

Fostering the Development and Implementation of Principles for Managing Ethics in Higher Education Institutions: An International Comparative Perspective

Francisco Marmolejo
fmarmole@email.arizona.edu
<http://www.conahec.org>

CONTEXT ANALYSIS

New frontiers in research: Where are the limits?

Public Service

Diminishing Funding

An increasingly complex environment for higher
education institutions:
Challenges for institutional leaders

*Hiring, retaining and
firing Academic Staff*



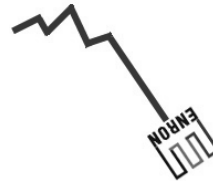
*What and how to
teach?*

Market pressures

Increased Accountability

Governance

CONTEXT ANALYSIS: The Corporate Scandals



2002 Compendium of Major Financial Reports to the SEC by Twelve Companies Under Scrutiny or in the News

A dozen major corporations
Adelphia Communications * AOL Time Warner
Enron * Global Crossing * Halliburton * Xerox
ImClone * Martha Stewart Living Omnimedia
Merrill Lynch * Polaroid * Qwest * WorldCom
Includes quarterly and annual financial reports
BONUS: CEO and CFO Certifications in 2002



CONTEXT ANALYSIS: Some Media Headlines

A Gift Unearths a Rift

University Confirms Plagiarism in Dozens of Cases

Fresh Approach to Accountability

Crisis of Confidence

Ethics Flap at a University

University Ends Illegal Job Requirement

Teaching Ethics in a Morally Compromised World

The Corrosion of Ethics in Higher Education

Easing the Copyright Challenge

A New Form of Cheating

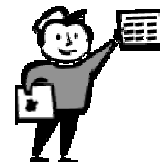
Donor Reportedly Endowed a Chair — and Filled It

Guidance on Stem Cells

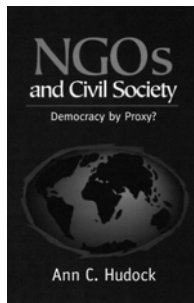
Research Freedom v. National Security

Clamping Down on Corruption

University Adopts Conflicts Policy for Trustees



CONTEXT ANALYSIS:
Civil Society: A New Player



Is it useful to develop, and implement
Comprehensive Guidelines or Codes of
Ethics or of Conduct for the management
and governance of higher education
institutions?





THE OECD EXPERIENCE



- *1998: Council Recommendation on Improving Ethical Conduct in the Public Service*

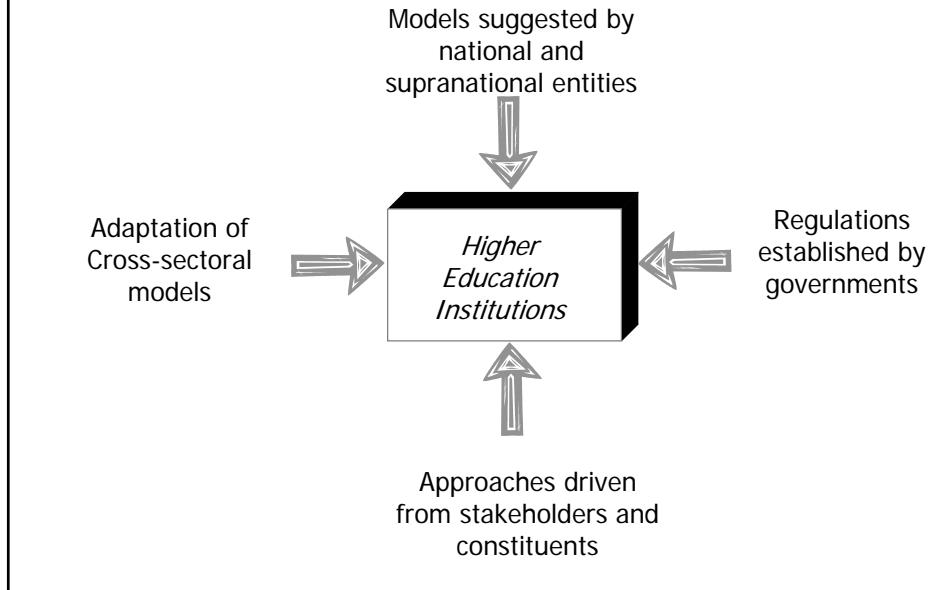
- *1999: Principles for Managing Ethics in the Public Service*

