



ACADEMY OF HUMAN RESOURCE DEVELOPMENT Standards on Ethics and Integrity (2nd ed.)

PREFACE ¹

Human Resource Development (HRD) as a profession is an interdisciplinary field. The field focuses on systematic training and development, career development, and organization development to improve processes and enhance the learning and performance of individuals, organizations, communities, and society. In these Standards, HRD professionals refer to AHRD members.

An HRD professional is an individual engaged in HRD-related practice, research, consulting, and instruction/facilitation/teaching. As HRD professionals, members of the Academy of Human Resource Development (AHRD) strive to create a body of research-based knowledge. They apply that knowledge to HRD in various organizational, community, and societal settings while functioning as professors, researchers, consultants, administrators, analysts, trainers, performance improvement technologists and other practitioners.

A central goal of AHRD professionals practicing in the arenas of training and development, organizational development, and career development is to broaden understanding of the complex activities involved in assisting individuals or organizations to improve their ability to develop themselves. The statements in this document are guiding principles and values that represent the basis for the professional and ethical conduct of HRD activities. They are standards which, taken together, define ethical behaviors in a wide variety of situations.

PURPOSE

The Standards on Ethics and Integrity for the Academy of Human Resource Development provide guidance for HRD professionals engaged in practice, research, consulting, and instruction/facilitation/teaching. Although these principles are aspirational in nature, they provide standards of conduct and set forth a common set of values for HRD professionals. Adherence to these Standards builds ethical, professional, and research-driven accomplishments for HRD professionals and adds to the further definition and clarification of HRD as a profession. The primary goal of these Standards is to define more clearly a holistic balance among individuals, groups, organizations, communities, and societies whenever conflicting needs arise.

To ensure this balance, these Standards identify a common set of values upon which HRD professionals build their professional and research work. In addition, the Standards clarify both the general principles and the decision rules that cover most situations encountered by HRD professionals. The Standards have, as their primary goal, the welfare and protection of the individuals, groups, and organizations with whom HRD professionals work.

Adherence to a dynamic set of standards for a professional's work-related conduct requires a personal commitment to the lifelong effort to act ethically; to encourage ethical behavior by students, supervisors, employees, and colleagues as

¹ Ethical statements and/or standards from several organizations were reviewed during the development of these Standards on Ethics and Integrity for the Academy of Human Resource Development. These organizations are the Academy of Management, American Educational Research Association, American Evaluation Association, American Management Association, American Psychological Association, Society of Human Resource Management, and the Organization and Human Systems Development (OD-HSD) group.

appropriate; and to consult with others, as needed, concerning ethical problems. It is the individual responsibility of each professional to aspire to the highest possible standards of conduct. Such professionals respect and protect human and civil rights and do not knowingly participate in or condone unfair discriminatory practices.

In providing both the universal principles and limited decision rules to cover many situations encountered by HRD professionals, this document is intended to be generic and is not intended to be a comprehensive, problem-solving, or procedural document. Specific statements and solutions for special HRD-related situations will emerge from the development of case studies appended in these Standards. Each professional should use their personal experience as well as his or her individual and cultural values to interpret, apply, and supplement the guiding principles set forth in these pages.

This document has been prepared primarily as an educational vehicle. It serves to articulate the values to which HRD professionals aspire in their work. Other documents will follow which further elaborate these principles.

Making ethical decisions can be difficult because long-range social responsibility considerations may conflict with immediate needs; or, ethical principles may seem even to be in conflict with one another. At times, situations force us to choose among bad options. When placed in these situations, HRD professionals aspire to weighing their options and making the best (ethical) decision they feel they can, based upon an attempt to be socially responsible. The following statements provide brief summaries of the Standards. The links provide access to the complete Standards.

SHORTENED VERSION

The following are brief summaries of the Standards.

General Principles

The General Principles represent principles that provide the foundation for all of the Standards. These principles include (a) competence, (b) integrity, (c) professional responsibility, (d) respect for people's rights and dignity, (e) concern for others' welfare, and (f) social responsibility.

General Standards

The General Standards provide some basic guidance on HRD research and practice, including, (a) boundaries of competence, (b) maintenance of expertise, (c) bias in research and professional judgment, (d) description of professional's work, (e) respecting others, (f) nondiscrimination, and (g) exploitative relationships.

Some Standards relate primarily to HRD scholar-practitioner work: (a) misuse of work, (b) multiple relationships, (c) consultations and referrals, and (d) third-party requests for services. Other Standards relating to research and practice include: (a) delegation to and supervision of subordinates, (b) documentation of professional and research work, (c) research and data, (d) fees and financial arrangements, (e) accuracy in reporting to payers and funding sources, (f) referrals and fees, (g) research and evaluation in a professional context, and (h) integrity, justice, inclusion, and respect for people's rights and dignity.

