

ETHICS AND THE ACADEMY OF INTERNATIONAL BUSINESS: Advice for New Entrants to the Academy

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Ethics Workshop

Doctoral Student and Junior Faculty Consortia

Academy of International Business Virtual Meeting July 1-8, 2020

Outline

- I. **(Un)Ethical Behaviors and “The Big Three”**

- II. Ethics in Research
 - I. Research Lifecycle for Entrants to the Academy
 - II. Insights from Liability of Foreignness
 - III. Mini-Cases: Ethical Dilemmas in Research

- III. Ethics @ AIB

I. (Un)Ethical Behaviors and “The Big Three”

- **Ethics in Research**

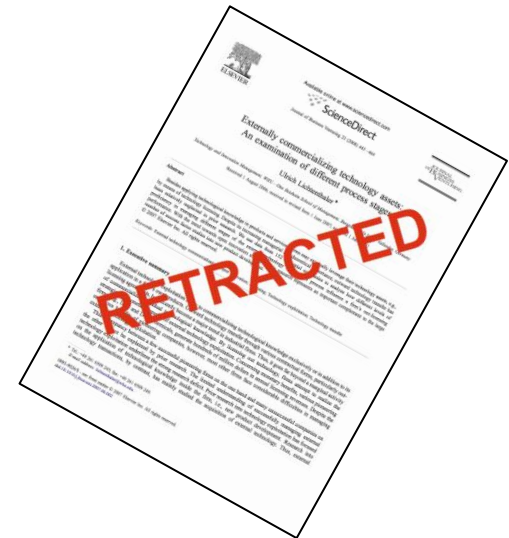
- Academic misconduct - FFP (falsification, fabrication, plagiarism)
- Questionable research practices (QRPs) – sloppy science
- Ethical Dilemmas in the Publication Process

- **Ethics in Teaching**

- Teaching versus preaching
- Student evaluations
- Letters of recommendation

- **Ethics in Professional Service**

- Job offers
- Peer reviewing
- Attending professional meetings
- University service work



Focus in my talk is on ethical dilemmas in research, but these dilemmas also plague teaching and service (Eden, Lund Dean & Vaaler, 2018)

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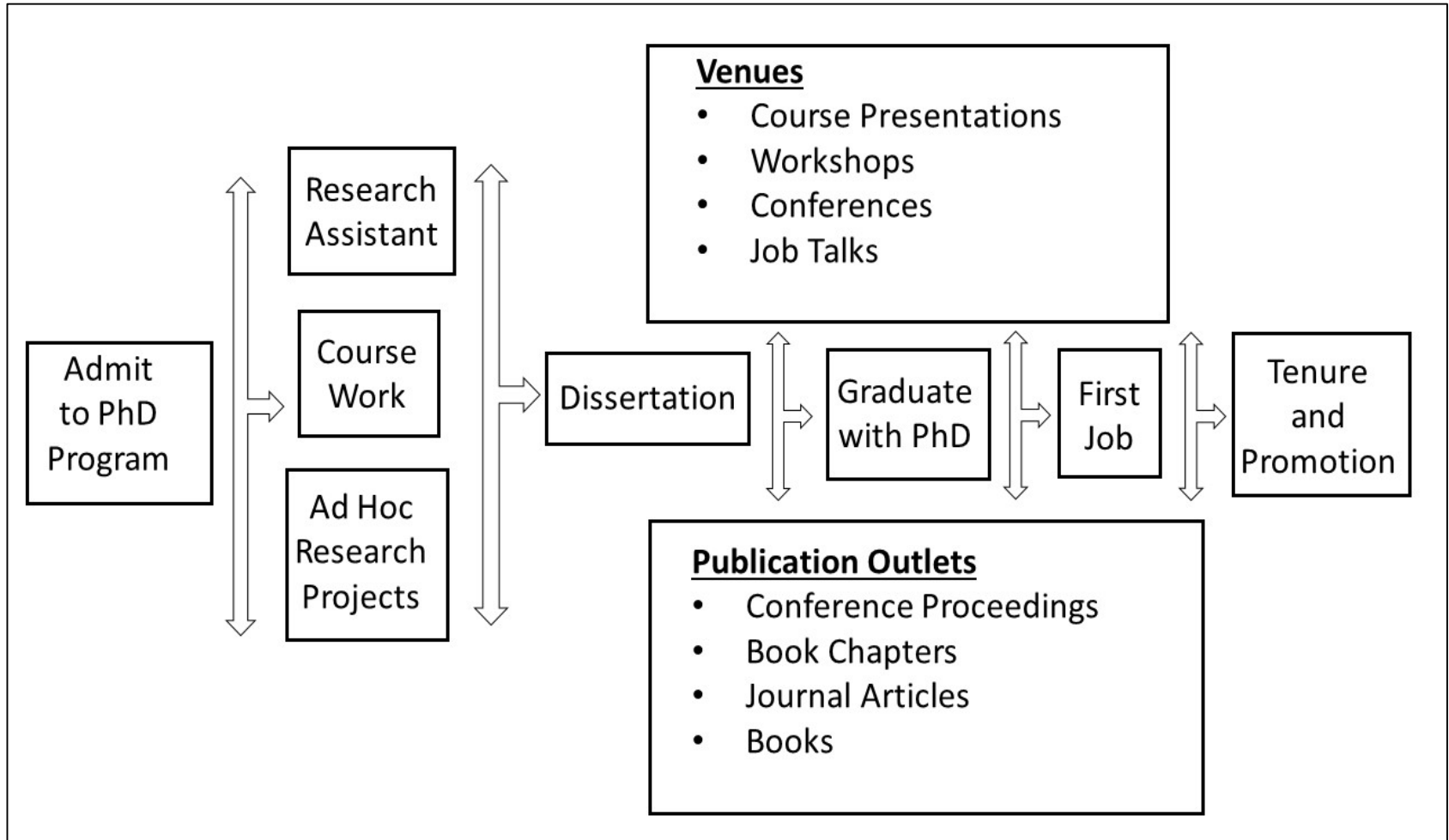
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I. Research Lifecycle for Entrants to the Academy



