

## Request for Records Disposition Authority

Records Schedule Number      DAA-0016-2016-0003  
Schedule Status                Approved

Agency or Establishment      Department of Agriculture  
Record Group / Scheduling Group   Records of the Office of the Secretary of Agriculture  
Records Schedule applies to    Department-wide  
Schedule Subject                USDA Records Control Schedule for Scientific Integrity and Research  
Misconduct Case Records

Internal agency concurrences will  
be provided                      No

Background Information        On December 6, 2000, the White House Office of Science and Technology Policy (OSTP) published the "Federal Policy on Research Misconduct" in the Federal Register (65 Federal Register 76260). The policy directed Federal Departments and agencies that conduct or support research to develop procedures for responding to allegations of research misconduct. On March 9, 2009, a Presidential memorandum on "Scientific Integrity" was issued to the Heads of Federal Departments and agencies. This memorandum emphasized that the public must be able to trust the science and scientific process used to inform public policy decisions. Further, the memorandum directed that Departments and agencies have in place procedures for identifying and addressing instances in which the scientific process or the integrity of scientific and technological information may have been compromised.

Title 7 CFR 2.21 delegates to the Under Secretary for Research, Education, and Economics (REE), who serves as the USDA Chief Scientist, primary responsibility for ensuring that research and scientific advice are held to the highest standards of intellectual rigor and scientific integrity. This delegated responsibility includes developing mechanisms to address scientific integrity within the Department. The rule also delegates authority to the Director of the Office of the Chief Scientist (OCS) to assist the Chief Scientist with developing mechanisms to address scientific integrity within the Department. (See Federal Register, Vol. 76, No. 39, Pages 10755-10757, February 28, 2011.)

The OCS, through its delegated authority and as specified in Departmental policies, has responsibility for the oversight of allegations of compromised scientific integrity, including allegations

of research misconduct, involving USDA conducted and/or supported scientific activities. As specified in Departmental policies and Title 7 CFR Part 3022 (“United States Department of Agriculture Research Misconduct Regulations for Extramural Research”), USDA agencies and staff offices have responsibilities for reviewing, investigating, and resolving allegations of compromised scientific integrity, including allegations of research misconduct. In the course of fulfilling the aforementioned responsibilities, USDA agencies and staff offices, including OCS, come into possession of and/or generate records pertaining to the review, investigation, and resolution of allegations of compromised scientific integrity. These records include, but are not limited to: submitted written allegations, threshold determinations/ preliminary assessments of allegations, inquiry and investigation reports, evidentiary exhibits, copies of scientific records or relevant sections thereof, notifications and decisional letters, written appeals, and case summary documents.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

GAO Approval

### Outline of Records Schedule Items for DAA-0016-2016-0003

Sequence Number	
1	<b>Scientific Integrity and Research Misconduct Case Records with Significant Historical Value that Involve Allegations that are Referred for an Inquiry and/or Investigation</b> Disposition Authority Number: DAA-0016-2016-0003-0001
2	<b>Scientific Integrity and Research Misconduct Case Records that Involve Allegations Referred for an Inquiry and/or Investigation</b> Disposition Authority Number: DAA-0016-2016-0003-0002
3	<b>Scientific Integrity and Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation</b> Disposition Authority Number: DAA-0016-2016-0003-0003