These issues are covered in detail in the specific Standards concerning: (a) research and evaluation, (b) advertising and other public statements, (c) publication of work, (d) privacy, anonymity, and confidentiality, (e) teaching and facilitating, and (f) resolution of ethical issues and violations. These Standards appear in abbreviated form immediately, followed by the complete statement on each Standard.

Research and Evaluation

Ethical practices in research and evaluation are the foundation of credibility within the Academy. Each member supports responsible conduct of research and complies with all laws and standards that strengthen research design, processes, analysis, and accuracy of reporting. All members must respect and protect the wellbeing of participants.

Advertising and Other Public Statements

HRD professionals, programs, and institutions represent themselves and their credentials accurately, without exaggeration or exclusion. When they undertake a new task or program, they are clear that they are in a learning or test mode. Such statements do not focus negatively on other professionals, programs, and institutions.

Publication of Work

HRD professionals attend to the ethical treatment of study participants, provide accurate identification of individual contributions in published work, and follow ethical collection, interpretation, and reporting of data. AHRD-associated journals and scholarly publications and AHRD members, editors, reviewers, and authors utilize the publication guidelines as established by the Committee on Publication Ethics (COPE) (<http://publicationethics.org/resources/guidelines>) in support of ethical decision-making and in the resolution of perceived conflicts.

Privacy, Anonymity, and Confidentiality

HRD professionals take reasonable precautions to protect and secure confidential or privileged information generated by or provided to persons and organizations with whom they establish a professional relationship. Decisions regarding the use and ownership of data, limitations on confidentiality, and steps used to safeguard privacy are mutually agreed upon in advance whenever possible.

Teaching and Facilitating

HRD professionals seek to ensure that their programs and/or courses that they facilitate are competently designed and developed. They provide appropriate and up-to-date exchanges and experiences during implementation, meet the requirements of the objectives set by the program, and are accurately evaluated.

Resolution of Ethical Issues and Violations

Rules and guidelines are put in place to ensure that HRD ethical Standards are met by professionals in the field. HRD professionals are knowledgeable of ethical standards and are aware of possible ethical issues in their work. Moreover, they are critical about their and their peers' ethical obligations. Informal mechanisms for reporting and resolving ethical issues/ violations are put in place.

FULL VERSION

The following provides the complete version of the revised AHRD Standards on Ethics and Integrity.

GENERAL PRINCIPLES

Competence

HRD professionals strive to maintain high standards of competence in their work. They recognize the boundaries of their particular competencies and the limitations of their expertise. They provide only those services and use only those techniques for which they are qualified by education, training, or experience.

Professionals realize that the competencies required when working with various groups and organizations differ. In those areas in which recognized professional standards do not yet exist, HRD professionals exercise careful judgment and take appropriate precautions to protect the welfare of those with whom they work. They maintain knowledge of relevant research and professional information related to the services they render, and they recognize the need for ongoing education. They use appropriate research and professional, technical, and administrative resources.

Integrity

HRD professionals seek to promote integrity in their research, teaching, and practice. They are honest, fair, and respectful of others. In describing or reporting their qualifications, services, products, fees, research, or teaching, they do not make statements that are false, misleading, or deceptive. They strive to be aware of their own belief systems, values, needs, and limitations and the effect of these on their work. To the extent feasible, they attempt to clarify for relevant parties the roles they are performing and to function appropriately in accordance with those roles. They avoid potentially conflicting relationships.

Professional Responsibility

HRD professionals uphold professional standards of conduct, clarify their professional roles and obligations, accept appropriate responsibility for their behavior,

and adapt their methods to the needs of different populations. They consult with, refer to, or cooperate with other professionals and institutions to the extent needed to serve the best interests of their clients.

Their moral standards and conduct are personal matters to the same degree as is true for any other person, except as their conduct may compromise their professional responsibilities, or reduce the public's trust in their profession. They are concerned about the ethical compliance of the professional conduct and research of their colleagues. When appropriate, they consult with colleagues in order to prevent or avoid unethical conduct.

Respect for People's Rights and Dignity

HRD professionals accord appropriate respect to the fundamental rights, dignity, and worth of all people. They respect the rights of individuals to privacy, confidentiality, self-determination, and autonomy, mindful that legal and other obligations may lead to inconsistency and conflict with the exercise of these rights. They are aware of cultural, individual, and role differences that include differences due to age, gender identity, race, ethnicity, national origin, religion, sexual orientation, disability, language, and socioeconomic status. They try to eliminate the effect on their work of biases based on those factors, and they do not knowingly participate in or condone unfair discriminatory practices.

