

CHAPTER 5: RESEARCH - ORGANIZATIONAL STRUCTURE FOR SPONSORED PROJECTS AND RESEARCH RELATED POLICIES

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This chapter covers the following:

1. Administration - an introduction to the organizations responsible for overseeing research policies and procedures at Duke University.
2. Policies - an overview of the policies with which Duke researchers must comply.
3. "Campus Schools" referred to in this chapter include: Trinity College of Arts & Sciences, Divinity School, Fuqua School of Business, Graduate School, School of Law, Nicholas School of the Environment, Pratt School of Engineering, and Sanford School of Public Policy.
4. "Campus" refers to the above-listed schools, plus the centers and other organizational units of Duke University, other than those under the authority of the Chancellor for Health Affairs.
5. "Duke Health" referred to in this chapter includes the Schools of Medicine and Nursing. The discussion herein does not include Duke University Health System.

5.1 Organizational Structure

5.1.1 Policy, Administration and Compliance Offices

5.1.1.1 Animal Welfare Assurance

The [Office of Animal Welfare Assurance](#) (OAWA) assists researchers with animal care and use at Duke. Services provided by the OAWA include: assistance with [Institutional Animal Care and Use Committee](#) (IACUC) functions (protocol processing, semiannual evaluations, investigating animal welfare concerns, oversight, policy development, administrative support/functions, etc.). In addition, the OAWA provides guidance and training for controlled substance registration application and management of controlled substances when used in research, service as a liaison between the IACUC and the Duke animal research community, and coordinating or providing for the training needs of the research community at Duke, including the Research Animal Coordinator Certification (RACC) program. In addition, OAWA provides assistance and support for the Duke Animal Care and Use Program and its leadership to ensure Duke maintains compliance with federal and state regulatory, oversight body (AAALAC Int.), granting, and local requirements. The OAWA is a contact for federal and state regulatory agencies. Under IACUC authority, OAWA, along with the Attending Veterinarian, is responsible for monitoring Duke's compliance with regulations governing animal care and use. Telephone questions may be directed to: Office of Animal Welfare Assurance at 919.688.6720.

5.1.1.2 Research Contracts

The Office of Research Contracts (ORC) supports Duke University School of Medicine and School of Nursing research and educational efforts by drafting, reviewing, negotiating, signing, and performing certain administrative functions regarding agreements with external industry and certain non-profit/foundation and government entities for the funding and conduct of clinical and non-clinical research and CME and non-CME educational programs. ORC additionally supports all Duke faculty in establishing appropriate documentation for exchanges of research materials, confidential information, data, technical know-how, and equipment in support of research across the University.

ORC negotiates its research agreements to be consistent with academic standards and Duke Policies, applicable federal and state laws, and applicable IRS regulations relating to Duke's status as a not-for-profit organization. ORC advises faculty on matters arising from these agreements, particularly publication rights, intellectual property rights, confidentiality obligations, human subjects protections, and liability issues.

ORC includes three main functional groups: 1) Duke Site Based Research for agreements under which Duke will enroll subjects as a site in a clinical research study; 2) Basic Science and Pre-clinical Research for all SOM/SON pre-clinical and basic science research agreements and University-wide Material Transfer Agreements; and 3) Research Program Collaborations for clinical research agreements (other than Duke as-a-site agreements), educational program agreements and clinical data transfer agreements. ORC coordinates its activities with numerous other Duke offices, including the Office of University Counsel, SOM-Research Administration, Office of Research Support, Office of Risk Management, Institutional Review Board, Duke Office of Clinical Research, Office of Licensing and Ventures, Office of Export Control, Office of Procurement, and Office of Scientific Integrity – Conflict of Interest.

5.1.1.3 Division of Laboratory Animal Resources

The [Division of Laboratory Animal Resources](#) (DLAR) is responsible for the daily care and welfare of all vertebrate animals on the Duke campus. DLAR is committed to programs of excellence in veterinary care and laboratory animal management practices for all species used at Duke in research, teaching, and testing endeavors. DLAR provides animal procurement, housing, veterinary care, assistance with experimental design, investigator training, and will conduct various technical services for researchers, etc. In addition, DLAR assists in the development of IACUC protocols, including professional pre-review of protocols and amendments, as well as veterinary consultation and review of protocols and amendments. Further information for available services and support of research studies as well as contact information may be found on the [DLAR website](#).

5.1.1.4 Export Controls

Compliance with export control regulations for both the Campus Schools and School of Medicine is managed by the Director of Export Controls in the [Office of Export Controls \(OEC\)](#).

OEC assists faculty, staff, and students with ensuring that export activities comply with US export control regulations. Export activities include the transmission or shipment of items out of the United States AND the release of technology, data, or software to a foreign person (see definition at Section 5.2.4.2), even if it occurs in the United States. OEC will assist in determining if goods and/or technology are controlled under the Export Administration

Regulations or the International Traffic in Arms Regulations for the intended destination and/or recipient. OEC will also determine the applicability of exemptions or licenses for the export.

In addition, OEC assists faculty, staff, and students planning to travel to any of the embargoed or sanctioned countries on the Treasury Department's Office of Foreign Assets Control lists. OEC will evaluate the controls as they apply to Duke-funded travel.

Faculty, staff, and students may wish to consult OEC when giving speeches or conducting research overseas, as certain types of activities may be proscribed by various government regulations.

In particular, the Duke community should consult OEC prior to conducting business or research with foreign governments.

Commercially available goods may be export controlled and visual exposure of controlled articles to a foreign national may be regulated. This particularly applies to goods and technology that were designed, developed, or modified for military or space application.

For controlled export activities, OEC prepares and submits, on behalf of faculty, staff, and students, any applications for export or travel licenses.

5.1.1.5 Office of Audit, Risk and Compliance

Compliance: The Office of Audit, Risk and Compliance promotes institutional compliance program effectiveness and compliance risk management through collaborating with compliance programs across the university, producing risk-based assurance and offering central services to promote better compliance while alleviating administrative burden. The Office of Audit, Risk and Compliance administers the non-research administrative conflict of interest program for covered officials and key employees; manages the speak-up program and handles incidents reported through the third party administered reporting hotline (1-800-826-8109); provides assurance through transactional outcomes testing and process efficiency reviews for sponsored research and clinical trials; and provides policy administration and guidance for the University community through the policies website.

Internal Audit: The Office of Audit, Risk and Compliance is responsible for evaluating the internal controls environment for financial transactions, operational activities, compliance objectives and information technology infrastructure. Engagements include vertical reviews of specific business units or specialized activities as well as horizontal reviews for key business processes spanning multiple stakeholder entities and University-wide activities. The objectives of the internal audit function is to assist Duke University faculty and staff in their responsibilities by furnishing them with analyses, appraisals, recommendations, counsel, and information concerning the activities it reviews, and by promoting effective internal controls at a reasonable cost. This office has authorization for full and complete access to any of Duke University's records, either manual or electronic, as well as physical properties and personnel relevant to a review. The scope of work of internal audit is to determine whether Duke's risk management, internal controls, and governance processes, as designed and represented by management, is adequate and functioning in a manner to ensure:

- Risks are appropriately identified and managed
- Interaction with the various governance groups occurs as needed
- Significant financial, managerial, and operating information is accurate, reliable, and timely
- Transactions and business operations are in compliance with policies, standards, procedures, and applicable laws and regulations
- Electronic information and data is appropriately managed and secured
- Resources are acquired economically, used efficiently, and adequately protected
- Programs, plans, and objectives are achieved
- Quality and continuous improvement are fostered in Duke's internal control and risk management processes
- Significant legislative or regulatory issues impacting Duke are recognized and addressed properly
- Business processes and internal controls that support compliance with sponsor agreements and other contractual obligations

For more information on the Office of Audit, Risk and Compliance, please refer to the website:

<https://oarc.duke.edu/>

5.1.1.6 Human Research Protections Program

Definitions:

- “HRPP,” or Human Research Protections Program, is the institutional program responsible for review, approval, and oversight of research with human subjects. An HRPP includes, but is not limited to, the Institutional Review Board (IRB), Conflict-of-Interest Review Committee, and Compliance Office.
- “Duke’s Main Campus HRPP” means the HRPP for Duke University and all of its academic departments, excluding the Schools of Medicine and Nursing, but including the Global Health Institute; the Schools of Arts and Sciences, Law, Divinity, Environment, Engineering, and Public Policy; Trinity College; and all academic centers and institutes.
- “Duke Health HRPP” means the HRPP for Duke Health and all components of that legal entity, including the Schools of Medicine and Nursing.
- “FDA Regulated” means fall under the governance of US Food and Drug Administration regulations and guidance.
- “Medical Intervention” means administration of: (i) a drug, device, or biologic; or (ii) a medical test, evaluation, or sample collection that would normally be conducted in a clinical setting by a trained clinician.

Basic Criteria for Determining Where Review Should Take Place:

1. Protocols will be reviewed by the Duke Health HRPP when the research takes place at a Duke Health facility, including facilities that are not on site, such as Duke Regional Hospital.
2. Protocols will be reviewed by the Duke Health HRPP when a researcher proposes using Protected Health Information (PHI) held by Duke Health.
3. Protocols will be reviewed by the Duke Health HRPP when either: (1) the research is FDA-regulated; or (2) the research involves a Medical Intervention.
4. All other protocols will be reviewed by the Duke’s Main Campus IRB.

