



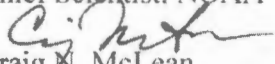
JUL 15 2015

ACTION-DECISION

MEMORANDUM FOR: VADM Michael S. Devany
Deputy Under Secretary
for Operations

Richard W. Spinrad, Ph.D.
Chief Scientist, NOAA

FROM:


Craig N. McLean
Assistant Administrator

SUBJECT: Approval of Scientific Integrity Committee Terms of Reference

1. ACTION FORCING EVENT:

Dr. Cynthia J. Decker was appointed National Oceanic and Atmospheric Administration (NOAA) Scientific Integrity Officer and announced in February. Line Office Scientific Integrity Officers and Staff Office Points of Contact were appointed soon afterwards. The group will form a NOAA Scientific Integrity Committee (Committee) in order to support the Deputy Under Secretary for Operations (DUS/O) processing of allegations of scientific and research misconduct and NOAA Chief Scientist implementation of NAO 202-735D. The Committee met and drafted a Terms of Reference (TOR, attached). The TOR is needed to define the objectives and the scope of the Committee and outline the Committee's responsibilities.

2. ANALYSIS:

The Terms of Reference do the following for the Committee: describe support for the DUS/O in processing allegations of scientific and research misconduct; describe support for the NOAA Research Council and NOAA Chief Scientist in other aspects of oversight and implementation of NOAA's Scientific Integrity Policy (NAO 202-735D); provide a role in supporting the authorization of NOAA employees to serve as officers or board members of nonprofit organizations on behalf of NOAA.

As submitted, the TOR reflects recommendations and input from the NOAA Research Council, DUS/O staff, NOAA Chief Scientist, and the Office of General Counsel. All members of the Committee have reviewed and approved the TOR.

3. RECOMMENDATIONS:

Recommend you approve the Terms of Reference for the NOAA Scientific Integrity Committee by signing the attached Terms of Reference.

Approve: MD Disapprove: _____ Let's Discuss: _____

Attachment: Terms of Reference



NOAA Scientific Integrity Committee Terms of Reference

June, 2015

Purpose and Scope

To promote a culture of scientific integrity within the National Oceanic and Atmospheric Administration (NOAA) and to support the agency's commitment to a culture of excellence, NOAA has created a Scientific Integrity Committee (Committee).

The Committee will support the NOAA Research Council, NOAA Chief Scientist, and the NOAA Deputy Under Secretary for Operations (DUS/O) in their respective responsibilities for oversight and implementation of NOAA's Scientific Integrity Policy, as outlined in NAO 202-735D and its accompanying Procedural Handbook.

The Committee will respond to allegations of scientific and research misconduct; improve awareness and understanding of scientific

integrity principles, issues, and processes; maintain content for NOAA's Scientific Integrity Commons, the on-line resource for training and materials related to scientific integrity; and serve as a liaison with other federal agencies on issues of scientific integrity. In order to maintain a robust scientific integrity enterprise and avoid all real or perceived conflicts of interest, Committee members will (via the NOAA Scientific Integrity Officer) be accountable to, and work directly with, the office of the DUS/O when processing allegations of misconduct. The role of the Committee in processing allegations of misconduct is limited to determining if a breach of scientific integrity has occurred and recommending options for responding to a breach in a manner that protects and reinforces the integrity of NOAA's scientific enterprise. Further adjudication is the responsibility of the DUS/O working in conjunction with the supervisors of individuals accused of misconduct and the NOAA Workforce Management Office.

Chair

The Chair of the Committee will be the NOAA SIO who is selected by the Assistant Administrator of the Office of Oceanic and Atmospheric Research for a three-year term (renewable), and the appointment is confirmed and announced by the DUS/O. As Chair, the NOAA SIO will lead the Committee in overseeing and implementing NOAA's scientific integrity enterprise and will coordinate with the NOAA Research Council, Chief Scientist, and the DUS/O as appropriate.

Vice Chair

The Vice Chair is appointed by the Chair. The Vice Chair is to support the Chair, particularly in cases where there is a conflict of interest, and can assume duties of Chair as needed.

Membership

Committee members will be those within the NOAA community responsible for maintaining elements of the scientific integrity enterprise. In addition to the NOAA SIO as Chair, the Committee will include all Line Office SIO (LO SIO), including the Office of Marine and Aviation Operations; representatives from NOAA staff offices including the Office of General Counsel, Office of the Chief Information Officer, Workforce Management Office, Office of the

Chief Administrative Officer; and staff from the offices of the DUS/O and Chief Scientist as needed. Other representatives may be added to the Committee in the future as needed and appropriate.

