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## Nurturing a Culture of Responsible Conduct of Research to Support Safe Disclosure

Grace Kelly

Western University, gkelly4@uwo.ca

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### **Abstract**

Pressures to publish, which are prevalent in higher education, can lead to research misconduct and, in the absence of clear, safe disclosure policies—and mechanisms and structures to support them—individuals affected by research misconduct may fear retaliation when speaking up. This Organizational Improvement Plan examines how to foster a climate where individuals feel supported and are encouraged to speak up if they witness research misconduct at Forest University (a pseudonym), a research-intensive university in Ontario, Canada. In alignment with my values, the change process is guided by authentic and ethical leadership perspectives. The Change-Path Model, supported by Beckhard and Harris' Change-Management Process, is the change framework to address the Problem of Practice (PoP). Krüger's Iceberg Model of Change and an adapted readiness rubric have been used to deepen my understanding of the organizational culture and to identify expected and unexpected resistance points. The Plan-Do-Check-Act cycle will be used to determine where refinement is needed. Forest University has a large, diverse population of students, faculty, and staff. A working group will be assembled using shared equity leadership to ensure a range of lived and learned experience to address the PoP and support the change. The proposed solution takes a hybrid approach that focuses on introducing mechanisms and structures to support policy, including hiring a dedicated role to develop training and education, serve as an intake for research misconduct concerns, and to keep policy up to date.

*Keywords:* safe disclosure, retaliation, research misconduct, responsible conduct of research, authentic leadership, ethical leadership

## Executive Summary

This Organizational Improvement Plan (OIP) addresses a challenge that, while on the radar, is not yet at the forefront of discussions. In the absence of external guidance, Canadian institutions of higher education are currently in a position where they must create their own safe disclosure policies, procedures, and supports. This OIP addresses the following Problem of Practice (PoP): a lack of mechanisms and structures to support safe disclosure of research misconduct at Forest University (a pseudonym), a research-intensive university in Ontario, Canada. While the organization recently revised its institutional research integrity policy, it was never implemented or communicated to the research community due to changing leadership and resources. This has led to a gap in awareness of its existence and limited its effectiveness. Policies should not be created to merely sit on a shelf; they should be brought to life.

An overview of the organization is presented in chapter 1 to provide a deeper understanding of the politics, structure, strategy, and practices in which the PoP is situated. Forest University recently implemented a new strategic plan that aspires to lead in the creation of a more just society and to create an environment that supports everyone's well-being, health, and development, which aligns with the PoP and OIP. A PESTEL analysis, used to analyze and monitor the environment, adds context by identifying internal and external factors that shape the organization and shed light on threats and trends that will help inform the change process. Notably, the PESTEL analysis highlights that, while institutional policies exist, they do not relate to research conduct. Addressing research misconduct across the institution requires increased collaboration given that there is little external guidance to support the implementation of policy. As the expert in responsible conduct of research at the institution—but lacking positional authority and agency—I will use my soft power, and influential and relational agency, combined with the support of the Vice-President (Research), to implement change.

The solution for addressing the problem is identified in chapter 2. A hybrid approach has been selected to address gaps between the present and ideal state. This approach focuses on

introducing mechanisms and structures to bring the policy to life by hiring a dedicated role who will develop training and education, serve as an intake for research misconduct concerns, and keep policy up to date, implemented, and communicated. Current gaps include inconsistent, non-inclusive policies that lack specific information on safe disclosure, unclear processes for handling allegations of research misconduct across the institution, and a lack of education and communication of policies and procedures. The solution will provide incremental changes needed to effectuate larger change to foster a climate that encourages individuals to speak up when they witness research misconduct. Applying an interpretive approach (Burrell & Morgan, 1979; Cohen et al., 2011; Putnam, 1983), which underpins my leadership frameworks of authentic (Avolio & Gardner, 2005; George, 2003; Luthans & Avolio, 2003) and ethical leadership (Ciulla, 2018; Ciulla, 2005; Treviño et al., 2000), will allow me to lead the change by involving those affected by the change as much as possible from the beginning and maintaining contact with them throughout to build and maintain trust. Use of Krüger's Iceberg Model of Change (Buller, 2014) helped deepen my understanding of organizational culture and identify expected and unexpected points of resistance—changes in leadership, pandemics, different beliefs, power dynamics, and politics—which, now identified, can be mitigated during implementation. Application of an adapted readiness rubric (McKnight & Glennie, 2019) has indicated that, while the institution's readiness for change is quite high, there are areas that will require movement from the "Getting Ready" or "Not Ready" state to "Ready" before the change can proceed. Areas requiring movement include leadership commitment and support of the proposed change, staff member capacity, and ensuring the proposed change is viewed as positive and needed by all affected. Work done through the early stages of the change process preparation will help to move these areas to the "Ready" state.

Finally, chapter 3 presents a detailed change implementation plan guided by the Change-Path Model (Deszca, 2020; Deszca et al., 2020) as the primary change framework, and supported by the Plan-Do-Check-Act (PDCA) (Johnson, 2002) and Beckhard and Harris' Change-Management Process (1987). Progress will be monitored and evaluated throughout the implementation to ensure

goals of increased supports, awareness, and knowledge are met. Collaboration with colleagues across the institution is essential to ensure successful implementation of the change plan. As such, a working group will be assembled using shared equity leadership (Kezar et al., 2021) to acquire a diverse range of lived and learned experience. This diversity will enable us to better foster trust and help people feel more comfortable having their voices heard. Taking this important step will ensure the diverse population of students, faculty, and staff at Forest University is strongly considered during implementation and future policy revisions.

While the hybrid solution will be first-order change, it is my hope that resulting incremental changes will lead to larger, second-order change: a culture that promotes safe disclosure and encourages individuals to speak up when they witness research misconduct. Culture change is unlikely during the 24-month timeline proposed for this change. As such, progress or lack of progress will be shared with decision-makers with the goal of continuing to mobilize change within the institution and externally to national networks and funders. Future considerations for change include further revisions to the institutional research integrity policy and corresponding procedures. Additions should include anonymous reporting, a process for handling retaliation allegations, increased supervisory responsibilities, and inclusion of retaliation as a violation of policy, with the application of corrective and preventative measures when violated.

## Acknowledgements

When I embarked on this degree in 2020, the world was a much different place. Six months into an ongoing, global pandemic, everyone was adjusting to the new normal. Having just completed my master's degree, I thought, there could be no better time to undertake a three-year, doctoral degree. This degree, alongside many other moving pieces, challenged me. I am grateful for every one of you who walked beside me and supported me throughout this journey.

I will start by sharing my appreciation for the many professors and supportive colleagues in the Faculty of Education who guided me and from whom I was fortunate to learn. I have a new appreciation for each of the different perspectives you brought to my learning. Your continuous reminders to trust the process grew on me. A special thank you to Dr. Beate Planche for your patience and your wisdom, which helped me craft this OIP into what it has become.

Next, to my fellow 2020 EdD cohort classmates: three years ago, we began this journey as tiny squares on a Zoom screen, not having a clue of what was in store for us. Each of us has encountered personal and professional changes in our lives during this degree, and the strength and resiliency I have seen in each of you has been incredibly inspiring. We have watched each other grow and have learned so much from each other. I am grateful we were able to take this journey together, for the encouragement we shared during the hard moments, and the excitement when we celebrated each milestone. Thank you to Ranabelle for being my Virgo bestie and for your gracious encouragement and promise of donuts that helped keep me going and to Jocelyn for being an APA superstar and for keeping me laughing throughout these three years. To my year-three crew, thank you for helping me refine this OIP and all your support through the final push.

To those of you who have come before me in this doctoral journey, I am grateful for your advice and reminder that all these feelings are normal.

Thank you to my family and my friends who asked me every time they saw me how my degree was going and for being so interested and proud of what I was doing. For celebrating each milestone with me along the way to keep me going.

To my mom, dad, sister, Teresa, Brad, and Linda, thank you for your constant reminders of how extremely proud of me you are, you will never know how much those words kept me going. For your check-ins during some very gruelling writing sessions. Thank you for stopping in to make sure I got up from my computer, walked around and got some fresh air, and for reminding me sleep is important, too. Thank you for continuously reminding me to be gentle on myself, and to take care of myself through the process. Thank you for celebrating the successes and for being there and listening when times were tough. I am grateful to you all for your full love and support, which has helped me get through the last three years.

Finally, to my husband, Douglas. Words cannot express how grateful I am for you and all the support you have given. It has never wavered. You have been my extra set of eyes, my calm during the storm, my tapper of the note; you picked up things where I could not, you reminded me that I had this, even when I absolutely did not think I did. Thank you.

## Preface

“There is no greater agony than bearing an untold story inside you.”

—Maya Angelou, *I Know Why the Caged Bird Sings*

This Organizational Improvement Plan (OIP) is a culmination of three years of hard work and many years of personal and professional experience. I believe that we grow by understanding the world around us. As such, I work to build genuine relationships and involve myself in projects that provide me opportunities to learn and grow. I value fairness, and believe in doing the right thing and in reinforcing ethical behaviour. I care deeply and want to make a positive difference. As a formal leader, I strive to empower those around me. These values and personal attributes guide this OIP and support my approach to solving the Problem of Practice (PoP). They are at the heart of my role in leading change from the perspective of an ethical and authentic leader.

