

ANPAD - NATIONAL ASSOCIATION OF POSTGRADUATION AND RESEARCH IN ADMINISTRATION

CODE OF ETHICS

(Approved in the 102nd General Assembly in Curitiba-PR, on 05-28-2017)

Preamble

A scientific society's code of ethics is, above all, an instrument to promote a **culture of ethics**. This is the main purpose of ANPAD's - the National Association of Post-Graduate Studies and Research in Management - Code of Ethics. Ethical norms of conduct as well as the procedures that ensure them, above all the work of the Ethics Committee, have their place, but it also highlights the conceptual and guiding principles that underscore and justify these norms. These are intended to frame members' thoughts and actions. Thus, in terms of its structure, the Code should be concise and clear - as simple as any ethical act. It consists of **Principles**, formulated in a manner to be put into practice, followed by two sets of complementary articles. The second explains the **Ethics Committee's authority and duties**, while the third one covers **Other practices and procedures** from national and international experiences that can be adopted to complement or supplement this Code.

1 - The Principles and their practical implications

1.1. These are the fundamental ethical qualities that control relations within ANPAD:

- a) respect the dignity of the academic career;
- b) have a greater commitment to the Association's goals and values and observance of its statutory norms, other normative acts and this Code of Ethics;
- c) pursue scientific best practices, as ways to fruitfully contribute to society and justify its presence;
- d) celebrate pluralism in theoretical convictions and methodological options, as a basic condition for harmonious coexistence and the critical construction of knowledge.

1.2. Research ethics has four imperatives:

- a) intellectual honesty, which should be the first commitment from whoever produces knowledge, because this is to what society has endowed its trust and respect;
- b) due consideration to the history of other researchers' efforts, which are near or far in time and space, and from whose contributions and authority all researchers today are based on. We have a sacred duty to review them and to scientifically reference them in our texts;
- c) respect, in empirical research, for the people who participate in research. They are at risk of being treated as a simple source "object" of useful information, producing when inquired, observed or recorded a clear situation of exposing their inner selves, to which only they have the rights. Therefore, researchers must have subjects' free and explicit consent, not only for interviews, observation or recording of sound or image, but also for the specific use of certain words, images and data taken from recordings and used in a researcher's composition, which might have a context that might distort the original meaning;

d) priority of creative, original and mature research, over volume and flow. In this sense, because there is an intent of promoting resumes and competing for advantageous positions through intellectual production, researchers and post-graduate programs can have conflicting objectives, where the desire for contributory knowledge is sacrificed for higher volume.

1.3. Double blind review is an especially sensitive situation regarding colleagues, the contribution of high quality academic production, and the impartiality and responsibility that justify reviewers' opinions. The gravity of the situation is even greater because the anonymity can hide anti-ethical behavior that certainly wouldn't occur in face to face relationships.

1.4. Conceptually, ethics shouldn't be conceived as a separate theoretical realm and system circumscribed within its philosophical principles that has nothing to do with scientific judgment. To the contrary, ethics has a greater political function, linked with the future and sustainability; it is part of the essence of organizational cohesion, relationships between individuals and the groups they form. By nature, therefore, ethical relationships are always mutual, indivisible, and co-responsible.

1.5. The responsibility for promoting an ethical academic environment, that is, one where the assumed standard culture for individuals and groups is ethical values, belongs to the entire ANPAD community. Directors, coordinators and leaders are responsible for ethics within their respective competencies. They are specifically responsible for inspection of any reported instances of unethical behavior, their analysis, and for either taking corrective measures or referring broader cases to appropriate individuals, along with any suggestions for solutions.

1.6. Authorship is at the core of academic ideals and is based upon the production of each text and also upon a history of thought, a researcher's own style of work or a research group. To usurp authorship of another researcher or share it without having contributed substantially not only violates property rights, but also harms a collective good. Without prejudice to a group or individual researchers right to pursue justice if they suffer such offense, ANPAD adopts rigorous international standards for identifying and punishing plagiarism, falsification and fabrication of data, and intrusive participation in signing on to others' work, especially as a result of undue pressure.

1.7. The situation between a student and the orientation received from a professor or adviser tends to be characterized by dependency and fragility. Because of this, any abuse of this situation, through arbitrary behavior, disrespect, negligence, or immoral harassment, is especially grievous. It not only concerns personal honor, but also the very pedagogical nature of the relationship and dignity of the teaching profession.

1.8. The internal political balance between groups of people, especially in the case of academic communities, is a delicate situation that requires an extensive sharing of information regarding common resources on the part of those in power. The management, at all times, by ANPAD's Board of Directors of any transitory coordination of an event should be transparent in resource management. The greatest import concerns financial management, whose data, enforcement processes, and results should be accessible and periodically made available to the scrutiny of the academic community.

2 - Of the Ethics Committee's authority and duties

2.1. An integral part of this Code are the composition norms and attributions and the mandate for the Ethics Committee as defined by Resolution 001/2017, by the ANPAD Board of Directors, on May 28, 2017, and subsequent amendments.

2.2. The proper scope for oversight and/or the decision-making process by the the Ethics Committee are the activities promoted by ANPAD, above all its events, relationships within these events, whether individual or institutional, as well as any articles published in ANPAD periodicals and those made available on the Spell - Scientific Periodicals Electronic Library.