- *2000: Principles of Corporate Governance*

DEFINING THE CONCEPTS

TERM	DEFINITION
Values	General moral obligations. The core beliefs we hold regarding what is right and fair in terms of our actions and our interactions with others. Another way to characterize values is that they are what an individual believes to be of worth and importance to their life (valuable). <i>Example: Integrity.</i>
Principles	Ethical conditions or behaviours expected from an individual. Principles are derived from values. <i>Example: Do not use your public office for private gain.</i>
Ethics	The study of what we understand to be good and right behaviour and how people make those judgments.
Ethics Code	Document intending to articulate the values and principles expected of decision makers when confronting unclear or ambiguous ethical circumstances. Often conveys organizational values, a commitment to standards, and communicates a set of ideals. In practice, used interchangeably with Code of Conduct.
Code of Conduct	Document designed to anticipate and prevent certain specific types of behaviours. Can refer to a listing of required behaviours, the violation of which would result in disciplinary action. In practice, used interchangeably with Code of Ethics. Codes of conduct in the education sector, in accordance with UNESCO's definition, embrace the concept of mutual accountability and the accountability of all those charged with enabling good quality education
Code of Behaviour	Term used interchangeably with Code of Conduct or Ethics Code.
Principles of Social Responsibility	A framework of measurable corporate policies and procedures and resulting behaviour designed to benefit the workplace and, by extension, the individual, the organization, and the community.