I stepped into higher education almost a quarter century ago. A college diploma, two undergraduate degrees and a master’s degree later, I embarked on this doctorate which has taught me to look at a problem from as many different perspectives as possible. Throughout all those degrees, I had friends and classmates who shared with me their lived experiences of struggling with speaking out. The world was a much different place then. Now, with a global pandemic under our belts, pressures to publish and to do more with less have intensified. Six years ago, I entered the world of research integrity. The learning curve was steep and I was surprised by the number of calls I received from people who sought my advice about their options. They asked if they would be safe if they spoke up. I couldn’t guarantee that to be the case. It cannot be guaranteed with the current systems we have in place.

Four years ago, I found myself sitting in a crowded room at the World Conferences on Research Integrity at the University of Hong Kong. The keynote was a young man, Joe Thomas, who had been all over the news and we were all interested to hear *his* story. He stood in front of us and explained the agony and stress he felt for years. As a postdoc at Duke University, he had been afraid

to speak up, afraid of what he might lose if he spoke up against a researcher whose research results just didn't seem right. Joe feared losing his career, his degree, everything. He left that lab and the university and, while he still feared losing it all, he knew he had to say something. Joe spoke up. Duke University was forced to pay \$112.5 million dollars in reimbursement to funders for falsified data. Joe was awarded \$33 million dollars of that sum for coming forward (Chappell, 2019; Korn, 2019; Oransky, 2019).

While I sat at my desk developing a report about research integrity and compliance gaps at my institution, I gathered information to illustrate the need for a research compliance and integrity program. This is when I came across the story of Huixiang Chen in a newspaper article and my heart sank. Huixiang was a young PhD student in computer engineering at University of Florida. Huixiang's work visa was controlled by his supervisor and he and his supervisor did not see eye to eye. He was pressured to submit a research paper with false data and expressed hopelessness about exposing his supervisor. Huixiang eventually voiced his concerns to his supervisor, which escalated into an argument. Later that week, Huixiang was found, on the university's campus, having died by suicide. The university reported that students began to leave the engineering program, indicating they would rather drop out than deal with situations where they are uncomfortable speaking up (Chawla, 2021; DeLuca, 2021; Feldman, 2021; Flaherty, 2021; McCarty, 2021; Weber, 2021).

Joe and Huixiang are just two of the thousands of examples I have read about, heard firsthand, or witnessed. Two voices – one that was never heard. There are thousands of other voices. This OIP is an attempt to help create safe spaces and empower people to find theirs.

Because one death is one too many.

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### List of Acronyms

BOG	Board of Governors
CEPA	Canadian Environmental Protection Act
CIHR	Canadian Institutes of Health Research
COVID	SARS-CoV-2 Coronavirus Disease
CPM	Change-Path Model
EMA	Executive Management Association
ESA	Employment Standards Act
FUFA	Forest University Faculty Association
FUSA	Forest University Staff Association
GR	Getting Ready
KMb	Knowledge Mobilization
MIPP	Manual of Institutional Policies and Procedures
NR	Not Ready
NSERC	Natural Sciences and Engineering Research Council
OIP	Organizational Improvement Plan
PDCA	Plan-Do-Check-Act
PESTEL	Political, Economic, Social, Technological, Environmental, and Legal
PoP	Problem of Practice
PSDPA	Public Servants Disclosure Protection Act
R	Ready
RCR	Responsible Conduct of Research
REB	Research Ethics Board
SMART	Specific, Measurable, Achievable, Relevant, Time-Bound
SSHRC	Social Sciences and Humanities Research Council
TCPS2	Tri-Council Policy Statement 2

VPR	Vice-President (Research)
WCRI	World Conferences on Research Integrity
WIIFM	What's In It For Me

## Definitions

**Forest University:** is the pseudonym I use throughout this document to refer to my institution, in line with the anonymization requirement of the Organizational Improvement Plan.

**Safe Disclosure:** refers to the good faith reporting of allegations of research misconduct and the associated protection from reprisal for those who make those allegations.

**Responsible Conduct of Research (RCR):** is the behavior expected from those conducting or supporting research activities. It involves the awareness and application of professional norms, ethical principles and values including honesty, trust, and fairness (Government of Canada, 2021).

**Research Misconduct (Breach):** is defined as the failure to comply with any Agency policy throughout the life cycle of a research project (Government of Canada, 2021, p. 8).

**Retaliation:** is defined as any adverse action taken against someone by an institution or one of its members in response to a good faith allegation of research misconduct; or a good faith cooperation with a research misconduct proceeding (Department of Health and Human Services, 2005).

**Research Integrity:** is the use of honest and verifiable methods throughout the life cycle of the research, with particular attention to adherence to rules, and following commonly accepted professional codes or norms (National Institutes of Health. Grants & Funding, n.d.).

## **Chapter 1: Introduction and Problem of Practice**

The goal of an Organizational Improvement Plan (OIP) is to benefit an organization by finding solutions to address a Problem of Practice (PoP) and lead change. This OIP begins with an introduction of my leadership position and lens statement, and an overview of the organizational context in which the PoP is situated. The gap between current practices and the desired organizational state becomes evident and the PoP that exists at the intersection of this gap is introduced and positioned within the organizational context. Next, the PoP is situated within the theoretical viewpoint that shapes practices associated with the problem to provide a deeper understanding of why change is needed. An interpretive worldview underpins my authentic and ethical leadership approaches that influence the OIP. I present three guiding questions that will inform the development of solutions and my leadership-focused vision for change. In line with the anonymization requirement of the OIP, the pseudonym Forest University has been selected as the organization's name.

### **Leadership Position and Lens Statement**

Within this section, I discuss my role and agency relative to the OIP, and how my values and beliefs align with the authentic and ethical leadership approaches that will be used to address the PoP at Forest University.

### **Role Overview**

As a mid-level leader in research administration at Forest University, the work I do—managing allegations of research misconduct and situations arising where an individual does not feel safe coming forward with an allegation—directly relates to the PoP. I have worked within the scope of responsible conduct of research (RCR) for more than 15 years at Forest University, specifically in relation to human participant research ethics, research compliance, and research integrity. Recently, I led the review and revision of Forest University's research integrity policy, where I used a broad, consultative approach. Throughout my time at Forest University, I have gained a large amount of institutional knowledge and have also built and fostered many strong, trusting relationships with

colleagues. This has led to my serving as a resource for change-making processes, as evidenced by the compliance risk analysis senior leadership requested me to perform in 2017. My understanding of the institution, experience, and regular interactions with the Vice-President (Research) (VPR), senior leaders, and colleagues in the field of RCR across Canada have helped me identify the PoP and its accompanying complexities.

### **Values and Beliefs**

I value genuine relationships, fairness, collaboration, integrity, and trust. Crawford et al. (2020) emphasize that “an authentic leader must be an authentic individual” (p. 118). As an authentic individual, my values align closely with the ethical and authentic leadership perspectives I have selected to support my approach to addressing the PoP, and my role in leading change through this OIP. Manning (2018) discusses the importance of relationships and suggests “[d]ecisions are not made in isolation but in relationship to others who are invested in the outcome to some degree” (p. 159). By building relationships, collaborating, and consulting with those invested in the allegation process at Forest University, I will be able to better understand the complexities that exist related to the PoP and inform decisions made throughout this OIP.

### **Agency**

I have a great deal of relational agency, influence, and soft power; however, I lack positional agency and formal authority. In building relationships, I do so intentionally, which allows me to access a subtle form of power to influence others (Lumby, 2019). This aligns closely with my authentic leadership approach. While I do not have the formal authority to make changes at the institutional level, I am the expert in RCR at Forest University and am looked to for input and advice on all related matters. Although I work closely with all levels of leadership, there are situations where I am not invited, welcome, or where it is not appropriate for me to be included in conversations due to my lack of a senior title and formal authority. Manning (2018) suggests that while anyone can make a decision, only those with “power and authority” (p. 75) can implement

that decision. In light of this, my soft power, influential, and relational agency will enable me to implement change with the support and formal leadership of the Vice-President (Research).

### **Leadership Approach**

Through experience leading change, I have come to understand that changes related to culture shift should be incremental, well-managed, and continuous, rather than quick and disruptive. Kindler (1979) suggests incremental change involves less cost and time and provides more stability, making it the more popular choice. I compare this incremental change process to the metaphor of planting and growing a garden. Incremental change, also known as first-order change, “involves a variation that occurs within a given system which itself remains unchanged” (Watzlawick et al., 1974, pp. 10-11). Like first-order change, the flowers or crops change each year, but the foundation of the garden—the soil, nutrients, location, environment—remains the same. It is, however, important to prepare the soil, plant the seeds, and nurture them to grow. To continue the metaphor, nurturing a culture of RCR to support safe disclosure requires building trust (preparing the soil), fostering relationships (planting the seeds), and modelling the way (nurturing with water, fertilizer, and sun). It is important and helpful to consult those affected by the change to understand their perspective. This aligns closely with authentic, ethical, and interpretive approaches. It is similarly important to nurture relationships and trust before consultations begin to ensure there is not a collapse in trust or a breakdown to these relationships during the change.

Authentic leaders provide supports necessary to lead changes in culture as they are trusted and focus on the input of others, while promoting a positive ethical climate (George, 2003; George & Sims, 2007; Ilies et al., 2005; Luthans & Avolio, 2003; Walumbwa et al., 2008). Authentic leadership helps build genuine connections based on trust, honesty, and respect, which are necessary to conduct consultations and to establish collaborations required to understand individual needs. Applying an authentic leadership approach will help empower those around me to support change. Through the positive and influential nature of authentic leaders, followers and leaders develop together (Avolio & Gardner, 2005; Ilies et al., 2005; Leroy et al., 2012). As followers begin to see who

they are, they become more transparent with the leader, and both leaders and followers benefit from this growth. This leads to a more positive and supportive work environment.

