Ethical Issues for Graduate Deans

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

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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
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?
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:
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.
*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
The role of the leader is to create conditions for organizational success.
In Your Role, Ethically…

WHAT IS YOUR RESPONSIBILITY TO KNOW ABOUT?

WHAT DO YOU DO ABOUT IT ONCE YOU KNOW?
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 CULTURE
Deeper foundation of beliefs and values of the organization (more subterranean, less observable)

ORGANIZATIONAL CLIMATE
Observable (therefore reportable) aspects of organizational life – policies, practices, procedures, norms
Assess Climates

Validated Surveys: SOURCE & CAIR

These are not engagement or employee satisfaction surveys

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

Analytics
<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty researchers and scientists</td>
<td>13K</td>
</tr>
<tr>
<td>Graduate students in research</td>
<td>8.7K</td>
</tr>
<tr>
<td>Postdoctoral researchers</td>
<td>1.9K</td>
</tr>
<tr>
<td>Staff researchers</td>
<td>5.2K</td>
</tr>
<tr>
<td>Undergraduate or non-research grad students</td>
<td>3.2K</td>
</tr>
</tbody>
</table>

| Source: 23 in database                      |
|---------------------------------------------|--------|
| CAIR: 3                                    |        |
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
Benchmarking power comes from competitive instincts of human beings. We can harness that to improve.
Measurement opens up opportunities to act.
People and structures interact in an institution to create and maintain healthy, ethical professional environments.
<table>
<thead>
<tr>
<th>Vibrant Units (0 to 5)</th>
<th>Warning Signs (0 to 3)</th>
<th>Challenged Units (0 to 5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respectful dealings among colleagues, dealing with differences and disagreements openly; inclusive, welcoming</td>
<td>Complaints disproportionate to other units, campus</td>
<td>Serious misconduct: discrimination; sexual; financial; criminal; research; etc. (arrests, lawsuits...)</td>
</tr>
<tr>
<td>Openness, transparency, effective shared governance</td>
<td>Email and/or social media wars, harassment, silos, conflict aversion</td>
<td>Culture that suppresses or hides problems; punishes reporting; faculty schisms, battles, flareups</td>
</tr>
<tr>
<td>Culture of excellence and quality; strength of candidates an expectation for all hires</td>
<td>Weak or ineffective hiring, lack of diversity, frequent requests for transfers, departures</td>
<td>Repeated inability to hire and/or retain quality faculty, staff; absence of diversity, or even a commitment to it</td>
</tr>
<tr>
<td>Support, mentoring for faculty, students alike; recognition that different people have different mentoring needs; equitably shared workloads</td>
<td>Weak P&amp;T practices; many terminal associate professors</td>
<td>Toxic or unwelcoming atmosphere, especially for junior faculty, underrepresented groups, students</td>
</tr>
<tr>
<td>Open discussion of ideas and research; high productivity</td>
<td>Declining scholarly indicators (productivity, PhDs, PhD placement, time to degree...)</td>
<td>Scholarly standing below university’s; uneven within unit</td>
</tr>
<tr>
<td>Distributed service responsibilities, aligned with faculty strengths, with awareness of uneven burdens</td>
<td>Financial disarray</td>
<td>Departmental business at a standstill; in gridlock; unproductive or nonexistent unit meetings</td>
</tr>
<tr>
<td>High quality of communication—willingness to listen, compromise, deal with problems openly</td>
<td>Ad hoc practices; irregular or unclear policies; seeking desired answers from different offices; hiding problems</td>
<td>Lack of transparency, hidden agendas, uneven application of policies; faculty involve students in disputes</td>
</tr>
<tr>
<td>Curricular innovations, adaptations to meet changing student, campus, career needs</td>
<td>Enrollment declines, lack of curricular innovation</td>
<td>Curricular stagnation outdated curriculum; lack of student interest in offerings</td>
</tr>
<tr>
<td>Leadership has high expectations, uses policies evenhandedly, makes decisions, builds community</td>
<td>Conflict, miscommunication, and disrespect between groups; generational discord; externalizing problems; bimodal evaluations</td>
<td>Weak or autocratic leadership; different messages to different audiences; meddling by previous leader of unit</td>
</tr>
<tr>
<td>Collective vision of unit goals and priorities, aligned with institutional mission</td>
<td>Limited or shifting sense of unit goals and priorities</td>
<td>Scattered individual priorities without shared purpose</td>
</tr>
</tbody>
</table>

**Total Score:**

Green column - Yellow - Red:

**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

- Set tone by talking and acting upon values.
- Develop the vocabulary and reach across disciplines.
- Address and resolve cross-disciplinary concerns and problems when issues arise.
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

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

http://ncpre.csl.illinois.edu
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

- TEMPTATION
- RATIONALIZATION
- AMBITION
- GROUP & AUTHORITY PRESSURE
- ENTITLEMENT
- DECEPTION
- INCREMENTALISM
- EMBARRASSMENT
- STUPID SYSTEMS

Why did so many believe the Theranos story for so long?

PSYCHIATRY

Ramifications of Hans Asperger's Nazi collusion

LAB HEALTH

Five experts each pick one change to help research groups thrive

LAB HEALTH

Clear expectations enable women and minorities to flourish

One of us (C.K.G.) teaches leadership skills and works with troubled departments. At almost every session, someone will sidle up, curious about a case study: they want to know how what happened at their university came to be known externally. Of course, it didn't.

From what we've observed as a former university administrator and consultant (C.K.G.) and as a graduate student and working professional (A.D.R.), toxic research environments share a handful of operational flaws and cognitive biases.

Researchers and institutional leaders must learn how these infiltrate their teams, and tailor solutions to keep them in check.

People who enter research generally share several values. Honesty, openness and accountability come up again and again when C.K.G. asks researchers to list what makes a good scientist. The US National Academies of Sciences, Engineering, and Medicine says that these values give rise to responsibilities that "make the system cohere and make scientific knowledge reliable." Yet every aspect of science, from the framing of a research question through to publication of the manuscript, is susceptible to influences that can counter good intentions.

C.K.G. coined the mnemonic TRAGEDIES (Temptation, Rationalization, Ambition, Group and authority pressure, Entitlement, Deception, Incrementalism, Embarrassment and Stupid systems) to capture the interlocking factors that can lead scientists astray.
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!