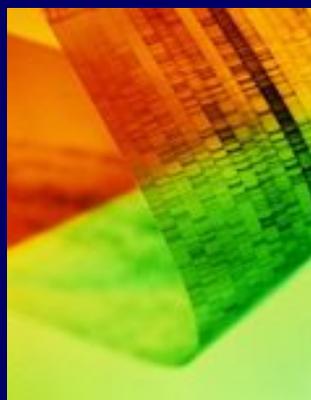


Report of the NSABB Working Group on Codes of Conduct



October 19, 2010

Roster

NSABB Voting Members:

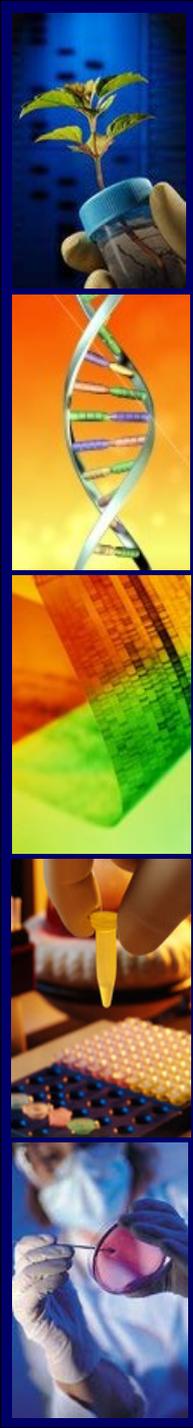
- **Kenneth I. Berns, MD, PhD, *co-chair***
- **Andrew A. Sorensen, PhD, *co-chair***
- **Christine M. Grant, JD**
- **Stuart B. Levy, MD**
- **Paul S. Keim, PhD**
- **Mark E. Nance, JD**
- **James A. Roth, DVM, PhD, DACVM**
- **John R. Lumpkin, MD, MPH**

Ex-Officio:

- **Peter Emanuel, PhD**
- **Caird E. Rexroad, Jr., PhD**
- **Jessica Petrillo, PhD**

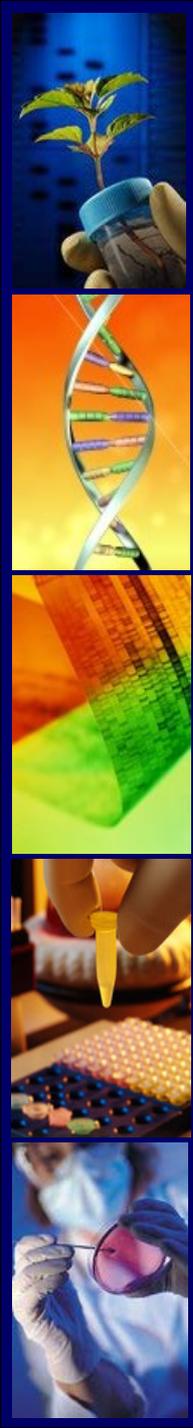
Representatives:

- **Laura Kwinn, PhD**
- **Theresa Lawrence, PhD**



Charge

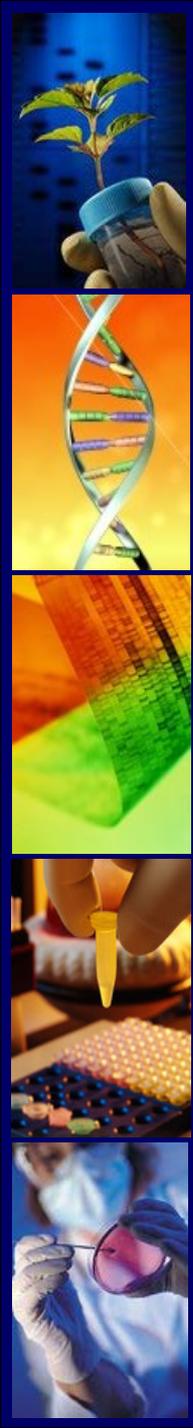
- **Key NSABB function:** *“[A]dvice on the development, utilization and promotion of codes of conduct to interdisciplinary life scientists, and relevant professional groups.”*
- **Working Group aims:** promote the dissemination, awareness, and adoption of codes of conduct by academic institutions as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



