



Ethical Issues for Graduate Deans

What Is Your Responsibility To Know About? To Act Upon?

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 RIO: research misconduct allegations, investigations

 Dysfunctional academic unit assessment, recommendations

 Internal investigations

 Hearing officer (degree revocation, grievances, etc.)

 IRB director, after breach

 Grievance system design, oversight: discrimination & harassment

 Workplace violence team

 Academic leadership development, support

 Dysfunctional unit intervention

 Bullyproofing academic units

 Recognizing and preventing career TRAGEDIES, PRCR

 Intentional leadership & coaching

 Career, negotiation skills, preparation

 Academic policy development



ncpre

Developing values-driven,
effective leaders and
advancing institutional integrity.

We create relentlessly practical programs, assessment tools, and resources.



Leadership Development

- Academic leaders and faculty
- Lab leaders and lab members
- Early career professionals



Climate Assessment

- Research Integrity: SOURCE
- Interpersonal Accountability and Respect: CAIR
- Academic Unit Diagnostic Tool: AUDIT



Resources

- Leadership Collection
- Videos, expert interviews
- Quick tips, case studies



A blue-tinted photograph of two people sitting at a table, working on laptops. The person on the left is a man with a beard, and the person on the right is a woman. They are both looking at their screens. There are some papers and a cup on the table. The background is slightly blurred, showing what appears to be an office or meeting room.

**People and systems interact to create
and maintain ethical climate and tone.**

Layers of Challenges



Personal



Interpersonal



Institutional

Graduate School Systems: Ethical Issues



Right-sizing programs: future careers



Mentoring committee and structures



Multiple entry points for problem situations



Monitor appropriate institutional data sources



Benefits and resources; fiscal, mental, physical health, wellbeing



Professional development programming, support

What If...

Because of state policies and politics, you've been advised that you may only use she/her or he/him pronouns when announcing candidates for or conferring degrees?

You're not permitted to discuss reproductive health with students?

Both student and faculty have behaved very badly in a situation, and you're only able to address/affect the student's conduct?

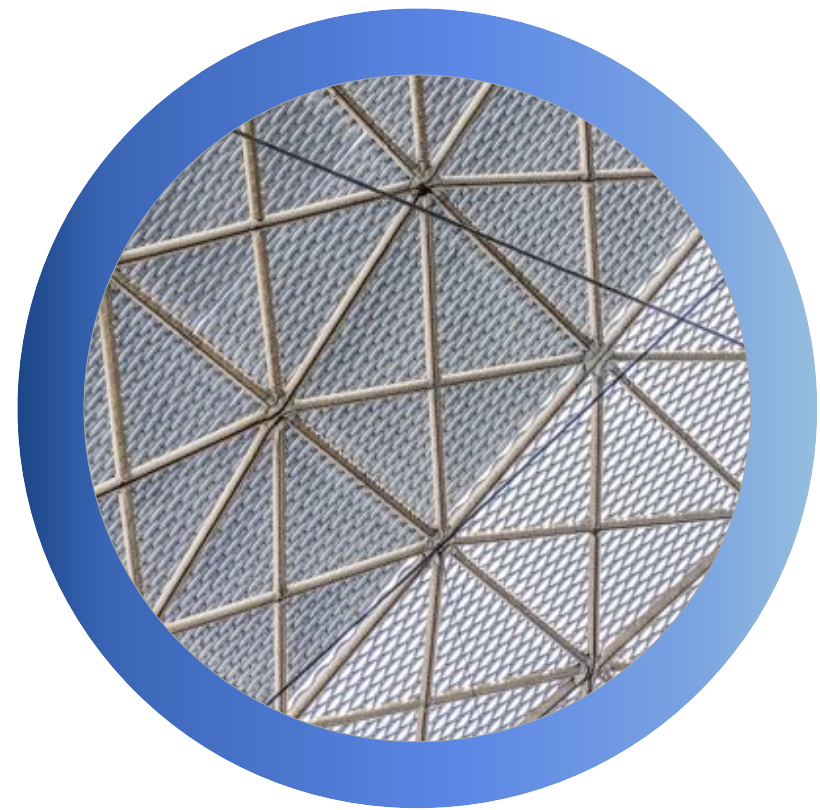
Or This...

You believe that Professor X, seen on campus as a research superstar, runs a lab with an abusive environment for graduate students. Not one of the multiple students with whom you have spoken has ever been willing to file a complaint. The department head and DGS both wince when the issue is raised, saying the faculty member is “definitely a bit old school” and agree it’s a hard situation.

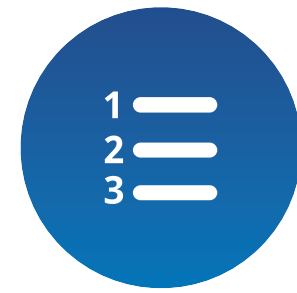
Is this your business?

