



INTRODUCING THE NEW AIB CODE OF ETHICS

AIB Annual Meeting, Minneapolis, June 27, 2018

PANEL MEMBERS

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GROUNDING

- ▶ As a professional organization with the pursuit of knowledge and education as its primary aims, AIB must ensure trust and confidence in its membership through self-regulation that is 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 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 such as the Universal Declaration of Human Rights and the International Labor Organization standards.
 - ▶ Self-regulation can only take place with clearly articulated standards, procedures, and consequences for misconduct.

DEVELOPMENT HISTORY

- ▶ June 2016, Lorraine Eden (Texas A&M) tasked by the AIB Executive Board to develop a Code of Ethics for AIB members
- ▶ June-Dec 2016, materials and advice collected
- ▶ January 2017, first draft submitted to the Board
- ▶ Jan-Dec 2017, feedback incorporated, multiple revisions
- ▶ Jan 2018, second draft submitted to Board
- ▶ Feb 2018, revised draft circulated to AIB Fellows, Chapter Chairs, and other selected individuals for comment; feedback subsequently incorporated
- ▶ March 2018, revised draft circulated to AIB general membership for comment; feedback subsequently incorporated
- ▶ April 2018, revised draft submitted to law firm Foster, Swift, Collins and Smith PC for legal advice
- ▶ June 2018, draft revised based on legal feedback and circulated for comment to relevant groups
- ▶ June 24, 2018, final document approved by AIB Executive Board

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PURPOSE & SCOPE

- ▶ 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).**

MISSION AND VISION

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.

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

- ▶ **AIB 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.

CORE COMPONENTS

- 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.

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.

ETHICS POLICY COMMITTEE

Ethics Policy Committee (EPC): responsible for implementation, interpretation, advice, communication, review and updating of the ethics codes.

Members

- Denis Arnold (UNC Charlotte) (Chair)
- JT Li (Hong Kong UST)
- Anne Tsui (Notre Dame)
- Rosalie Tung (Simon Fraser)
- Alain Verbeke (Calgary)
- Ex Officio
 - AIB Managing Director
 - AIB President or Delegate

RELATION TO OTHER AIB ETHICS CODES

- ▶ The three AIB ethics codes are designed to be complementary, each focused on a different issue area (members, leaders, journals).
 - ▶ The Code of Ethics for the AIB Leadership applies to individuals in leadership roles within the AIB.
 - ▶ The AIB Journals Code of Ethics applies to AIB journals.
 - ▶ The AIB Code of Ethics applies to AIB members and employees, and to AIB matters, activities and structures.
- ▶ The Ethics Policy Committee (EPC) is tasked with coordinating and reconciling differences among the three ethics codes.

ETHICS REVIEW COMMITTEE

Ethics Review Committee (ERC):
responsible for dispute resolution and enforcement of the AIB Code of Ethics.

Members

- Paul Vaaler (Minnesota) (Chair)
- Tatiana Kostova (South Carolina)
- Bodo Schlegelmilch (Vienna University of Economics and Business)
- Ex Officio Member: AIB Managing Director

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EXAMPLES OF POSSIBLE ETHICS VIOLATIONS THAT COULD TRIGGER COMPLAINTS (1)

Redundancy (or “self-plagiarism”), e.g., authors create multiple papers that are slight variations on each other, which are submitted for publication with different journals, but without acknowledgement of the other papers.

Authors **nominate individuals as reviewers** who have already read and provided comments on the manuscript.

A senior scholar pressures junior colleagues or advisees to be added to a paper as a co-author or to be listed as the lead author.

EXAMPLES (2)

An advisor steals the ideas in a student's paper and publishes a paper using those ideas under the advisor's name. The student finds the publication and realizes it's her work and not her advisor's.

AlB members maintain an **online digital presence** that is **highly inaccurate** – and typically inflates – their scholarly activities (e.g., publications on Google Scholar).

EXAMPLES (3)

An AIB member **steals** a paper submitted to the yearly AIB conference by another AIB member, and publishes this piece in a journal under his/her own name.

An author who has had his/her paper rejected by JIBS comes up with **alternative facts** as to the reviewing process, and attempts to discredit members of the JIBS editorial team.

An author submits a paper to JIBS with **statistical tables and results** that are an **incorrect reflection of reality** (Ulrich Lichtenthaler syndrome; 16 retractions).

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ENFORCEMENT PROCEDURES

- ▶ **Fair and just procedures:** The process will follow best practices including confidentiality, due process, fair treatment, presumption of innocence, and whistle blower protection.
- ▶ **Reporting Ethical Violations:** AIB members are expected to report ethical violations of the AIB Code of Ethics to the ERC.
- ▶ **Jurisdiction:** The ERC has a fiduciary duty of care and loyalty to AIB. ERC can refuse to handle an ethical complaint if it is (1) tangential or not material to AIB, (2) not within the jurisdiction of AIB or (3) would be more appropriately handled elsewhere.

ETHICAL VIOLATIONS

Characteristics of Ethical Violations

► Level of harm to others

- Minor – harm to others or the profession not likely
- Major – likely to cause or has caused harm to others or the profession
- Egregious – likely to cause or has caused substantial harm to others or the profession

► Visibility to others: private, public

► Frequency of violation: one time, repeated

► Materiality to AIB: none, low, high

► Ignorance of Code: not acceptable excuse

PENALTIES AND PROCESS

Penalties depend on severity of violation and may be compounded. Penalties can include:

- ▶ private reprimand
- ▶ denial of AIB privileges
- ▶ Suspension or revocation of AIB membership
- ▶ public reprimand or censure

Process

- ERC receives complaint, decides whether to take on the case.
- ERC investigates case, recommends decision and possible penalties to the AIB President who, after consultation, makes and carries out the decision.
- The President's decision can be appealed to the Board, but only for material procedural irregularities.
- Formal procedures to be determined and posted later this year.