Concern for Others' Welfare

HRD professionals seek to contribute to the welfare of those with whom they interact professionally. In their professional actions, they weigh the welfare and rights of their clients. When conflicts occur among professionals' obligations or concerns, they attempt to resolve these conflicts and to perform their roles in a responsible fashion that avoids or minimizes harm. They are sensitive to real and ascribed differences in power between themselves and others, and they do not exploit or mislead other people during or following their professional relationships.

Social Responsibility

HRD professionals are aware of their professional responsibilities to the community, the society, in which they work and live, and the planet. They work to minimize adverse effects on individuals, groups, organizations, societies, and the environment. They understand that a healthy economy, healthy organizations, and a healthy ecosystem are intricately interconnected. They apply and make public their knowledge of learning and performance in order to contribute to human welfare. They are concerned about and work to mitigate the causes of human suffering.

When undertaking research, they strive to advance human welfare, human development, and a sustainable future. They try to avoid misuse of their work. They comply with the law and encourage the development of laws and social policy that serve the interests of their clients, the public, society, and the environment. They are encouraged to contribute a portion of their professional time to enhance societal, organizational, human, and environmental development for little or no personal gain or advantage.

1. GENERAL STANDARDS

Boundaries of Competence

HRD professionals provide services, teach, and conduct research only within the boundaries of their competence, based on their education, training, supervised experience, or appropriate professional experience.

HRD professionals provide services, teach, or conduct research involving new areas or new techniques only after first undertaking appropriate study, training, supervision, and/or consultation with persons who are competent in those areas or techniques.

In those emerging areas in which generally recognized standards for preparatory training do not yet exist, HRD professionals nevertheless take reasonable steps to ensure the competence of their work and to protect clients, students, research participants, and others from harm.

Maintenance of Expertise

HRD professionals maintain a reasonable level of awareness of current research and professional information in their fields of activity and undertake ongoing efforts to maintain competence in the skills they use.

Basis for Research and Professional Judgments

HRD professionals rely on research and professionally derived knowledge when making research or professional judgments or when engaging in scholarly or professional endeavors.

Description of HRD Professional's Work

When HRD professionals provide services to an individual, a group, or an organization, they make available appropriate information beforehand about the nature of such services and, later, appropriate information on results and conclusions.

If HRD professionals will be precluded by law or by organizational roles from providing such information to particular individuals or groups, they so inform those individuals or groups at the outset of the service.

Respecting Others

Where differences of age, gender identity, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status significantly affect the work of HRD professionals as related to particular individuals or groups, HRD professionals obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals.

In their work-related activities, HRD professionals respect the rights of others to hold values, attitudes, and opinions that differ from their own.

Nondiscrimination

In their work-related activities, HRD professionals do not engage in unfair discrimination based on age, gender identity, race, ethnicity, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.

Exploitative Relationships

HRD professionals do not exploit persons over whom they have supervisory, evaluative, or other authority such as students, supervisees, employees, research participants, and clients. HRD professionals do not engage in sexual relationships with students or supervisees in training over whom the HRD professional has evaluative or direct authority, because such relationships are too likely to impair judgment or to be exploitative.

HRD professionals do not engage in sexual harassment

HRD professionals accord sexual-harassment complainants' and respondents' dignity and respect.

HRD professionals do not knowingly engage in behavior that, based on factors such as a person's age, gender identity, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socioeconomic status, is harassing or demeaning to the persons with whom they interact in their work.

Misuse of HRD Professionals' Work

If HRD professionals learn of misuse or misrepresentation of their work, they take reasonable steps to correct or minimize the misuse or misrepresentation.

Multiple Relationships

In many communities and situations, it may not be reasonable or feasible for HRD professionals to avoid social or other nonprofessional contacts with persons such as clients, students, supervisees, or research participants. They must always be sensitive to the potential harmful effects of such contacts on their work and on those persons with whom they deal. Specifically, an HRD professional refrains from entering into or promising a personal, research, professional, financial, or other relationship with such persons in the following situations: (a) when the relationship might impair the HRD professional's objectivity, (b) when it might interfere with the effective performance of his or her function, or (c) when it might harm or exploit the other party.

Likewise, whenever feasible, an HRD professional refrains from taking on professional or research obligations when preexisting relationships would create a risk of such harm.

Consultation and Referrals

With appropriate consent and subject to other relevant considerations, including applicable law and contractual obligations, HRD professionals arrange for appropriate consultations and referrals based principally on the best interests of their clients.

When appropriate, HRD professionals cooperate with other professionals in order to serve their clients effectively and appropriately.

Third-Party Request for Services

When agreeing to provide services to a person or entity at the request of a third party, the HRD professional, at the outset of the service, clarifies to the extent feasible the nature of the relationship with each party. This clarification includes the professional's role (such as organizational consultant, trainer, or evaluator), the probable uses of the

services provided or the information obtained, and the fact that there may be limits to confidentiality.