Research Activities along the Lifecycle

1. **Entry** – admission to doctoral studies
2. **Research**
 - Course work
 - Faculty led projects
 - Student led projects
3. **Presentations** – presentation of research at different venues
4. **Publication** – publication of research in different outlets
5. **Dissertation** – dissertation committee, topic, research, writing, defense
6. **First Academic Job** – research activities after graduation – carving up and publishing dissertation, starting new projects.
7. **Tenure and Promotion** – expectations for tenure/promotion, life after tenure/promotion

II. Insights from Liability of Foreignness (LOF)

- **Unfamiliarity hazards** arise from the **liability of newness**, from simply not knowing the rules of the game. Not knowing the rules of the game leads to mistakes and lower performance.
- **Relational hazards** arise from the **liability of resource dependence**, from being dependent on one's trading partners. Resource dependence generates vulnerability, which encourages opportunistic behavior by the powerful taking advantage of the weak.
- **Discriminatory hazards** arise from the **liability of outsidersness**, from being an outsider and not a member of the group. Being an outsider closes doors to opportunities, and encourages stereotyping and discriminatory behaviors.

Eden and Miller (2004)

LOF and Ethical Research Dilemmas for New Entrants

- ***Unfamiliarity hazards*** from ***liability of newness***.

Doctoral students and junior faculty – little research experience, unfamiliar with rules of the game, apprentices in new institutional environment.

- ***Relational hazards*** from ***liability of resource dependence***.

Power disadvantage relative to tenured faculty. Dependent on faculty for resources. Face pressures to perform and publish quickly (tenure clock). Vulnerability can be exploited by opportunistic senior faculty. Unlikely to be whistle blowers.

- ***Discriminatory hazards*** from ***liability of outsidersness***.

PhD students and junior faculty are outsiders – seeking acceptance and respect. No tenure or security. Discriminatory hazards can be higher for minorities (color, ethnicity, gender, etc.).

III. Mini-Cases: Ethical Dilemmas in Research

The next few slides provide multiple examples of ethical dilemmas that could face doctoral students and junior faculty. Some questions for discussion:

1. What is the **ethical dilemma** in each case?
2. What are the available options? The ethical options?
3. What do you think the **new entrant** is likely to do?
4. Is the new entrant likely to select an ethical option(s)? Why or why not? Can the LOF literature provide an explanation?
5. What do **you** recommend be done and why?
6. What or who might lead to selection of an ethical option?
7. What role could – or should -- AIB play?
8. How could diverse cultural perspectives affect your answers?

1. Data Collection

Example 1: Sara has been building a dataset for her dissertation. Sara's dataset extends the original dataset provided by her dissertation chair by adding new variables and years. Sara's chair has several publications out of the original dataset. Sara discovers, to her horror, that there is a major error in the variables in the dataset and that the error is large enough to potentially invalidate the papers that her chair has already published. Sara decides to ignore the error.

Example 2: Mary's empirical results are marginally significant so she decides to "play a bit with the data" until the results look good enough to submit to JIBS. Mary reasons that her changes are only "minor tweaking" to make her story more believable.

2. Co-Authorship

Example 1: James and Willem are each working on a single-authored paper. They know it is important to have multiple papers on their CVs. They decide to add each other as a co-author so they can double their chances of a publication and improve their resumes.

Example 2: Three PhD students are working on a paper where they agreed to be listed alphabetically. The third author is on the job market and asks to change the order of authors to move her to first author.