What if you see a pattern that the situation is especially recurrent and severe for international students?

What can or should you say or do?



*Decision-Making
Framework*



What are the issues?



What policies or rules apply?



What questions do you have or data do you need?



Who, what are your resources?



What are your options? Who is affected by each?



What will you do? What (exact) words will you use?

In Your Role, Ethically...



WHAT IS YOUR
RESPONSIBILITY
TO KNOW ABOUT?

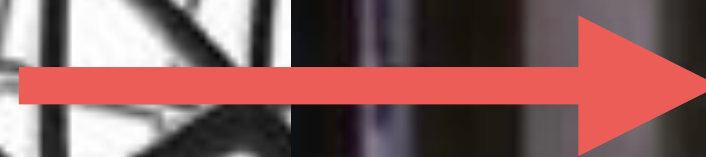
WHAT DO YOU
DO ABOUT IT 
ONCE YOU KNOW?

What you hear about:

What's happening:



CONTEXT



INDIVIDUAL

Environments shape choices:

The amount of cheating in which human beings are willing to engage depends on the structure of our daily environment.



The Truth About Dishonesty, Ariely 2013



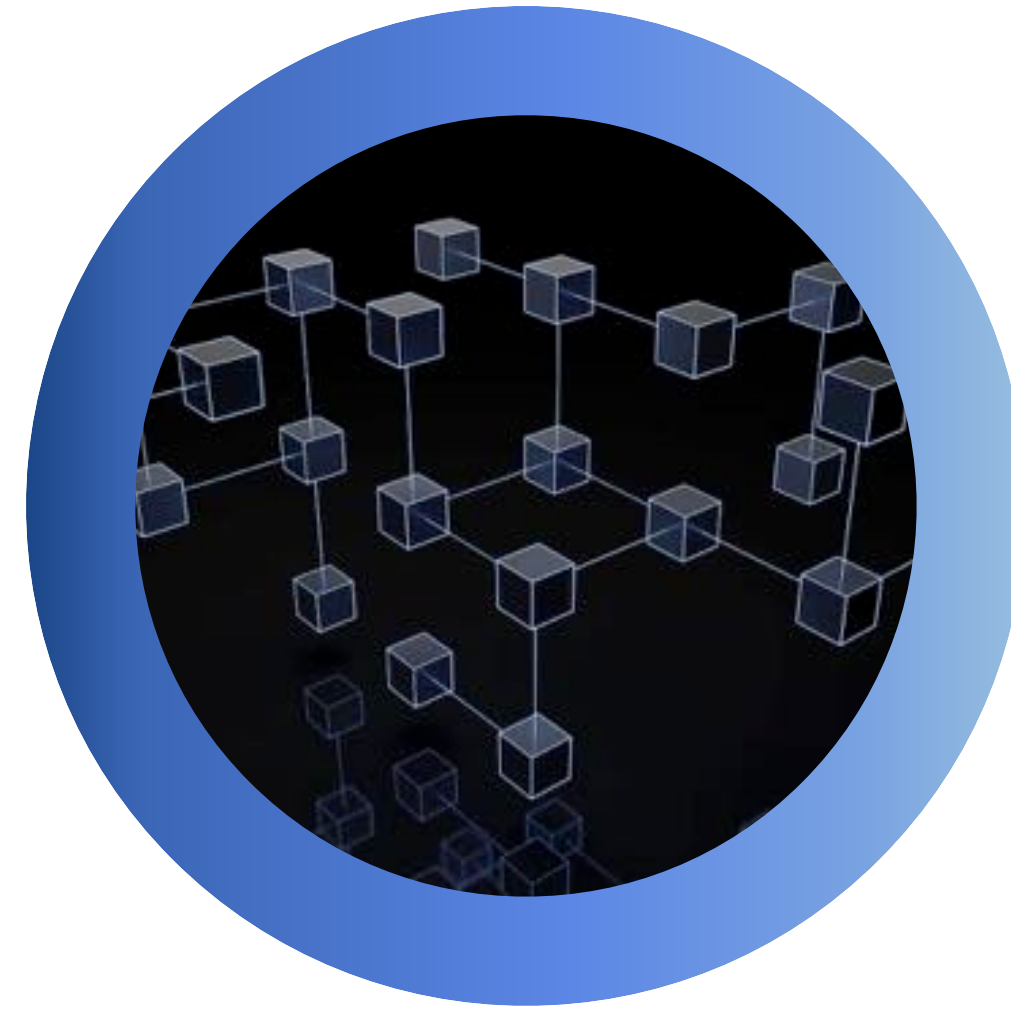
Academic Environments



**Star
System**



**Grey Areas in
Norms**



**Decentralized
Environment**



**Rewards &
Incentives**

On the Folly of Rewarding A While Hoping for B

“... reward systems that are fouled up in that the types of behavior rewarded are those which the rewarder is trying to discourage, while the behavior desired is not being rewarded at all.”