If there is a foreseeable risk of performing conflicting roles because of the involvement of a third party, the HRD professional clarifies the nature and direction of his or her responsibilities, keeps all parties appropriately informed as matters develop, and resolves the situation in accordance with these Standards.

Delegation to and Supervision of Subordinates

HRD professionals delegate to their employees, supervisors, assistants only those responsibilities that such persons can reasonably be expected to perform competently, based on their education, training, or experience, either independently or with appropriately provided supervision.

HRD professionals provide proper training and supervision to their employees or supervisees and take reasonable steps to see that such persons perform services responsibly, competently, and ethically.

If institutional policies, procedures, or practices prevent fulfillment of this obligation, HRD professionals attempt to modify their role or to correct the situation to the extent feasible.

Documentation of Professional and Research Work

HRD professionals appropriately document their professional and research work in order to facilitate the provision of services later by them or by other professionals, to ensure accountability, and to meet other requirements of institutions or the law.

When HRD professionals have reason to believe that records of their professional services may be part of legal proceedings involving recipients of or participants in their work, they have a responsibility to create and maintain documentation in the kind of detail and quality that would be consistent with reasonable scrutiny in an adjudicative forum.

Records and Data

HRD professionals create, maintain, disseminate, store, retain, and dispose of records and data relating to their research, practice, and other work in



accordance with the law and in a manner that permits compliance with the requirements of these Standards.

Fees and Financial Arrangements

As early as is feasible in a professional or research relationship, the HRD professional and the client reach an agreement specifying the compensation and the billing arrangements.

HRD professionals do not exploit recipients of services or payers with respect to fees.

HRD professionals' fee practices are consistent with the law.

HRD professionals do not misrepresent their fees.

Accuracy in Reports to Payers and Funding Sources

In their reports to payers for services or to sources of research funding, HRD professionals accurately state the nature of the research or service provided, the fees or charges, and, where applicable, the identity of the provider and the findings.

Referrals and Fees

When an HRD professional pays, receives payment from, or divides fees with another professional other than in an employer-employee relationship, the payment to each is based on the services (consultative, administrative, or other) provided.

Research and Evaluation in a Professional Context

HRD professionals warrant their research and evaluation conclusions adequately in a way consistent with the standards of their own theoretical and methodological perspectives.

HRD professionals' reports and statements are based on information and techniques that are sufficient to provide appropriate substantiation for their findings.

HRD professional's design, conduct, and report research and evaluation in accordance with recognized standards of research competence and

ethics. They keep themselves well informed in both their own and competing paradigms, where those paradigms are relevant to their research, and they continually evaluate the criteria of adequacy by which research is judged.

HRD professionals plan their research to minimize the possibility of misleading results.

HRD professionals consult with institutional review boards, where available, or use committees, peer consultations, and other appropriate avenues to consider the ethical acceptability of their research.

HRD professionals take reasonable steps to protect the rights and welfare of human subjects and other persons affected by the research.

Integrity, Justice, Inclusion, and Respect for People's Rights and Dignity

HRD professionals promote accuracy, honesty, and truthfulness in the scholarship, teaching, and practice of their profession. In these activities HRD professionals do not steal, cheat, or engage in fraud, subterfuge, or intentional misrepresentation. They keep their promises, avoid unwise or unclear commitments, and reach for excellence in teaching, scholarship, and practice. They treat students, colleagues, research subjects, and clients with respect, dignity, fairness, and caring. They accurately and fairly represent their areas and degrees of expertise.

HRD professionals recognize that fairness and justice entitle all persons to have access to and benefit from HRD's contributions. HRD professionals, defined as individuals serving in roles actively contributing to HRD focused practice and research, offer equal, high quality processes, procedures, and services while exercising reasonable judgment. They take precautions to ensure that potential biases, the boundaries of their competence, and the limitations of their expertise do not lead to or condone unjust or inappropriate practices.

HRD professionals respect the dignity and worth of all people and the rights of individuals to privacy, confidentiality, and self-determination. HRD professionals are aware that special safeguards may be necessary to protect the rights and welfare of

persons or communities whose vulnerabilities impair autonomous decision making. They are aware of, and respect cultural, individual and role differences, including those based on age, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status and consider these factors when working with members of such groups. HRD professionals try to eliminate the effects of biases based on those factors on their work, and they do not knowingly participate in or condone activities of others based upon such prejudices. The AHRD and its members are committed to providing academic and professional work environments that are free of sexual harassment and all forms of intimidation and exploitation.