Ethical leaders have attributes of honesty, fairness, and integrity, and influence followers to do the right thing by promoting appropriate conduct, encouraging them to step forward when needed, and to have a voice (Brown et al., 2005; Louis & Wahlstrom, 2011; Monahan, 2012; Treviño et al., 2000). While not my dominant leadership approach, I will apply ethical leadership to the OIP to encourage, support, and build trust as there may be a lot of emotion for those involved in bringing forward allegations. Working with the research community to build relationships will help gain greater insight into how individuals feel protected and builds on Furman's (2004) work on ethic of community. While the traditional definition of ethics focuses on moral duty and obligation, Furman (2004) defines "ethic of community as the moral responsibility to engage in communal processes" (p. 215). The focus is, therefore, on understanding and serving the needs of the community. In my experience, building relationships and engaging the community helps empower individuals and puts meaning behind the change as the community can see itself reflected in the change. An ethic of community leads to a leadership practice based on skills, such as "listening with respect; striving for knowing and understanding others; communicating effectively, working in teams; engaging in ongoing dialogue; and creating forums that allow all voices to be heard" (Furman, 2004, p. 222). As the leader of the proposed change of this OIP, I will tap into these skills and model behaviour, as Bedi et al. (2015) explain ethical leaders model their behaviours to followers. By showing respect and communicating openly, I will build trust and increase engagement throughout the change process.

An interpretive approach (Burrell & Morgan, 1979; Cohen et al., 2011; Putnam 1983) underpins my leadership perspective. Theorists rooted in the context of the interpretive paradigm seek to understand the subjective, everyday world and human experience, and how people act and interact with each other knowing that each interaction differs (Alharahsheh & Pius, 2020; Burrell & Morgan, 1979; Cohen et al., 2011; Gunbayi & Sorm, 2018). Interpretivists focus on action, "begin

with individuals and set out to understand their interpretations of the world around them” (Cohen et al., 2011, p. 18). Albrow (1980) suggests, “[i]nterpretivists operate by questioning the very existence of an organization” (as cited in Putnam, 1983, p. 45). While Furman’s (2004) ethic of community focuses on *community*, an interpretive approach (Cohen et al., 2011; Putnam 1983) focuses on the *individual* to learn about the community. The interpretivist leader “serves as a facilitator and collaborator” (Capper, 2019, p. 59) to understand the environment. As such, I will work as a facilitator, collaborator, and as an ethical leader to build relationships and gather a deeper understanding research misconduct and supports needed. Cohen et al. (2011) caution that “[t]here is a risk in interpretive approaches that they become hermetically sealed from the world outside the participants’ theatre of activity” (p. 21). Considering this, it will be important for me to also look outside the organization. While understanding institutional realities at Forest University as they relate to research misconduct is key, understanding the external environment will help strengthen proposed solutions to the problem and make solutions more applicable to other Canadian institutions.

### **Organizational Context**

This section provides an overview of the organizational context of Forest University to present a deeper understanding of the politics, structure, strategy, and practices in which the PoP is situated. Forest University is a large, research-intensive university in Ontario, Canada with a large student population from around the globe. Ranked as one of Canada’s top research-intensive universities, scholars at Forest University advance knowledge that benefits the development of citizens locally, nationally, and globally through fundamental and applied discovery and other scholarly activities (Forest Research, 2022). Led by the Vice-President (Research), Forest Research is the university’s central research support unit committed to supporting all research, scholarship, and creative activity conducted at Forest University or by its researchers.

## **Strategic Plan**

With a long history of advancing knowledge in a strong academic and research environment, Forest University's new strategic plan looks to educate, support, and encourage leaders to think and act boldly, and to build a university more energized, influential, and inclusive than ever before (Forest University, 2021). The new plan focuses on Forest University's aspiration to create a more just and inclusive society and highlights the concept of thriving through belonging by supporting the university community's physical and mental well-being. These areas of the new strategic plan create space for the PoP I will present. Forest Research developed and implemented a research-specific strategic plan that aligns closely with the organizational strategic plan. This plan will accelerate Forest University's research momentum by guiding activities that facilitate the production of research, scholarship, and creative activity in line with the university's mission and vision. Guiding principles and goals in this plan that relate directly to my work include enhancing research support and balancing risks and opportunities, which respect Forest University's core commitments to being responsible stewards of knowledge, helping safeguard research activities, and ensuring compliance with regulations governing research (Forest University, 2022).

My role ensures compliance with regulations governing research and safeguards research activities. Allegations of misconduct can occur when systems for prevention, training, and education are not in place. Individuals may fear retaliation if a safe space for disclosure has not been created. Prevention of research misconduct is ideal; however, supports must be in place to foster a psychologically safe climate that encourages individuals to speak up when they witness research misconduct.

## **Organizational Structure**

Forest University operates under a bicameral governance system, with a Board of Governors (BOG) and Senate, like many other Canadian universities (Jones et al., 2004). The organization of senior leadership is hierarchal and includes a President, Provost, and a senior leadership team that includes a Vice-President (Research). Over the last five years, the senior leadership team has

changed significantly, with some roles changing more than once. Achieving consensus from senior leadership can be difficult given all this change, particularly with many competing priorities, which also continue to shift. By directly supporting the Vice-President (Research), and overseeing the allegation process, I have learned that the low number of reported allegations may be representative of a fear to report. Due to the confidential nature of allegations and potential underreporting, it is difficult to illustrate the magnitude of the PoP to leadership. While this change will be led at the Vice-President (Research) level, it is still important for all leaders to understand any changing trends or major concerns on campus so resources can be re-distributed as needed and support can be provided by leadership to help foster change.

Forest University has a diverse workforce of staff and faculty across several employee groups, unions, and associations. Employee groups specifically relevant to my work include the faculty union, Forest University Faculty Association (FUFA), which represents full-time professors (excluding clinical faculty), part-time faculty, librarians, and archivists. The faculty union has a strong collective agreement and requires consultation before moving ahead with any major changes on campus. The Executive Management Association (EMA) represents full-time employees engaged in managerial and professional roles across the university. The Forest University Staff Association (FUSA) represents employees engaged in support roles. Both the EMA and FUSA include staff who may have research administration oversight duties.

### **Organizational Culture and Change**

Change can be difficult to implement in a large organization like Forest University as there are many competing priorities, strong collective agreements, resistance to change, and various political, economic, and social contexts that influence strategic planning and decision-making. Under previous leadership, there was a tendency toward top-down, non-consultative decision-making. I have witnessed breakdowns in communication, trust, and relationships when proper consultation of key members from across the organization has not occurred. A broad consultation process was applied, and everyone was invited to participate and provide input during the most recent revision

of Forest University's strategic plan. Many colleagues explained, through personal conversations, that they felt like their voices were reflected in the plan and that they felt they were part of the process. This broad consultation process was also applied to the revision of the strategic research plan and many other recent cross-campus initiatives. Consulting with key groups provides an effective way to ensure associated collective agreements, policies, and feedback from these key employee groups are considered during the change and helps to form allyships with these groups.

### **Funding and Accountability**

Research at Forest University is heavily funded by the Canadian government, specifically Tri-Agency grants from Canadian Institutes of Health Research (CIHR), Social Sciences and Humanities Research Council (SSHRC), and Natural Sciences and Engineering Research Council (NSERC). With this funding comes expectations for the conduct of Agency-funded research. Existing guidelines do not provide substantial information about safe disclosure to support institutional policies. In my experience, it can be difficult to implement and enforce institutional policy without something to point to that supports the policy externally. Institutions and researchers must be accountable to their funders to ensure the transparent, ethical, and responsible use of funds; however, while many government guidelines lay the groundwork for conducting ethical research, they do not specifically provide guidance on the promotion of safe disclosure.

### **Research Integrity at Forest University**

Globally, research misconduct is on the rise (Tijdink et al., 2014). Factors contributing to this upsurge include increased pressures due to neoliberalism in higher education that cause competition amongst researchers (Anderson et al., 2007) and "career and funding pressures" (The National Academies of Sciences, Engineering and Medicine, 2017). During COVID, I witnessed researchers forced out of their labs as working from home became necessary. Researchers had to pivot from previously planned face-to-face research to new ways of collecting data or conducting research. Students nearing the ends of their degrees became worried about being able to finish their research, which led to increased pressures. Stuart et al. (2022) posit "[t]he 'publish-or-perish'

phenomenon is not a new concept, but our evidence points to pre-existing stressors, such as competitiveness for funding and academic positions, and pressure to publish being amplified by the pandemic” (p. 17). Locally, at Forest University, allegations of research misconduct have increased steadily in recent years (Forest University, n.d.), and this may in part be to increasing competitiveness and pressures to publish being amplified.

I recently led the revision of Forest University’s R.I. Policy, Responsible Conduct of Research (Forest University, 2022a). In addition to substantial revisions to the policy, I made the decision, based on feedback, to separate procedures from policy, making the process clearer. All new allegations of research misconduct are directed to, and managed by, the Vice-President (Research) and me. Allegations are complex and may overlap with other support units, including Graduate and Postdoctoral Studies, Faculty Relations, legal counsel, and Human Resources. As such, there are many instances where these units may be brought into the review process. Where collaboration should exist with and between these units, the current process remains inefficient due to competing priorities and different unit goals.