Collaborative Research:

The following collaborations between Main Campus and Duke Health researchers may be reviewed by the Main Campus HRPP:

1. A Duke Health researcher is collaborating with an investigator from a non-medical unit, for example, the Department of Psychology and Neuroscience, when the research will not take place within a Duke Health facility and the researchers will not use PHI held by a Duke Health facility.
2. A graduate student or undergraduate student from a non-medical unit, such as Trinity College or the Divinity School, asks a researcher from Duke Health to serve as an advisor, the research will not take place at a Duke Health facility, and the protocol will not use PHI held by a Duke Health facility.
3. A researcher affiliated with a non-medical unit wants to access directories held by Duke Health of people who have expressed interest in participating in research studies, provided that no PHI will be disclosed.

5.1.1.7 Occupational & Environmental Safety

The [Occupational & Environmental Safety Office](#) (OESO) is committed to supporting the mission of Duke University (Campus Schools and Duke Health) to provide excellence in patient care, research, and teaching. In support of this mission, OESO ensures that the environment is in balance with all regulatory requirements, relevant community standards, and institutional resources. This balance is accomplished by identifying hazardous conditions, developing appropriate control measures, implementing controls through specialized training, and monitoring the effectiveness of the controls.

5.1.1.8 Ombuds

The Offices of the Ombuds facilitate the informal resolution of concerns, such as perceived mistreatment or conflict, by providing members of the University community with access to a trained Ombudsperson who can provide confidential, informal, and neutral counsel and referral to existing resources.

Four ombuds offices offer support to faculty, students, and postdoctoral associates/scholars at Duke University:

- The Faculty Ombuds (<https://academiccouncil.duke.edu/ombuds>)
- The University Student Ombuds
- The School of Medicine Faculty Ombuds

- The Medical Student, Allied Health, and Postdoctoral Associate/Scholar Ombuds

The responsibilities of the Offices of the Ombuds include:

- Providing neutral safe and confidential environment to talk
- Listening to concerns and complaints and discussing appropriate options
- Helping to evaluate and choose the most appropriate option
- Participating in facilitated meetings where appropriate
- Referring people to appropriate Campus or Medical School resources
- Providing information about University or Medical School resources
-
- The Student Ombudsperson is also one of the university’s confidential resources for situations involving sexual misconduct, along with clergy members and staff in the Women’s Center, Counseling and Psychological Services, and Student Health acting as such in their professional role at Duke. The Student Ombudsperson is available to provide resources, support, and reporting options in situations involving student sexual misconduct. She is **the university’s sole confidential resource for sexual misconduct situations occurring in Duke programs taking place outside of North Carolina, including study abroad programs.**
-
- The ombuds does not constitute notice to the institution with regard to grievances or complaints and does not:
 - Adjudicate or participate in formal University grievances
 - Determine guilt of any party in a dispute
 - Get involved in any formal litigation or testify in court
 - Provide legal advice
 - Assign sanctions on individuals
 - Replace any official University office, department or process

To contact an ombuds with a concern you would like to discuss, you may simply:

- email the Faculty Ombuds at Metzloff@law.duke.edu or call 919-613-7055
- email the University Student Ombuds at ombuds@duke.edu or call 919-660-2444 (office) or for emergencies or urgent situations 919-257-0160 (mobile)
- email the Medical School Faculty Ombuds at laura.svetkey@duke.edu or call 919-681-6386
- email the Medical Student and Postdoctoral Associate/Scholar Ombuds at ombudsman@mc.duke.edu or call 919-668-3326

5.1.1.9 Research Administration and Research Support

The [Office of Research Administration](#) (ORA) and the [Office of Research Support](#) (ORS) serve as the pre-award research administration offices for Duke University, and also have responsibility for certain post-award functions, as detailed below. ORA is responsible for the institutional review and approval of externally sponsored research for Duke School of Medicine, not including the School of Nursing (where review and approval are conducted by the SoN Center for Nursing Research), while ORS has this responsibility for the Campus Schools.

Specific functions of both ORA and ORS include the following:

- Reviewing and approving applications/proposals to assure with best efforts that they comply with both sponsor and Duke guidelines; that budgets are accurate and consistent, with clear and concise justifications; that direct costs comply with 2 CFR Chapter II, Part 200; and that facilities and administrative (F&A) costs are appropriately recovered. All Duke applications/proposals fall under their purview, with the following exceptions: SoN applications/proposals (as noted above); and fellowship proposals, when the sponsor does not require review or approval by any University office, *if* the funds are awarded directly to an individual *and* they do not require any University involvement during the proposal or award processes, such as certifications, representations, and financial reporting..
- Negotiating and accepting grants on behalf of the University
- Reviewing intellectual property agreements (IPAs), nondisclosure agreements (NDAs), memoranda of understanding (MOUs), and other agreements between the University and other entities

- Serving as the authorized institutional official and principal liaison between the University and its sponsors
- Approving programmatic and budgetary changes to sponsored projects (including the establishment of new fund codes and extending existing codes)
- Reporting Financial Conflicts of Interest to sponsors associated with federal funding when electronic reporting is not available to the COI office
- Facilitating closeout documentation
- Working with the Vice President for Research and the Research Policy Committee to develop and implement research policies and procedures

ORA, for its part, has the following additional responsibilities:

- Overseeing and managing SOM faculty's effort (i.e., G90 review)
- Reviewing procedures of Individual Mentored K awards for compliance with the K award effort commitment requirements and NIH K salary cap
 - Reviewing MOUs associated with faculty who have VA appointments
 - Reviewing Extraordinary Pay requests, and, if appropriate, providing institutional approval
 - Reviewing fund codes with a negative balance and determining whether or not the project is an "acceptable" or "unacceptable" Institutional Risk (UIR)
 - Review and oversight of late Salary Cost Transfers (i.e., > than 180 days)
 - Review and oversight of potential compliance issues re: the NIH Salary Cap
 - Review and oversight of CAS charges under Uniform Guidance
 - Review and oversight of Pre-award Codes extending beyond (180) days
 - Updating Sponsored Effort System (SES) with sponsor approved effort and changes when presented. This includes providing final approval for Other Support documentation when required by sponsors.

ORS, for its part, has the following additional responsibilities:

- Negotiating and accepting contracts on behalf of Campus Schools
- Issuing subcontracts and subawards when appropriate and applicable for projects administered by Campus Schools
- Reviewing intellectual property agreements (IPAs), nondisclosure agreements (NDAs), memoranda of understanding (MOUs), and other agreements between the University and other entities for projects administered by Campus Schools
- Coordinating submissions for institutionally limited funding opportunities for both Campus Schools and Duke Health
- Disseminating funding information to both Campus Schools and Duke Health
- Administering the Institutional Review Board (IRB) for the Protection of Human Subjects in Non-medical Research (as noted below, Duke's medical-research IRBs are administered by a dedicated IRB Office)
- Administering the Campus Compliance Program for conflict of interest, committed effort, subrecipient monitoring and training programs in the responsible conduct of research. Responsibilities include:
 - overseeing potential conflicts of commitment, committed effort, subrecipient monitoring, past-due annual and final reports, responsible conduct of research (RCR) training, and other general compliance related matters.
 - providing training presentations and consultation on relevant topics.

5.1.1.10 Research Costing Compliance

The Office of [Research Costing Compliance](#) (RCC) supports the research compliance mission of the University in several ways. RCC serves as a compliance training resource for faculty and staff by providing multiple training venues, including mandatory training/education for principal investigators and research administrators, several certificate programs, and continuing education opportunities. RCC also conducts comprehensive financial compliance monitoring for sponsored activities at Duke University, and works closely with the University leadership in identifying and addressing compliance risk through policy and process development, system improvements, training and education, outreach, and special university-wide projects and initiatives. RCC routinely monitors financial compliance risks, and reports on a regular basis to the SOM/SON and Campus Management Centers, the Office of Audit, Risk,

and Compliance (OARC), (which in turn reports compliance activity to the Audit Committee of the Duke University Board of Trustees), and the Research Administration Continuous Improvement (RACI) leadership team.

5.1.1.11 Duke Office of Scientific Integrity (DOSI)

Reporting to the Vice Dean and Associate Vice Provost for Scientific Integrity, DOSI is composed of five areas of focus:

- **Conflict of Interest (COI):** DOSI-COI collaborates with faculty, staff, internal Duke offices and external organizations to ensure quality review, management and reporting of research financial conflicts of interest within Duke.
- **The Advancing Scientific Integrity, Services & Training (ASIST) office** develops programming in support of Duke's collective commitment to maintaining and improving a culture of scientific integrity.
- **Institutional Research Incident Response Committee:** This committee works to resolve issues that could hinder research progress or that could create an institutional risk, but that do not generally require a formal institutional response.
- **Misconduct in Research:** The Misconduct Review Officer (MRO) oversees the review of allegations of misconduct for the institution. Duke faculty and staff are able to report possible misconduct concerns directly to the MRO, their department chair or division chief, dean or other appropriate institutional official. Concerns may also be reported anonymously through the Integrity Line at 1-800-826-8109.
- **Clinical Quality Management Program:** The Clinical Quality Management Program (CQMP) was established to develop and implement a comprehensive, standardized, prospective clinical research monitoring program including quality assurance and quality control measures. The program focuses on helping departmental clinical research units develop CQM Plans for all consenting and prospective studies that are not externally or independently monitored and that do not have ongoing approved monitoring plans.