Premises

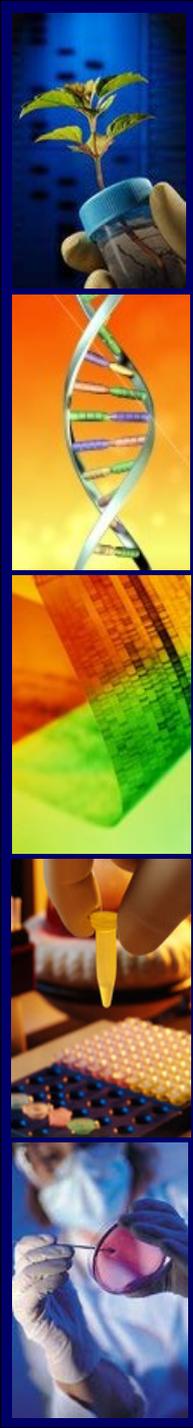
- Premises for WG:

- 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. Provide guidance on how to maintain codes as “living” documents that continue to reflect changes in the field of dual use research.**



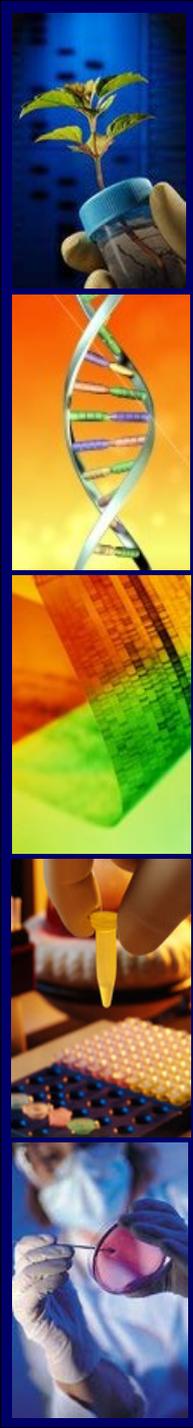
Completing the Tasks Roundtable October 20th

- **Fundamental to completion of these tasks: tomorrow's roundtable**
 - Gathering of experts from academic institutions, scientific societies and associations, and government
 - Presentations and discussions on the utility and feasibility of codes of conduct and on strategies for promoting their formulation and adoption in selected settings



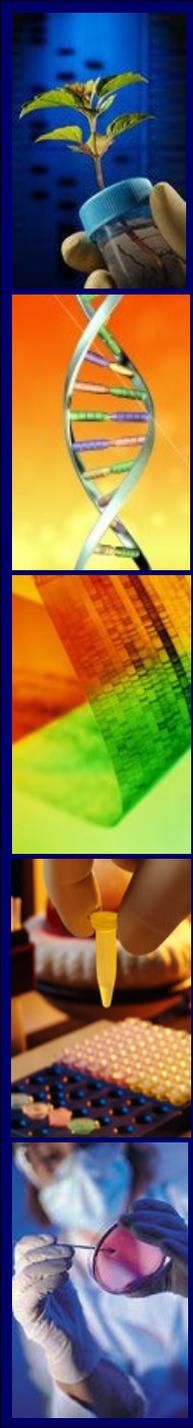
Preparing for the Roundtable

- To prepare for the roundtable we conducted an online survey to identify organizations with dual use research-related codes.
- The last survey was done in 2006
 - *Findings: only 5 associations, only 2 of which were scientific, had such code*



2010 Survey

- **50 associations surveyed.**
- **14 scientific societies had either a specific code devoted to DUR, statements on social responsibility or bio-security, or statements on intentions to develop a code.**
- **3 societies had either a project or a publication on DUR (AAAS, IOM and FAS).**