### **Leadership Problem of Practice**

After witnessing research misconduct, an individual may find themselves in a dilemma as to whether to speak up (Malek, 2010) due to “fear of negative consequences on career and retaliation by the colleagues, . . . and the desire to maintain cordial working relationships with colleagues” (Satalkar & Shaw, 2018, p. 336). Additionally, there may be ethical and moral considerations for reporting or *not* reporting research misconduct, and internal pressures ranging from loyalty, professional duties, and consequences to both the person speaking up and to others (Leys & Vandekerckhove, 2014; Malek, 2010). Literature has shown that while safe-disclosure policies may empower individuals to speak up, even with them, many individuals remain silent because of the risk of retaliation (Milliken et al., 2003; Tsahuridu & Vandekerckhove, 2008; Zhang et al., 2016)—highlighting that policy alone is insufficient. As a leader at Forest University, I have witnessed a gap between what is written in the policy and what actually happens. While there is now a strong policy

and corresponding procedures, there are no research conduct-related structures supporting a safe space for empowering individuals to speak up about research misconduct at Forest University. Additionally, the organization's existing safe-disclosure policies do not relate to research conduct, do not address protections for individuals bringing forward allegations, and are out of date. In terms of education, training, and prevention of misconduct, formal RCR training currently only exists for graduate students beginning their programs at Forest University; no training is in place for staff, faculty, or other research personnel. While there are processes in place to ensure the research is ethical, safe, and in line with guidelines and regulations prior to being initiated, minimal post-approval monitoring processes exist at Forest University to confirm approved activities are being followed.

When misconduct is not reported, it can lead to a culture where "research is not scrutinized and corrected in timely fashion" (Satalkar & Shaw, 2018, p. 320) leading to potential harm of research participants, fraudulent research, and a breakdown of trust with the community. In addition to societal harms, there are potential effects on the person speaking up. Fear of retaliation is one of the biggest factors when determining whether one will bring forward an allegation of research misconduct. Lennane (1993) interviewed public servants in Australia who had spoken up and explains the negative outcomes that fear of reporting and retaliation can have on an individual. Issues include symptoms of stress and anxiety, attempted suicide, demotions, prolonged sick leave, relationship troubles, and divorce. The Ethics Resource Centre (2012) published their Supplemental Report of the 2011 National Business Ethics Survey and identified that "45% of U.S. workers observed misconduct, 65% of those reported misconduct and of those who reported 22% experienced some kind of retaliation" (p. 1). More recent research by Horbach et al. (2020) illustrates that professors reported alleged misconduct 67% of the time and did not report 29% of the time. Students only reported 39% of the time and did not report 51% of the time, demonstrating a clear division in reporting between professors and researchers in more junior positions.

My Problem of Practice (PoP) concerns the impact that a lack of mechanisms and structures to support safe disclosure has on individuals who have experienced research misconduct. Changes I am proposing in this OIP are first order, which Bartunek and Moch (1987) loosely define as incremental but necessary modifications, with the ultimate intention of influencing future second order, larger changes that result in a shift in culture. Thus, the question at the heart of the PoP is how can Forest University foster a climate that encourages individuals to speak up when they witness research misconduct?

### **Framing the Problem of Practice**

In this section I apply a PESTEL analysis to identify how various internal and external factors influence the organization. I will also review institutional data to detect trends. The combined results of these reviews will be used to inform the change process.

#### **PESTEL Analysis**

The goal of the PESTEL analysis is to study the environment and to identify how political, economic, social, technological, legal, and environmental aspects might influence the organization, and can be used to detect threats the organization faces (Hassanien, 2017). Examining the results of the PESTEL analysis, as presented in Figure 1, will help highlight threats and trends that influence the PoP and help inform the change process and related planning efforts by identifying where challenges may occur throughout the process.

#### ***Political***

While there are internal guidelines for safe disclosure at Forest University, they do not relate to research conduct, do not address protections for individuals bringing forward allegations, are inconsistent, and are out of date. The faculty union's collective agreement is strong and does not always align with Forest University's R.I. Policy. Where there is a discrepancy, the collective agreement prevails. The faculty union is also extremely important to have on board for any changes implemented at the institution. In my experience, I have found that consulting this group early and

often is helpful for determining needs and understanding where we can come into closer alignment in policy language and process.

As discussed, multiple units across the organization may become involved in addressing an allegation of research misconduct. While the policy and corresponding procedure for RCR lives with the Vice-President (Research), an allegation may also include aspects of sexual violence, harassment, student work, postdoctoral work, a staff, or faculty member—all of which have their *own* policies outlining what needs to be done, and where and how information can be shared. These processes may not all address issues related to retaliation and historically have not always included the Vice-President (Research) in the process. Having more consistent policies and a more collaborative working relationship between groups addressing allegations—while still understanding different operational goals across campus—would be helpful for supporting individuals when they come forward.

### ***Economic***

As discussed, Forest University is heavily supported by Tri-Agency funding. There are responsibilities and expectations for research conduct with Agency funding; however, while federal funders have put guidelines in place, institutions are responsible for implementing policy and enforcing them. Without research-specific legislation on retaliation to guide the institution, it is difficult to implement policies and provide clear guidance for safe disclosure. Colleagues across Canada have begun having discussions about creating best practices that will be shared and incorporated into policies specific to individual institutions. Creating consistency outside the organization, or having something to point to at the funding level, will help strengthen institutional practices.

### ***Social***

Over time in my role, I have found there are different understandings of definitions of misconduct and retaliation. The definition of research misconduct in the United States is “fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in

reporting research results” (U.S. Department of Health and Human Services. The Office of Research Integrity, n.d.). Conversely, in Canada, misconduct is referred to as a breach, “[a] breach of the RCR Framework is the failure to comply with any Agency policy throughout the life cycle of a research project – from application for funding, to the conduct of the research and the dissemination of research results” (Government of Canada, 2021, p. 8). Under the Canadian framework, there are 14 different possible breaches compared to three in the United States. This example looks only at differences between Canada and the United States; however, regulations look different in every country around the world. Retaliation is defined as “an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to—(a) A good faith allegation of research misconduct; or (b) Good faith cooperation with a research misconduct proceeding” (Department of Health and Human Services, 2005). In addition to variances in definitions of misconduct and retaliation between countries, I learned from an Asian colleague, while at a conference in 2019, that the simple act of bringing forward an allegation would not always be seen as acceptable in their culture. Without having a common understanding of what misconduct and retaliation are, individuals may not recognize it or work to prevent it. Prevention of misconduct is key, but when misconduct does occur, it is important that individuals have space to speak up and are able to identify if they are being retaliated against. With a large population of international students, faculty, and staff at Forest University, it is unlikely that everyone understands or responds to Forest University’s definition of misconduct in the same way. Bringing everyone to a more level playing ground by providing education in these areas will be helpful for implementing the changes.

### ***Technological***

The associated procedures for Forest University’s R.I. Policy explain that complaints should be submitted in writing to the Vice-President (Research). The procedures also explain that an allegation made anonymously will be considered only if there is enough information, or if all relevant facts are publicly available to assess the allegation. Furthermore, when an anonymous allegation is

brought forward, the person who brought it forward will not be entitled to participate in the investigation, receive information about it, or be informed of its outcome.

Bringing forward an allegation of research misconduct where there is an imbalance in power—for example, a supervisor-student relationship or an employer-employee relationship—can, as discussed, cause great anxiety. For an international student, their supervisor may not only control their academic success but their visa status. This may leave the student feeling stuck and worried about speaking up against their supervisor. Clear procedures and an anonymous reporting method where individuals can come forward but still be involved in the process may provide helpful structures for supporting safe disclosure and empowering individuals to speak up when they witness research misconduct.

### ***Environmental***

As discussed, some researchers have had to shift their entire research programs during the pandemic because of repeated work-from-home mandates and not being able to see people face-to-face. Many students had to complete ongoing research activities under difficult conditions or switch to different kinds of research to meet degree requirements within shorter amounts of time. Research by Suart et al. (2022) on a sample of academic researchers at Canadian research institutions showed that “[w]hen asked about their beliefs on how COVID-19 has impacted research within their disciplines, 43.8% agreed or strongly agreed that the pandemic had increased the pressure to publish” (p. 3). Changes and ongoing stresses related to the pandemic increased pressure as very little guidance was provided on how to shift focus so quickly. Suart et al. (2022) reported only “47.5%” reported they felt supported by their department or faculty, “38.4%” by their institution, and “35.5%” by their research funding agency (p. 13). At the institutional level, there was a lack of coordination and collaboration across units, which led to delays and inconsistency in guidance about ongoing research. Not only was there an increase in pressure and a lack of guidance on how to pivot, but an out-of-date RCR policy. These factors may have led to a lack of understanding on how to bring forward an allegation. The policy and procedures have now been

revised, and it is important they remain up to date, because while pressures to publish were amplified by the pandemic, they will likely continue to increase, not decrease, now that new expectations have been set.

### **Legal**

Based on a review of Ontario's and Canada's laws, there are some acts that protect individuals from reprisal, Employment Standards Act (ESA), Canadian Environmental Protection Act (CEPA), and the Public Servants Disclosure Protection Act (PSDPA) to name a few; however, they do not relate to research and, in some cases, do not support individuals in institutions of higher education. It is the responsibility of the institution, based on guidance from funders to create policy.