Each Line Office Assistant Administrator (AA) shall appoint to the Committee an LO SIO for a three-year term (renewable). Other members of the Committee are selected by the heads of their respective offices for three-year terms (renewable) in response to a request from the DUS/O. Members shall be authorized to make policy and strategic decisions and speak on behalf of their office's leadership, particularly in the capacity of coordinating across offices to manage NOAA's scientific integrity enterprise. SIOs will be accountable to, and operate directly with, the DUS/O when processing allegations of misconduct. Specifically, LO SIO will work with the NOAA SIO to lead the initial assessment of an allegation of scientific and research misconduct, and will facilitate the procedures to be followed if further processing is needed to respond to the allegation.

Executive Secretariat

The Executive Secretariat will be assigned by the Chair.

Roles and Responsibilities

The Committee will support the NOAA Research Council, Chief Scientist, and DUS/O in their respective oversight and implementation responsibilities as outlined in NOAA's Scientific Integrity Policy, NAO 202-735D, and its accompanying Procedural Handbook. Oversight and implementation of NOAA's scientific integrity (SI) enterprise includes the following activities:

- Developing and revising guidance on the implementation of NOAA's SI policy, including revising the accompanying Procedural Handbook and establishing a program of advice and technical assistance to entities that conduct inquiries and investigations;
- Managing the intake of allegations of scientific and research misconduct and providing initial review of such allegations to evaluate the timing, content, and reasonableness of the allegation to determine whether the allegation should be dismissed, proceed to the inquiry stage, or be referred to another office for appropriate action;
- Ensuring that all SI procedures developed and performed under the guidance described in the Procedural Handbook are independent, methodologically sound, and thorough in order to sufficiently protect NOAA's scientific integrity;
- Providing recommendations to DUS/O on options to restore and strengthen NOAA's scientific integrity when compromised;
- Providing the annual draft report on allegations of scientific and research misconduct to the DUS/O and Chief Scientist, as well as maintaining documentation of the evaluation of allegations;
- Supporting the DUS/O in interactions with the DOC Office of the Inspector General by, for example, providing and receiving complainant referrals as appropriate to scientific integrity;
- Ensuring training and other resources in the Scientific Integrity Commons are available for NOAA personnel;
- Working with other federal agencies to develop best practices in the area of scientific integrity, primarily through the US Federal Inter-agency Scientific Misconduct group;

- Supporting authorization of NOAA employees to serve as officers or board members of nonprofit organizations on behalf of NOAA.

Meetings and Coordination

Meetings of the Committee will be quarterly or at the direction of the Committee Chair. Members and invited advisors are expected to participate and make every reasonable effort to attend scheduled meetings.

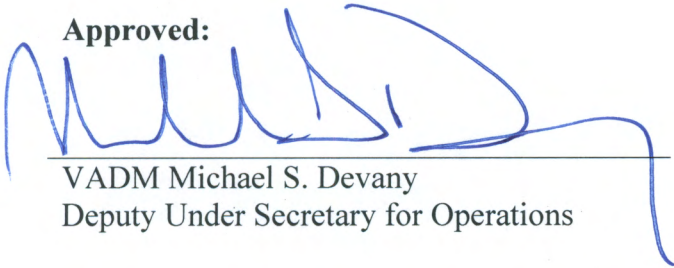
Terms of Reference Revision Process

The Committee will review this document at least every three years, or at the request of the Chair, to ensure continued accuracy and utility. Final Terms of Reference will be approved by the DUS/O and NOAA Chief Scientist.

References

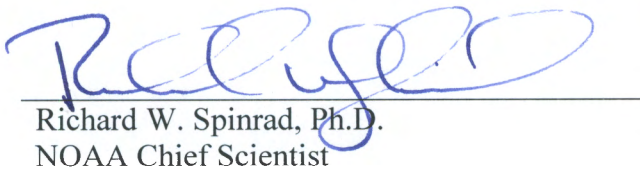
- Presidential Memorandum on Scientific Integrity - March 9, 2009
- OSTP Director's Guidance Memo - December 17, 2010
- Department of Commerce Administrative Order 219-1 Public Communications
- NOAA Communications Guidance
- NOAA Administrative Order 202-735D Scientific Integrity
- DOC Interim Guidelines for Authorizing Employees to Serve as Officers or Board Members of Nonprofit Organizations on behalf of the Government

Approved:



VADM Michael S. Devany
Deputy Under Secretary for Operations

24 AUG 2015
Date



Richard W. Spinrad, Ph.D.
NOAA Chief Scientist

24 AUG 2015
Date