2. RESEARCH AND EVALUATION

Within the context of prevailing geographic, societal, cultural, disciplinary, and professional norms, HRD professionals attend to the ethical treatment of study participants; accurate identification of individual contributions to published work; and ethical collection, interpretation, and reporting of data. AHRD-associated journals and scholarly publications and AHRD members, editors, reviewers, and authors utilize the publication guidelines established by the Committee on Publication Ethics (COPE) (<http://publicationethics.org/resources/guidelines>) in support of ethical decision making and in the resolution of perceived conflicts.

Research and Evaluation in a Professional Context

HRD professionals take reasonable steps to protect the rights and welfare of human subjects and other persons affected by their research. They consult with institutional review boards and use committees, peer consultations, and other avenues to consider the ethical acceptability of their research.

Compliance with Laws and Standards

HRD professionals plan and conduct research in a manner consistent with applicable laws and regulations, as well as with professional standards governing the conduct of research, particularly those standards governing research with human subjects.

Institutional Review Board (IRB)

The role of the IRB is to assure that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in research. To accomplish this purpose, IRBs follow a process to review research protocols and related materials (e.g., informed consent documents and investigator brochures), ensuring that research meets the criteria for approval. Where no IRBs are available (not mandated or when the investigator is not associated with an institution), peer committees or other appropriate arrangements are used.

Institutional Approval

HRD professionals obtain appropriate approval from host institutions or organizations prior to conducting research, and they provide accurate information about their research proposals. They conduct the research in accordance with the approved research protocol.

Data Collection

HRD professionals intervene with participants or organizations from which data are collected only in a manner that is warranted by an appropriate research design. HRD professionals who develop and conduct research with tests and assessment techniques use research procedures and current professional knowledge for test, research design, validation, elimination of bias, and recommendations for use.

Responsibility

HRD professionals conduct research competently and with due concern for the dignity and welfare of participants. When necessary, HRD professionals consult experts concerning any issue related to the research, including diverse populations under investigation or likely to be affected.

Informed Consent

HRD professionals inform participants of the nature of the research; they inform participants that their participation is voluntary and that participants can refuse to respond or stop at any time; and they explain the foreseeable consequences of declining or withdrawing. HRD professionals inform participants of significant factors (such as risks, discomfort, adverse effects, or limitations to confidentiality) that may influence the participants' willingness to participate. When HRD professionals conduct research with students or subordinates, they take special care to protect the prospective participants from adverse consequences of declining or withdrawing from participation. When obtaining research participants' informed consent, HRD professionals use language that is reasonably understood by participants, and professionals.

Incentives to Participate

When offering professional services as an inducement to obtain research participants, HRD professionals make clear the nature of the services, risks, obligations, and limitations. HRD professionals do not coerce participation in research projects by offering excessive or inappropriate inducements.

Deception in Research

HRD professionals do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's prospective research, educational, or applied value for which equally effective alternative procedures (without deception) are not feasible. IRB approval is required for such deceptive approaches. HRD professionals never deceive research participants about significant aspects that would affect their willingness to participate, such as unpleasant emotional experiences, discomfort, or physical risk.

Interpretation and Explanation of Research and Evaluation Results

When interpreting research and evaluation results, HRD professionals indicate significant reservations about the accuracy or limitations of their interpretations. HRD professionals retain responsibility for the appropriate application, interpretation, and use of instruments; whether they score and interpret such tests themselves or use automated or other services.

3. ADVERTISING AND OTHER PUBLIC STATEMENTS

Definition of Public Statement

HRD professionals comply with these Standards in public statements relating to their professional services, products, or publications or to their program, institution, or the field of HRD. Public statements include, but are not limited to, paid or unpaid advertising, brochures, printed matter, directory listings, personal resumes or curriculum vitae, interviews or comments for use in media, social media communications, statements in legal proceedings, lectures and public oral presentations, and published materials.

- a. An HRD professional who engages others to create or place public statements that promote his or her professional practice, products, or services retains professional responsibility for such statements.
- b. HRD professionals make reasonable efforts to prevent others whom they do not control (such as publishers, sponsors, organizational clients, and representatives of the media) from making deceptive statements concerning HRD practice or professional activities.
- c. If HRD professionals learn that others have made deceptive statements about their work, HRD professionals make reasonable efforts to correct such statements. HRD professionals do not knowingly make or infer false statements about other professionals, programs, or institutions.
- d. HRD professionals do not compensate employees of press, radio, television, or other communication media in return for publicity in a news item.
- e. A paid advertisement related to the HRD professional's activities must be identified as such, unless that is already apparent from the context.
- f. HRD professionals claim as credentials for their work only those degrees that they earned from an accredited educational institution.
- g. When HRD professionals undertake a new task or program, they are clear that they are in a learning or test mode.
- h. When HRD professionals provide advice or comment by means of public lectures, demonstrations, radio or television programs, prerecorded tapes, printed articles, mailed material, or other media, they take reasonable precautions to ensure that: (a) the statements are based on appropriate HRD literature and practice, and (b) the statements are consistent with these Standards.