2.3. Ethics Committee activities should not be confused with ANPAD's "Ombudsman", which is an independent and open resource that is available for any internal concerns. This limits the Ethics Committee activities to facts that are directly and explicitly related to the ethical principles defined in this Code.

2.4. In performing its assigned functions, the Ethics Committee is assumed to hold full competence and initiative, limited only by ANPAD statutes and by the specific provisions of this Code, and its actions are intended to have a complementary or supplementary normative effect to the CODE.

2.5. Through the Ethics Committee, ANPAD accepts independent communication about any duly substantiated reports from any member or anyone else involved in its activities, concerning instances related to any breach of ethics, taking appropriate measures if the instances occurred within the Committee's judicial scope, and if not, forwarding the information to the responsible internal body within the program.

2.6. Related to the facts referred to in 2.5, above, the Ethics Committee promotes or guarantees, depending on case, the following administrative procedures:

- a) Survey and characterization of the facts, and identification of responsibilities - which will involve other ANPAD divisions, as necessary;
- b) Hearing from the accused, with a deadline for their defense or explanation, giving them specific knowledge of the proceedings and possible imputations;
- c) Development of a judgment and proposal for the ANPAD Board of Directors, in conclusive terms, for sanctions or any other applicable procedures, including the deadlines for enacting the suggested procedures or sanctions;
- d) Appeal of any sanctions to the Board, if any of the involved parties desire;
- e) Evaluation of any appeal and referral of any opinions to the ANPAD Board of Directors, if this is pertinent to the case.

2.7. Sanctions against any responsible for actions that breach ethics, and violated the principles defined in this Code, consist of the following, applied in a language, intensity and extension compatible with the specific circumstances:

- a) a warning, communicated only to those responsible;
- b) confidential censure, communicated only to those responsible, and if deemed necessary, to their coordinator or immediate superior;
- c) public censure, communicated to the General Assembly and recorded in the minutes;
- d) complete or total suspension of participation in association activities and publications;
- e) exclusion from membership;

2.8. The ANPAD Board of Directors can delegate to the Ethics Committee, within a determined period of time that does not exceed its mandate, the authority to sanction acts that are referred to in item 2.5, except for exclusion of Association members.

2.9. The Committee must always clearly justify its reasoning in an opinion, conclusion, judgment, decision, sanction or measures.

2.10. When any of the facts listed in item 2.5 involve members of the Board of Directors, the Ethics Committee shall work in an independent manner, without intermediation, until conclusion of the process, for which it will request insertion into the next General Assembly agenda, so that the Statutes and this Code of Ethics are fully met.

2.11. When a communication or complaint referred to in item 2.5 involves a member of the Ethics Committee, the Board shall forward the case directly to the General Assembly, which will form a special commission for the procedures mentioned in item 2.6, in order to be in full compliance with the Statute and this Code of Ethics.

2.12. Any punitive sanctions for disrespecting the principles and norms of this Code of Ethics, the Board of Directors, or the General Assembly - in case of involvement by any members of the Board of Directors or the Ethics Committee - are complete and take effect immediately regarding internal ANPAD relationships and activities, without prejudice to appeal by those under sanction.

2.13. With respect to the principle of transparency in management action, sanctions of levels “c”, “d”, and “e” from item 2.7, and any measures adopted by the Board shall be communicated to the people that are directly involved in public events, such as meetings, presentations or publications of research, in which the acts under sanction occurred.

2.14. The Ethics Committee doesn't act in the civil realm, but collaborates directly with the body or individual who represents the Board, and therefore, ANPAD itself, concerning actions within its scope.

2.15. The Board of Directors shall provide the Ethics Committee, at its request, supplementary support teams in the event of a burden of cases under its responsibility.

2.16. The Ethics Committee will prepare an informative report and annual evaluation about any reports of ethics violations and their referrals to ANPAD's General Assembly.

2.17. Under exceptional circumstances, the Ethics Committee can appeal or directly address ANPAD's General Assembly.

3 - Other practices and procedures

3.1. Practices and procedures that are not directly referenced in this Code of Ethics, but that are related to its principles, may be adopted in a complementary manner (in the event something isn't covered in this Code) or supplementary (in the event something isn't sufficiently covered in this Code) by the Ethics Committee or by any coordinator of activities and publications under ANPAD's domain, as guided by the following official resources:

COPE - Committee on Publication Ethics. *Guidelines on Good Publication Practices, 1999.*

CONEP - Comissão Nacional de Ética em Pesquisa. *Resolução n. 510, de 07/04/2016.*

FAPESP - Fundação de Amparo à Pesquisa do Estado de São Paulo. *Código de Boas Práticas Científicas*. 2014.

AOM - Academy of Management. *Code of Ethics*. Feb. 2016.

4 - General provisions

4.1. ANPAD will request disclosure from any affiliated Programs that have or which constitute internal cases requiring ethical evaluation, and determination and final judgment of any complaints, with the objective that they will fully apply the ethical principles defined in this Code.

4.2. Within three years of its approval, this present Code of Ethics shall be reviewed by the Ethics Committee in order to make any necessary adjustments resulting from its application or from suggestions from the ANPAD community.

4.3. Any omissions will be determined by the Ethics Committee or presented to the General Assembly by the Committee, if it involves statutory matters.

Plenary of ANPAD's 102nd General Assembly, May 28, 2017

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