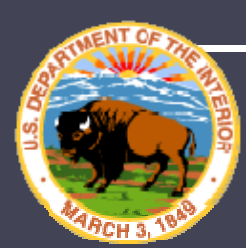
Provides Relevant Laws and Policies
Supporting this Policy





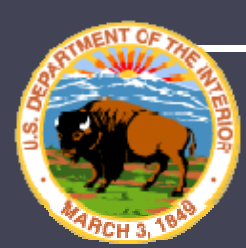
Appendices

- Flow Charts for Processing Allegations
- Sample Memoranda for Processing Allegations
- Description of Scientific and Scholarly Integrity Review Panels
- Employee and Volunteer Forms
- Conflict of Interest Forms and Memoranda



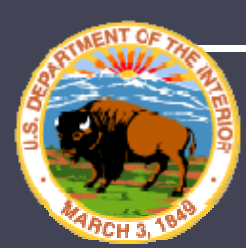
Information for Employees

- Policy Applies to Employees Who Engage in Scientific and Scholarly Activities
 - Individuals who conduct or directly supervise scientific and scholarly activities including, but not limited to, proposing, performing, or reviewing inventory, monitoring, research and assessment or in reporting results thereof
 - Individuals who directly supervise or personally perform work involving the compilation and translation of scientific and scholarly data or information into formats used by the Department's decision makers and other non-scientists



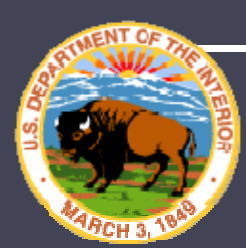
Scientific and Scholarly Misconduct

- Fabrication, falsification or plagiarism in proposing, performing, or reviewing scientific and scholarly activities, or in the products, reporting or application of results
- Intentionally circumventing policy that ensures integrity of science and scholarship
- Actions that compromise scientific and scholarly integrity—does not include honest error or differences of opinion



Finding of Scientific and Scholarly Misconduct Requires:

- That there be a significant departure from accepted practices of the relevant scientific and scholarly community
- The misconduct be committed intentionally, knowingly, and recklessly
- The allegation be proven by a preponderance of evidence



Employee Responsibilities

- Be aware of and upholding the principles in the Code of Scientific and Scholarly Conduct
- Comply with the policy and any bureau-specific guidance
- Reporting, as described in Section 3.8 of this policy, knowledge of scientific misconduct
- Ensure that any contractors, partners, permittees, leasees, and grantees covered by this policy with whom they are executing contracts, written agreements, grants, leases, or permits are aware of their responsibilities
- Uphold employee responsibilities and conduct contained in Part 370 DM

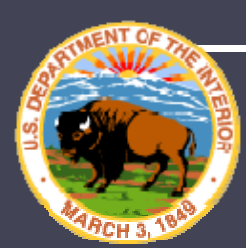




Code of Scientific and Scholarly Conduct



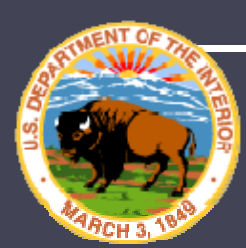
- Ten “I will” statements that apply to all Departmental employees and volunteers, contractors, cooperators, partners, permittees, leasees, and grantees to whom this policy applies
- Six additional “I will” statements that apply to scientists and scholars
- Three “I will” statements that apply to decision makers in addition to the ten that apply to all employees subject to this policy



Reporting and Resolving Allegations of Loss of Integrity

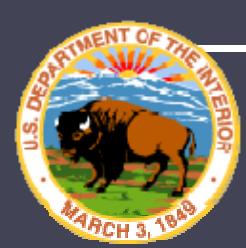
- Allegations must be submitted in writing within 60 days of discovery of alleged misconduct
- Allegations may be submitted by individuals or entities internal or external to DOI
- Cases of waste, fraud and abuse should be reported to the Inspector General
- Appropriate Bureau Scientific Integrity Officer (BSIO) will review the allegations





Reporting and Resolving Allegations of Loss of Scientific Integrity

- Departmental Science Integrity Officer (DSIO) will review allegations against Bureau heads and the Office of the Secretary
- BSIO and DSIO may convene a Scientific and Scholarly Integrity Review Panel to conduct fact finding
- Corrective action may be taken in consultation with Human Resources and the appropriate manager/supervisor



Professional Societies

- DOI encourages employee participation in outside professional organizations within the guidelines listed below
- When employee serves as an officer or member on the board of directors that creates a fiduciary duty, any actual or apparent conflict of interest must be avoided
- Employee must secure a Conflict of Interest Waiver
- Employee must execute a written MOU acknowledging their primary loyalty to the U.S. Govt
- Employee must execute a Recusal Memorandum