Example 3: Senior scholar X asks to be added as a co-author or listed as lead author on a junior scholar's paper, arguing that this will improve the paper's publication chances.

3. Publication

Example 1: Javier's dissertation has three main chapters. His undergraduate professor invites him to publish one chapter in the professor's edited book. Javier will have a quick publication and have done a favor for his former professor and letter writer. Since the book will be in Spanish, there is little chance his chapter will be read by English-speaking scholars so Javier plans to also submit the chapter for publication in a scholarly journal.

Example 2: Jane has two papers coming out of her dissertation, both using the same dataset. She decides to cut-and-paste the research methods description from one paper into the second one. She makes minor modifications to the wording.

Example 3: Jane and John are working on a project that has three papers, all using the same dataset. The three papers are slight variations on each other. They are submitted for publication to different journals and do not acknowledge the other papers.

4. Professor-Student Relations

Example 1: An advisor steals the ideas in his graduate student's term paper and publishes a paper using those ideas under the advisor's name. The student later finds the publication and realizes it's her work and not her advisor's.

Example 2: Stefanie's dissertation chair offers to let her use his hand-collected private dataset. Her chair requests in return that he be a co-author on all publications where she uses his dataset. She agrees verbally to do this and they write and publish several coauthored papers. Ten years later, Stefanie publishes a single-authored paper that uses some data from her chair's original dataset. Stefanie reasons that the theory in the paper is hers and "enough is enough"; 10 years of joint authorship is long enough to pay for the original dataset. Stefanie's chair is furious.

5. Reviewing Process

- **Example 1:** Professor X is a reviewer of a paper submitted to the AIB conference by Professor Y. Professor X rejects the paper, revises it a bit, and publishes the paper in an edited journal under his own name. Professor Y finds out later when her revised paper is submitted to a journal and fails the plagiarism check stage during the publication process.
- **Example 2:** Authors nominate individuals as reviewers who have already read and provided comments on the manuscript.
- **Example 3:** An author who has had his/her paper rejected by a journal comes up with alternative facts as to the reviewing process, and attempts to discredit members of the editorial team.

Seen, heard or experienced – Your examples ?

- Consider the ethical dilemmas you have faced so far in your life in the academy.
- Take 5 minutes to jot down essential notes about a situation you have faced that you are willing to share.
- Discuss in a small group.
 - What happened?
 - Why was it an ethical issue?
 - What did you do?
 - What other options may have existed?
 - What might you do differently?

Summary Lessons from Mini-Cases

1. Almost all entrants to the Academy follow a similar time line from entry through tenure and promotion.
2. Along that time line they must engage in various kinds of research.
3. To be successful in the Academy they must publish and their publications must receive recognition from their peers and senior faculty.
4. Along the research trajectory there can be many ethical dilemmas – pitfalls for the unwary.
5. New entrants are particularly susceptible to these pitfalls because of the three forms of liability of foreignness they face, which makes it more likely that they will engage in ethical mistakes.
 - a. Unfamiliarity hazards from liability of newness.
 - b. Relational hazards from liability of resource dependence.
 - c. Discriminatory hazards from liability of outsidersness.
6. Understanding these pitfalls can help new entrants make better ethical decisions and increase their likelihood of long-run success in the Academy.

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AIB's Ethics Codes as a Resource for Doctoral Students and Junior Scholars

<https://www.aib.world/about/ethics/>

- **AIB Code of Ethics** – applies to all AIB members and activities
- **Journals Code of Ethics** – applies to all AIB double-blind review journals and individuals associated with journal activities
- **AIB Insights Code of Ethics** – applies to AIB Insights
- **Leader Code of Ethics** – applies to everyone in a leadership position within AIB or its components (e.g., Shared Interest Groups, Chapters, Executive Board, Fellows, committees)

The AIB Code of Ethics

- The AIB Code of Ethics (the “Code”) outlines **ethical standards of professional conduct and procedures for handling violations of those standards.**
- The Code applies to **AIB members and employees**, and to **matters, activities, and structures of the AIB** (e.g., AIB Secretariat, Executive Board, Chapters, Committees, Conferences, and Publications).
- The Code should be read together with AIB’s **Mission, Vision and Values Statement**

(adopted by AIB Board, June 24, 2018).



Professional Organizations Need Ethics Codes

- AIB – as a professional organization -- must ensure trust and confidence in its membership through self-regulation, consistent with scientific integrity and universally recognized ethical norms.
- AIB must also ensure that its members are treated ethically in the context of AIB matters, activities, and structures.
- The AIB Code of Ethics is grounded on the following assumptions:
 - Scholarly integrity is the cornerstone of impactful research, and a necessary condition for the advancement of knowledge.
 - Respect for persons is the cornerstone of internationally recognized ethical norms.
 - Self-regulation can only take place with clearly articulated standards, procedures, and consequences for misconduct.