### **Figure 1**

#### *Summary of PESTEL Analysis for Forest University*

<b>Factor</b>	<b>Key points</b>
Political	<ul style="list-style-type: none"> <li>• strong faculty union and collective agreement</li> <li>• internal guidelines on safe disclosure are out of date and inconsistent</li> <li>• processes for handling allegations across the institution are inconsistent</li> </ul>
Economic	<ul style="list-style-type: none"> <li>• research at Forest University is heavily funded by the federal government</li> <li>• guidance is vague regarding safe disclosure</li> <li>• difficult to create strong policies at the institution without external guidance</li> </ul>
Social	<ul style="list-style-type: none"> <li>• misconduct and retaliation mean different things to different people</li> <li>• policies can affect different people differently</li> </ul>
Technological	<ul style="list-style-type: none"> <li>• absence of an anonymous reporting method may leave individuals feeling as though they cannot speak up</li> <li>• procedures must be very clear if there is no anonymous reporting system so an anonymous allegation can still be investigated</li> </ul>
Environmental	<ul style="list-style-type: none"> <li>• the pandemic caused an increase in pressures to publish and decrease in support</li> <li>• during the pandemic the policy and procedures were not up to date</li> </ul>
Legal	<ul style="list-style-type: none"> <li>• no research-related legislation exists in Canada to support individuals in higher education institutions with regards to safe-disclosure</li> </ul>

## Institutional Data

While there is no *specific* piece of data to point to at the institution that will show a clear picture for the need to shift culture to better support safe disclosure, there *are* various pieces of institutional data that play a part in helping illustrate the need. Data provided on an institutional website at Forest University (Forest University, n.d.) show a gradual but steady increase of research misconduct allegations over time. What this website fails to show, as the data do not exist, is whether there has also been a concomitant increase in the number of retaliation allegations. As all cases of research misconduct investigated at the university are confidential, and as there is no central unit that deals with retaliation, it is difficult to provide overall data to demonstrate the need for change.

Following a series of tragic events in 2021, a special working group was assembled to conduct cross-campus consultations and to provide recommendations for shifting culture related to gender-based and sexual violence on campus at Forest University. More than 10,000 voices spoke up, leading to recommendations for education and training; supports and resources; policy, procedure, and accountability; environmental safety; and communication, coordination, and culture change (Forest University, 2022b). These data show a clear request and call to action to shift culture and ensure the safety of individuals at Forest University. This could be extrapolated to illustrate a desire for a group to mobilize change when a serious problem exists within the institution.

Additionally, while Forest University has an Ombudsperson, this resource is only available to students, and not to faculty, staff, or other groups who may be included on research teams. The Ombudsperson acts as a neutral resource for students bringing concerns and seeking advice. While the Ombudsperson publishes an annual report that highlights how many students access their services, the numbers are not specific to reports of research misconduct, nor is it clear if any of the concerns are *about* research misconduct. The data do demonstrate a steady increase of individuals

accessing the Ombudsperson for support over the past five years, indicating that, at a glance, feasibility of a similar service to support safe disclosure with the non-student population.

In summary, data from the PESTEL analysis, and examples provided in the institutional data, help illustrate the need for change at Forest University and provide considerations for creating solutions that support safe disclosure of research misconduct.

### **Guiding Questions Emerging from the Problem of Practice**

The focus of the PoP concerns the impact that a lack of mechanisms and structures to support safe disclosure has on individuals who have experienced research misconduct. The preceding section sheds light on factors influencing or contributing to the problem and examines institutional data related to the problem. The following guiding questions stand out for me as I continue to develop solutions and the vision for change and change implementation for this OIP.

#### **Question 1**

A common challenge conveyed by colleagues in the RCR field is that, without university and research-specific legislation or external guidelines to support safe disclosure, it is difficult to create change at the level of the institution. A question that is raised for me is *how much does the lack of external guidance and enforcement affect how safe disclosure is handled at the institution?*

While implementing mandatory human research ethics training in a previous role I held at Forest University, I was asked by faculty members to identify the legislation or external guidance that made training mandatory as it was not part of their collective agreement. I was able to identify an external guideline, but I continued to work closely with the faculty union to come to a shared resolution for implementing this initiative. Similarly, faculty members raised questions during the revision of Forest University's R.I. Policy as sections of the policy did not align with the existing collective agreement. While I was able to point to the Tri-Agency Framework on Responsible Conduct of Research (Government of Canada, 2021), upon which Forest University's R.I. Policy is based, I again worked closely with the faculty union, and various other stakeholders—referred to as

project partners throughout the remainder of the OIP—to ensure the final policy was based on the external framework and aligned with the institution’s existing structures and policies.

While the lack of external guidance would be helpful for initiating and enforcing change, the lack thereof is not entirely the challenge. More important than having a mandate is to have a movement, where individuals work together to create change and shift culture. Every institution will be different and even in the presence of research-related legislation or external guidance, each institution will still need to work with all institutional project partners and groups affected to ensure the change fits with the institution’s structure, culture, and needs. It has become clear to me that having the right people around the table to mobilize the change is key.

## **Question 2**

A key theme in the most recent version of Forest University’s strategic plan is thriving through belonging, noting “[f]eeling a sense of belonging where you learn and work is so important. In particular, for international students” (Forest University, 2021, p. 17). The goal of this theme is to create an environment that supports everyone’s well-being, mental and physical health, and professional, and personal development. To reach this goal, Forest University has implemented workplace and leadership programs that promote these elements. The strategic plan was approved one year before the university began making headlines for gender-based and sexual violence on and around campus. In response to these issues, Forest University rapidly assembled a task force that resulted in the implementation of a new policy, procedures, and a toolkit for gender-based and sexual violence. An overarching goal was to help individuals feel more comfortable bringing allegations forward. While many supports for gender-based and sexual violence were already in place, this situation created a spark for increased action. In my experience, it is important to proactively put systems in place rather than wait until the problem causes harm to individuals and becomes a reputational risk for the institution. An accompanying question raised for me is *whether a safe-disclosure program could be included in these centralized workplace and leadership programs as a preventative, rather than reactive, measure?*

### Question 3

As it is ever evolving, understanding culture, and how it can be improved, is important for an institution. Understanding that the health of the culture falls within the gap of what we say and what we do applies to the PoP in that I want to be able to bring Forest University's policy (something we say) to life (something we do) and ensure there is meaningful action behind it. Culture has an impact on how comfortable employees feel speaking up and to whom they bring their concerns (Kaptein, 2011). It is important that all voices are heard when making a culture change as everyone within an institution plays a part in shaping its culture. The final question is *how can each different affected group support the change in a shift of culture at the institution?*

Schein and Schein (2017) suggest that “[t]o fully understand a given group’s culture, we will need to know what kind of learning has taken place, over what span of time, and under what kinds of leadership” (p. 6). Broad consultations that included everyone who wanted to have their voices heard were held throughout the development of the institution’s most recent strategic plan. Manning (2018) suggests “[a]s a noun, culture builds congruence, gathers people as a community, creates clarity, builds consensus, and endows meaning” (p. 70). Some individuals may not feel seen in policies or procedures because their own cultural values are not the dominant ones held by the institution. As a result, there should be strong consideration of how culture may affect how individuals speak up or do not. Giving individuals a voice through consultative approaches will be important.

These questions inform the considerations I bring to a proposed solution to the problem and the vision for change that will move the institution from the current state to the ideal state, as described in the next section.

#### **Leadership-Focused Vision for Change**

This chapter highlights where the institution is positioned in terms of organizational structure, the current landscape, gaps that exist, opportunities for growth, and priorities within

these opportunities. Key project partners are identified with an emphasis on understanding their needs and fostering relationships with them for successful change.

### **Current Landscape**

Forest University's policy on RCR was recently revised. Procedures were split out from the policy to improve transparency and to clarify the process of submitting an allegation of research misconduct. There is now a clear procedure that is to be followed in the event misconduct is suspected. As per the procedure, all allegations of research misconduct are submitted to the Vice-President (Research), where they are assessed to determine if the allegation is responsible and if it requires further investigation. Other units may become involved in the process if the allegation contains elements covered under different institutional policies, including those related to sexual harassment, student code of conduct, or human resource concerns. Due to the confidential nature of research misconduct cases, as few individuals as possible are provided details. If retaliation is suspected or reported, a wider pool of individuals from across the institution may become involved in the review and external legal counsel may be engaged.

### **What is Missing?**

While the revised policy has clarified processes for how research misconduct is addressed at Forest University, gaps remain and work still needs to be done. The new policy is vague in terms of safe disclosure and does not provide clear information on what retaliation is and how it should be reported if suspected, or how retaliation allegations are managed by the institution. This is due in large part to the fact there are no existing best practices in the Canadian context for how to deal with safe disclosure as it relates to research conduct at the institutional level. As discussed, there are other safe-disclosure policies that exist at the institution, but they are not specific to research conduct. Individuals may fear retaliation in the absence of a clear, research-conduct specific safe-disclosure policy.

Although all allegations of research misconduct must be submitted to Vice-President (Research), this is not always the reality. Due to the distributed nature of the review process for

research misconduct, and the fact that an allegation may span various units at the institution, there exists no central tracking record to identify how many cases there are per year. This makes it difficult to illustrate the extent of the problem to leadership.