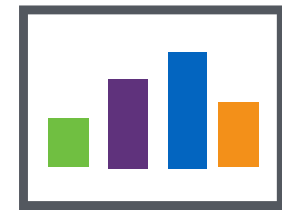


Steven Kerr
Academy of Management Executive, 1995

Too Many of Our Environments



Mixed
messages



Results
over rigor



Bad
examples



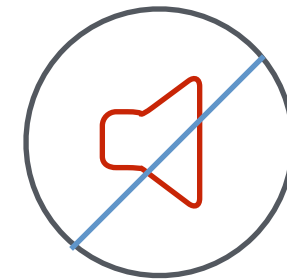
Uneven
mentoring



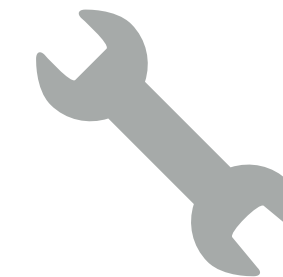
Abuses
of power



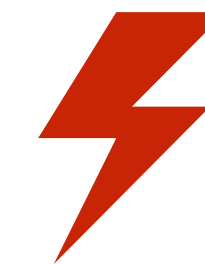
Irresponsibility
rewarded (counting
papers, H factors)



Suppression
of concerns



Problem-solving
resources lacking



Retaliation

Challenges start early:

Students start with an advisor, learn this is how things are done, and develop a mental model of research.

Students are dependent on advisor and funding, and reluctant to change even when advice, word of mouth, or other experience (RCR training) suggest practice is inappropriate.

A silhouette of a person standing on a large rock, with their arms raised in a 'V' shape. The background is a soft, hazy landscape with more rocks and a clear sky.

****Note: Those low on the power & experience curve observe which practices are “winning”.***



Cultures and climates that feature ethical, professional conduct require attention to learning about responsible conduct of research *and* everyday behaviors and interactions.