5.1.1.12 Research Policy Committee

Chaired by the Vice President for Research, the [Research Policy Committee](#) is a standing committee of the University with representatives from the administration, faculty, and Legal Counsel. It is responsible for:

- Writing Duke University's research policies
- Reviewing existing institutional research policies and procedures on a regular basis and proposing modifications, as necessary
- Ensuring that the research community is educated in the standards for the design, conduct, reporting, and supervision of research

5.1.1.13 Sponsored Programs

The [Office of Sponsored Programs](#) (OSP) exists to perform the post-award administration of sponsored projects for all Schools of Duke University (both Campus Schools and the Schools of Medicine and Nursing). OSP's mission is to safeguard sponsored funds, maximize Duke's cash flow position, maintain good relations with sponsors and Duke personnel, and to be viewed by principal investigators and departmental administrators as facilitating the progress of their sponsored projects. Specific responsibilities include:

- Preparing invoices, financial, and other non-scientific reports to sponsors on sponsored projects
- Paying subrecipients to Duke's sponsored projects
- Monitoring projects for compliance with sponsor and Duke requirements
- Assuring reimbursement of project expenditures
- Providing advice to departmental administrators
- Coordinating award documentation and approval processes with the Office of Research Support, Office of Research Administration, Treasury Billing Services, and other related Duke departments
- Coordinating the University's effort reporting system and related processes
- Answering questions and providing information to sponsors and Duke personnel

5.1.1.14 Vice Deans for Basic Science and Clinical Research

Within the School of Medicine, the Offices of the Vice Dean for Basic Science, Vice Dean for Clinical Research, and Senior Associate Dean for Clinical Research serve as liaisons between the Dean and the faculty engaged in research. These offices work with department chairs and faculty to implement School of Medicine strategic initiatives concerning basic/clinical research and education, including the oversight of shared resources, and multiple regulatory/advisory committees. The Vice Dean for Basic Science also serves as the administrative lead for the graduate program within the school and is jointly responsible (along with the Vice President for Research) for the

Office of Postdoctoral Services. The Vice Dean for Basic Science also oversees the programs for conducting animal research, including the Office of Animal Welfare and Assurance (OAWA), the Institutional Biosafety Committee (IBC), and the Select Agent Programs. The Vice Dean for Clinical Research is administratively responsible for several aspects of research operations at the School of Medicine. Areas of oversight include the Institutional Review Board (IRB) for the protection of human subjects in clinical research, the Duke Office of Clinical Research (DOCR), and the Office of Regulatory Affairs & Quality (ORAQ).

5.1.1.15 Vice President for Research

The Vice President for Research (VPR) is responsible for managing the university's research enterprise, assuring that all faculty, students, and research staff have the administrative infrastructure needed for research excellence, and facilitating a culture characterized by the highest forms of integrity and ethics. The Office of Research, led by the VPR, provides a centralized focus for the development of research activities across the institution and has university-wide responsibility for research policy, coordination with federal research sponsors, compliance, research conflicts of interest, research misconduct, and technology transfer. Within the Office of Research are the Offices of Scientific Integrity, Export Controls, Licensing and Ventures, Postdoctoral Services, and Research Initiatives. The Office of Research works closely with management center-based resources and provides pre- and post-award services, animal and human subjects research oversight, and research development activities. The VPR oversees the University-wide Research Policy and Executive Research Oversight Committees; works in concert with such university committees as the Research Administration Continuous Improvement (RACI) initiative and the Authorship Dispute Board; and manages strategic, internal research-funding resources, including the Instrumentation and Research Fund. The VPR (through the Research Application Development (RAD) Group) is also co-responsible, along with the School of Medicine's Deans for Basic Science and Clinical Research, for the [Conflict of Interest](#) (COI) reporting system and the [Sponsored Projects System](#) (SPS).

5.1.2 Technology Transfer

5.1.2.1 Office of Licensing and Ventures

The [Office of Licensing and Ventures](#) (OLV) serves Duke University (Campus Schools and Duke Health) and is a service unit composed of specialists responsible for licensing, business development, venture creation, and legal matters, and who are experienced in transferring technologies from the physical sciences, biological sciences, and information and computer sciences disciplines to the market. Duke faculty, staff, and students must submit intellectual property disclosures to this office and should contact the office if individuals or groups outside of the University express interest in working with them and with Duke towards further development or commercialization of new technologies and inventions. Intellectual property and invention disclosure forms and answers to other FAQs are at the [OLV website](#). OLV's functions include:

- Protecting Duke innovations, technologies, and intellectual property by means of patents and copyrights
- Maintaining a database of University inventions, start-up companies, associated data, and metrics
- Identifying technologies with commercial potential
- Developing and implementing marketing and commercialization strategies for both patentable and non-patentable intellectual property
- Pursuing commercialization opportunities through option and license agreements with existing companies and new Duke start-up companies
- Providing resources and assistance for formation of new ventures to commercialize Duke intellectual property
- Managing, collecting, and distributing revenue resulting from the licensing of Duke intellectual property
- Providing opportunities for students through analyzing and marketing intellectual property and working on various new venture projects

5.1.3 Sponsor Relations

5.1.3.1 Government Relations

The [Office of Government Relations](#) (OGR) represents the interests of the University's faculty, students and staff on matters of legislation and regulations before the federal government in Washington, DC. OGR tracks legislation regarding issues as wide-ranging as the federal budget, research and student aid funding, the reauthorization of relevant statutes (such as the Higher Education Act), visa and immigration matters, tax issues, technology transfer, intellectual property law and other areas of institutional interest. Additionally, the Office of Government Relations coordinates Duke advocacy efforts, positions the University as a resource for policymakers in Washington and assists Duke faculty members who are interested in applying their expertise to policy development. OGR also provides many resources to faculty, staff, and policymakers on its [website](#).

In addition to Durham-based staff, OGR has two permanent staff members based in the Duke in DC office, an academic and outreach center in Washington, DC. Located in the heart of downtown Washington, Duke in DC supports university business in DC by:

- Providing office, meeting, and event space;
- Hosting academic programs and other events;
- Serving as a logistical and promotional resource to faculty and staff visiting DC; and
- Connecting Duke expertise and programs to thought leaders in DC through individual meetings, briefings, and public events.

Faculty and staff traveling to Washington, DC, on Duke-related business are encouraged to use the office and meeting spaces, and other office resources (printer, copier, wireless internet connected to the Campus network, landline, videoconferencing). More information can be found [here](#). The Office of Government Relations also encourages faculty and staff to consider Duke in DC as a venue to host briefings, roundtables, panel discussions, and other events to promote scholarship that would be relevant to a Washington audience.

5.1.3.2 Office of State Relations (OSR)

The Duke Office of State Relations (OSR) is responsible for representing Duke University, Duke Health, and Duke LifePoint Healthcare interests with government officials and legislators in Raleigh and throughout North Carolina. The OSR coordinates and leads membership activities for Duke University and Duke Health in all state-based advocacy organizations, such as the North Carolina Independent Colleges and Universities, the North Carolina Hospital Association, and the North Carolina Center for Nonprofits.

Given Duke's focus on broad engagement in North Carolina and the region, the OSR further strengthens the institution's ability to advance the priorities of Duke University and Duke Health with policymakers and opinion leaders. The OSR works closely with faculty and staff to advance Duke's legislative and administrative interests, to connect Duke's expertise to policymakers in state government, to foster relationships with North Carolina officials on policies related to higher education, health care, employment, public safety and other issues that affect Duke's stakeholders. Towards this end, the OSR coordinates meetings with government officials in Raleigh and in Durham for members of the Duke community who are interested in advocacy. The OSR also provides assistance on questions related to state lobbying and ethics compliance issues.

The OSR works closely with the government relations offices for Duke University and Duke Health to ensure that Duke's state advocacy efforts are coordinated with Duke's activities in Washington, D.C. The OSR is co-located with the Duke University Office of Government Relations in the American Tobacco Campus in downtown Durham and can be reached at 919-416-8923. You can also follow the OSR on Twitter: @dukestategovrel.

5.1.3.3 Foundation Relations

The [Office of Foundation Relations](#) (OFR), housed within University Development, initiates and builds philanthropic relationships in support of Duke's teaching, research, and service mission. OFR's primary charge is to raise funds from private foundations for priority programs and institutional initiatives. Working with administrators, faculty, and development staff, OFR's staff provides expertise, services, and tools to connect the University successfully with foundations. Please refer to the OFR website for more information: <https://foundationrelations.duke.edu>.

Services include:

- Developing strategies for working with foundations
- Identifying potential foundation to fund institutional and research efforts
- Researching foundation programs and existing relationships with Duke programs
- Advising faculty on the development of program concepts and proposals
- Reviewing and approving proposals and budgets, and coordinating with Campus schools on construction and endowment proposals to foundations
- Assisting principal investigators with reporting to and stewardship of major foundations

Before contacting a foundation or submitting a proposal, campus personnel should contact OFR by calling Nancy Hillsman, Assistant Director for Research and Stewardship, at 919-681-0469 or emailing her at

nancy.hillsman@duke.edu for additional information and approval to proceed. In addition, before submitting a proposal, campus personnel should contact the Office of Research Support at 919-684-3030 (see section 5.1.1.9, “Research Administration and Research Support,” above).