Forest University serves a large population of international students, faculty, and staff; yet, the policy's development lacked diverse representation of voices from across the institution. During the most recent revision of Forest University's R.I. Policy, there was a strong focus on ensuring many voices across campus were heard; however, there was no specific effort to ensure diversity in those voices, to understand cultural differences that might exist in defining research misconduct, to determine how these actions might be handled elsewhere, or to identify how the process of speaking up might look different for some.

The various units that may be involved in the review of an allegation do not always work together in an organized manner or share information effectively or efficiently, resulting in duplicated efforts and individuals feeling they are left in the middle, or left with no resolution or response. There also appears to be a hierarchy between different units, which can sometimes be a barrier to successfully fostering collaboration.

### **Opportunities for Growth**

My leadership vision for change is to move towards a safer campus environment and a culture that supports and empowers all individuals to speak up if they witness research misconduct. This vision aligns with aspirations in Forest University's strategic plan to lead in the creation of a more just society and to create an environment that supports everyone's well-being, health, and development.

### ***A More Just Society***

The need to create a more inclusive space for everyone in the Forest University community is one of the keys to moving towards the creation of a more just society. There are many reasons individuals may not feel comfortable bringing forward allegations of research misconduct. Looking at power imbalances, Horbach et al. (2020) explain "an organisation's less powerful members—such as

younger employees, people with temporary work contracts, women, or people lower in the organisation's hierarchy—are less likely to report alleged misconduct” (pp. 1598-1599). As discussed, there may also be cultural differences for how individuals understand and report misconduct that are important to understand and consider when creating an inclusive, safe space for all.

In his work, Philp (1983) highlights Foucault's (1980) writings on the importance of power by explaining that according to Foucault, power can be productive and not always a negative force. Applying this concept to the OIP, power may be negatively construed if it pressures individuals to conduct unethical research, or it *may* create a sense of unease for a subordinate and prevent them from speaking up against their supervisor if they witness misconduct. Looking at power from a positive perspective, it could also influence an individual to speak up based on a moral duty. Power imbalances continue to exist. As such, understanding that power can be both negative and positive is important and will be useful to apply when creating institutional mechanisms that can reinforce ethical behavior and empower individuals.

### ***Supportive Environment***

Feeling a sense of belonging where you spend so much of your time is crucial to overall well-being and progression; however, some individuals may not feel psychologically safe to speak up when they witness misconduct or bad behaviour. When relationships are characterized by trust and respect, and people have high psychological safety, they are more likely to feel less risk when speaking up (Kahn, 1990; Liu et al., 2015). Psychological safety is defined as “people's perceptions of the consequences of taking interpersonal risks in a particular context such as a workplace” (Edmondson & Lei, 2014, p. 23). Offering not only a broad range of supports, but supports that deal with specific concerns that may arise—for example, sexual violence, harassment, misconduct—is helpful for creating a climate of psychological safety where people feel comfortable speaking up without fear of ridicule and punishment (Anugerah et al., 2019; Edmondson & Lei, 2014). Building on the discussion above related to creating a more just society, the creation of a safe environment by

nurturing a supporting community, is especially important for individuals who may be attending Forest University from abroad.

### **Understanding Needs and Building Relationships**

Throughout this OIP, it will be important to maintain trust with those involved and affected through ethical leadership. Key project partners involved and affected by the PoP include senior leadership, faculty, administration, students, staff, the public, funders, and additional decision-makers and influencers with whom I must continuously build and maintain relationships and trust to keep them engaged throughout the change. Applying an interpretive approach (Burrell & Morgan, 1979; Cohen et al., 2011; Putnam 1983) will allow me to better understand and address the needs of all key project partners as they relate to the PoP. I have learned from previous experience that project partners will really listen, become involved, and can become great allies if communication and relationships are handled correctly; if they are not, they can quickly raise roadblocks and prevent change from occurring.

### **Priorities for Change**

It is difficult to understand all competing priorities that may affect the change process because the group of key project partners is so diverse. I argue that my problem should take priority at Forest University with a key set of project partners as the present time is a perfect opportunity to bring life to the newly revised policy and procedures. Leaders I need to consider and work with at each level include:

- the President;
- the Provost;
- the Vice-President (Research);
- faculty members;
- deans and associate deans;
- chairs;
- legal counsel;

- leadership from Faculty Relations, Graduate and Postdoctoral Studies, and Human Resources; and
- the faculty union.

By applying an interpretive approach, and from an authentic and ethical leadership perspective, I will involve those who are affected by the change early and often, building relationships and trust. As a result, I will be able to better comprehend the current situation, examine how all the pieces work together, and understand how to collaborate with different units on campus where collegiality is currently weaker. Working on these relationships and connecting each of the different pieces of the system will help identify solutions.

### **Chapter Summary**

In this chapter, I introduced the PoP and situated it within the organizational context. I also introduced Forest University's new strategic plan and discussed how the PoP and ensuing OIP relate closely to this new plan. Applying an interpretive approach (Burrell & Morgan, 1979; Cohen et al., 2011; Putnam 1983) will allow me to more deeply understand the Forest University community and uncover anything that might be missing in the newly revised RCR policy. My personal leadership frameworks of authentic and ethical leadership will help me continue to work with colleagues across campus, build relationships and trust, and bring them aboard as allies and project partners in the quest to shift culture at the institution.

## **Chapter 2: Planning and Development**

Chapter 2 of this Organizational Improvement Plan (OIP) focuses on why change is necessary by digging deeper into my dominant leadership approach to change—authentic leadership—and explaining how ethical leadership and an interpretive perspective will underpin this approach. I will introduce my selected change framework—the Change-Path Model (CPM) (Deszca, 2020; Deszca et al., 2020)—and explain why it is the best framework to address the Problem of Practice (PoP). Krüger’s Iceberg Model of Change (Buller, 2014) has been used to identify resistance points and help deepen my understanding of organizational culture. To conclude the chapter, I will analyze change readiness at the institution, identify a possible change path, and explore potential solutions to narrow identified gaps, while moving from the current to a more ideal state.

### **Leadership Approach to Change**

My change journey is one of continuous growth. I have identified a lack of research conduct-specific mechanisms and structures to support safe disclosure at Forest University and the impact this has on individuals who wish to speak up about research misconduct. Continuous improvement is needed to foster a climate that encourages individuals to speak up when they witness research misconduct.

In my role at Forest University, I support the Vice-President (Research) (VPR) in the review of allegations of research misconduct. As discussed, fear of retaliation in the form of power imbalances or the fear of losing a degree or career may cause individuals to remain silent. It is not always easy for someone to speak up when they see something wrong, and if there is not a safe environment for so doing, it may become even more difficult. Research shows willingness to bring forward an allegation is based on individual experiences and potential retaliation experienced, which may take many different forms (Casal & Zalkind, 1995; Miceli & Near, 1992; Parmerlee et al., 1982). Adding to this complexity, individuals who may not see themselves reflected in institutional policies may struggle more with speaking up. Individuals often work in environments where they do not feel safe to speak up (Detert & Edmondson, 2011; Milliken et al., 2003; Ryan & Oestreich, 1998) and, based

on my experiences, individuals do not speak up out of fear of retaliation, necessitating better policies, structures, education, and training at Forest University. The university should foster a climate that encourages individuals to speak up when they witness research misconduct. I have also discussed similar experiences with colleagues in the research integrity community. While members of this community understand the breadth and urgency of the problem, it is difficult to specifically illustrate at Forest University because of the confidential nature of cases. Also, due to competing priorities across campus, other colleagues involved in the process of investigating these allegations do not have the same urgency to review them as the office of the Vice-President (Research).

I am aware of the limits of my own agency in that I do not have the hard power of a senior leader at Forest University. In her work, Lumby (2019) refers to shapeshifter power. I will apply shapeshifting power and authentic leadership—specifically my own self-awareness and moral judgement—to affect change from a soft-power position. Building genuine relationships—which is a key component of authentic leadership, and important to me personally—and using these relationships to increase ethical behavior will continue to increase my relational agency. Influence and relationships I have established will help me lead change within Forest University and extend beyond it. Changes at the institution may initiate a snowball effect with colleagues in responsible conduct of research (RCR) communities of practice across Canada. These colleagues, in turn, may implement changes at *their* institutions, initiate discussions about this problem, and promote change at a higher level, including but not limited to funding agencies. In addition to my soft power, I must bring the Vice-President (Research) to the table to help support the change and use *her* agency, power, and authority as a senior leader.

### **Authentic Leadership**

My dominant leadership approach is authentic leadership. Research by George and Sims (2007) defines the five dimensions of authentic leadership as: pursuing purpose with passion, practicing solid values, leading with heart, establishing connected relationships, and demonstrating self-discipline. The authors add that authentic leaders continuously reflect on new ways to grow. I

have observed, while working through the PoP, that when one gap narrows, another may appear. While the original gap of providing an up-to-date, consistent policy has been closed with the recent revision of Forest University's R.I. Policy, the new policy is not as inclusive as it could be. For example, I have learned through my work experience that some non-Western cultures do not encourage speaking up as it may not be seen as appropriate. George and Sims (2007) explain that focusing on the needs of others is what moves a leader from an "I" to "we" mentality and is essential to this kind of leadership. Moving to a "we" frame of mind, the leader can make better decisions and develop others to work towards a shared purpose (George & Sims, 2007). Understanding that there may be intercultural gaps, diverse perspectives need to be considered to ensure all individuals in different areas are supported. Relationships are central to who I am as a person and as a leader. Developing and maintaining genuine relationships and connections by sharing information and looking at all relevant data before deciding how to move forward are important traits of this kind of leadership (Anugerah et al., 2019; George & Sims, 2007; Ilies et al., 2005). Authentic leaders are influential, positive, and create a comfortable and safe climate where individuals feel safe (Liu et al., 2015). They also provide supports necessary to lead change as they are trusted, inspirational, encouraging, and empower those around them (Anugerah et al., 2019).

