

Rules vs. Responsibilities

Rule: Scientific Misconduct Policy

- Statements to define specific requirements or prohibitions and related consequences for noncompliance
- Specified process based on laws, regulations or procedural standards

How we do good by doing right, and what happens when we don't

Responsibility: Professional Conduct

- Principles to communicate expectations, aspirations and accountability to demonstrate through words and actions
- Based on shared values, community standards or accepted norms

How we do well by going beyond “right” to “better” and what happens when we cross boundaries

Codified Expectations

Faculty Handbook

5.2.2.7 Misconduct in Research

Misconduct in research is defined as fabrication, falsification, or plagiarism. In addition, other practices that seriously deviate from those that are commonly accepted within the research community for proposing, conducting, or reporting research may also constitute misconduct in research. These practices are covered by the Duke University Policy and Procedures Governing Misconduct in Research (in Appendix P). As noted in that policy, "misconduct" does not include honest error or differences of opinion.

Institutional Code of Conduct

This document serves as a statement of responsibilities for all members of the Duke community to adhere to institutional values and policies, and to abide by all applicable legal and compliance requirements....

Research and Scientific Integrity:

Research at Duke is integral to its mission and must always be conducted to the highest ethical standards and in compliance with all applicable laws, regulations, policies and contractual obligations.

Culture and Values

Respect • Trust • Inclusion • Discovery • Excellence

Shared values - along with codified professional standards, codes of conduct and personal beliefs – influence institutional culture through:

- individual behaviors and actions
- commitment to integrity
- accountability to self, colleagues, students, peers and community

Case Examples

Research Misconduct

- Background elements
 - Access to data
 - Authorship dispute
 - Academic productivity
- Investigation approach
- Outcomes and recommendations

Research Bias

- Background elements:
 - Dual financial interest
 - Public disclosure expectations
 - Position of influence
- Investigation approach
- Outcomes and recommendations

A Culture of Research Integrity

Normative Ethics

Right versus
wrong

Compliance

Within bounds
of laws,
regulations,
policies

Rigor and Reproducibility

Doing “good
science”

Social Value

Doing science
that society
values

Workplace relationships

Environment to
conduct sound
work



WORLD VIEW • 19 FEBRUARY 2019

To move research from quantity to quality, go beyond good intentions



Australian chief scientist Alan Finkel calls for formal action to bake in better research practices.

Stakeholders Need to **ACT** to Move Beyond **Good Intentions**

Key Principles of Duke Research Integrity Culture

Inclusive

- All stakeholders need to participate

Comprehensive

- Education, oversight and accountability

Multifaceted

- Holistic approach across all dimensions of research integrity

Pragmatic

- Provide resources and tools to make it “easy” to do the right thing

Empowering

- Empower community and stakeholders to speak up

Key DOSI Initiatives

Education and Training

- Faculty and Staff Responsible Conduct of Research (RCR) Training Program
- RCR training for Administrators
- Research Town Hall

Best Practices

- Scientific Accountability and Culture Plans (SCAPs)
- Data Management Documentation
- Electronic Research Notebook
- Core and Shared Resource Reviews

Accountability

- Policy Attestation systems

Measuring Effectiveness

- SOURCE Survey

Appendix

Examples of DOSI Initiatives

Research Town Hall

Whose Paper is it Anyway? A Discussion on Authorship

January 07, 2019

1:30 - 3:00pm • Great Hall, Trent Semans Center

Geeta Swamy, Vice Dean and Associate Vice Provost for Scientific Integrity

Michael C. Fitzgerald Professor and Dir. of Graduate Studies, Department of Chemistry

Cathleen Colon-Emeric, Professor of Medicine and Office of Research Mentoring

Raphael Valdivia, Professor, Department of Molecular Genetics and Microbiology

Elise Smith, Fellow, National Institute of Environmental Health Sciences

Jennifer Ahern-Dodson, Assistant Professor of the Practice in the Thompson Writing Program




Join us for an interactive discussion on authorship allocation, ordering and dispute resolution.

