Scientific Integrity Report Card

Scientific Integrity Grading Rubric	**Total Possible:** 100 Points	**Total Awarded:** 36 Points
Scientific Misconduct	**Subsection Total: 40**	**Subsection Total: 5**
A. Political Manipulation of Science	6	2
B. Breadth of Coverage	5	1
C. Whistleblower Protection	12	2
D. Investigations of Complaints	5	0
E. Investigation Independent of Chain of Command	6	0
F. Sanctions for Misconduct	6	0
Public Communications of Science	**Subsection Total: 40**	**Subsection Total: 26**
A. Process for scientist to publish or lecture regarding their official work with the general public, in external peer-reviewed journals or at scientific conferences	10	8
B. Absence of policy review or agency screening for the above	10	8
C. Ability of scientists to review press releases regarding their work prior to final publication	10	0
D. Explicit provision for agency scientists to be on governing and editorial boards of scientific societies	10	10
Transparency of Policy Decision-Making	**Subsection Total: 20**	**Subsection Total:5**
A. Requirement that all agency policy decisions must be based on science subjected to external peer review	10	5
B. Original research documents are part of administrative record	10	0

I. Scientific Misconduct – (40 pts)

A. Political Manipulation of Science (2/6 pts)

1. *Prohibits alteration of technical/scientific documents for non-technical reasons (0/3 pts)*

   The Department of Defense's Scientific Integrity Policy does not specifically prohibit this.

2. *Prohibits intimidation or coercion to alter scientific data/analysis/conclusions for non-technical reasons (2/3 pts)*

   The Department of Defense's Scientific Integrity Policy prohibits personnel from directly pressuring scientists to alter their work, but does not prohibit other forms of intimidation.

   "In no circumstance may DoD personnel ask or direct scientists or engineers to alter or suppress their professional findings, although they may suggest that factual errors be corrected."

B. Breadth of Coverage (1/5 pts)

1. *Applies to political appointees and senior managers (1/3 pts)*

   The Department of Defense's Scientific Integrity Policy does not specify exactly who its protection covers.

   "This Instruction applies to the OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organization entities within the DoD."

2. *Applies to contractors, states, and other partners (0/2 pts)*

   No.

C. Whistleblower Protection (2/12 pts)

1. *Explicitly protects those filing misconduct complaints from retaliation (2/4 pts)*

   The Department of Defense's Scientific Integrity Policy incorporates Sections 1221 and 2302(b)(8) of the United States Code to protect DoD employees who make *reasonable* allegations of scientific and engineering misconduct from retaliation. Points were deducted because the Scientific Integrity Policy does not provide any guidance on how to make a determination of reasonableness, nor does it specify who will make that determination.

2. *Protects scientists for retaliation based on content of work (0/4 pts)*

   The Department of Defense's Scientific Integrity Policy does not address this.

3. *Provides that agency officials who engage in retaliation will be subject to discipline (0/4 pts)*

   The Department of Defense's Scientific Integrity Policy does not address this.

D. Investigations of Complaints (0/5 pts)

1. *Defined process (0/1 pt)*

   The Department of Defense's Scientific Integrity Policy does not address this.

2. *Timelines (0/1 pt)*

   The Department of Defense's Scientific Integrity Policy does not address this.

3. *Ability of complainant to respond (0/1 pt)*

   The Department of Defense's Scientific Integrity Policy does not address this.

4. *Transparency of findings and rationale (0/1 pt)*

   The Department of Defense's Scientific Integrity Policy does not address this.

5. *Relationship with the IG is clearly defined (0/1 pt)*

   The Department of Defense's Scientific Integrity Policy does not address this.

E. Investigation Independent from Chain of Command (0/6 pts)

   The Department of Defense's Scientific Integrity Policy does not address this.

F. Sanctions for Misconduct (0/6 pts)

1. *States that misconduct is grounds for disciplinary action or dismissal (0/2 pts)*

   The Department of Defense's Scientific Integrity Policy does not address this.

2. *Explicit procedure for discipline of sustained misconduct complaints (0/2 pts)*

3. The Department of Defense's Scientific Integrity Policy does not address this.

4. *Automatic review of court rulings based upon arbitrary and capricious application of scientific information or scientific findings (0/2 pts)*

The Department of Defense's Scientific Integrity Policy does not address this.

II. Public Communications of Science – (26/40 pts)

A. Process for scientist to publish or lecture regarding their official work with the general public, in external peer-reviewed journals or at scientific conferences (8/10 pts)

The Department of Defense's Scientific Integrity Policy incorporates the National Security Decision Directive 189 and Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) Memorandum. These documents are available at: http://www.fas.org/irp/offdocs/nsdd/nsdd-189.htm and http://www.acq.osd.mil/ddre/publications/docs/2010_Carter_FR_memo.pdf, respectively.

According to these policies, any fundamental research that was not designated as classified prior to its beginning can be published by the scientist or engineer without restriction. Fundamental research is defined as: "basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons."

"Federal scientists and engineers may speak to the media and to the public about scientific and technical matters based on their official work with appropriate coordination with the scientists' or engineers' organization." Points were deducted because the Department of Defense's Scientific Integrity Policy does not specify the process of the "coordination."

B. Absence of policy review or agency screening for the above (8/10 pts)

The Department of Defense does not place any restrictions on the publication of unclassified fundamental research (see above).

"DOD approval to speak to the media or the public shall not be unreasonably delayed or withheld… In no circumstance may DoD personal ask or direct scientists or engineers to alter or suppress their professional findings, although they may suggest that factual errors be corrected."

C. Ability of scientists to review press releases regarding their work prior to final publication (0/10 pts)

The Department of Defense's Scientific Integrity Policy does not address this.

D. Explicit provision for agency scientists to be on governing and editorial boards of scientific societies (10/10 pts)
"Support professional development of DoD scientists and engineers by encouraging… participation in professional societies (including as officers or members of governing

boards and as editors or members of editorial boards of professional journals, although not as DoD representatives)."

III. Transparency of Agency Decision-Making – (5/20 pts)

A. Requirement that all agency policy decisions must be based on science subjected to external peer review (5/10 pts)

Only requires data and research used to support policy to be supported by peer review when "feasible and consistent with law."

B. Original research documents are part of administrative record (0/10 pts)

The Department of Defense's Scientific Integrity Policy does not address this.