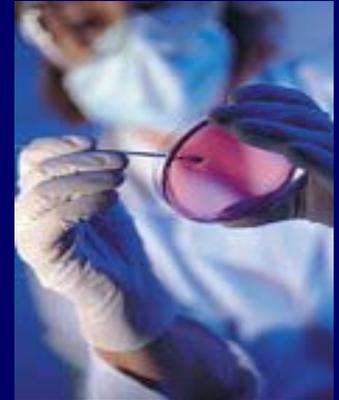
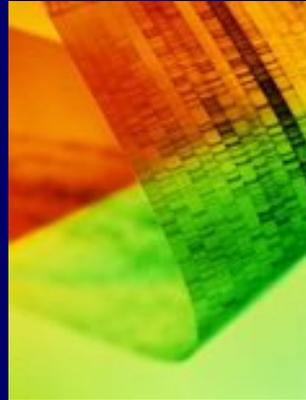


Report of the NSABB Working Group on Codes of Conduct



June 23, 2011

Roster

NSABB Voting Members:

- **Kenneth I. Berns, MD, PhD, *chair***
- ***Andrew Sorensen, PhD (Deceased)***
chair
- **Christine M. Grant, JD**
- **Stuart B. Levy, MD**
- **Paul S. Keim, PhD**
- **Mark E. Nance, JD**
- **James A. Roth, DVM, PhD, DACVM**
- **John R. Lumpkin, MD, MPH**

Ex-officios:

- **Caird E. Rexroad, Jr., PhD**
- **Jessica Petrillo, PhD**
- **Laura Kwinn, PhD**
- **Theresa Lawrence, PhD**
- **David R. Liskowsky, Ph.D.**



Charge

- **Key NSABB function:** *“[A]dvice on the development, utilization and promotion of codes of conduct to interdisciplinary life scientists, and relevant professional groups.”*
- **Working Group aims:** promote the dissemination, awareness, and adoption of codes of conduct by academic institutions as well as by professional societies and individuals engaged in dual use research.



Premises

Premises for WG approach to Codes:

- The development and implementation of codes of conduct should be *voluntary* activities on the part of professional societies, institutions, and groups of researchers (e.g., a laboratory team).
- Codes are optimally used for the purposes of educating and raising awareness among scientists.



Tasks of the CCWG

The Working Group is tasked with:

- 1. Advising on ways to promote the adoption of codes by academic institutions and scientific societies.**
- 2. Providing guidance on how to maintain codes as “living” documents that continue to reflect changes in dual use research.**



Activities to Date since October 2010

- **3 Co-chairs/staff teleconferences**
- **2 Working Group teleconferences**
- **Roundtable with representatives of academic institutions, scientific associations, and from the Office of Research Integrity, HHS.**





Code of Conduct Roundtable

January, 2011

- **Fundamental to completion of the WG tasks**
- **Included presentations and discussions on:**
 - The utility and feasibility of codes of conduct.
 - Strategies for promoting the formulation and adoption of codes in selected settings.

Roundtable Invitees

- **Representatives of scientific associations that have adopted dual use research codes.**
- **Representatives of academic institutions.**
- **Leaders in the Responsible Conduct of Research area (from the Office of Research Integrity as well as others).**



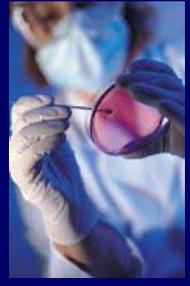
Roundtable: Lessons Learned

- **General Consensus: Codes of conduct can be effective in raising awareness about dual use research.**
- **The very process of formulating and developing a code of conduct is rich in opportunities for educating and raising awareness about dual use research.**
- **The process of developing a code should be designed to engage as many stakeholders as possible.**



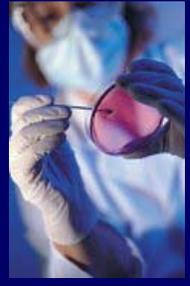
Roundtable: Lessons Learned

- **Strong institutional commitment is critical.**
- **Sufficient resources need to be devoted to developing and disseminating a code.**
- **Also critical: strongly committed individuals to serve as champions during the development and dissemination of a code.**



Roundtable: Lessons Learned

- During formulation and dissemination, a code should be discussed as broadly as possible.
- Multiple existing venues should be used for disseminating codes, for example, student orientation sessions, faculty meetings, lab meetings, RCR courses, conferences and workshops, etc.



Roundtable: Lessons Learned

- Codes are especially useful for educational purposes—i.e., as guides for addressing real-life situations.
- Codes should not be documents on a shelf; they should be “sustained” as living documents.
- These findings and conclusions have relevance for many types of organization, e.g., academic institutions, scientific associations, and industry.



The Working Group Report

- The information gathered at the Roundtable is being utilized in the development of the WG report.
- The aim: to present the WG report at the next NSABB meeting, October 2011.



The Report Outline

- Introduction – overview of NSABB’s work on Codes of Conduct
- Section I – summarizes the activities of the First NSABB WG on Codes of Conduct
- Section II - The Activities and Accomplishments of the Second NSABB Working Group on Codes of Conduct
- Section III- Toolkit
- Section IV- Educational Resource



Toolkit

- Offers guidance for the processes of determining the need for, formulating, disseminating, and evaluating a code of conduct.
- Target audiences: leaders of, and individuals within, academic institutions and scientific associations.



Toolkit

The toolkit includes 5 parts that provide:

- 1. Background on dual use research and on codes of conduct.**
- 2. Tools for getting started.**
- 3. Tools for formulating a code.**
- 4. Tools for disseminating a code of conduct.**
- 5. Tools for evaluating a code of conduct.**



Educational Resource

- **Aim:** To raise awareness about dual use research of concern.
- **Target audiences:** students, PIs and others engaged in life sciences research.
- The resource can be used as part of an RCR course or as a resource that provides processes for formulating and of disseminating a code of conduct.
- Or, as a tool for individual, self-guided learning.
- Aligns with NSABB's strategic plan for outreach and education



Educational Resource

- Part I: Provides background on dual use research using the 1918 influenza virus case as an example.
- Part II: Discussion of the NSABB definition of DURC.
- Part III: Introduces the seven categories of DURC and examples of experiments for each category.



Educational Resource

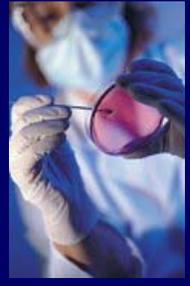
- Part IV: Discusses the role and responsibilities individual scientists have in the oversight of DURC.
- Part V: Provides a framework for assessing and managing the risks of DURC.



Educational Resource

- Part VI: Provides cases and questions for discussion of dual use research of concern.
- **The Educational Module is in development – input from the Board would be appreciated, especially on developing case studies.**





Thank you!