### **Ethical Leadership**

Liu (2017) explains that leadership is not only about the traits and styles of the leader but the ways in which people "interact, engage and negotiate with each other". If a leader is trusted and communicates a clear and positive vision, individuals will be encouraged to speak up (Caillier, 2015; Lewis, 2011 as cited in Zhang et al., 2016). Being trusted is more than being honest and competent; it also requires the leader to be reliable (Ciulla, 2018). Ethical leaders model the way through their behaviours and consequences, influencing their followers' psychological empowerment (Bandura, 1977; Bandura, 1986; Dust et al., 2018). Ciulla (2018) discusses a "full analysis of the ethics and effectiveness of any action requires one to ask: Was it the right thing to do? Was it done the right way? Was it done for the right reason" (p. 11). One then must inquire how right is defined in this

context, what it means to do something in the right way, and what standards are used to determine if the right thing is being done (Ciulla, 2005). My trustworthiness, ability to inspire, encourage and empower those around me will allow me to model the way to promote ethical behaviour across the institution.

### **Interpretivism**

Historically, “[a]n early reference to authentic functioning is Socrates' focus on self-inquiry as he argued that an ‘unexamined’ life is not worth living” (Gardner et al., 2011, p. 1121). As discussed in the previous chapter, I will work as a facilitator and collaborator to gather a deeper understanding of what supports may be needed by consulting users to mobilize change, raise awareness, and build knowledge. The metaphor I apply to this work is planting a seed and nurturing its growth. There are several incremental changes needed throughout the change process to effectuate change. As the change involves the continuous improvement of culture, nurturing the growth of a positive ethical climate is important (Walumbwa et al., 2008).

These three approaches overlap and align very closely, allowing me to share strengths of nurturing a positive ethical climate that encourages individuals to speak up when they witness research misconduct. While I have identified that Forest University’s institutional policies on research integrity are not as inclusive as they could be, it will be important to bring all voices to the table to ensure this is rectified. It can be difficult to shed light on the urgency of the problem; however, having the Vice-President (Research)’s support, combined with my own soft power, influential, and relational agency, will mobilize change, not only within the institution but across others that are similar.

### **Framework for Leading the Change Process**

Policies should not be created simply to meet a requirement or to sit on a shelf. An important outcome of this OIP is to ensure Forest University’s research conduct policy and procedures become living documents.

Change may be gradual and difficult to measure in a short period of time due to challenges of changing culture. Schein and Schein (2017) provide cautionary feedback that “one of the biggest mistakes that leaders make when they undertake change initiatives is to be vague about their change goals” (p. 338). Additionally, the authors share that while a new way of doing things can be introduced, the new way will not lead to change unless it works better and provides new experiences. Finally, they suggest unlearning old routines and practices, and learning new ones, can be “psychologically painful” (Schein & Schein, 2017, p. 339). During this unlearning and learning phase, it is important to manage resistance and reinforce new learning.

The Change-Path Model (CPM) is structured around two very important questions: “what” needs to change and “how” to manage the change process (Deszca et al., 2020). Deszca (2020) explains CPM recognizes the importance of “honour[ing] its commitments to internal and external customers” (p. 5) and that failure to do so may damage relationships. As such, I have selected CPM as the framework to lead the change process given that the principles align well with what is required for the change to be successful at Forest University, its current structure, and my leadership framework. CPM is also an ideal fit as it is a flexible model that will be able to adapt to the many moving pieces involved with change. Use of this model ensures everyone is on the same page before implementation of the change by working closely with key project partners to identify and make sense of the change. Finally, the use of CPM helps the institution acquire the benefits of the changes and sets the stage for future improvement, which is important for the continuous improvement of culture around safe disclosure. In addition to CPM, I have also used Krüger’s Iceberg Model of Change (Buller, 2014) to help deepen my understanding of organizational culture and identify points of resistance and barriers so I can better prepare to mitigate these challenges. Further, I will use the Plan-Do-Check-Act cycle (PDCA) (Johnson, 2002), which will be introduced in more detail later in the OIP, as an inquiry cycle, supporting CPM, to monitor and gather important information for evaluating the change process and determining if refinement is required.

### **Change-Path Model (CPM)**

The CPM combines descriptive *and* prescriptive aspects of various other change models, including Kurt Lewin's Three-Step Model and John Kotter's Eight-Step Model, and offers flexibility in each of its four stages: awakening, mobilization, acceleration, and institutionalization (Deszca, 2020; Deszca et al., 2020). While no one individual invented the Change-Path Model, Cawsey, Deszca, and Ingols discuss the model at length in their publications (Deszca, 2020; Deszca et al., 2020). The descriptions below provide a high-level overview of each of the phases of the CPM as described in Deszca (2020) and Deszca et al. (2020). I will go into a more detailed discussion of each of the phases as they apply to this OIP and the change at Forest University by providing an in-depth explanation of key roles in chapter 3. Throughout the following overview, the change leader is referred to as the one leading each of the phases. It is important to note that the change leader, as defined by Deszca et al. (2020), can take the role of initiator, implementer, or facilitator throughout the change.

#### ***Awakening***

It is during the first phase of the CPM when the change leader conducts a gap analysis of current and future states, with the goal of determining the need for change (Deszca, 2020; Deszca et al., 2020). The analysis may be conducted through an internal review and by scanning the external environment. Once the change leader establishes a deep understanding of what is going on within the organization and outside the organization, they can then better understand the forces for and against the proposed change. The next challenge is to examine the situation and to understand how to best articulate why the change is needed *to everyone* involved. The authors add that although the change leader identifies the reason for change, it is important they share *the vision for change* during this phase through multiple communication channels so everyone involved develops a *shared* understanding of the change and moves together towards it (Deszca, 2020; Deszca et al., 2020).

#### ***Mobilization***

Deszca (2020) and Deszca et al. (2020) explain that the second phase of the CPM involves further developing and solidifying the vision for change. To do this, the change leader will have

discussions with those involved to further analyze the need for change. The mobilization phase is where others should be made to feel as though they are participants and part of the change process, not just observers. Listening and taking the pulse of what is happening can help uncover needs that were not initially visible. While the change leader will have results from assessments that have been conducted, these results might not be common knowledge across the organization; therefore, like in the awakening phase, the change leader needs to again convince others of the need for change and bridge the gap for those who may not be aware of why the change is needed. It is important for the change leader to use multiple communications channels during the mobilization phase to convince others of the importance of changing, and what will happen without change. Conveying why the change is worth undertaking is important and communications for this must be done correctly and at the right times. Furthermore, it is also during this phase that the change leader should begin to leverage change implementers and facilitators, and build upon existing structures, knowledge, skills, ability, and relationships for the benefit of change (Deszca, 2020; Deszca et al., 2020).

### ***Acceleration***

Digging deeper, this phase is where the change leader will further engage and empower others to advance the change. The acceleration phase is where information gathered earlier will be translated and brought to life in the development and implementation of a detailed plan. The change leader will help others develop knowledge, skills, abilities, and ways of thinking to support the change (Deszca, 2020; Deszca et al., 2020). The appropriate tools needed to do this will be deployed, which will help build momentum. It is during this phase where the change leader should most carefully manage transition and celebrate successes, which will help maintain momentum. The plan will need to be adapted at various times throughout the change and the change leader will learn and grow from what they see throughout the implementation.

### ***Institutionalization***

It is during this final phase when the change is tracked to ensure goals are being met and the change is stabilized (Deszca, 2020; Deszca et al., 2020). The change has now taken place and it is

important to successfully conclude the transition to the new desired state. While monitoring is used in different ways through the CPM, it is specifically used in this stage to assess progress towards the goal, to determine what modifications are needed, and to mitigate risk. Understanding the impact of the change and what has been achieved also sets up future change. The authors conclude with explaining that the change will be stabilized in that new structures, systems, processes, knowledge, skills, and abilities will be normalized within the organization (Deszca, 2020; Deszca et al., 2020).

### **Identifying Barriers**

In the next section, I will evaluate change readiness at Forest University; however, readiness is not the same as resistance (Self, 2007), so I have also applied Krüger's Iceberg Model of Change (Buller, 2014) to help deepen my understanding of organizational culture and determine points of resistance. As I have learned, not everyone is at the same starting point going into change. Understanding resistance points by consulting and looking back on failures and successes, previous resistances, how individuals who were affected reacted, and other challenges arising from previous projects, will help mitigate barriers moving forward.

Buller (2014) discusses Krüger's Iceberg Model of Change as "change, like an iceberg, is a phenomenon for which most of the danger lies below the surface" (p. 5). Many people focus on points of resistance or barriers that are more visible to the human eye and forget about other, less visible ones. Above the water are barriers that are easier to spot and plan for; those lurking below the surface—those more closely related to perception, beliefs, power, and politics—are less so. At Forest University, easy-to-spot, resource-related barriers include cost, time, quality, and human capital. Below the surface, unforeseen barriers I have encountered leading previous changes include unexpected changes in leadership and a global pandemic, differences in beliefs, politics, and power dynamics, as shown in Figure 2. While harder to spot, Buller (2014) suggests, "[t]he successful change manager, . . . is the person who takes the time to address these hidden elements of any organization" (pp. 5-6). As the change involves promoting a continuous improvement of culture, it is

important to encourage first-order change through incremental modifications that work towards this larger goal.