Interlocking Roles and Responsibilities

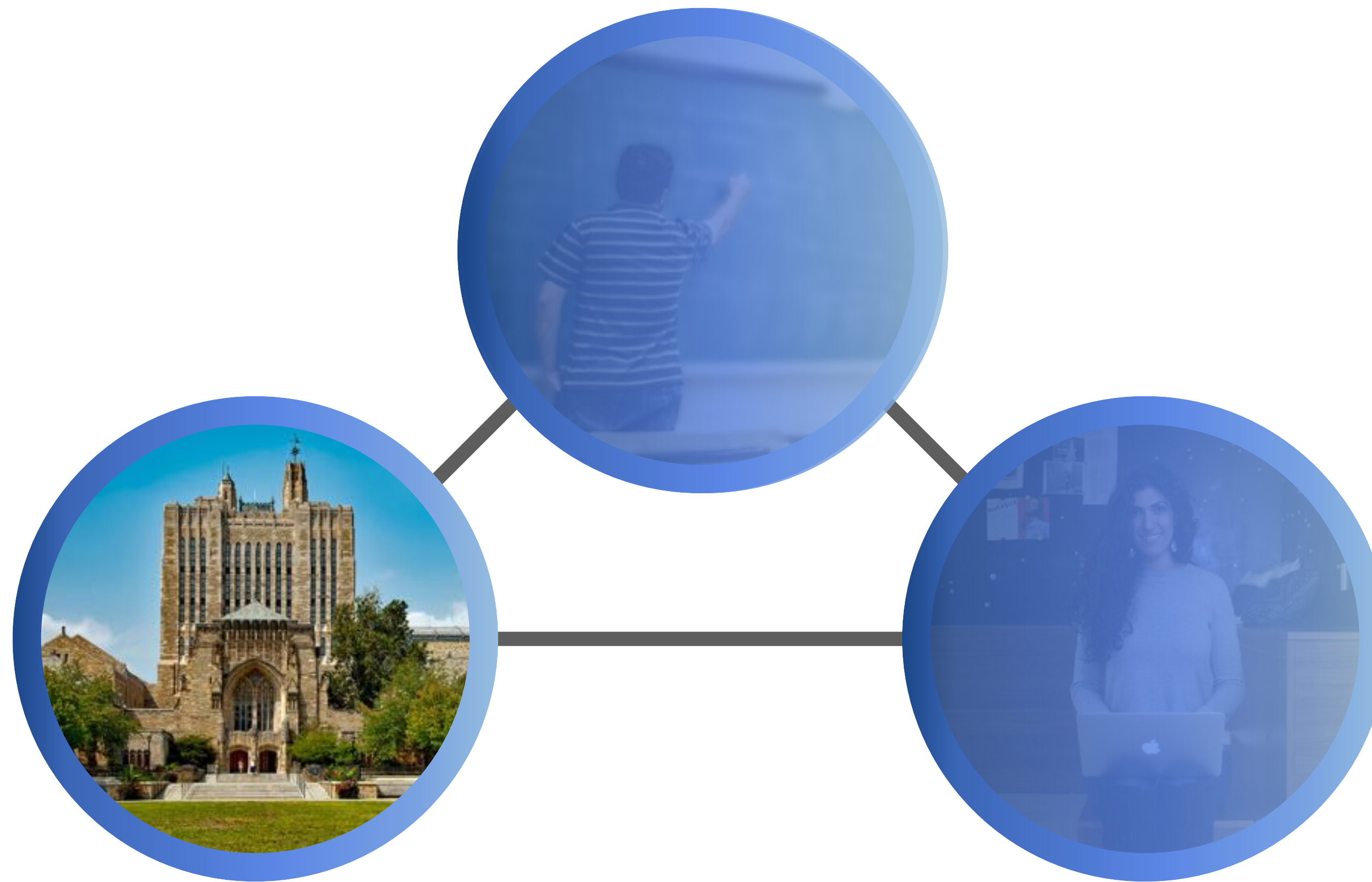


Photo Credit: Jopwell



The role of the leader is to create conditions for organizational success.

In Your Role, Ethically...

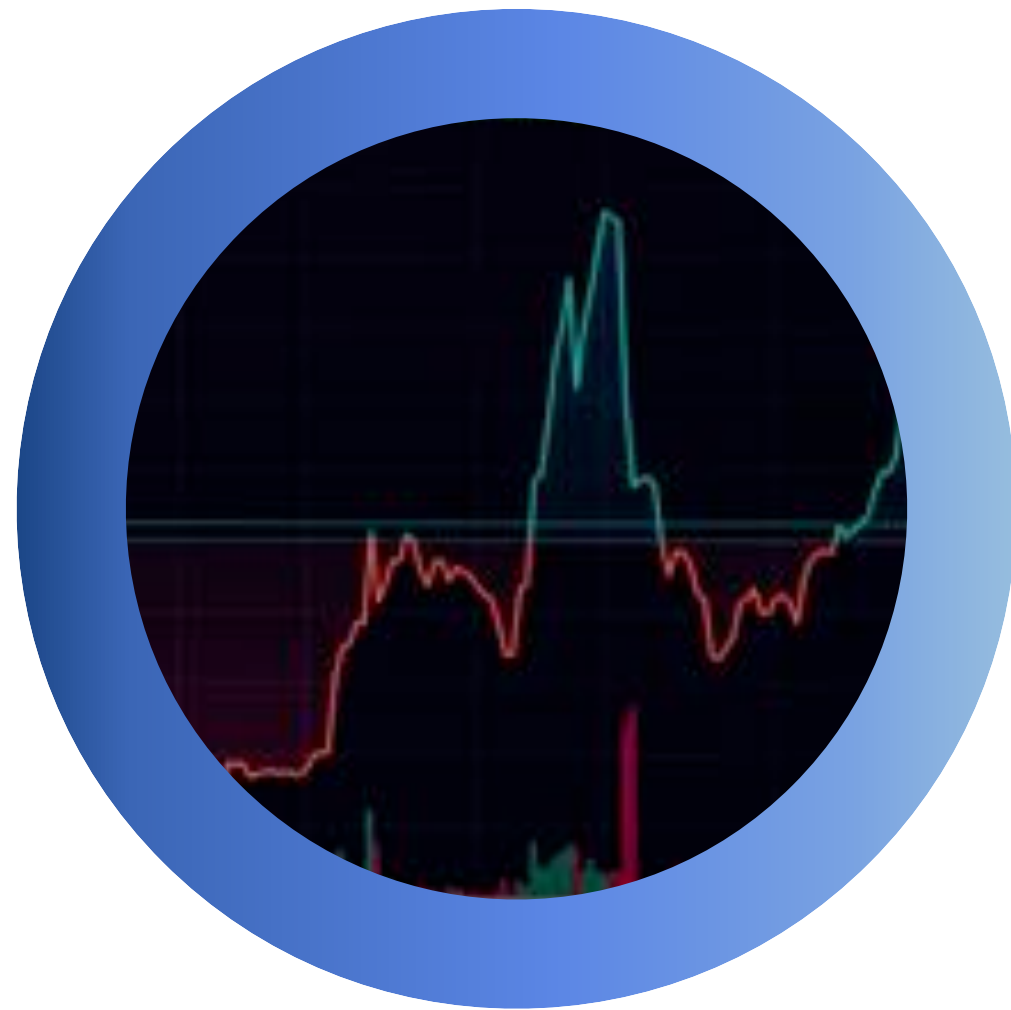


WHAT IS YOUR
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WHAT DO YOU
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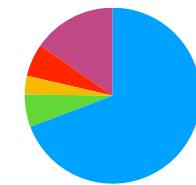


Data



Make it your business to gather and use data about working and learning environments on your campus.