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WHEN IN DOUBT, ASK

DENIS G. ARNOLD

LORRAINE EDEN

TATIANA KOSTOVA

JT LI

BODO SCHLEGELMILCH

ANNE TSUI

ROSALIE L. TUNG

PAUL M. VAALER

ALAIN VERBEKE





Note to Presenters

1. These slides can be mixed and matched based on the audience, length of the presentation, etc.
2. Additional slides with examples of the core components in the Code of Ethics follow, which can be used to motivate discussion or illustrate the components.
3. If you do make a new slide deck, please save it with a new name – based on where you presented, when and who did the presentation (e.g. Eden-AIBSE-Oct-2018).

EXAMPLES OF POSSIBLE COMPLAINTS

In each example below, the AIB Ethics Review Committee would first determine whether the complaint is handled by the Committee and if yes, proceed with an investigation, findings and recommendation to the AIB President.

1. An advisor steals the ideas in a student's paper and publishes a paper using those ideas under the advisor's name. The student is an AIB member; the advisor is not. The student finds the publication and realizes it's her work and not her advisor's.
2. A selection committee chooses one person as winner of an AIB award. When the winner is announced, another individual also nominated realizes that the dissertation chair of the winner was on the selection committee.
3. At a conference run by one of the AIB Chapters, a conference participant is physically assaulted by another conference participant after the Gala dinner event.

CORE COMPONENTS - EXAMPLES

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

COMPONENTS: COMPETENCE AND EXPERTISE

Competence and Expertise: Adherence to the highest professional standards in research, education and service.

Examples of Ethical Issues

1. Suppressing or hindering the free expression and exchange of ideas in panel sessions at AIB meetings and conferences.
2. Claiming expertise in a subject area outside of the boundaries of the individual's competence.
3. Discovering that a political group has misused or misinterpreted the results of an AIB member's research and is using that misuse or misrepresentation to justify a public policy.

COMPONENTS: PROFESSIONAL ACTIVITIES

Professional Activities: Respect for civil and human rights as outlined in UN Human Rights Conventions.

Examples of Ethical Issues

1. Misrepresenting one's age, income, job status or location to qualify for a lower level of AIB dues or registration fees, or for a conference stipend.
2. Inappropriate behavior (e.g., stalking, threats, inappropriate touching, or sexual comments, requesting sexual favors in exchange for professional advancement).
3. Sending emails asking individuals to vote for a person for an AIB leadership position is prohibited under AIB Policies and would therefore be a violation of the AIB Code of Ethics.
4. Selecting the venue for an AIB or AIB Chapter conference based on personal gifts provided to the conference organizer by the conference hotel or location.

COMPONENTS: CONFLICTS OF INTEREST

Conflicts of Interest: Avoidance and declaration of actual or potential conflicts of interest.

Examples of Ethical Issues

1. When submitting a paper to a journal, the AIB member should not nominate “friendly” reviewers or editors who have a personal or professional relationship with the paper’s author or authors.
2. When providing a letter of recommendation for a former student, the AIB member should state in the letter that the individual is a former student.
3. AIB members who are on a selection committee for a prize or grant where a colleague, former student, family member or close friend is one of the candidates should declare the conflict or potential conflict of interest to the committee, and not provide any information or evaluation until the committee has decided how to handle the conflict of interest.
4. In closed committee discussions with respect to an AIB entity (e.g., an AIB journal) a committee member with a leadership role in a competing entity (e.g., a journal or association) should declare any conflicts or potential COIs, and not provide any information or evaluation until the committee has decided how to handle the conflict of interest.

COMPONENTS: PUBLIC COMMUNICATION

Public Communication: Adherence to the highest standards in public communications about one's research, teaching and professional activities.

Examples of Ethical Issues

1. In communications where employment is mentioned, AIB members should make the nature of employment clear, for example, when they have non-faculty positions, multiple affiliations, or visiting positions.
2. In press interviews, seminars, and expert witness testimony, AIB members should state that their opinions are their own and not represent their personal views as being the consensus of AIB members.
3. AIB members should take steps to ensure that their online digital presence accurately represents and does not inflate their scholarly activities (e.g., publications on Google Scholar); they should also include relative dimensions and metrics as appropriate.

COMPONENTS: RESEARCH AND PUBLICATION

Research and Publication: Adherence to the highest professional standards in research and publication.

Examples of Ethical Issues

1. Conducting research that does not comply with generally accepted ethical principles for working with human subjects.
2. Pressuring junior colleagues or advisees to be added to a paper as a co-author or to be listed as the lead author.
3. Adding one's name to a research project, without making an appropriate contribution, even when invited by other authors (who may, for example, think that adding a senior scholar's name would improve the publication prospects of a paper).
4. Failure to note the contributions of all co-authors when a subset of the authorship team is presenting or disseminating the work.
5. Publishing in predatory journals or giving papers at predatory conferences to artificially inflate one's curriculum vitae.

COMPONENTS: TEACHING AND EDUCATION

Teaching and Education: Adherence to the highest professional standards in teaching, mentoring and evaluation.

Examples of Ethical Issues

Selecting textbooks based on the income that can be generated for the professor.

Accepting gifts from students before final grades are due.

Not providing mentoring and an appropriate duty of care to students and teaching assistants.

Offering higher grades in exchange for sexual or other favors from students.

Discriminating against individual students (e.g., based on their race or gender).