Agenda

• The Compliance Continuum in Research Administration
• RQMP Year 4 Milestones
Fostering a culture of ethics and accountability

The Ecosystem

Fostering a culture of ethics and accountability

- Resources
- Advocacy
- Policy

- Principles, Policies, and Processes to enable compliance
- Support Offices to enforce compliance
- Research Quality Management Program to support compliance

- Research Quality Team
- Culture of Integrity and Accountability

- Manages research with care, compliance and commitment
- Speaks up about issues not consistent with Duke’s values
THE COMPLIANCE CONTINUUM
Recognizing misconduct in research administration

Lack of Accountability
Conflict or Responsibility Avoidance
Ignorance/Indifference/Complicity

Misconduct
- Willful Negligence
- Dereliction of Duty
- Abuse of Power

Best Practice
- Proactive Management
- Shared Responsibility
- Living Duke’s Core Values
THE COMPLIANCE CONTINUUM

Fostering a culture of compliance in research administration

- Engage our community in **dialog about compliance and integrity in research administration**
- Encourage **critical thinking and curiosity** about ongoing practices
- Provide **tools and resources** for facilitating best practices in research administration
RQMP YEAR 4 MILESTONES (JULY 2022 – JUNE 2023)
RQMP YEAR 4 TIMELINE

- * Ensure Awareness of Training Repercussions
- * Review & Update SCAP
- * Review & Update RQMP Operational Plan
- * Review & Update Escalation Path with Expanded Scope
- * Attend RQT Training
- * Obtain SCAP Attestations
- * Provide Update on How Data Management Best Practices are Ensured

- October 1, 2022
- December 16, 2022
- March 31, 2023
- June 30, 2023
Disseminate the repercussions statement associated with overdue RCR and SCRI training to all required research faculty and staff by October 1, 2022.

Upload evidence of dissemination to Section U in REDCap or send as attachment to RQMP@duke.edu. Evidence may include a copy of a sent email, meeting minutes, handouts, presentation slides, etc.

Beginning November 1, 2022 (for RCR) and February 1, 2023 (for SCRI), researchers who are required by their unit to do training but do not comply with the RCR or SCRI training requirements will have their ability to conduct research affected. This may include, but is not limited to, not being paid from externally-sponsored research awards, not receiving research incentives, and/or being removed as PI/Key personnel or otherwise unable to work on research projects.
REVIEW AND UPDATE SCHOLARLY CULTURE AND ACCOUNTABILITY PLAN (SCAP)

- Review and update/reaffirm SCAP by December 16, 2022 (include a version date in SCAP document)
- Upload revised SCAP to desired location and provide URL
- Review and update/reaffirm your SCAP maintenance plan
- Update REDCap - Section J5/J5a/J5b, Section K, Section U
Ensure all F/S engaged in research have attested to their primary unit’s SCAP by June 30, 2023.

Compliance threshold for this metric will be based on size of academic unit:
- <3 researchers out of compliance in units with <40 researchers
- <5% researchers out of compliance for units with 40 - 500 researchers
- <26 researchers out of compliance for units with >500 researchers

Record attestation results in Section U in REDCap.

IMPORTANT: A new Qualtrics survey link will be used to obtain attestations for this milestone – do not start obtaining attestations on revised SCAP until the link is distributed in January 2023.
Complete annual update of operational plan by December 16, 2022, including:

- RQO and LRA implementation plans in Sections J and L
- RQO and LRA delegated responsibilities in Sections K and M
- Organizational chart in Section Q (include a version date in document)

Document completion of review in Section U in REDCap
Revise escalation path with expanded scope by March 31, 2023, including escalation pathway to be used for:

- Situations of scientific, budgetary, and commitment overlap when disclosed via I2S, RPPR, JIT, or at funder or institution's request
- Noncompliance with and repercussions related to RCR trainings

Upload escalation path to Section R in REDCap
Attend a minimum of one training session offered by RQMP by March 31, 2023

Record training attendance for RQO and LRA individually in Section U in REDCap
PROVIDE UPDATE ON HOW DATA MANAGEMENT BEST PRACTICES ARE ENSURED

- Work collaboratively with necessary stakeholders to conduct an internal program evaluation of how best practices are being ensured in the unit
- Complete the Qualtrics Survey
- Submit a progress update/final report on the Year 3 SMART goal(s), if applicable
- Document completion of activities in Section U in REDCap
QUESTIONS REGARDING YEAR 4 MILESTONES?

Thank you for attending our Year 4 kickoff and quarterly roundtable!
The RQMP Central Office