Data Sources



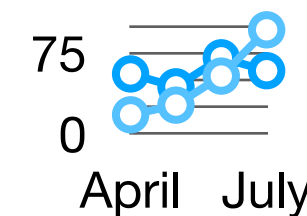
PhD throughput and graduation rates



Data for distributions by race, gender, international status



Exit surveys



Transfer rates



Participation in publication and authorship



Climate surveys, validated, and with safeguards for power imbalances



ORGANIZATIONAL CLIMATE

Observable (therefore reportable)
aspects of organizational life – policies,
practices, procedures, norms

ORGANIZATIONAL CULTURE

Deeper foundation of beliefs and values
of the organization (more subterranean,
less observable)

Validated Surveys: SOURCE & CAIR



Assess Climates



These are not
engagement or **employee**
satisfaction surveys




They measure **perspectives** and
perceptions of **key reportable**
dimensions of the
organizational environment



Analytics





SOURCE

Research Integrity Climates

-  RCR Resources
-  Regulatory Quality
-  Integrity Socialization
-  Integrity Norms
-  Advisor-Advisee Relations
-  Lack of integrity Inhibitors
-  Department Expectations

CAIR

Accountability and Personal Respect

-  Psychological Safety
-  Interpersonal Accountability Climate
-  Conflict Resolution
-  Institutional Harassment Responsiveness

NCPRE Results Analysis Engine DATA

SOURCE: 23  in database

Faculty
researchers
and scientists

13K

Graduate
students in
research

8.7K

Postdoctoral
researchers

1.9K

Staff
researchers

5.2K

Undergraduate
or non-research
grad students

3.2K

CAIR: 3 

744

557






100

365

17



SOURCE
Analytics

-  Web-based tool for understanding results
-  Analysis for institution; individual units within it; by roles
-  Ability to interact with data in multiple ways
-  Accessible data
-  Data summary at different levels

The background of the slide features a blue-tinted image of a car's instrument cluster. It includes a speedometer on the left with markings from 0 to 120, a central digital display showing '0.0' and '12139', and a tachometer on the right with markings from 0 to 3, labeled 'x1000 rpm'. The text is overlaid in white on this background.

**Benchmarking power comes from
competitive instincts of human beings.
We can harness that to improve.**



Measurement opens up
opportunities to *act*.

A background image showing two men in a professional setting, possibly a meeting or collaborative work environment. They are seated at a table with laptops and papers. The image is overlaid with a semi-transparent blue filter. The text is centered over the image.

People and structures interact in an institution to create and maintain healthy, ethical professional environments.

Vibrant Units (0 to 5)		Warning Signs (0 to 3)		Challenged Units (0 to 5)	
_____	Respectful dealings among colleagues, dealing with differences and disagreements openly; inclusive, welcoming	_____	Complaints disproportionate to other units, campus	_____	Serious misconduct: discrimination; sexual; financial; criminal; research; etc. (arrests, lawsuits...)
_____	Openness, transparency, effective shared governance	_____	Email and/or social media wars, harassment, silos, conflict aversion	_____	Culture that suppresses or hides problems; punishes reporting; faculty schisms, battles, flareups
_____	Culture of excellence and quality; strength of candidates an expectation for all hires	_____	Weak or ineffective hiring, lack of diversity, frequent requests for transfers, departures	_____	Repeated inability to hire and/or retain quality faculty, staff; absence of diversity, or even a commitment to it
_____	Support, mentoring for faculty, students alike; recognition that different people have different mentoring needs; equitably shared workloads	_____	Weak P&T practices; many terminal associate professors	_____	Toxic or unwelcoming atmosphere, especially for junior faculty, underrepresented groups, students
_____	Open discussion of ideas and research; high productivity	_____	Declining scholarly indicators (productivity, PhDs, PhD placement, time to degree...)	_____	Scholarly standing below university's; uneven within unit
_____	Distributed service responsibilities, aligned with faculty strengths, with awareness of uneven	_____	Financial disarray	_____	Departmental business at a standstill; in gridlock, unproductive or nonexistent unit meetings
_____	High quality of communication—willingness to listen, compromise, deal with problems openly	_____	<i>Ad hoc</i> practices; irregular or unclear policies; seeking desired answers from different offices; hiding problems	_____	Lack of transparency, hidden agendas, uneven application of policies; faculty involve students in disputes
_____	Curricular innovations, adaptations to meet changing student, campus, career needs	_____	Enrollment declines, lack of curricular innovation	_____	Curricular stagnation outdated curriculum; lack of student interest in offerings
_____	Leadership has high expectations, uses policies evenhandedly, makes decisions, builds community	_____	Conflict, miscommunication, and disrespect between groups; generational discord; externalizing problems; bimodal evaluations	_____	Weak or autocratic leadership; different messages to different audiences; meddling by previous leader of unit
_____	Collective vision of unit goals and priorities, aligned with institutional mission	_____	Limited or shifting sense of unit goals and priorities	_____	Scattered individual priorities without shared purpose
TOTAL _____		TOTAL _____ (subtract)		TOTAL _____ (subtract)	

ORGANIZATIONAL VALUES ARE FUNDAMENTAL TO ORGANIZATIONAL EFFECTIVENESS



Fostering healthy climates
requires resources and attention to
everyday behaviors and interactions
as part of professional development offerings.