Some Experiences in Higher Education

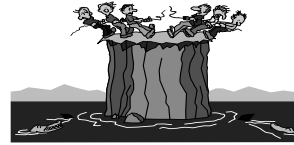


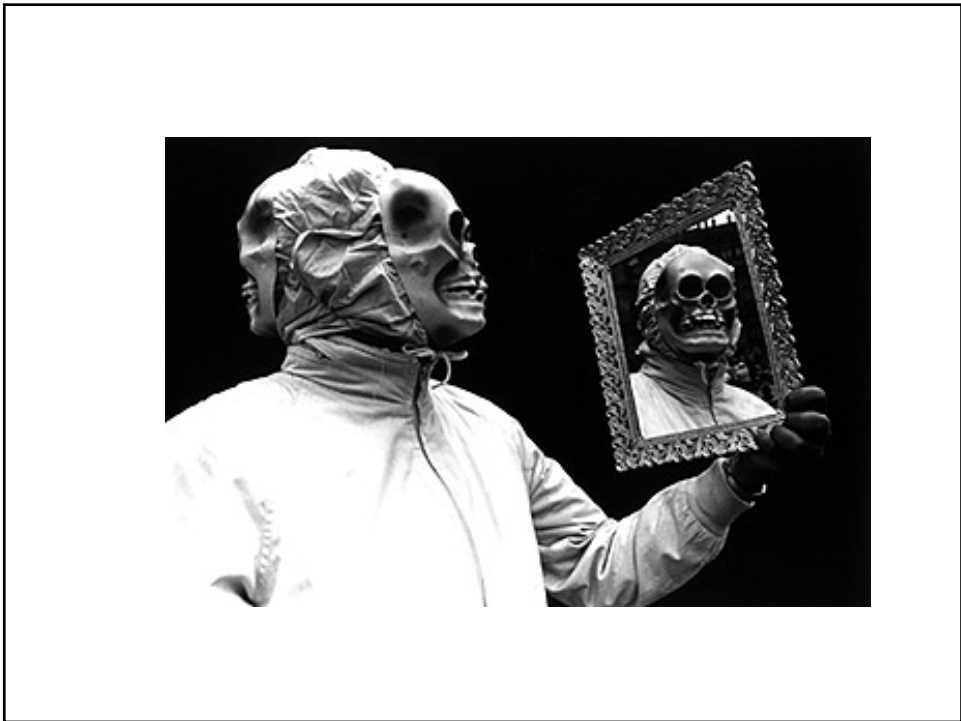
Some Approaches

- The Business-Higher Education Model: Attempting to bring together perspectives from two “different worlds”
 - The case of the U.S. Business-Higher Education Forum
 - The case of the U.K. Council for Industry and Higher Education
- Towards Sustainable or Corporate Social Responsibility: From Global Ambitions to Institutional Realities
 - The U.N. Global Compact
 - The Global Reporting Initiative
 - The Global Sullivan Principles of Social Responsibility
 - The Higher Education Partnership for Sustainability
 - The case of Turku University of Applied Sciences
- International Higher Education Organisations:
 - IAU, IAUP, OUI, UDUAL, EUA
 - The Magna Charta case
 - IMHE?

A LIMITED INTEREST?

- Ethical guidelines for management and governance of HEIs are useless or very difficult to implement.
 - Too general and vague
 - Important contextual, historical and political differences
 - Private vs. public
 - No enforcement measures
 - Good intentions, crude realities
 - The human factor
- Emerging complicated dilemmas in institutional decision making processes make urgent to develop guidelines
 - Universities are no longer isolated institutions
 - Institutional leaders facing uncertainty, conflict, ethical dilemmas, increased pressures for openness and transparency, corruption, etc.



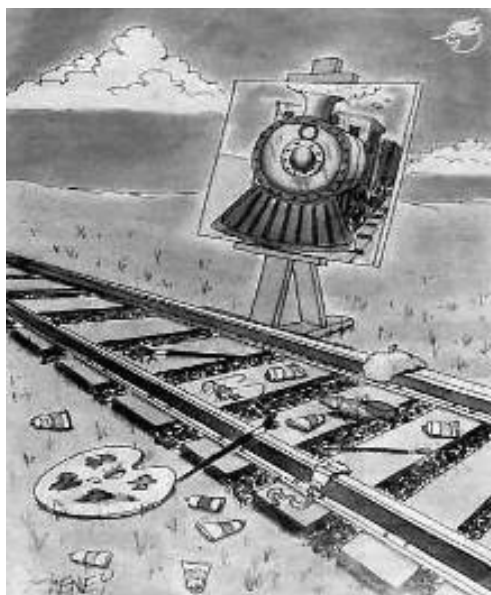


SOME POSSIBILITIES

- Doing nothing
- Further studying the issue
- "Testing the water" with a pilot initiative
- Building consensus and buy-in from related organisations
- Fostering the development of guidelines among national and regional higher education organisations
- Suggesting general principles
- Taking the lead in developing comprehensive guidelines, establishing a self-evaluation methodology, and defining a peer review process

TO BE CONSIDERED...

- Clarity of scope and purpose
- Building on experience and adding value
- Sense of ownership
- Consultation and consensus
- Dissemination, awareness and training
- Follow-up
- Metrics, evaluation, and incentives