***Fulfills the faculty and staff RCR training requirement.**

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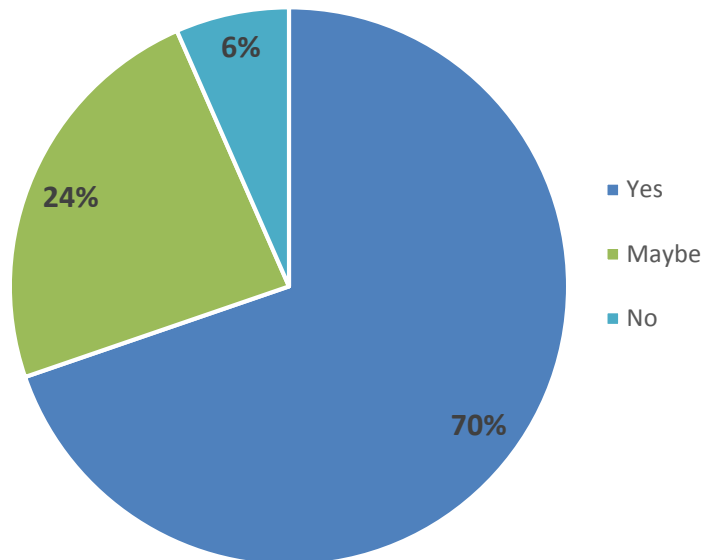
<http://duke.is/JGLUKp>

 @Duke_OSI

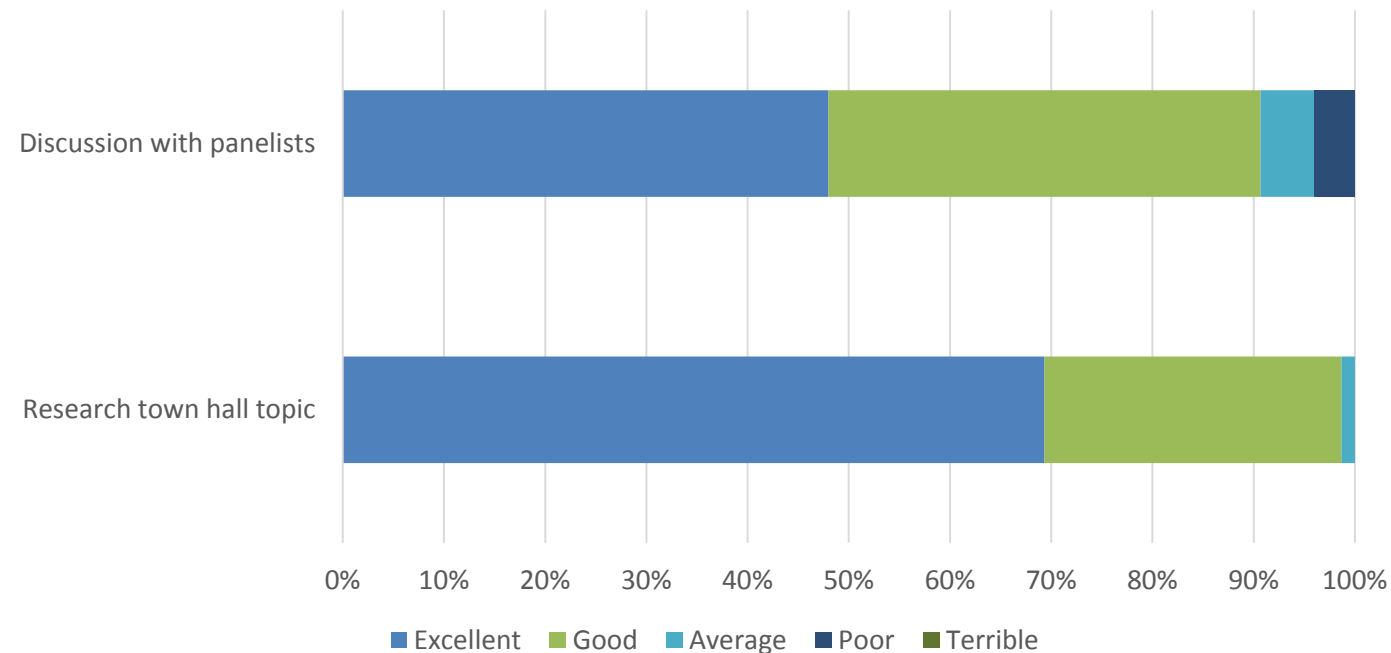
Whose Paper is it Anyway? A Discussion on Authorship

- Estimated Attendance: 200 ppl
 - Offered as RCR credit
- Post-Event Survey: 76 ppl

Did you learn something that will help your research?