Everyday Behaviors and Resources



Choosing colleagues and bosses for character



Working effectively in diverse, inclusive environments



Training in having difficult conversations



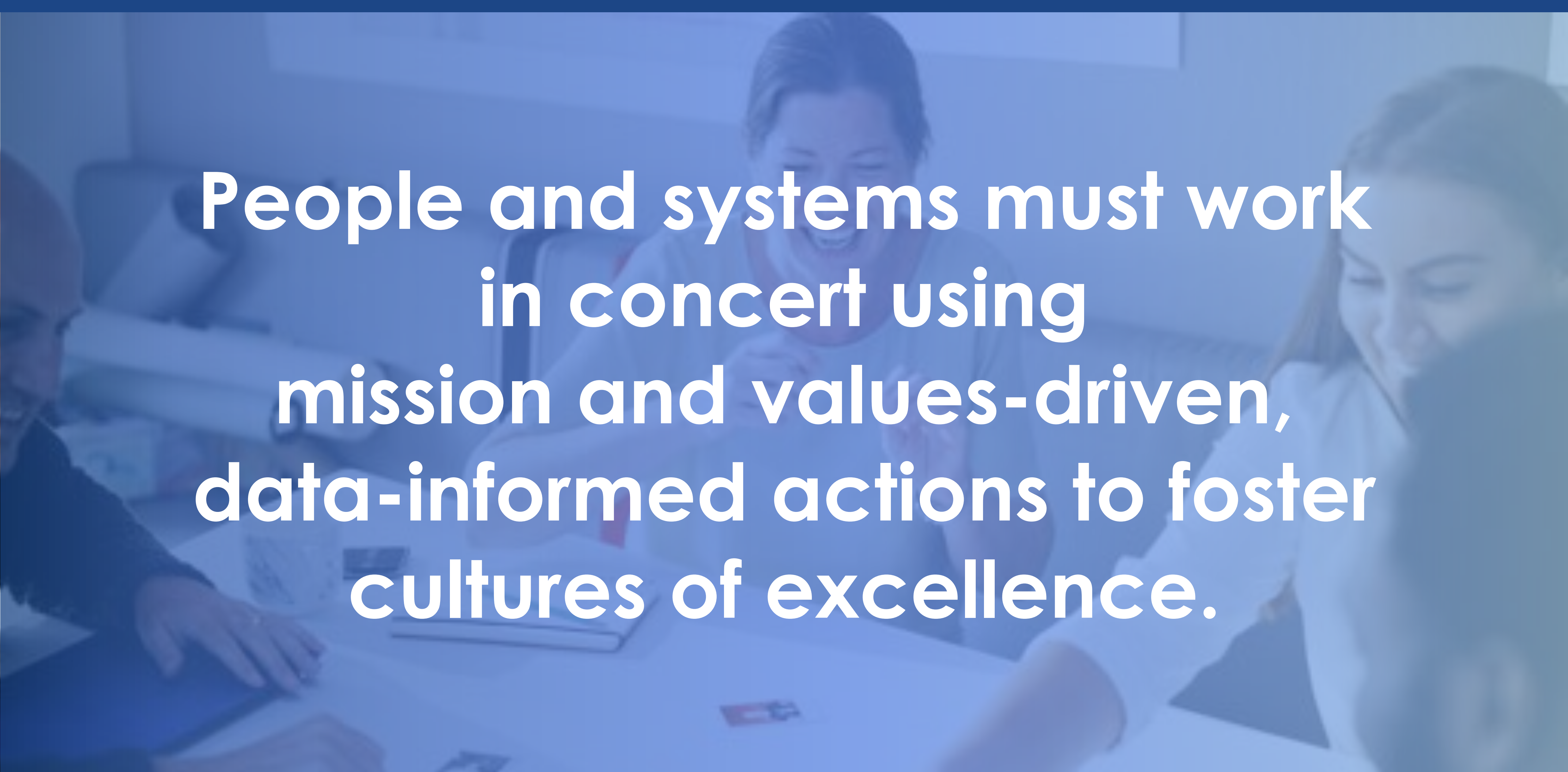
Resources for those in trouble that won't kill their careers