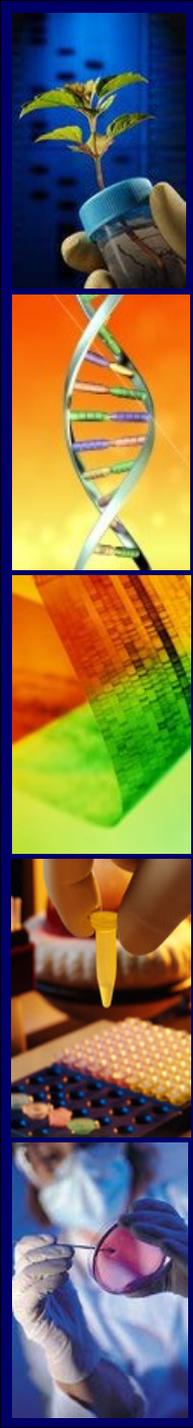
Literature Review

- A literature review has been conducted to survey scholarly work on the development and utilization of codes across different fields and disciplines.



Literature Review

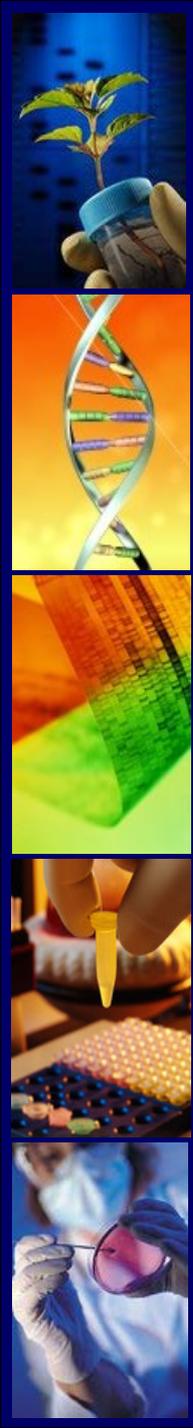
- **The literature review highlighted a few issues the WG hopes to address:**
 - 1. The need to gather data on what makes a Code effective in raising awareness and shaping behavior.**
 - 2. The need to gather data on best practices in implementing codes, i.e. how to integrate them, how to keep them relevant, etc.**



Literature Review

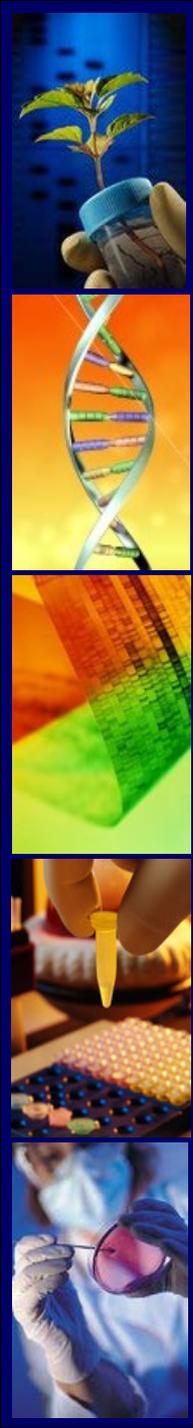
3. Dual use research is not regulated; thus, newly introduced codes could be perceived as a regulatory tools rather than as an educational tools.

- This might lead to resistance to adopting such codes.
- Addressing this barrier would be central to any plan to promote the adoption of codes of conduct.



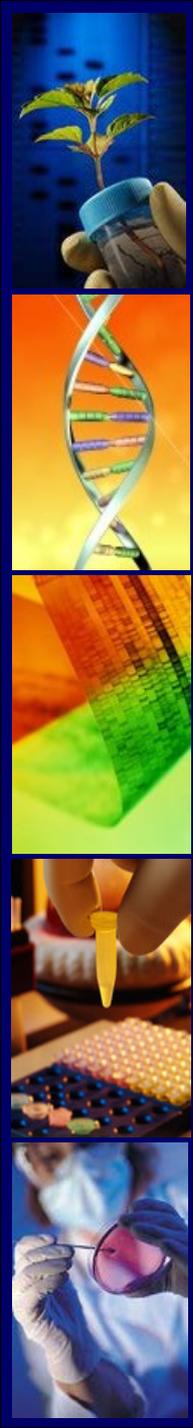
Roundtable Invitees

- **Given the survey results, the literature review, and the WG charge, we invited the following to the roundtable:**
 - **Representatives of scientific associations that have adopted dual use research codes.**
 - **Representatives of academic institutions**
 - **Leaders in the Responsible Conduct of Research area**