4. PUBLICATION OF WORK

General Principle

Consistent with the standards and practices of its four sponsored journals—*Human Resource Development Quarterly*, *Human Resource Development International*, *Human Resource Development Review*, and *Advances in Developing Human Resources*—AHRD aligns its best practices and principles for publication of work with the publication standards from the *Committee on Publication Ethics* (COPE) including:

- a. COPE Guidelines on Good Publication Practice
<http://publicationethics.org/files/u7141/1999pdf13.pdf>
- b. COPE Principles of Transparency and Best Practice in Scholarly Publishing
<http://publicationethics.org/resources/guidelines-new/principles-transparency-and-best-practice-scholarly-publishing>
- c. If there are any discrepancies between COPE and the AHRD Standards, COPE supersedes these Standards.

Reporting of Research and Evaluation Results

HRD professionals do not fabricate data or falsify results.

If HRD professionals personally discover or become aware of significant errors in their published data, they take reasonable steps with the editor to correct such errors with a correction, retraction, erratum, or other appropriate publication means.

Plagiarism

HRD professionals do not present portions or elements of another's work or data as their own; others' work; also, data sources are cited consistent with the COPE guidelines. HRD professionals do not engage in self-plagiarism, as indicated in Duplicate Publication of Data below.

Publication Credit

HRD professionals take responsibility and credit, including authorship credit, only for work they have actually written or to which they have contributed.

Within the practice of local norms and customs, principal authorship and other publication credits accurately reflect the relative professional contributions of the individuals involved, regardless of their relative status. For example, mere possession of an institutional position, such as department chair, does not automatically justify authorship credit. Minor contributions to research or to writing for publication are appropriately acknowledged in footnotes, for instance, or in an introductory statement.

A student is usually listed as the principal author on any multiple-authored article that is substantially based on the student's dissertation or thesis assuming that the student is involved in the writing of the article.

Duplicate Publication of Data

HRD professionals do not publish as original work those articles or other outputs that have been previously published. This does not preclude republishing work, in whole or in part, accompanied by proper acknowledgment. Within AHRD, papers included in proceedings from an AHRD sponsored conference may be submitted to one of the four AHRD-associated journals, per board action. When using information from a previously published article in a new article, the author must use appropriate citations. The COPE guidelines limit the amount of material that can be included in two articles written by an author.

Release of Data

After research or evaluation results are published, HRD professionals do not withhold the data on which their conclusions were based from other competent professionals who seek to verify the substantive claims through re-analysis. Such release is granted to those who intend to use such data only for reanalysis purposes, provided that the confidentiality of participants can be protected and that no legal rights concerning proprietary data preclude such release.

Professional Reviewers

When reviewing material submitted for publication, provided for grants, or included in other research and evaluation proposals, HRD professionals who

recognize the author(s) of that work respect the confidentiality of these author(s) and their proprietary rights. As and when appropriate within any specific context, HRD professionals declare such recognition and withdraw from the review process.

Ownership of Intellectual Property

Certain intellectual products, such as books, tests, and assessments, may be viewed as commodities resulting in royalties coming to the HRD professional. Nevertheless, as a guiding principle, the production or distribution of ideas or other intellectual products must be consistent with academic freedom and the appropriate availability of intellectual products to scholars, students, and the public.

Legal ownership of intellectual products will be determined by relevant international and national law and institutional policies, and otherwise should be based on the following guidelines:

- a. When consistent with related legal and policy guidance, individuals are entitled to profit from the sale or disposition of those intellectual products they create. They may enter into contracts or other arrangements for the publication or disposition of intellectual products and may profit financially from such arrangements—provided such transactions are constructed in accordance with applicable laws and institutional policy.
- b. Arrangements for the publication or disposition of intellectual products should be consistent with appropriate public availability and with academic freedom. Such arrangements should emphasize the academic functions of publication over the maximization of profit.
- c. Individuals or groups who fund or otherwise provide resources for the development of intellectual products are entitled to assert claims to a fair share of the royalties or other profits from the sale or disposition of those products. Because such claims are likely to be contentious, funding institutions and authors should agree on policies for the disposition of profits at the outset of the research or development project.

- d. Authors should not use positions of authority over other individuals to compel them to purchase an intellectual product from which the authors benefit. This standard is not meant to prohibit use of an author's own textbook in a class, but copies should be made available on library reserve or otherwise available so that students are not forced to purchase the book. Some institutional policies require that the royalties from the sales of textbooks to students in a class taught by the author must be turned over to the institution, or that a committee of faculty members must review the text and competing texts and agree that the text is the best one for adoption.