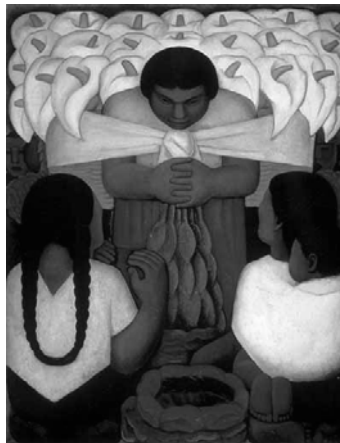


Useful Resource Organizations

ORGANISATION	WWW ADDRESS	LOCATION
American Association of University Professors	http://www.aaup.org	U.S.A.
American Council on Education	http://www.acenet.edu	U.S.A.
Association of Universities and Colleges of Canada	http://www.aucc.ca	Canada
Australian Vice-Chancellors Committee	http://www.avcc.edu.au	Australia
Conference Board of Canada	http://www.conferenceboard.ca	Canada
Consortium for North American Higher Education Collaboration	http://conahec.org	U.S.A.
Council for Industry and Higher Education	http://www.cihe-uk.com	United Kingdom
Global Compact	http://www.unglobalcompact.org/	U.S.A.
Institute of Business Ethics	http://www.ibe.org.uk/	U.K.
Institute for Global Ethics	http://www.globaethics.org/index.htm	U.S.A.
Magna Charta	http://www.magna-charta.org/home.html	Italy
National Unions of Students in Europe	http://www.esib.org	Belgium
Organisation for Economic Cooperation and Development	http://www.oecd.org	France
Society for Teaching and Learning in Higher Education	http://www.mcmaster.ca/stlhe	Canada
Sullivan Foundation	http://www.thesullivanfoundation.org	U.S.A.
Transparency International	http://www.transparency.org/	Germany
UNESCO's Programme on Ethics and Corruption in Education	http://www.unesco.org/iiep/eng/focus/etico/etico1.html	France
U.S. Business-Higher Education Forum	http://www.bhef.com	U.S.A.

Useful Documents:

TITLE	PUBLISHING ORGANISATION	WWW ADDRESS
Corporate Social Responsibility Report 2004: Working for the Region	Turku Polytechnic	http://www.turkupolytechnic.fi/csr/turku_polytechnic_csr_report.pdf
Embedding Ethics in Business and Higher Education	The Business-Higher Education Forum	http://www.bhef.com/initiatives/embed_read.cfm
Ethical Guidelines for Business-Education Partnerships	The Conference Board of Canada	http://www.conferenceboard.ca/education/learning-tools/pdfs/ethical.pdf?FILTERNAME=%40CHANNEL&FILTERVALUE=boardwisein&FILTERCOMPARE=5
Ethical Principles in University Teaching	The Society for Teaching and Learning in Higher Education	http://www.mcmaster.ca/stlhe/projects/ethical.principles.htm
Guide on Ethics for Universities and Colleges	The Council for Industry and Higher Education	http://www.cihe-uk.com/ethics.php
Guidelines for Quality Provision in Cross-border Higher Education	UNESCO and OECD	http://www.oecd.org/dataoecd/27/51/35779480.pdf
Principles for Managing Ethics in the Public Service	Organisation for Economic Cooperation and Development	http://www.oecd.org/dataoecd/60/13/1899138.pdf
Principles of Corporate Governance	Organisation for Economic Cooperation and Development	http://www.oecd.org/acrobatebook/2604011E.PDF
Proceedings of the 2004 International Conference on Ethical and Moral Dimensions for Higher Education and Science in Europe	UNESCO – CEPES	http://www.cepes.ro/September/default.htm
Statement about Governance in Higher Education	The Australian Vice-Chancellors Committee	http://www.avcc.edu.au/documents/policies_programs/statements/AVCC_Governance.pdf
Statement on Academic Freedom, University Autonomy and Social Responsibility	International Association of Universities	http://www.unesco.org/iau/ie/af/index.html
Statement on Academic Rights and Responsibilities	American Council on Education	http://www.aacup.org/statements/SpchState/Statements/ABORJointStatement.pdf
The Global Sullivan Principles of Social Responsibility	The Sullivan Foundation	http://www.thesullivanfoundation.org/gsp/default.asp
The Magna Charta	University of Bologna and European University Association	http://www.magna-charta.org/home.html



“ The trouble with our times is that the future is not what it used to be ”

Paul Valéry

Contact Information:

Francisco Marmolejo
Executive Director
Consortium for North American Higher Education Collaboration (CONAHEC)
University of Arizona
PO Box 210300
220 W. Sixth Street
Tucson, AZ 85721-0300 USA
Tel. +1 (520) 621-9080 / 621-7761
Fax +1 (520) 626-2675
Email: fmarmole@email.arizona.edu
<http://conahec.org>