Event rating



Research Town Hall

Plagiarism and Intellectual Credit

February 06, 2019

1:00 - 2:30pm • Great Hall, Trent Semans Center

Chris Simon, Associate Professor in Population Health Sciences, Moderator

Panelists:

Cary Moskovitz, Professor of the Practice in the Thompson Writing Program

*David Hansen, Associate University Librarian for Research, Collections
and Scholarly Communication*

Donna Kessler, Research Misconduct Review Officer

John Klingensmith, Associate Dean for Academic Affairs, Graduate School



Join us for an interactive discussion on plagiarism and intellectual credit – the issues, the stakeholders, and the need for action.

***Fulfills the faculty and staff RCR training requirement.**

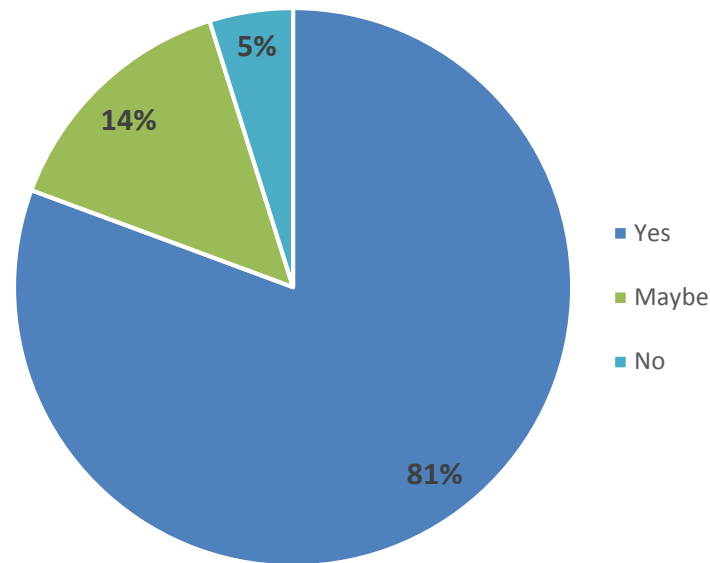
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<http://duke.is/H3QPgW>  @Duke_OSI