5. PRIVACY, ANONYMITY, AND CONFIDENTIALITY

HRD professionals respect the privacy and confidentiality of the persons and organizations with whom they work, consult, teach, and research. Limitations on privacy and confidentiality and decisions regarding the use and ownership of data and expected data management safeguards are mutually agreed upon in advance whenever possible.

Definition of Terms

Privacy is freedom from unwanted or undue identification or intrusion. HRD professionals acknowledge people's right to control how others access them or collect data from or about them.

Anonymity refers to being unnamed or unknown. Anonymous data are collected without personal identifiers so that no one, not even the researcher, can connect responses to a particular respondent.

Confidentiality refers to regulations that restrict unauthorized access to private information. Confidential data are collected, stored, and disseminated in a manner so that only authorized persons have access to any private or personally identifiable information.

Protection

HRD professionals respect the privacy, anonymity, and confidentiality of those with whom they work, consult, teach, or research, adhering to applicable laws, institutional practices, or professional agreements.

HRD professionals do not attempt to access protected information except as authorized and only for the performance of legitimate duties.

HRD professionals take reasonable precautions to protect the privacy of persons and organizations with whom they develop a professional relationship, as well as maintain the confidentiality of privileged information. All identifiable information is treated as confidential even in the absence of specific legal protection. HRD professionals take reasonable and lawful steps

to protect records and data in their control throughout the entire data lifecycle, from creation to destruction in a manner that permits compliance with the requirements of these Standards.

HRD professionals may benefit from consulting Information Security professionals when developing data lifecycle plans that ensure privacy, anonymity, confidentiality, integrity, and availability.

Limitations

HRD professionals discuss and agree upon expectations and limitations of privacy, anonymity, and confidentiality with persons and organizations with whom they establish a professional relationship. This agreement should occur at the outset of the relationship, in advance of providing services, and in writing, whenever possible.

HRD professionals discuss with clients and agree upon the ownership and foreseeable uses of the information collected and generated through their services in advance in order to protect privacy, anonymity, and confidentiality. If potential conflicts of interest are possible, such as between an organization and employees relating to privacy, anonymity, and confidentiality, HRD professionals clearly establish in advance whether information obtained from or about employees will be disclosed to the organization or remain anonymous or confidential.

Discussions of privacy, anonymity, and confidentiality may occur throughout the professional relationship as new or unforeseen circumstances warrant.

Ownership of Work Product

HRD professionals discuss with clients and agree upon the ownership and foreseeable uses of the information collected and generated through their services in advance.

Ownership of information carries an expectation of rights and responsibilities, such as granting or denying access and securing appropriate data storage. Merely possessing or having access to information does not automatically grant ownership privileges.



Data Collection, Storage, Usage, and Disposal

HRD professionals obtain permission to record interviews or collect data in advance (see Informed Consent).

Privacy, anonymity, and confidentiality are not required when data are collected through public records; or, by observing activities conducted in public, where there is no expectation of privacy by law or local custom.

HRD professionals use caution when technology outpaces ethics guidelines or regulations. Recruiting and screening potential research participants via the internet or transferring data may increase privacy, anonymity, and confidentiality concerns. While internet users may have agreed to terms of use that makes information public, HRD professionals have a responsibility to protect personally identifiable information.

HRD professionals maintain confidentiality when creating, storing, accessing, transferring, and disposing of records under their control, in accordance with law and institutional standards, regardless of medium. They design and implement administrative processes that preserve the anonymity or confidentiality of personally identifiable information. HRD professionals take extra measures to protect privacy, anonymity, and confidentiality in instances where a few identifiers are sufficient to identify a person or organization even when not overtly named.

HRD professionals limit access to records and data to only authorized persons for authorized purposes. They have a contingency plan for dealing with a security breach and immediately report unauthorized access or acquisition of data to all involved parties and as required by law and organizational policies.

HRD professionals consider long-term use and storage of data. They make plans in advance to protect privacy and confidentiality of records and of data considered confidential in the event of the HRD professional's death, incapacity, or withdrawal from the position or consulting practice.

Disclosures

HRD professionals may disclose confidential information with the appropriate consent of the individual or organizational client or their legal representative.

HRD professionals disclose confidential information without the consent of the individual or organization only as mandated or permitted by law and only to the extent necessary to achieve the specific purpose.

HRD professionals do not reveal anonymous or confidential information that reasonably could lead to the identification of a client, student, or other person or organization without prior authorization. To minimize intrusions on privacy, HRD professionals' reports and presentations include only the information germane to the purpose for which the communication is made. Personal identifiers are removed before sharing raw data.