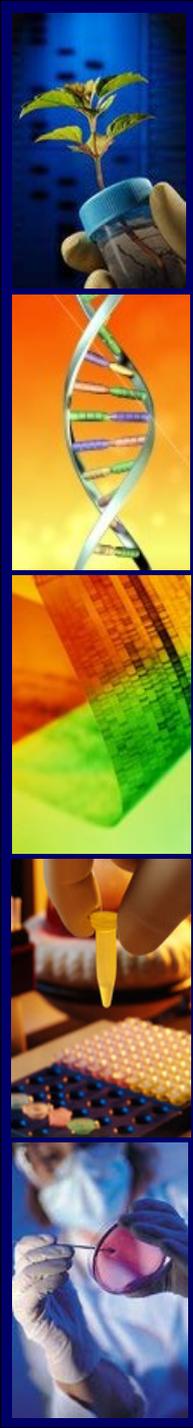
Lessons Learned: Scientific Associations

- **Representatives of Scientific Associations are asked to identify barriers to awareness and adoption of conduct codes and advise on ways to overcome these barriers.**
- **They will also be asked to identify strategies for realizing the potential of codes in shaping behaviors and practices.**



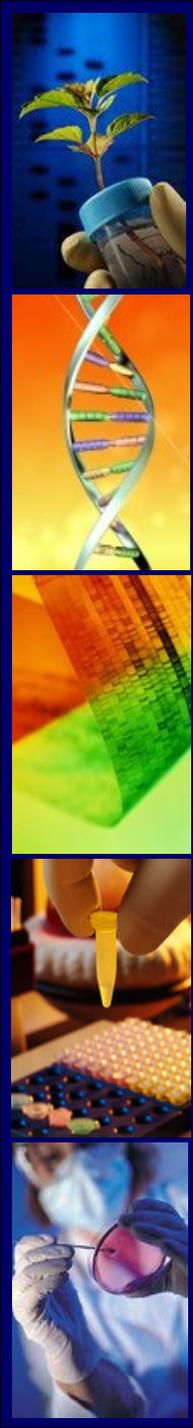
Academic Institutions

- To the best of our knowledge, no academic institution has adopted a dual use research code of conduct.
- We invited representatives of leading institutions to speak about how codes could be promoted to such institutions.
- They are also being asked to identify ways in which codes could be optimally used to educate about dual use research.



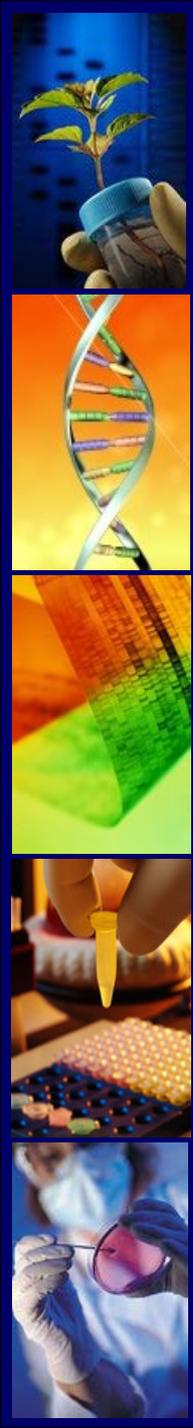
Responsible Conduct of Research

- We invited leaders in the RCR field.
- Codes of Conduct can be a valuable educational tool, one that can be integrated into RCR education modules.
- Experts on RCR are asked to provide advice on how codes of conduct can be used in the educational setting.



Timeline

- The information gathered at the Roundtable (and if necessary further research will be carried out) would be utilized in the development of a WG report that fulfills the charge to the WG.
- The aim is to present the report at the next NSABB meeting, February 2011.



The Function of Codes of Conduct

- Codes of conduct can be a useful tool to raising awareness about dual use research.
- However, what are the best ways to develop and promulgate them is not clear.
- The working group aims to issue a report that will address these issues.