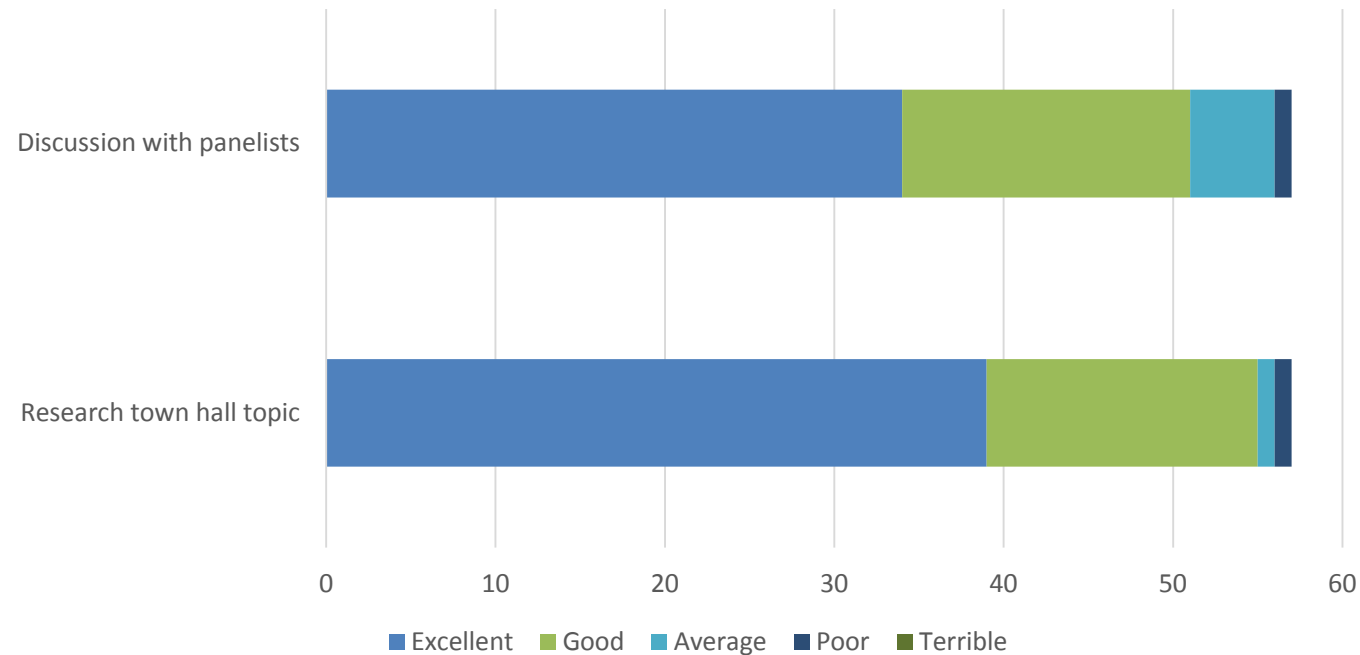
Plagiarism and Intellectual Credit

- Estimated Attendance: 190 ppl
 - Offered as RCR credit
- Post-Event Survey: 59 ppl

Did you learn something that will help your research?



Event Rating



Scientific Culture and Accountability Plan (SCAP)

Goal

- Ensure Departments, Centers and Institutes communicate clear expectations about localized research integrity culture

Approach

- All SOM Departments, Centers and Institutes required to develop a SCAP and post it on their website

Intended Audience

- For all within a specific Department, Center and Institute

Key Features

- DOSI available for consultation and reviews, as well as provides guidance documents

Data Management Plan

Goal

- Promote good data management practices across the Data Life Cycle

Approach

- All SOM wet labs required to document their data management practices

Intended Audience

- Individuals within a laboratory or research unit

Key Features

- ASIST available for consultation and reviews, as well as provides template

Data Management Plans

Next steps

- OARC completed review of SOM DMPs Fall 2018; draft report provided
- Based on OARC report, working to implement policy changes to improve effectiveness of DMPs
 - New DMP format developed with Duke University Libraries
 - New policies (i.e., review, attestation, quality assurance)
- Expand DMPs to all Duke Schools

Research Town Hall

Caring for Your Data:

Data Management Resources at Duke

Wednesday, April 10, 2019

1:00 - 3:00 pm

Great Hall, Trent Semans Center

1:00 - 2:15 pm Resource Presentations

2:15 - 3:00 pm Resource Fair

*Come learn about data management resources at Duke
to help care for your data throughout the data life cycle!*

Participating Groups

- Duke Clinical Research Institute
- Duke Health Technology Solutions
- Duke Office of Clinical Research
- Duke University Libraries
- IT Security Office
- Medical Center Library
- Office of Information Technology
- Office of Scientific Integrity
- Research Data Security

***Fulfills the faculty and staff RCR
training requirement.**

<http://duke.is/EHebi>

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Supporting Data Life Cycle

- **Electronic Research Notebooks (ERNs)** are used to electronically capture laboratory information
- **Multiple benefits:**
 - Data are searchable and accessible anywhere
 - Less/no paper notebooks
 - Secure storage in central location
 - Allows signing, file versioning, and activity tracking in support of data provenance
 - Data easily shared with PI and/or collaborators
- **Duke has purchased an institutional license**
 - Soft launch January 2019 with full roll-out April 1, 2019
 - Over 300 users as of this week



Measuring Effectiveness: SOURCE Survey



National Center for Professional & Research Ethics

- Survey of Organizational Research Climate (SOURCE) is a validated instrument to assess the climate of research integrity with academic institutions
- Key domains assessed:
 - Responsible Conduct of Research
 - Regulatory Quality
 - Integrity Socialization
 - Integrity Norms
 - Advisor-Advisee Relations
 - Lack of Integrity Inhibitors
 - Departmental Expectations
- Nearly 1,500 Duke SOM researchers completed baseline survey in 2017
- Plan to repeat in 2020 to assess any changes and consider University-wide distribution