HRD professionals disclose any existing or potential conflicts of interests and do not personally, professionally, or financially benefit from confidential information that has not been made public or available via alternate means.

6. TEACHING AND FACILITATING

Design, Development, Implementation, and Evaluation of Programs

HRD professionals seek to ensure that their programs, or those in which they participate, are competently designed and developed, provide proper exchanges and experiences during implementation, meet the requirements of the objectives set by the program, and are accurately evaluated.

Descriptions of Programs

HRD professionals responsible for such programs seek to ensure that there is a current and accurate description of the program content, goals, and objectives and that the requirements for completion or implementation are clearly specified. This information is made readily available to all interested parties.

HRD professionals seek to ensure those statements concerning their course outlines or program objectives are accurate and not misleading, particularly regarding subject matter to be covered or outcomes to be achieved. In addition, the basis for evaluation of progress, successful completion, or successful implementation is clearly identified to avoid false or deceptive statements.

To the degree to which they exercise control, HRD professionals responsible for announcements, catalogs, brochures, advertisements, agendas, or proposed interventions that describe workshops, seminars, non-degree-granting programs, degree-granting programs, or proposed deliverables accurately describe the audience and the intended influence or effect on that audience. All fees involved also must be disclosed.

Accuracy, Objectivity, and Professionalism in Programs

No data, information, or knowledge presented in a learning environment is distorted, manipulated, or misused.

When teaching or training, HRD professionals recognize the power that they hold over students, supervisees, and clients. Therefore, they make

reasonable efforts to avoid engaging in conduct that is personally demeaning or harassing, and they do not engage in conduct that demonstrates a lack of respect for others.

Competencies for Training and Instruction

HRD professionals undertake training or instruction in the use of techniques or procedures that require certification, licensure, or expertise only if they possess the appropriate prerequisite preparation.

Assessment of Performance

HRD professionals establish proper processes to provide feedback about individual performance to students, supervisees, or clients, respecting their right of privacy.

HRD professionals base the evaluation of students, supervisees, or clients on each individual's actual performance relevant to the expected requirements.

Assessment of Academic Programs

HRD professionals engaged in assessment of HRD academic programs should use, as much as possible, the Academy of Human Resource Development Standards for HRD Graduate Program Excellence (2008).

HRD professionals establish proper processes to provide feedback about academic programs.

HRD professionals base the evaluation of academic programs on actual performance relevant to the expected requirements.

7. RESOLUTION OF ETHICAL ISSUES AND VIOLATIONS

Familiarity with Ethics

HRD professionals have an obligation to be familiar with this document, the Committee on Publication Ethics Guidelines (COPE) (<http://publicationethics.org/resources/guidelines>), other applicable standards, and the application of ethics to their profession. Lack of awareness or misunderstanding of an ethical standard is not an excuse for unethical conduct.

Informal Resolution of Ethical Violations

If informal resolution appears appropriate and if the intervention does not violate any human rights, attempts to resolve such violations should be made by bringing the issue to the attention of the individual(s) involved. HRD professionals should consult with peers to explore alternative approaches to ethical issues and concerns.

Conflicting Pressure with Organizational Demands

If a conflict arises between these Standards and organizational demands, the HRD professional should consult with a group of peers who will clarify the nature of the conflict, make known their commitment to these Standards, and, to the extent feasible, seek to resolve the conflict in a way that permits the fullest adherence to these Standards.

Improper Complaints

HRD professionals do not file or encourage others to file complaints that are frivolous and/or are intended to harm the person(s) involved rather than protect the public and the profession.

Resolution of Ethical Issues

When an HRD professional is uncertain whether a particular situation or course of action would violate this document, he or she should consult with other professionals knowledgeable about ethical issues or

with other appropriate authorities in order to choose a proper course of action. Any member of the AHRD Executive Committee (past president, president, or president elect) can provide such consultant.

Cooperation with Ethical Investigations

HRD professionals cooperate in ethics investigations, proceedings, and the resulting activities of any professional organization involved with performance improvement, training, instruction, or learning, when deemed appropriate and reasonable. In so doing, they make efforts to help resolve any issue related to possible violations of ethics.

Addressing Ethical Issues Related to AHRD Journals

Should an ethical concern arise regarding publication in an AHRD affiliated journal, authors and journal stakeholders should follow procedures as established by the journal's editorial board and the publisher, and remain consistent with related procedures established by COPE (<http://publicationethics.org/resources/guidelines>).

Addressing Ethical Issues Related to AHRD Proceedings

Should an ethical concern arise regarding publication in an AHRD-affiliated conference proceedings, authors and journal stakeholders should follow procedures as established by the proceedings editors, editorial staffs, and the AHRD board of directors consistent with this document and related procedures as established by COPE.

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