AIB's Mission, Vision and Values Statements

MISSION

AIB'S FUNDAMENTAL PURPOSE – WHAT WE DO

We create, nurture, and empower a global community of scholars focused on creating, advancing, and disseminating knowledge in international business research, education, policy, and practice.

VISION

AIB'S LONG-TERM GOAL – WHERE WE WANT TO GO

To contribute to a more prosperous, just, and sustainable world by fostering a global, collaborative community of international business scholars, educators, and decision-makers.

(adopted by AIB Board, June 24, 2018).

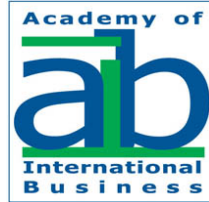


Values: What We Share and Practice

- **Internationalization:** We believe in promoting openness in borders, ideas, and cultures. Knowledge and awareness of global, regional, cross-border, and cross-cultural issues can be best achieved through actively fostering international collaborations, open-mindedness, and global understanding.
- **Excellence:** We pursue the highest possible professional and scientific standards in our research, education, and professional lives, including an unwavering commitment to transparency, verifiability, rigor, and relevance in our research. We are dedicated to nurturing the creation, advancement, and dissemination of state-of-the-art knowledge.
- **Intellectual freedom:** We are committed to freedom of inquiry and expression in our research, education, and professional lives. We believe in free expression and exchange of ideas and evidence-based recommendations, including the right to seek, receive, and share knowledge regardless of boundaries.
- **Integrity:** We believe in practicing the highest ethical principles in our research, education, and professional lives. We act with honesty, integrity, and professionalism. We hold ourselves accountable for our actions and inactions.
- **Inclusiveness:** We actively promote equal opportunity, treatment, and access for all. We celebrate and value diversity and strive to ensure that all voices are heard.
- **Impact:** We seek to make the world a better place by being responsible, relevant, and forward looking in our research, education, and professional activities. We believe both science and education should be in the service of society. We lead by transcending the boundaries of academic disciplines and managerial functions.

Acknowledgement of the AIB Code of Ethics

AIB members – including student members! - must formally acknowledge and agree to adhere to the AIB Code of Ethics when they first join the AIB and when they renew their membership.



Acknowledgement means that AIB members must:

- a. Know and adhere to the Code in their own behavior with respect to AIB matters, activities, and structures.
- b. Work actively to promote the Code throughout the AIB.
- c. Ask questions if they are in doubt about how to apply the Code.
- d. If they personally observe a violation of the Code, report the violation using the resources listed in the Code.
- e. Cooperate with all investigations and audits with respect to the Code.
- f. Understand that serious disciplinary sanctions (up to and including public reprimand or censure) can result from a failure to comply with the Code.

AIB Code of Ethics: Research, Teaching & Service

- a. Competence and Expertise: Adherence to the highest professional standards in research, education and service.
- b. Professional Activities: Respect for civil and human rights as outlined in UN Human Rights Conventions.
- c. Conflicts of Interest: Avoidance and declaration of actual or potential conflicts of interest.
- d. Public Communication: Adherence to the highest standards in public communications about one's research, teaching and professional activities
- e. Research and Publication: Adherence to the highest professional standards in research and publication.
- f. Teaching and Education: Adherence to the highest professional standards in teaching, mentoring and evaluation.



AIB Ethics Enforcement Structure

- **Executive Board:** Ultimately responsible for interpretation, application, and enforcement of all AIB codes of ethics.
- **Standing Committees:**
 - **Ethics Policy Committee (EPC):** Responsible for implementation, interpretation, advice, communication, review and updating of the ethics codes.
 - **Ethics Review Committee (ERC):** Responsible for dispute resolution and enforcement of the codes.



AIB's Ethics Committee Chairs

Denis Arnold
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Paul Vaaler
Chair, Ethics Review Committee
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Ethics Resources

- **Ethics @ AIB** <https://www.aib.world/about/ethics/>
 - Ethics Codes * Report a Violation * Ethics Committees * Ethics Resources
- **Ethics Reading Materials and Videos**
 - AOM Ethics Videos (<http://aom.org/About-AOM/Ethics-of-Research---Publishing-Video-Series.aspx>) and The Ethicist Blog (<http://ethicist.aom.org>)
 - Eden, Lorraine, Kathy Lund Dean and Paul Vaaler. 2018. *The Ethical Professor: A Practical Guide to Research, Teaching and Professional Life* (Routledge).
 - Nielsen, B.B., Eden, L., & Verbeke, A. 2020. Research methods in international business: Challenges and advances. In L. Eden, B.B. Nielsen and A. Verbeke (editors). *Research Methods in International Business*. JIBS Special Collections. Palgrave Macmillan, pp. 3-41.

Questions?
When in doubt, ASK!

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