5.1.3.4 Corporate Relations

The [Office of Corporate Relations](#) initiates and coordinates relationships that support Duke's research, teaching, and service mission. Duke Corporate Relations works with Duke’s faculty members, administrators, and staff to develop mutually-beneficial relationships with industry. The department works with companies to understand their goals and facilitate connections to the University's research, student talent, events, global programs, initiatives, employee development, strategic gift planning, and recruiting. The department can be reached through the general email address: corporaterelations@duke.edu.

The Office of Corporate Relations' services include:

- Researching and reporting on the historical connections between a company and Duke University
- Planning an engagement strategy with a company
- Synthesizing multiple pieces of information from constituents to create a common understanding of opportunities
- Identifying and matching the company’s strategic needs and the University’s strengths
- Facilitating conversations with corporate partners
- Organizing and hosting campus visits and conference calls
- Identifying opportunities for funding from corporations
- Reviewing and approving construction of proposals to corporations submitted by Duke University Campus Schools

5.1.3.5 Duke Health Foundation Relations and Corporate Giving

The [Office of Foundation Relations and Corporate Giving](#) initiates and expands mutually beneficial relationships between Duke Health and external organizations. The Office supports priority Duke Health initiatives by managing a portfolio of prospect organizations, and providing strategic support to Duke Health leaders, faculty members, and gift officers in pursuit of funding from these entities. The focus of the Office is on professionally staffed foundations, spanning local and regional entities to the nation's largest philanthropic organizations. This includes strategic pursuit of philanthropic support from companies, primarily via corporate foundations. The Office also actively manages Duke Health’s relationship with The Duke Endowment.

Services include:

- Developing strategies for identifying and approaching prospective foundation or company funders
- Researching foundation and company giving programs, including existing relationships with Duke Health and Duke University
- Advising faculty, administrators, and gift officers on the development of proposal concepts and applications
- Reviewing proposals
- Assisting with reporting and other stewardship for foundation and company funders

Before contacting a foundation or corporate foundation or submitting a proposal, Duke Health personnel should contact the Office by calling the Senior Associate Director of Foundation Relations at 919-385-3117 for additional information and approval to proceed.

5.1.3.6 Duke Health Government Relations

Duke Health Government Relations (DGR) is responsible for representing Duke on health related issues with elected officials and government agencies at the federal level in Washington, DC. The Government Relations staff:

- Engages the Duke community and external policy stakeholders on any issue that may impact the institution.
- Educates the Duke community on legislative and regulatory matters that may affect Duke’s missions of education, research, patient care, and community service.
- Advocates for public policy that supports a positive environment for research universities and academic medicine.

- Coordinates meetings for leadership, faculty, and students with elected officials and agency representatives.
- Invites elected officials to campus for educational programs and to serve as guests at special events.
- Monitors and collaborates with the Duke Office of State Relations on health issues across North Carolina.

To assure coordination of efforts, Duke Health Government Relations works with a number of other Duke departments, including the Duke University Office of Government Relations and the Duke Health Office of Community Relations. If you have any questions or are engaging with government officials, please contact us at 919-416-8910 or govrelations@duke.edu. For the most up to date news, you can follow us on Twitter: @dukegovrel.

5.2 Research Related Policies

5.2.1 The Investigator

5.2.1.1 Final Reporting on Sponsored Programs

Because the University has ultimate responsibility for adherence to the terms and conditions of any accepted grant, cooperative agreement or contract, the actions of individual principal investigators (PIs) greatly influence the relationship between Duke and a sponsor, even creating a situation where a sponsor could refuse to support any Duke research regardless of the project or who is named as the PI.

Programmatic (financial, technical, progress, final, NIH Public Access, etc.) reports can only be prepared under the direction of a project's PI. Thus, the University is dependent on the PI to prepare and submit all programmatic reports on time and according to the sponsor's specifications. If a PI has not submitted a report for greater than thirty days after the report due date, Duke may suspend all new sponsored research activity associated with the respective PI or take other appropriate actions with agreement of the PI's dean/chair until the delinquent report is submitted according to the sponsor's requirements.

5.2.1.2 Principal Investigator Status

It is University policy that only those with whom the University has or intends to have an on-going employment or contractual relationship may serve as principal investigator or program director for projects, research or otherwise, supported by external funding sources. See [Appendix P](#), "Principal Investigator Status," for details on how this policy is implemented on Campus and School of Medicine components.

5.2.1.3 Responsible Conduct of Research (RCR) Training

A major component of Duke's efforts to promote a culture of scientific integrity are the Responsible Conduct of Research education programs, each developed for specific career stages with specialized sub-programs and offerings for the wide-variety of research disciplines represented at Duke.

For faculty and staff engaged in research:

In collaboration with the Trent Center for Bioethics, the DOSI-Advancing Scientific Integrity, Services & Training (ASIST) program implements and maintains a robust RCR education program for faculty and staff engaged in research. Under the direction of the Vice Dean and Associate Vice Provost for Scientific Integrity, DOSI-ASIST guides and supports Department and Center/Institute leaders and administration through the process of identifying faculty and staff engaged in research, and thus required to complete RCR training and through the process of tracking their members' RCR compliance status. RCR educational programs include both on-line modules and interactive workshops to leverage existing national and local resources with continuous review on a regular basis for reaffirmation or revision of the content and program requirements.

For undergraduate students, graduate students, and postdoctoral researchers:

To meet the requirements of the America COMPETES Act of 2007, all Duke University Ph.D. students, postdoctoral associates and scholars, and those masters students and undergraduate students who are supported by research funds from the National Science Foundation or by training funds from the National Institutes of Health, and certain awards through the U.S. Department of Agriculture are required to participate in training programs on the responsible conduct of research (RCR). The Duke University Graduate School has mandated RCR training as a formal, academic requirement of the Ph.D. degree in every department and program of study since 2003, and training is documented on official Duke University transcripts.

Under the direction of the Vice President for Research, the system for identifying individuals for whom RCR training is required and verifying their compliance is administered by the Duke Office of Scientific Integrity.

A series of educational programs has been designed for each of these constituencies.

I. For Undergraduate Students: The RCR certification requirement is satisfied by completing a set of two required [online tutorials](#) on Misconduct in Research and Data Management and a third elective. Five disciplinary tracks have been established and students are asked to pick the one that best fits the discipline of the project on which they are working:

- Social and Behavioral Research (sociology, economics, political science, psychology, history, cultural anthropology);
- Physical Sciences Research (physics, chemistry, computer science, mathematics, and statistical sciences)
- Engineering Research (civil, environmental, computer, electrical, and mechanical engineering);
- Arts & Humanities Research (religion, art history, classical studies, English, literature, music, philosophy); and
- Biomedical Research (biology, evolutionary anthropology, biomedical engineering, neuroscience).

II. For Graduate Students: The Duke University Graduate School requires that all enrolled Master's degree and Ph.D. students complete training in RCR as noted on the Graduate School website (see <http://gradschool.duke.edu/rcr>). There are distinct RCR training requirements based upon degree program and academic division:

- Ph.D. students in the Basic Medical Sciences must complete 18 total contact hours of RCR training, including the 12-hour RCR Orientation (GS710A, see: <https://medschool.duke.edu/education/degree-programs-and-admissions/office-biomedical-graduate-education/professional-development/responsible-conduct-research-training/beaufort-ethics-retreat>), and a 4-hour follow-up training following the completion of Year Three in their program to fulfill NIH RCR training requirements; See <https://gradschool.duke.edu/professional-development/programs/responsible-conduct-research/rcr-requirements>
- Ph.D. students in all other departments and programs must complete 12 contact hours of RCR training, including the appropriate six (6) hour RCR Orientation (GS710) by academic division (Humanities & Social Sciences, or Natural Sciences & Engineering).
- Beyond RCR Orientation (GS710 or GS710A), Ph.D. students can fulfill the remaining RCR training requirements by attending annual RCR Forum events, preferably within the first three (3) years of their program of study (See http://gradschool.duke.edu/academics/degree_reqs/rcr/forums/index.php)
- Beginning in Fall 2013, entering Master's degree students enrolled in Duke University Graduate School must complete a four-hour (4) RCR Orientation during Orientation Week that is focused on academic integrity, research policies, and campus resources.

Each RCR Orientation program covers a wide variety of subjects, and may include the following topics:

- Academic Integrity and Misconduct (plagiarism, cheating, etc.)
- Conflict of Interest and Commitment
- Inventions, Patents, and Technology Transfer
- Human Subjects
- Animal Subjects
- Data Management
- Intellectual Property
- Authorship, Copyright, and Scholarly Communications
- Fiscal Responsibility
- Social Impact of Research
- Collaborative Research
- Mentee and Mentor Responsibilities
- Harassment Prevention and Handling Complaints
- Diversity and inclusion in an academic environment

The RCR Forum Series includes more in depth information on the topics above, as well as workshops on emerging key issues such as Export Controls, FERPA or HIPAA, and others). Departmental RCR Forum events (GS712) must be pre-approved by the Graduate School but are encouraged. Contact the Graduate School with any questions at grad-rcr@duke.edu.

III. Postdoctoral Researchers are required to take one of two courses: The Federal requirement for RCR training can be satisfied by completion of the [RCR Orientation for Postdoctoral Researchers](#) provided by the Office of Postdoctoral Services and the Office of Research Support. The orientation includes a series of advanced lectures and case study discussions on:

- Research Misconduct
- Data Management
- Authorship
- Peer Review
- Mentor and Trainee Responsibilities
- Scientists as Responsible Members of Society

Postdoctoral researchers are then required to attend one of the [RCR Training Forum Series](#) workshops offered by the Graduate School each year for three subsequent years of their tenure at the University.

Alternatively, instead of participating in the [RCR Orientation for Postdoctoral Researchers](#), Postdoctoral Associates may participate in the [Trent Center's program on Bioethics, Humanities and History of Medicine](#) which provides an annual five-session training in the Responsible Conduct of Research (RCR). This course is open to recipients of NIH training grants and fulfills the requirement for RCR education. Each 1.75 hour session includes a half-hour lecture followed by an hour and 15 minutes of faculty-facilitated, small group case discussions. Session topics include:

- Introduction to the Responsible Conduct of Research
- Mentoring
- Research Misconduct
- Human Subjects in Research
- Publication and Authorship
- Intellectual Property
- Conflict of Interest

After completing either the [RCR Orientation for Postdoctoral Researchers](#) or the Trent Center program, postdoctoral researchers are then required to take one of the [RCR Training Forum Series](#) workshops offered by the Graduate School each year for three subsequent years of their tenure at the University.

Note: All students, postdocs, faculty, and research staff conducting research involving human subjects, vertebrate animals, or certain types of hazardous substances or equipment will be required to complete further ethical and safety training specific to the type of research in which they are involved.

5.2.1.4 Roles and Responsibilities

While the University is ultimately responsible for fiscally compliant management of all sponsored projects, it is the principal investigator (PI) or program director (PD) who bears primary responsibility for directing both the research and administration of a grant, cooperative agreement, training or public service project, contract, or other sponsored project.

- The PI/PD is responsible for the completion, accuracy, and timely submission of all programmatic reports required by the sponsor.
- The PI/PD is responsible for ensuring that all financial aspects of the project are done in a timely manner so that financial reports can be submitted by the Office of Sponsored Programs (OSP) as required by the sponsor.
- In consultation with the department chair, the PI/PD ensures sufficient financial administrative oversight to manage the financial and other administrative functions related to the grant.
- In collaboration with the departmental financial administrator, the PI/PD ensures compliance with all applicable financial and administrative regulations and University policies and procedures.
- The PI/PD is responsible for validating his or her own effort certification report in accordance with Duke's General Accounting Procedures and for validating the effort certification for any staff who work under the PI/PD's supervision.
- The PI/PD is responsible for ensuring that the programmatic and financial management of subrecipients associated with his/her funded projects conduct assigned research and reporting appropriately and in a timely, accurate, and financially responsible manner.

- In conjunction with OSP, the PI/PD approves final payment to subcontractors.

5.2.2 Integrity

5.2.2.1 Authorship

The University has instituted the Guidelines for Authorship and Authorship Dispute Resolution to supplement its policy on Misconduct in Research. Within the academic environment there is often some level of expectation regarding authorship or acknowledgement on the part of those contributing to a work. As a result, it is an appropriate practice to address questions of authorship at the earliest practical stage of a research project. Such communication can clarify roles, spur motivation, and minimize disappointments among the participants.

Disputes over authorship are best resolved at the local level by the authors themselves or in consultation with the laboratory chief, chair or head of department(s), or dean, as appropriate.

If resolution at the local level cannot be achieved, the matter can be referred to the Authorship Dispute Board in one of two ways. If the matter is taken to the Authorship Dispute Board with the unanimous agreement of all parties, the decision of the Board will be binding on all parties. If the matter is taken to the Authorship Dispute Board without the unanimous agreement of the parties, the decision of the Authorship Dispute Board is not binding, but the Board will make a written recommendation that will be provided to all parties of the dispute and can be made public by any of the parties involved.

Please refer to [Appendix P](#), “Guidelines for Authorship and Authorship Dispute Resolution” for details on how Duke addresses issues of authorship.

5.2.2.2 Conflict of Commitment

A conflict of commitment can be said to exist when a member of the University community has an outside relationship that requires a commitment of time or effort to non-University activities, such that an individual, either implicitly or directly, cannot meet her/his obligations to the University. In addition, the distribution of a faculty member’s effort among, for example, research, teaching, committee responsibilities, and outside consulting or other activities may raise issues of conflict of commitment.

Any faculty member planning to do research for the government under a stipulation that a specified fraction of her/his effort will be devoted to the research should check with the Office of Research Support or the Office of Research Administration regarding procedures to ensure demonstrable compliance with the indicated requirements.

5.2.2.3 Conflict of Interest

Duke University is committed to ensuring members of its faculty, scholars, and staff are provided an open and productive environment in which to teach, care for patients, and conduct research. However, the ever-increasing complexity of our society and the various relationships between faculty, scholars, and staff and outside institutions require attention to ensure the avoidance of real or apparent conflict of interest issues.

A conflict of interest can be said to exist when a member of the University community (including her/his immediate family member(s)) has a relationship with an outside entity such that her/his activities on behalf of the University is or could be biased by that relationship.

Please refer to [Appendix O](#), “Financial Conflict of Interest Policy,” for details on how Duke addresses issues of financial conflict of interest.

In addition to Duke's policy, investigators must also adhere to sponsors' regulations or policies governing conflict of interest. For instance, investigators applying to the U.S. Public Health Service agencies, which include the National Institutes of Health (NIH), and other public sponsors, including the National Science Foundation (NSF) and the Department of Defense, as well private sponsors (e.g., the American Heart Association), require investigators to disclose at the time of proposal submission whether any significant financial interest that could directly and significantly affect the design, conduct, or reporting of the sponsored research.

5.2.2.4 Consulting/Outside Activities by Duke Faculty

Faculty and senior administrative staff members may spend up to four days per month in outside activities or consulting work, averaged over an annual period of service based on term of appointment (e.g., nine-months or eleven-months). Such activities are to be disclosed on an individual’s financial conflict of interest disclosure form, as applicable. All disclosed consulting relationships will be reviewed to determine if an overlap of interest exists that does, might, or appear to be, a conflict of interest that would require management.

5.2.2.5 Earmarks

Duke University is committed to excellence in research and hence to competitive peer review in the federal funding of research. Research funded by earmarks threatens to undermine national excellence in research by diverting resources from the peer review process. As a result, faculty and staff are prohibited from seeking, advocating, or accepting earmarks which benefit Duke or related entities except under extraordinary circumstances and with the express permission of the President of the University. Such extraordinary circumstances would include only those in which the President, in consultation with the senior administrative leadership of the University, determined that the proposed project involved inherently unique circumstances that could not be replicated elsewhere. When the case for an exception is considered, the strong presumption must be against the taking of earmarks.

5.2.2.6 Lobbying

Duke is required by law to submit detailed quarterly reports on state and federal lobbying activity by individuals employed, or acting on behalf of, the University or Health System.

Duke recognizes and supports the individual engagement of members of the University community as private citizens in public policy and the political process; nothing in this lobbying policy applies to such private interactions. Duke also encourages and supports the engagement of our faculty and staff with policy makers at the state and national levels in their institutional roles. In order to comply with the enhanced tax, lobbying, and ethics laws and rules that govern these relationships, we must gather specific information on the activities of all individuals at the University.

On a quarterly basis, a lobbying questionnaire is sent to all senior officers, deans, school and institute directors of the University to collect the appropriate information on individual activity in their areas of responsibility.

On an annual basis, all faculty are queried about their lobbying activities as part of their Conflict of Interest reporting.

Further information regarding the policy and other helpful documents for University employees can be found [here](#).

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, the term “misconduct... does not include honest error or differences of opinion.”

5.2.3 Intellectual Property

5.2.3.1 Intellectual Property Rights

Duke’s primary mission lies in the creation and dissemination of knowledge in works of the intellect, in whatever medium (tangible or otherwise) they may be embodied or expressed. Duke’s policies on intellectual property rights (see [Appendix P](#)) recognize and acknowledge that these rights arise from time to time as a result of efforts by members of the Duke community. These policies address ownership with respect to: 1) inventions, patents, and technology transfer; and 2) copyrights. For more information, faculty may refer to the [policies section](#) of the Office of Licensing and Ventures website. There is also a section that provides [policy information for students](#).

5.2.3.2 Inventions, Patents, and Technology Transfer

The creation of knowledge in the service of society is at the core of the Duke mission. When new inventions and patentable or copyrightable technology arise during the course of ongoing University research activity, researchers have a responsibility to disclose these new technologies and inventions to the [Office of Licensing and Ventures](#) for evaluation, protection, and potential licensing and commercialization. Duke’s policies on inventions, patents, and technology transfer (in [Appendix P](#)) have been written to assure that intellectual property resulting from Duke research is used in a manner consistent with University policies and values. The policies are written to facilitate and encourage the appropriate protection strategy, development, and marketing of intellectual property, licensing, and new venture creation where appropriate.

5.2.3.3 Public Access Requirements by Funding Agencies

The National Institutes of Health (NIH) has had a policy in effect since 2008 which requires that the author’s final version of any peer-reviewed journal article resulting from NIH-funded activities be submitted to the PubMed Central (PMC) repository, where it will be made available to the public at no cost no later than 12 months after the journal article is published. In 2013 the White House Office of Science and Technology Policy issued a directive

that all US federal agencies with over \$100 million in annual extramural R&D budgets should develop similar public access plans for the results of research directly arising from their funds. The federal agencies include DOD, DOE, NASA, NSF, and several others. Since then many funding agencies, both public and private, have issued similar requirements for both publications and data resulting from funded projects. Failure to comply with these policies may result in loss of funding, eligibility for future awards, or other penalties. Principal Investigators should review the requirements for each grant, and develop plans early in the project for making their publications and data available via appropriate venues. Many funders require a formal data management plan or data availability statement to be submitted as part of the grant application process. General information about the policies of many funding agencies can be found [here](#). For guidance when developing a data management plan, see the [DMPTool](#) (use NetID for login; Duke University is affiliated). Further guidance on data management planning, implementation, and sharing is available from the [Duke University Libraries](#). For assistance specifically with NIH Public Access compliance, see this [guide](#) or contact the Duke Medical Center Library. For other open access publication requirements or assistance, contact open-access@duke.edu or the relevant [subject specialist](#) in the Duke University Libraries.

5.2.3.4 Research Records: Sharing, Retention, and Ownership

The University, its faculty, and its trainees have a common interest and a shared responsibility to assure that research is appropriately recorded, shared, and retained. Consequently, researchers have a responsibility to retain original research results, in whatever form they may take, for a reasonable length of time to protect intellectual property rights, support scholarly collaboration and publication, and answer any questions that may arise about the conduct of the research. The University likewise has an interest in, and shared responsibility for, assuring that research is appropriately recorded, archived, and available for review under appropriate circumstances. Consequently, in May 1994, the University adopted a policy on Data Retention and Access which was revised in January 2007 and renamed *Research Records: Sharing, Retention, and Ownership*. The complete text of the revised policy is available in [Appendix P](#). For assistance with data management, sharing, and retention see [this guide](#) from Duke Libraries or e-mail askdata@duke.edu.

5.2.3.5 Policy on Open Access to Research

The Faculty of Duke University is committed to disseminating the fruits of its research and scholarship as widely as possible. In March 2010, the Academic Council adopted an open access policy, under which faculty authors grant to Duke University permission to reproduce and distribute their scholarly articles at no cost to readers via a repository maintained by the library. Authors may opt-out of this default policy, or may place an embargo on their works if needed. The complete text of the policy is available in Appendix P, and more information on the policy and how to make your scholarly articles more widely available can be found at <https://scholarworks.duke.edu/open-access>. For further information or assistance, contact open-access@duke.edu.

5.2.4 Academic Freedom

5.2.4.1 Classified Research

No research can be undertaken at the University that involves information, research, or results of research that are, or would be, classified by the sponsor or any third party. For example, research for the federal government under a subcontract which is classified as secret is *not* permitted. The University-Industry Guidelines (see 5.2.4.4 below) ensure researchers' rights to publish research results without unduly long delays, and to engage in scholarly discussion with their colleagues.

Faculty members may arrange on an individual basis to participate in projects involving such research through other institutions. Duke University does not have any level of institutional clearance, nor can it arrange clearance on behalf of its faculty. Clearance is secured on a need-to-know basis by the organization for whom the work is to be done.

5.2.4.2 Export Controls

It is the policy of Duke University to fully abide by federal and state laws and regulations governing the export of goods, technology, software, and services, collectively referred to as export controls. These regulations include the Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), the Office of Foreign Assets Control (OFAC) regulations, the Department of Energy's National Nuclear Security Administration (NNSA) and Nuclear Regulatory Commission (NRC) foreign activities controls, as well as specific requirements promulgated by multiple US government agencies related to exports and international activities.

Under US export controls, goods, technology, and software are exported when they are physically moved or transmitted outside of the United States by any method. The transfer of technology or software to a foreign person, whether within the US or abroad, is deemed to be an export to the foreign person's home country or in some cases all countries where the person has held citizenship. Services are considered exported when they are performed either for, or on behalf of, a foreign person, entity, or government.

For export control purposes, U.S. persons are defined as U.S. citizens, U.S. permanent residents (“green card holders”), and certain individuals in the United States under refugee or asylum status. All other individuals are considered foreign persons. A foreign entity is any organization not incorporated or organized to do business in the United States. U.S. person employees of foreign governments (e.g., US citizens working for a foreign Embassy) or entities which are not incorporated in the U.S. acting on behalf of their employer are also considered foreign persons.

Compliance with export controls requires determining the regulatory authority, evaluating the proposed transaction against the applicable regulations, and when necessary, obtaining the required government licenses, authorizations, or exemption documentation prior to initiating the export activity. Each regulating agency maintains lists of items, technology, software, and services that are prohibited or require government authorization prior to export. The Office of Export Controls will assist in determining what, if any, regulatory matters must be addressed prior to an export transaction.

Duke is able to utilize three broad export control exemptions to facilitate the unrestricted sharing of information. These exemptions apply to information only, not physical items.

The following types of information are not subject to export controls:

- Information that exists in the public domain and is freely accessible to any interested party;
- Information released in a catalog course or teaching laboratory of an academic institution;
- Information that arises during, or results from, “fundamental research” as described below:

University research results may be exempt from export control laws under the “Fundamental Research Exclusion” by ensuring the research is conducted with a clear intent to publish the results, and to do so without restriction or approval, and that the research does not have any national security restrictions, such as a restriction on the participation of foreign nationals.

Additional Duke policies are in place which uphold the Fundamental Research Exclusion. When strictly adhered to these policies are broadly applicable to all sponsored research, regardless of funding. They are articulated in the University-Industry Guidelines as follows:

- A sponsor shall have the privilege to define broadly the topic of the research to be funded. The university principal investigator shall have final authority over the design and control of that research.
- Final determination of what may be published or not published, including the publication of computer programs, as well as who may participate in the research program, shall remain with the University. Exceptions may be granted by the Provost only after detailed review and upon the advice of the Research Policy Committee.
- A sponsor may, prior to publication, review materials resulting from research it has sponsored in those cases where possible intellectual property rights may be involved or where the University has been provided a sponsor's proprietary information. Such reviews should not delay publication for more than ninety (90) days, except with the approval of the Provost.
- It is also the responsibility of each individual researcher to protect freedom to communicate with colleagues and to refuse to enter into sponsored agreements that will restrict that freedom in unreasonable or unacceptable ways.
- Assistance is available through the [Office of Export Controls](#).

5.2.4.3 Faculty and Staff Travel Abroad

Over the last decade Duke has developed an extensive set of policies, infrastructure and lined up external providers to aide in the planning and preparation, execution and safety training as it regards international travel. The office of [Global Administrative and Travel Support](#) (GATS, online at www.travel.duke.edu) was established in 2013 to provide outbound passport, visa and other travel related support to faculty, staff and students. Student travel outside the 50-

United States is governed by the Duke University Global Travel Policy which GATS administers. Faculty/staff are responsible for ensuring that students have complied with the tenets of this policy prior to providing support, whether logistical or financial, for the travel to occur. Per the policy, Duke University maintains a [Restricted Regions List](#) of destinations around the globe that are deemed high risk as such emergency services could be hindered or not available. The Restricted Regions List (RRL) is updated by the Provost whenever world conditions warrant and travel to destinations on the list by students requires a waiver from the Provost prior to providing Duke support for the travel. The Global Travel Advisory Committee (GTAC), a joint faculty-administrative body appointed by, and advisory to, the Provost monitors world events and recommends changes to RRL.

Additionally, travelers destined to sanctioned countries as indicated within the RRL must contact the [Office of Export Controls](#) prior to departure. The United States government imposes varying levels of restrictions regarding the travel to, import from, export to, or collaboration with entities from sanctioned countries. A license or pre-travel approval from the U.S. government may be required in advance of departure. The Office of Export Controls can assist with an assessment of what is needed.

There are no Duke-imposed restrictions on faculty and staff travel to any destination, however, all faculty and staff are expected to consult the Duke RRL and to explore other sources of information (e.g., the U.S. Dept. of State and International SOS travel and risk advisories) in arriving at their own judgment with respect to the level of risk involved. No employee can be required to travel to a location on the Duke Restricted Regions List unless they were expressly hired to do so (i.e., agreed to travel to a specific country/region as part of their employment). Faculty and staff are **strongly urged** to register their travel plans in the [Duke Travel Registry](#). This confidential Travel Registry is only used in the event of an emergency abroad, whether it is a health emergency, natural disaster, or a crisis of civil or political unrest in a foreign location that requires Duke to provide assistance or evacuation services to travelers.

Per the University's '[Vaccination and Health Review](#)' policy, Faculty and Staff who travel abroad with Duke support will need to receive a pre-travel health review and any appropriate vaccinations prior to their travel. The applicable Duke cost center or program will pay for direct costs associated with obtaining these when the travel is "a requirement of, or directly related to, the faculty or staff member's current position at Duke." Employee Occupational Health and Wellness established its own travel clinic in 2011 to provide easy access and 'at cost' health services for faculty, staff and their adult dependents who must go abroad on Duke supported travel.