How to blow the whistle and still have a career afterwards

Ethical Leadership Challenges

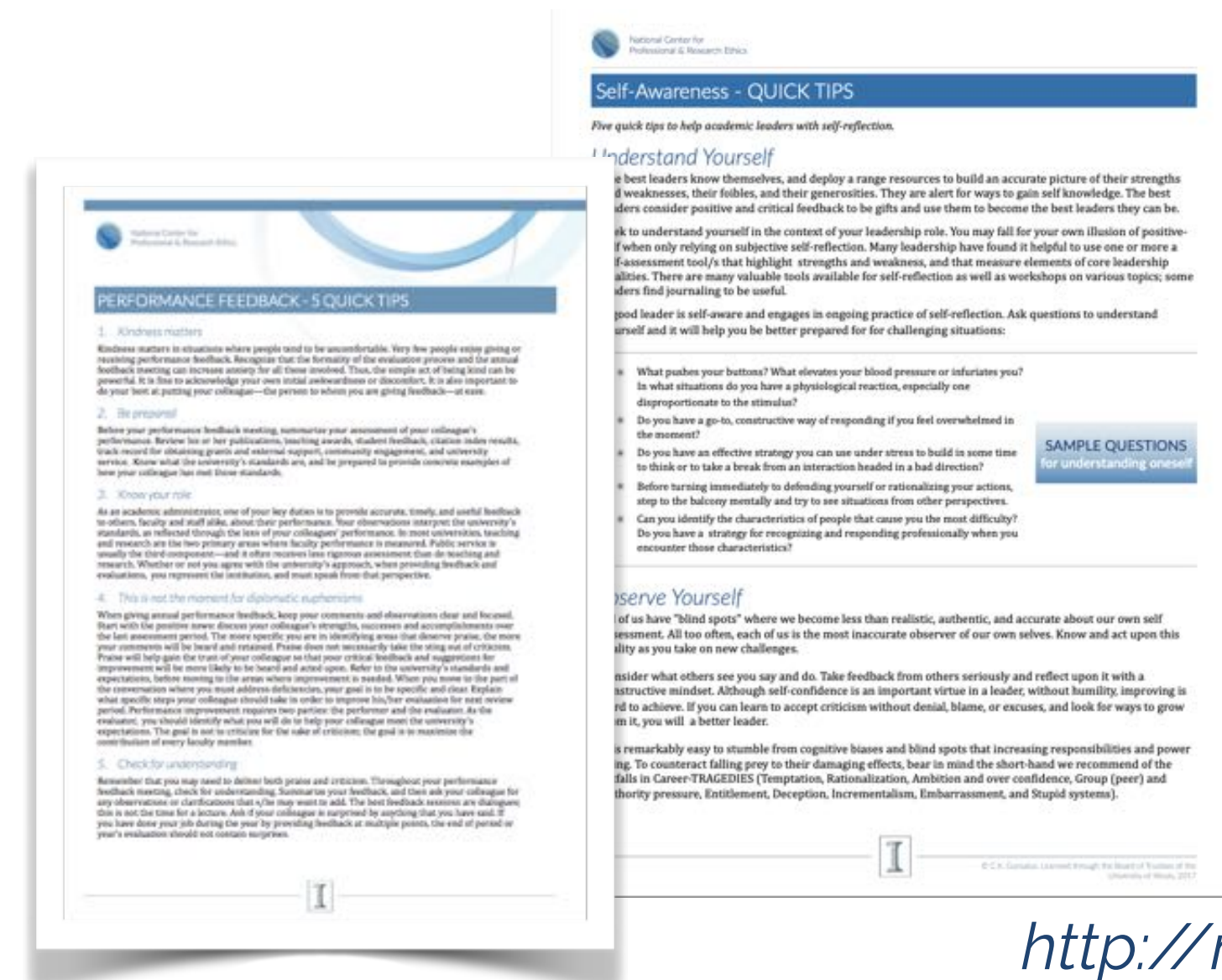
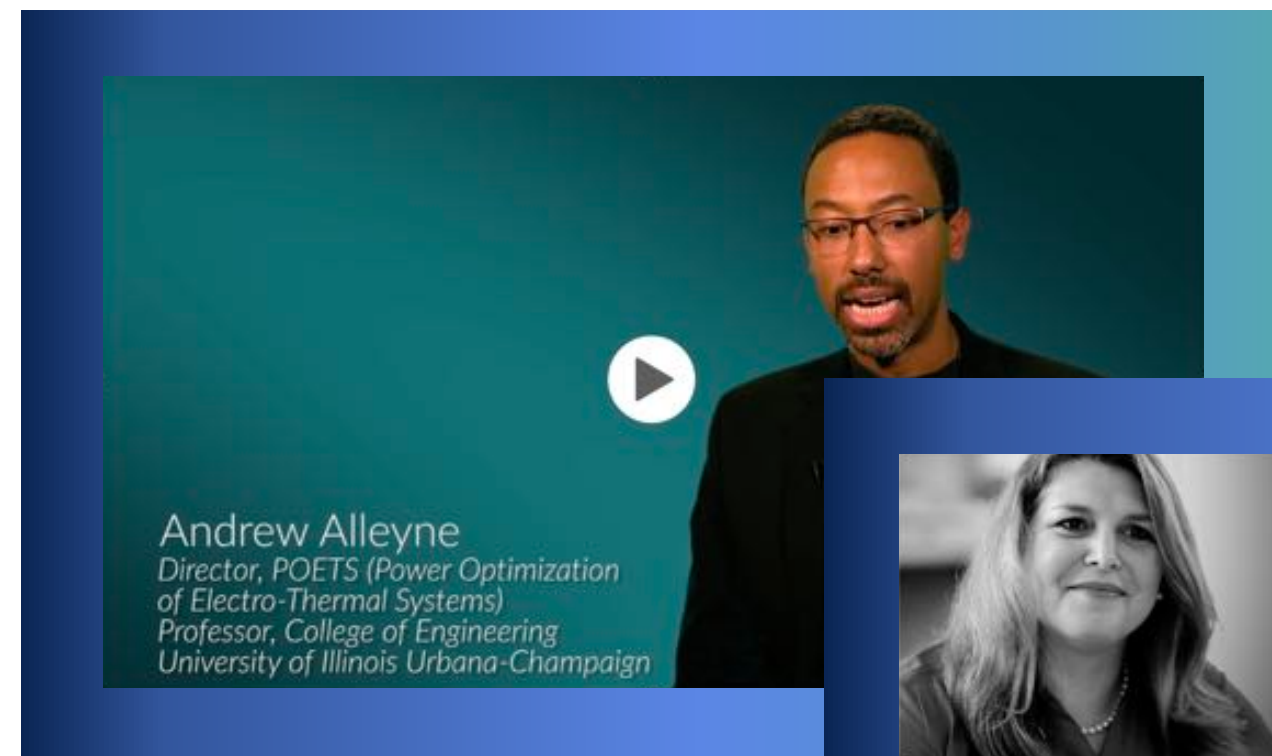




