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# Responsible Conduct of Research: A Primer from a Faculty RIO

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# Topics

- Research Misconduct
- Detrimental Research Practices
- Mentoring
- Authorship & Peer Review
- Conflicts of Interest
- Intellectual Property
- Research Security

# Research Misconduct Defined

- Aligned with Federal Research Misconduct Policy
- Fabrication, Falsification, or Plagiarism (FFP) in proposing, performing, or reviewing research, or in reporting research results; when this action:
  - Represents a significant departure from accepted practices of the relevant research community;
  - Is committed intentionally, knowingly, or recklessly; and
  - The allegation is proven by a preponderance of evidence.
- The definition goes on to assert that Research Misconduct does not include honest error/negligence, differences of opinion, or being wrong.

# Additional Points on RM

- The definition focuses on the research record
- How does it happen?
- Institutional policy and procedures are key.
- Often RM is interlaced with other problems
  - IRB
  - IACUC
  - COI/FCOI
  - RS/EC

# Detrimental Research Practices

- Practices of questionable integrity that do not rise to the level of research misconduct
  - Some universities include DRP in their formal RM policy
  - Some DRPs could be considered RM
  - Often RM is preceded by DRP
- Four broad categories
  - Misrepresentation/Misleading
  - Breach of duty care/Researcher negligence
  - Improper dealings with allegations/Institutional negligence
  - Negligent or exploitive mentoring/mentoring malpractice

# Mentoring

- Federal agency focus – reporting/corrective actions
- Research on mentoring
  - Mentoring and leadership are synonymous.
  - Mentors are not born, they are made.
  - Good mentoring habits can be learned, but we have to be willing to let go of bad habits we have picked up through our experiences.

# Mentoring

- **Building a mentoring team**
  - No one person can often fill all roles.
  - Coach, sponsor, connector, advocate (Chopra, et al., 2019); “Rock stars” and navigators
  - Advisors, mentors & sponsors
    - An advisor helps you get things done because they know how.
    - A mentor can give it to you straight up no chaser, the good, the bad and the ugly.
    - A sponsor advocates for you behind-the-scenes. And makes space for you.
    - The advisor and the sponsor are typically inside your organization. The mentor may or may not be inside your organization.

# Authorship & Peer Review

- Disputes != Research Misconduct
- Does your institution have a policy? Who “owns” it?
  - Who should be an author?
  - How should affiliations be listed?
  - Author order?
  - Prohibited practices (gift, guest, ghost and coercive)?
  - Resolution of disputes?

# Authorship & Peer Review

- Serving as a reviewer
  - An honor
  - Impartiality
  - Privileged communication
  - One grant, one conference, one journal

# Conflicts of Interest

- Institutional vs. Individual
- Types typically in RCR
  - Conflicts of commitment/effort
  - Professional
  - Financial
- Related areas
  - Amorous relationships
  - Nepotism

# Intellectual Property

- Types
  - Trade secret, Trademark, Copyright, Patent, Publicity
- Validation
- Protections
- Ownership

# Research Security

- What is the concern?
- Maligned Foreign Talent Recruitment Programs
- Federal focus
  - Foreign travel
  - Cybersecurity
  - Export Controls Training
  - Research Security Training



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# Thank you & Questions

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