Faculty and staff who travel internationally will be covered by Duke's international travel assistance services offered by International SOS. Additionally, full-time, benefits eligible employees are also covered by the CIGNA Medical Benefits Abroad health insurance plan. To learn more about these providers and the benefits they offer, please visit <https://travel.duke.edu/isos-cigna>. Should Faculty/staff travel abroad and engage either provider for services, having entered your trip information in the Duke Travel Registry enables swift verification of your coverage status. Please take a few moments to register prior to traveling abroad in order to aide with this process. International travel involving fieldwork must comply with the [Fieldwork Safety Policy](#). (See section 5.2.6.9 of this document for more information.) Travelers who wish to carry samples, materials, or equipment into or out of the U.S. should contact the Office of Export Controls for help with customs clearance, export declaration, permitting, and related matters.

5.2.4.4 University-Industry Guidelines

Contracts received from private industry may include provisions that are contrary to University policy or that put the University at risk. Recognizing the potential conflict between the primary missions and interests of a university and those of private industry, the University has adopted a policy on industry-sponsored research. All research grants and contracts held by Duke University must conform to these University-Industry Guidelines (in [Appendix P](#)). Contracts will be negotiated by Office of Research Administration, Office of Research Support, or Office of Corporate Research Collaborations to assure that they do conform to these guidelines.

5.2.5 Protection

5.2.5.1 Animal Care and Use

All animal care and use must be conducted in observance of federal and state regulations, accreditation requirements, granting requirements, and local policies/SOPs. Program information is available at the animal program website: <https://dacup.duke.edu>.

The Institutional Animal Care & Use Committee (IACUC) is mandated under federal regulation, funding agency requirements, accreditation requirements, and local policy to review, approve (or disapprove), and oversee all animal care and use activities that occur at Duke or under Duke-managed grants. The use of animals (vertebrate and select

invertebrates) in research, teaching, and/or testing at Duke University is reviewed and approved by the IACUC. Post-approval, the IACUC provides continued oversight through a variety of mechanisms including a formal compliance monitoring process managed by the Office of Animal Welfare Assurance (OAWA) and the daily activities of the Division of Laboratory Animal Resources. IACUC members are appointed by Institutional Official, the Dean of School of Medicine. IACUC Members include a chairperson, veterinarians, scientists, non-scientists, and community representatives. The IACUC is also responsible for inspections of animal use locations, animal program review, investigating animal welfare concerns, and communicating with the Institutional Official. The IACUC uses a central email address (IACUC@DUKE.EDU) for all correspondence with the committee. Telephone questions concerning IACUC procedures may be directed to the IACUC or the Office of Animal Welfare Assurance at 919.688.6720.

The Division of Laboratory Animal Resources (DLAR), under the direction of the Attending Veterinarian, is responsible for the daily care and welfare of all vertebrate animals on the Duke campus. See section 5.1.1.3 Division of Laboratory Animal Resources.

The Office of Animal Welfare Assurance (OAWA) provides assistance and support for the Duke Animal Care and Use Program and its leadership to ensure Duke maintains compliance with federal and state regulatory, oversight body (AAALAC Int.), granting, and local requirements. See section 5.1.1.1 Animal Welfare Assurance.

5.2.5.2 Use of Human Subjects in Research

In order to conduct research with human subjects, investigators at Duke must do two things:

1. Become certified to conduct research with human subjects.
2. Obtain approval for research protocols.

Both the certification of investigators and the approval of protocols are required of Duke by the federal [Office of Human Research Protections](#) and the [Food & Drug Administration](#). Pertinent policies are discussed in [Appendix P](#), in the section entitled “Protecting Human Subjects in Nonmedical Research.” For information regarding human subjects in medical research refer to the [Duke Health IRB](#) policies.

5.2.6 Safety

5.2.6.1 General

Duke specific safety requirements are published in the Duke University Safety Manual and the Duke University Laboratory Safety Manual at <https://www.safety.duke.edu/safety-manuals>.

5.2.6.2 Laser Safety

Lasers are a potential safety hazard in the laboratory, and Duke’s [Laser Safety Program](#) is designed to address that hazard, specifically for Class 3b and Class 4 lasers, which pose the most serious risks. Under Duke policy, a faculty member responsible for such a laser is called a Principal Laser User (PLU). The PLU is directly responsible for the safe use of the lasers under his or her control, and must complete the online [Laser Registration Form](#) for each Class 3b or Class 4 laser.

5.2.6.3 Radiation Safety

For radioactive materials and radiation-producing machines including X-ray units and clinical/research accelerators, use in research requires obtaining an authorization from the appropriate Institutional Radiation Safety Committee. To obtain an authorization, one must a) be a full-time member of the faculty, b) have training and experience commensurate with the types and amounts of radioactive materials you intend to use, and c) [submit an application](#) for review and approval by the appropriate Institutional Radiation Safety Committee.

5.2.6.4 Reporting Accidents and Injuries

Employees have the right (and responsibility) to report all work-related injuries and illnesses. Duke University is prohibited from discharging or in any manner discriminating against an employee for reporting work-related injuries or illnesses.

Accidents and injuries that occur on the job must be reported to a supervisor as soon as possible. Medical attention should be sought immediately from Employee Occupational Health and Wellness (EOHW) or, if the injury or illness is severe, from the Emergency Department. All incidents should be documented by completing the [Report of Work-Related Injury or Illness](#). All human blood or body fluid exposures should be reported immediately to the Duke University Exposure Hotline (115 from a campus phone; 919-684-8115 from other phones). This information is important in helping Duke evaluate the circumstances of the incident and develop strategies for prevention of reoccurrences. All injuries, illnesses, spills, escaped animals, or other accidents involving material containing rDNA

must also be reported to the Biological Safety Division of OESO at 919-684-8822. Such incidents may also need to be reported to the NIH Office of Biotechnology Activities.

5.2.6.5 Safety Training Requirements

The Occupational and Environmental Safety Office (OESO) assigns training and other requirements to positions based on a risk assessment performed jointly by OESO and supervisors. Individual requirements are identified on the OESO on-line training page that can be accessed at <http://www.safety.duke.edu>. All identified requirements should be completed within the time frame specified on this page.

The general training provided by OESO does not cover project- or lab-specific hazards. Faculty are responsible for assuring that their staff and students are trained on specific hazards that they may encounter in the course of their work, along with appropriate control measures, emergency procedures, etc. Examples of specific hazards include hazardous materials (see below), physical hazards (such as exposure to electrical energy or hot surfaces), hazardous equipment, and environmental hazards (especially for studies involving field work).

5.2.6.6 Use of Hazardous Materials

All work involving the use of hazardous materials must comply with federal, state, and local regulations regarding the shipment, handling, and disposal of such materials. As with recombinant DNA (see 5.2.6.6 below), use of such materials may require the review and approval of the Institutional Biosafety Committee (IBC) or other institutional authority. Hazardous materials include infectious, radioactive, carcinogenic, teratogenic, mutagenic, toxic, reactive, corrosive, and flammable materials. A Principal investigator (PI) who uses hazardous materials and generates chemical and/or radioactive wastes must register as a waste generator with the Occupational and Environmental Safety Office (OESO) to assure proper management of regulated wastes. All PIs using chemicals will need to prepare a lab-specific chemical hygiene plan. PIs should provide a list of all chemicals used in the research to OESO to assure compliance with the Toxic Substances Control Act (TSCA) and to the notification requirements of the Emergency Preparedness and Community Right-to-Know Act. A Principal Investigator who uses and generates Medical (Infectious) Waste must comply with the NC Regulations and the Duke Medical Waste Policy (see <http://www.safety.duke.edu>).

Certain chemical are considered “Particularly Hazardous Substances” (PHSs). These include materials that are reactive, highly toxic, carcinogenic, or that affect human reproduction. Investigators using any of these materials are required to submit to OESO an inventory of the PHSs in their laboratories and to prepare and submit a written standard operating procedure that specifically identifies the methods of use as well as required protective measures. A full list of hazard classes and categories that are considered “particularly hazardous” is available on the [OESO website](#); it is the investigator’s responsibility to review available hazard information and determine which of their chemicals are PHSs..

5.2.6.7 Use of Recombinant DNA in Research

All research involving recombinant DNA must comply with federal regulations and guidelines and must be registered with the University (this applies to Campus Schools, Schools of Medicine and Nursing, and Health System investigators). Registration forms must be completed and submitted to the Biological Safety Division of the [Occupational and Environmental Safety Office](#) (OESO) for review and approval by the [Institutional Biosafety Committee](#) (IBC) in accordance with NIH rDNA Guidelines.

Work with viral vectors, human derived materials (including cell lines), or pathogens (Risk Group 2 or above) requires a written standard operating procedure (SOP). Recombinant DNA Registration forms and the SOP templates are found on the website <http://www.safety.duke.edu/biological-safety/recombinant-dnaviral-vectors>.

Experiments involving the deliberate transfer of rDNA into human subjects must also be reviewed and approved by the IBC, IRB, and the NIH [Office of Science Policy](#). The Clinical Research Pharmacy and Infection Control must also approve the clinical procedures when a biological vector is used in a clinical trial.