## Records Schedule Items

Sequence Number	
1	<p data-bbox="360 417 1482 527"><b>Scientific Integrity and Research Misconduct Case Records with Significant Historical Value that Involve Allegations that are Referred for an Inquiry and/or Investigation</b></p> <p data-bbox="360 540 1482 576">Disposition Authority Number      <b>DAA-0016-2016-0003-0001</b></p> <p data-bbox="360 591 1482 959"><b>Records with significant historical value that are maintained by USDA agencies and staff offices, including OCS, in the course of responding to allegations of compromised scientific integrity that are referred for an inquiry (preliminary investigation) and/or investigation. These records include submitted written allegations, threshold determinations/preliminary assessments of allegations, final (issued) Inquiry and Investigation reports, Inquiry and Investigation report attachments and exhibits that are deemed significant, copies of scientific records or relevant sections thereof, final (issued) notifications and decision letters, written appeals, and case summary documents. Significant cases include those that were precedent-setting, attracted new media attention or Congressional inquiries.</b></p> <p data-bbox="360 974 1482 1010">Final Disposition                      <b>Permanent</b></p> <p data-bbox="360 1025 1482 1061">Item Status                                <b>Active</b></p> <p data-bbox="360 1076 1482 1112">Is this item media neutral?            <b>Yes</b></p> <p data-bbox="360 1127 1482 1257">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>No</b></p> <p data-bbox="360 1285 1482 1321"><b>Disposition Instruction</b></p> <p data-bbox="360 1336 1482 1372">Cutoff Instruction                        <b>When case is closed.</b></p> <p data-bbox="360 1387 1482 1506">Transfer to Inactive Storage            <b>Transfer paper records to FRC 7 years after the case is closed or after all claims for or against USDA related to this matter are finalized, whichever is later.</b></p> <p data-bbox="360 1521 1482 1591">Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p data-bbox="360 1625 1482 1661"><b>Additional Information</b></p> <p data-bbox="360 1676 1482 1713">First year of records accumulation    <b>2011</b></p> <p data-bbox="360 1727 1482 1830">What will be the date span of the initial transfer of records to the National Archives?                      <b>From 2011 To 2011</b></p>

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>3.0 Cubic feet</b>	<b>0.20 Cubic feet</b>
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

2

**Scientific Integrity and Research Misconduct Case Records that Involve Allegations Referred for an Inquiry and/or Investigation**

Disposition Authority Number **DAA-0016-2016-0003-0002**

Records of routine cases that are maintained by USDA agencies and staff offices, including OCS, in the course of responding to allegations of compromised scientific integrity that are referred for an inquiry (preliminary investigation) and/or investigation. These records include, but are not limited to, transitory or working papers such as draft versions of documents, e-mail correspondence, telephone logs, notes, and other records. Item also covers transitory records of significant cases.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

**Disposition Instruction**

Cutoff Instruction **When case is closed.**

Retention Period **Destroy 7 year(s) after case is closed or after all claims for or against USDA related to this matter are finalized, whichever is later.**

**Additional Information**

GAO Approval **Not Required**

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**Scientific Integrity and Research Misconduct Case Records Involving Allegations that are Not Referred for an Inquiry and/or Investigation**

Disposition Authority Number      **DAA-0016-2016-0003-0003**

Records maintained by USDA agencies and staff offices, including OCS, involving allegations of compromised scientific integrity that are not referred for an inquiry (preliminary investigation) or investigation. (A determination to not refer an allegation for an inquiry or investigation may occur when an allegation is deemed to: not pertain to alleged compromise of scientific integrity as defined in Department policy; lack sufficient credibility; be so non-specific as to preclude reasonable inquiry into the allegation; and/or be clearly frivolous.) These records include, but are not limited to, submitted written allegations, threshold determinations/preliminary assessments of allegations, copies of research records or relevant section thereof, final (issued) notifications and decisional letters, case summary documents, draft versions of documents, e-mail correspondence, telephone logs, notes, and other records.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

**Disposition Instruction**

Cutoff Instruction                      **When case is closed.**

Retention Period                      **Destroy 7 year(s) after case is closed or after all claims for or against USDA related to this matter are finalized, whichever is later.**

**Additional Information**

GAO Approval                            **Not Required**

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
11/18/2016	Certify	Tori Jones	Management and Program Analyst	Office of the Chief Information officer - Information Management Division
11/22/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
11/22/2016	Submit For Certification	Tori Jones	Management and Program Analyst	Office of the Chief Information officer - Information Management Division
11/22/2016	Certify	Tori Jones	Management and Program Analyst	Office of the Chief Information officer - Information Management Division
03/01/2017	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
04/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/20/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist