RESEARCH QUALITY MANAGEMENT PROGRAM (RQMP) QUARTERLY ROUNDTABLE AND RQT TRAINING KICK-OFF

Duke Office of Scientific Integrity
March 15, 2021
Where We Have Been

Research Administration
RA Operational Standards Self-Assessment

Best Practices
RQT Operational Planning
RCR training

Data Management
Data Management Practices Survey

Accountability
Research Quality Teams in place
5,000+ SCAP attestations
Where We Are Going

- RQT Training
- Ongoing Operational Plan Implementation
- Dissemination of DM Practices Survey Results
- Implementation of Updated Research Data Policy
Notice

• A virtual sign-in for RQT Training credit will be posted towards the end of the meeting
Today’s Objectives

• RQMP Roundtable Main Session
  – OR&I
  – ORA

• RQT Training Explanation and Kickoff
Research Data at Duke and Abroad

- Explosion of data
- Lots of inefficiency, overly-complex processes
- Data management plans
- Challenges providing raw data
- Funding agency requirements
• **New NIH Policy on Data Sharing and Management: Impact**
  • Effective Jan 25, 2023 for new/competing renewals, new contracts, and other transactions
  • Included in budget justification for new proposals and technical evaluation for contracts
  • Plans will be made publicly available (NIH Reporter?)
  • Included in Terms & Conditions on NOA for grants & contracts
  • Required reporting/monitoring through RPPR/final progress report

• **Relevant Notices**
  • [NOT-OD-21-013](#) – Final NIH Policy on Data Mgmt & Sharing
  • [NOT-OD-21-014](#) – Elements of DMS Plan
  • [NOT-OD-21-015](#) – Allowable Costs
  • [NOT-OD-21-016](#) – Selecting Repository for Data Sharing
Data Policy: Current State at Duke

A rationale for change

- Duke data policies – ownership, access, retention, transfer, analysis --
  - exist in part in the Duke Faculty Handbook
  - are not understood or applied uniformly
  - do not match the current landscape (technology and personnel)
  - last revised in 2007

- Many Duke faculty and staff engaged in research are unaware of resources across campus, as well as institutional policy requirements

- Support, incentives, and clarity for trainees are needed
Research Data Policy Initiative (RDPI)

Launched April 2020

Workgroups formed:
- Ownership and Access,
- Retention and Transfer,
- Management and Analysis,
- Trainee Engagement,
- Open Science

- Review existing institutional/external policies and guidance to highlight opportunities for efficiency
- Integrate guidance and resources, applicable to whole of research community
- Office of Research Data Policy Initiative leads ongoing support and ownership
Research Data Policy Initiative (RDPI)

Primary activities:

- Identify needs
- Convene stakeholders
- Develop policy
- Ensure supportive process and resources

While considering impact to and interaction with Institutional activities in:
Research Data Policy Initiative: Phases

Where we’ve been and where we’re headed

PHASE 1: BACKGROUND & SCOPE – summer and fall 2020

• Convene workgroups: Ownership/Access, Retention/Transfer, Management/Analysis
• Review Peer institution policies
• Draft initial policy statements

PHASE 2: SOCIALIZATION – spring 2021

• Community engagement, faculty, leadership
• Research Town Hall
• RFI
• Convene workgroups: Trainee Engagement, Open Science

PHASE 3: TARGETED ROLL-OUT & IMPLEMENTATION

Website: https://researchinitiatives.duke.edu/programs-services/research-data-policy-initiative
Data Management & Analysis (Kristi Prather & Marissa Stroo)
  – Rebecca Brouwer, Wes Rountree, Gina-Maria Pomann, Greg Wray, Megan Von Isenburg, Richard Biever, Joel Herndon, Lisa Wruck

Data Ownership, Access (Rachel Franke & Alyssa Dack)
  – Jenny Ariansen, Susan Hayden, Kristen Lentz, Dinesh Divakaran, Beth Sullivan, Andy Ingham, Scott Elengold, Becca Dupree, Keith Stouder, Jen Darragh, Hugh Crumley, Gavin Foltz