5.2.6.8 Use of Select Biological Agents and Toxins

The purpose of Duke University’s policy on the use of select biological agents and toxins <http://www.safety.duke.edu/biological-safety> is to ensure that “select agents or toxins” on Duke University campuses are handled safely, secured properly, and properly registered with the Department of Health and Human Services, Centers for Disease Control and Prevention (CDC) and/or the United States Department of Agriculture, Animal Plant Health Inspection Service (USDA). A list of all regulated ‘Select Agents or Toxins’ can be found on the website: <http://www.selectagents.gov/>. Small quantities of some Select Toxins are exempted from the rules.

Each principal investigator (PI) is held responsible for assuring that s/he register all possession, transfer, and receipt of Select Agents and Toxins with the CDC or USDA. S/he is also responsible for assuring that his/her laboratory fully complies with all prescribed safety policies and procedures. Consequently, all PIs must work closely with the Director of the Biological Safety Division of the Occupational and Environmental Safety Office (who serves as Duke's Responsible Official, or "RO") to assure compliance with this standard.

The following are other duties of the PI under the Select Agent Program:

- The PI must develop a detailed standard operating procedure (SOP) for each Select Agent or Toxin used in the laboratory. The SOP must be approved by the Duke University Biological Safety Division (RO), the Duke University Institutional Biosafety Committee and accepted by the CDC or USDA during the registration process. The procedure should address each of the following at a minimum: 1) means of limiting access to the lab, 2) means of securing the agent and the laboratory, 3) types of personal protective equipment and ventilation controls to protect workers from exposure, 4) post-exposure procedures, 5) waste handling and disposal, 6) spill and decontamination procedures, and 7) recordkeeping methods.
- The PI must provide the CDC or USDA with a drawing of the laboratory in which the Select Agent or Toxin is used as part of the registration process. The drawing shall include 1) fumehood and/or biosafety cabinet, 2) storage refrigerator and/or freezer, 3) air supplies and exhausts, 4) emergency eyewashes and showers, 5) handwashing sink, and 6) autoclave.
- The PI shall oversee the day-to-day adherence to the SOP and that all personnel with access to the Select Agents or Toxins have received and comprehended the required training.
- All transfers or receipts of Select Agents or Toxins must be conducted through the Biological Safety Division (RO) in cooperation with the CDC or USDA. Exempt quantities of Select Toxins are ordered through the Select Agent or Toxins Ordering Site on the Safety website (<http://www.safety.duke.edu/>).
- The PI shall insure that all personnel with access to the Select Agents or Toxins have completed a Security Risk Assessment with the Department of Justice prior to work in the laboratory area, and have undergone a Pre-Access Personnel Suitability Review as required by the Select Agents or Toxins Rules.

5.2.6.9 Fieldwork Safety

Fieldwork activities such as those involving isolated or remote locations, extreme weather, hazardous terrain, harmful wildlife, or lack of ready access to emergency services can expose participants to significant risks to their health and/or safety. Faculty responsible for research, teaching, or clinical fieldwork activities must follow the Fieldwork Safety Policy and develop a Safety Plan (link goes to optional template) as required by the policy. The Safety Guidelines for Fieldwork may be consulted for guidance. For more information, please see <http://www.safety.duke.edu/laboratory-safety/fieldwork>.

5.2.7 Stewardship

5.2.7.1 Cost Sharing

Cost sharing has a significant financial impact on the department providing the funds and on the University as a whole. It is University policy to cost share only when it is required in writing by the external sponsor. Cost sharing can take a variety of forms: e.g., reduced F&A cost recovery rates (see 5.2.7.4 below), commitments of faculty effort, or the use of University funds for additional project support. Please note, however, regardless of sponsor or circumstances, all deviations from the University's official F&A rate require prior administrative review and approval.

Exceptions to inclusion of cost sharing on a sponsored program application must be approved by either:

- SOM/SON Management Center for proposals submitted by the School of Medicine (SOM) and School of Nursing (SON),
- Office of Research Support and/or Vice President for Research and/or designee for proposals by University/Campus departments.

The following criteria should be borne in mind when considering cost sharing:

Any decision to cost share should reflect the University's overall priorities within the functions of research and education.

Requests for cost sharing must be made - and the commitments must be documented - at the time of proposal submission. It is of special note that any quantifiable financial commitments included in any part of the proposal, not solely in the budget and/or justification, will be considered by the Federal Sponsor to be proposed cost sharing. Special care should be taken to not inadvertently commit to cost sharing in proposal documents.

Cost sharing is not a method of covering unexpected project expenses, or of accommodating cuts in a

proposal's budget.

Retroactive cost sharing is generally not considered to be in the best interest of the University.

A detailed discussion of cost sharing policies and procedures may be found in Duke's General Accounting Procedures, GAP No. 200-140.

5.2.7.2 Effort Commitment Guidelines

Federally-funded (including Federal pass-through projects) sponsored research projects require that some level of "committed" effort is provided by the principal investigator, and typically by other named key personnel. In these cases, this committed effort needs to be reflected via the individual's payroll distribution. For other types of sponsored projects, a faculty member should have committed or uncommitted effort specifically associated with the project. In either case, in support of applicable federal regulations, all individuals need to ensure that their annual effort certification accurately reflects the prior year's activities, both sponsored and University. It should also be noted that the PI is responsible to ensure effort is expended on sponsored projects as committed and/or within sponsor guidelines.

5.2.7.3 Equipment Transfer Guidelines

All guidelines for Duke departmental property officers are based on this fundamental concept: assets are owned by Duke or the sponsor for use by particular departments of the University and its hospitals. It is the responsibility of every department to account for the assets it uses. This responsibility includes total accountability for disposal, changes, and transfers of assets, and a commitment to secure top value for all items sold or traded-in.

When an individual who has been working on a grant at Duke University moves to another institution, questions sometimes arise about the ownership of the equipment that has been purchased on the grant. In most cases, the equipment is the property of Duke or the sponsor. However, when the principal investigator's grant-funded research activity is transferred to another institution, and the principal investigator or the granting agency submits a request for certain equipment to be transferred, it has generally been the practice to release the equipment. Such requests should be submitted first to the principal investigator's department chair and then, with the chair's approval, to the Provost for Campus Schools or to the Dean's Chief of Staff for Duke Health entities.

All transfers of equipment obtained through a sponsored project must be reviewed by Plant Accounting and approved by the Office of Sponsored Programs. All disposals of government-owned equipment must be approved by the Office of Sponsored Programs.

5.2.7.4 F&A Cost Recovery on Grants and Contracts

It is the University's policy to *require* the inclusion of full facilities and administrative (F&A) cost recovery on all proposals for external funding, except for gifts and sponsors with a stated policy of limiting or excluding F&A cost recovery. In these instances the Duke policy may be waived.

Direct costs of externally sponsored grants and contracts may include the salaries and wages of personnel working on these projects, the cost of equipment, travel, supplies, materials, and other such project-specific expenses. In addition to these direct costs, the University incurs a significant amount of indirect costs that are associated with projects, referred to as F&A costs. F&A costs cannot be related precisely to any individual grant or contract, since they include such items as: 1) the cost of maintenance, heating, lighting, and cleaning in buildings where sponsored research is conducted; 2) the administrative costs to the University of such components as procurement, accounting, and other units that provide services to grant and contract recipients; and 3) central support services and facilities, such as the libraries. These costs are real and the collection of F&A costs ensures the maintenance of the University infrastructure necessary for carrying out sponsored research activity.

Sponsors - particularly the federal government - recognize the need to reimburse the University for the F&A costs associated with the projects they support. To facilitate this reimbursement, the federal government negotiates the F&A cost recovery rate with the University, based on a periodic review. This process utilizes data obtained from an annual calculation of Duke's F&A costs, applied on a pro-rata basis against certain direct costs charged to its grants and contracts.

In addition to the rate associated with most on-campus research, there are several other rates set by the federal government for Duke University, related to such things as off-campus research facilities, instruction, or DOD contracts/subcontracts. See the [F&A Agreement](#) for a full list of Duke rates.

5.2.7.5 F&A Distribution on Cross-School Grants and Contracts

In the spirit of cooperation and collaboration among all units within the University, all awards will be set up with subcodes and the appropriate identifying (BFR) code for each participating department or school in accordance with

the policies and procedures of the PMAC and the SOM/SON Management Center. This practice will ensure distribution of the facilities and administrative (F&A) costs in accordance with the direct costs associated with each participating investigator, thereby providing support for departmental space and administrative costs.

5.2.7.6 Research Costing Compliance

As a responsible recipient of federal research awards, Duke University accepts full accountability to sponsoring agencies for financial compliance with appropriate federal and agency regulations. Each employee of Duke University who engages in sponsored projects administration has an obligation to ensure compliance with sponsor and University requirements for the appropriate management of sponsored funds.

Duke has addressed this responsibility, in part, by instituting a highly effective and comprehensive compliance program. A key component of this program includes mandatory training of staff and faculty with grant-related financial responsibilities, optional certificate training programs, continuing education opportunities and dedicated on-line resources.

In addition, The Office of Research Costing Compliance (RCC) conducts extensive monitoring of all applicable financial actions relating to grant and contract management. RCC identifies potential compliance risks, monitors risk areas, and works closely with the University management centers, pre- and post-award offices to address compliance issues.

RCC is also responsible for developing and communicating financial compliance policy and practice. Through a dedicated [website](#), regular updates to the campus community and continuous engagement with University leadership, RCC provides a comprehensive approach to financial compliance management.