People and systems must work
in concert using
mission and values-driven,
data-informed actions to foster
cultures of excellence.

NCPRE Leadership Collection

Collection of resources for developing yourself, motivating, and leading strategically



<http://ncpre.csl.illinois.edu>

Focal Areas

1. Developing Yourself
2. Leading and Managing a Unit
3. Leading Beyond the Unit

Collections



Just-in-time (now!)



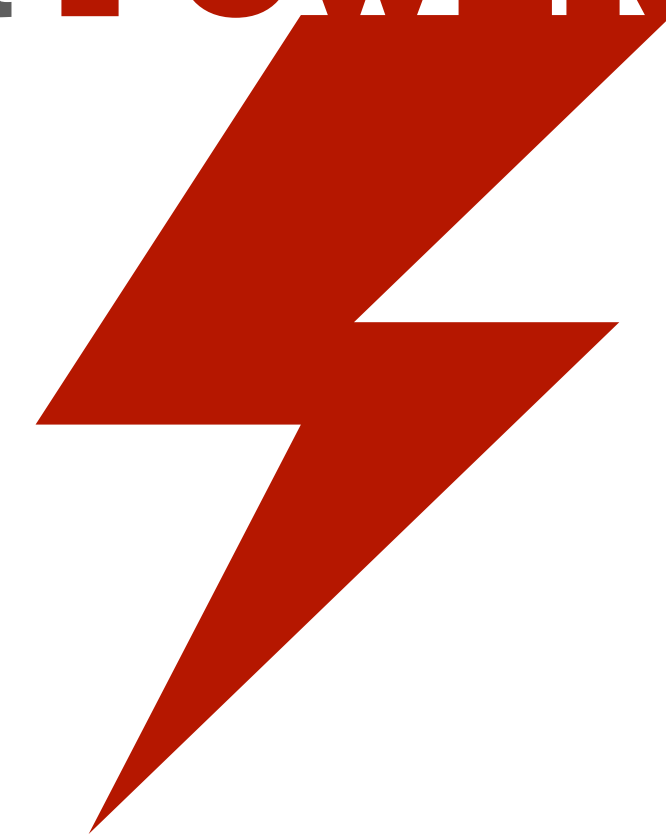
Deep Dive (deep knowledge)

Updates

The Leadership Collection is regularly updated with new resources

So much about what goes wrong is about **POWER**
— and how we treat those around us.

Things go right when you have **SKILLS**
to respond if you see something
going on, or that affects you.



Career TRAGEDIES



								
T	R	A	G	E	D	I	E	S
TEMPTATION	RATIONALIZATION	AMBITION	GROUP & AUTHORITY PRESSURE	ENTITLEMENT	DECEPTION	INCREMENTALISM	EMBARASSMENT	STUPID SYSTEMS

how things go right



Know and articulate values



Learn TRAGEDIES



Develop good habits



Listen, ask questions



Use analytical decision-making framework



Prepare, use personal scripts



Conduct disputes professionally

Thank you!