Data Retention, Transfer (Jenny Ariansen & Rachel Franke)
  – Susan Hayden, Dinesh Divakaran, Colleen Shannon, Broderick Grady, Cory Ennis, Armando Bedoya, Sophia Lafferty-Hess, Russell Koonts

Trainee Engagement (Alyssa Dack & John Dolbow)
  – Greg Wray, Beth Sullivan, Hugh Crumley, Matthew Harker, Sarah Russell, Christin Daniels, Shila Nordone

Open Science (Marissa Stroo & Jenny Ariansen)
  – Alyssa Dack, Michael Pencina, Joel Herndon, Jim Moody, Frank Rockhold, David Corcoran, Patrick Charbonneau, Shailesh Chandrasekharan, Elena Feinstein
ESTABLISHING AN ACCOUNTABILITY FRAMEWORK

Research administration is a complex system of policy, process, rules and regulations
RECENT EXAMPLES…

EXAMPLE A: I’LL TAKE MY CHANCES

- A waste of Duke’s resources
- Stresses out the grants management staff
- Sponsor can (and has) questioned Duke’s internal review process

EXAMPLE B: I’VE ALWAYS DONE IT THIS WAY

- This practice violates Duke policy and requirement to budget appropriately and forecast costs accurately
- As a non-profit, Duke cannot seek profit from its research
HOW WILL WE ESTABLISH AN ACCOUNTABILITY FRAMEWORK?
In November 2019, you were asked to complete a self-assessment to evaluate your unit's operations in several areas:
The ORA Decision Support Team will provide feedback on your self-assessment and work with you to develop a plan to address areas of identified weakness / opportunity.
HOW DOES THIS DIFFER FROM THE RESEARCH QUALITY OPERATIONAL PLAN?

- The short answer – it isn’t different, it’s iterative
- We will incorporate the Research Administration Operational Standards Self-Assessment Tool (RAOST) into the Research Quality Operational Plans
ORA Decision Support Team will provide tools, reports and data to enable you to monitor, review, remedy, act.
Your unit will receive feedback on progress using data related to metrics and key performance indicators placed in your unit’s Duke Box folder.

We will share mock-ups of the KPI dashboards for your feedback before implementing.
WHAT ARE THE EXPECTATIONS FOR MONITORING MY UNIT’S PERFORMANCE?
On a monthly basis, you should monitor data proactively and address any issues that could have an adverse impact on your unit’s metrics.

- Metrics are delivered on the 7th of the month (or the first working day after).

- Add a reminder to your calendar to review the metrics.
You should review any metric that has been placed in your Duke Box

For now, that includes:
- CAS Activity
- Reviewable G/Ls
- SAP/SPS Data Integrity
- Codes in Advance
- Spend Rate Review
- Waiver Data
- If an item is not addressed, it will show on the following month’s metric list.

- ORA Decision Support Team will work with the RQT to discuss a remediation plan if there are problematic trends.
- It is up to the unit to see the remediation plan through.

- If the operational plan and/or supporting data/metrics do not improve after remediation, ORA Decision Support will work with the unit to determine next steps.
QUESTIONS?

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RQT Research Integrity Training
Kick-Off
RQT Training

A mix of synchronous (events scheduled by RQMP) and asynchronous materials
RQT Training Event Schedule

- 3/15/21 Kick-off Meeting from 1:00-2:30pm*

- 4/15/21 1st Discussion/Q&A session
  - RQO-focused meeting from 8-8:50am
  - LRA-focused meeting from 1-1:50pm

- 5/14/21 2nd Discussion/Q&A session
  - RQO-focused meeting from 8-8:50am
  - LRA-focused meeting from 1-1:50pm

- 6/15/21 Close-out Meeting from 9-10:30*

*Quarterly Roundtable combined with synchronous training meeting
Asynchronous Materials

Topic

Presentations

Handouts

Feedback Link

All Handouts Combined

Syllabus

Materials
Credit for Asynchronous Training

• Credit for reviewing materials will be given via an attestation statement in REDCap
• Due by June 30th
RQT Training Credit Sign-in
Reminders & Follow-up Items

• Upload Organizational Charts – Section Q
• House Staff Milestone
• RCR-200 Event milestone – March 31st cutoff
• DM Practices Survey results
Questions?

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