**Figure 2**

*Krüger's Iceberg Model of Change*



*Note.* Adapted from Buller (2014)

I will use the feedback gathered from applying Krüger's Iceberg Model of Change (Buller, 2014) about the organization's culture to identify potential points of resistance. Keeping those affected by the change close to the centre of change efforts throughout each stage of the CPM will mitigate points of resistance.

### **Organizational Change Readiness**

Readiness is a mindset that exists and is said to be highest when those involved not only want the change but feel confident they can change with those involved showing a proactive and positive attitude of support (Vakola, 2013; Weiner, 2009). Many factors have negative effects on

change management success. Poor communication, hasty implementation, and insufficient planning can leave individuals feeling as though they are sitting on the outside looking in and watching the change happen (Napier et al., 2017; Vakola, 2013; Weiner, 2009). Poorly planned change can make affected individuals feel as though they must accept the change without having buy in or an opportunity to provide input (Napier et al., 2017). Individuals can also be left feeling scared, lacking value, or showing resistance against change (Napier et al., 2017; Vakola, 2013). In my experience at Forest University, some large-scale changes have been implemented without project partner input; those that included early consultation and involvement of project partners had better results. Napier et al. (2017) suggest understanding business processes and technology will only get you so far, and that it is essential people issues are identified first for successful change. My review of several different tools to assess readiness for change demonstrated a similar alignment of putting people first.

Change readiness should not be confused with resistance to change, which I discussed in the previous section. As Howley (2012) shares, “readiness is not simply lack of resistance, but instead a more active, engaged willingness and ability to adopt a new practice” (p. 1). Using the WIIFM (what’s in it for me) (Hiatt, 2006) strategy will help uncover benefits for those affected and help advance understanding that will help with planning, implementation, and communication of the change. Organizational readiness can be measured for individuals, groups, and institutions, and is the psychological and behavioural preparedness for change (Weiner, 2009). To engage employees and ensure institutional involvement, it is just as important to understand the *why* for the *organization* as it is to understand the *why* for the *individual*. In addition to helping with implementation, communication, and engagement, understanding organizational readiness can help increase involvement and commitment. Napier et al. (2017) suggest that too many people begin the change process and *then* assess readiness if things do not work out. Deszca et al. (2020) suggest that if previous experiences have been negative, employees will get a “we tried and it didn’t work” attitude (p. 111). It is difficult to illustrate the breadth and urgency of the problem at Forest University

because of several competing priorities and the confidential nature of the work. I have witnessed other large research institutions across Canada and the United States experience major breaches and retaliation cases where they have then been forced to change their mandates. It may be difficult to explain why; however, my approach is proactive in nature as I find this to be more effective than being forced into making a change.

The literature provides several different tools to assess readiness. As these tools can be situational, I have reviewed them to determine which would be best for Forest University. McKnight and Glennie's (2019) readiness rubric requires the gathering of different change components from key project partners across the organization prior to beginning the assessment. Once these components have been assembled, each component is rated as either "Not ready", "Getting Ready", or "Ready" and data points are identified to determine how to assess readiness for each component (McKnight & Glennie, 2019). Napier et al. (2017) introduce a slightly more complex model with multiple methods to assess readiness, including development of the approach, conducting interviews and surveys, and learning from workshops, followed by analyzing data. Bridges and Bridges (2017) provide a 15-question survey to assess readiness for transition in which questions are similar to those of the Deszca et al. (2020) tool that uses various pre-populated components to be measured to assess readiness.

To determine Forest University's readiness, I have adapted the readiness rubric as illustrated in Figure 3 and have borrowed different pieces from the various tools explored.

**Figure 3**

*Adapted Readiness Rubric Assessment of Change Readiness at Forest University*

Component	School characteristic indicating "Ready"	NR	GR	R
Leadership capacity and support	Leaders are committed to the proposed change and provide early and lasting support, including needed resources, to those implementing the change.			
Shared vision for change and how it influences institution	Leaders facilitate the shared decision-making process to co-create the change vision, goals, and implementation plans for the institution.			
Alignment with core values	Leaders support stakeholders (e.g., staff, students) in aligning the required changes with their core values and articulating how change would ultimately benefit students.			
Collaborative school climate	Staff and students trust leaders/colleagues and work together determining the direction and to problem-solve.			
Implementation plan	Co-created by stakeholders, the school's plan identifies clear roles and responsibilities, tasks, timelines, and indicators of success, all of which are aligned with the change goals and fit the unique context of the institution.			
Staff capacity	Staff members have capacity to carry out new work and are given needed supports; supports are aligned with change goals.			
Resources	School has taken inventory of needed resources, identified how to get missing resources and knows how to effectively leverage what they have. In acquiring and allocating resources, school accounts for competing initiatives.			
Previous change experience	Has the organization had generally positive experiences with change? Have there been any failures? Have there been previous attempts to consult? Does the organization attend to the data it collects?			
Need for change	Is the proposed change viewed as needed by senior leadership, those not in senior leadership, those affected?			
Openness to Change	Will the proposed change be viewed as generally positive and appropriate by those affected? Not in senior leadership roles? Are there barriers to success in implementing change? (e.g., faculty agreements)			

*Note:* NR = Not Ready, GR = Getting Ready, R = Ready; adapted from McKnight and Glennie (2019)

To align with my authentic leadership framework and the CPM, I want to involve those affected by the change as much as possible from the beginning. Doing so will help build trust, foster and maintain relationships, and encourage a positive attitude toward change (Vakola, 2013). I have used information gathered from previous consultations to determine what components of the readiness rubric could be. Figure 4 shows proposed data points to be used to collect information on whether the organization is ready for change in each of the different components. I previously discovered a broad sense of readiness for change on campus through environmental scans, consultations, and fact-finding.

**Figure 4**

*Adapted Readiness Rubric, What Information Can We Use to Determine Readiness?*

Component	School characteristic indicating “Ready”	Int	Obs	Doc
Leadership capacity and support	Leaders are committed to the proposed change and provide early and lasting support, including needed resources, to those implementing the change.			
Shared vision for change and how it influences institution	Leaders facilitate shared decision-making process to co-create the change vision, goals, and implementation plans for the institution.			
Alignment with core values	Leaders support stakeholders (e.g., staff, students) in aligning the required changes with their core values and articulating how change would ultimately benefit students.			
Collaborative school climate	Staff and students trust leaders/colleagues and work together determining the direction and to problem-solve.			
Implementation plan	Co-created by stakeholders, the school’s plan identifies clear roles and responsibilities, tasks, timelines, and indicators of success, all of which are aligned with the change goals and fit the unique context of the institution.			
Staff capacity	Staff members have capacity to carry out new work and are given needed supports; supports are aligned with change goals.			
Resources	School has taken inventory of needed resources, identified how to get missing resources and knows how to effectively leverage what they have. In acquiring and allocating resources, school accounts for competing initiatives.			
Previous change experience	Has the organization had generally positive experiences with change? Have there been any failures? Have there been previous attempts to consult? Does the organization attend to the data it collects?			
Need for change	Is the proposed change viewed as needed by senior leadership, those not in senior leadership, those affected?			
Openness to Change	Will the proposed change be viewed as generally positive and appropriate by those affected? Not in senior leadership roles? Are there barriers to success in implementing change? (e.g., faculty agreements)			

*Note:* Int = Interviews, Obs = Observations, Doc = Documentation; adapted from McKnight and Glennie (2019)

The completed readiness rubric shows there are some areas that will need to move from “Not Ready” and “Getting Ready” to a fully “Ready” state. Lack of readiness on the shared vision for change stems from a lack of collegiality and consistent processes between different groups addressing allegations at Forest University. Those marked as “Getting Ready” are close, but have been marked this way as there is not yet a general understanding of the urgency of the problem on campus. While movement is needed to get to “Ready” on some components, one positive indicator there is an overall readiness for change in this area is the creation of my role to specifically do work

in the area of research integrity at Forest University. In addition, the institution welcomed the revision of Forest University's R.I. Policy and its associated procedures, and many colleagues across campus responded to the consultation saying this was far past due. There was a lot of support for the revision of this policy. When I took on this role, I was given a voice to help mobilize change.

In the next section, I will discuss potential solutions to the PoP. Before doing so, it will be helpful, in addition to seeing the readiness results above, to revisit where the gaps are at Forest University, to understand what is driving this change, and to determine from where the change process is starting. Whelan-Berry et al. (2003) define change drivers as "events, activities, or behaviors that facilitate the implementation of change by providing an understanding of the need for change" (p. 100). Figure 5 highlights gaps in external and internal policies, processes, and communication that support the problem.

**Figure 5**

*Current Gaps in the Organization*

	Historical State	Current State	Gap Identified	Ideal State
<b>Internal Policy</b>	Inconsistent with other internal safe-disclosure policies	Inconsistent with other internal safe-disclosure policies	X	Consistency between all internal safe-disclosure policies
<b>Internal Policy</b>	Minimal safe-disclosure support in policy	Minimal safe-disclosure support in policy	X	Stronger safe-disclosure specific information
<b>Internal Policy</b>	Out of date	Up to date		Policy remains up to date
<b>Internal Policy</b>	Not inclusive	Not inclusive	X	Increased inclusivity and diversity in policy
<b>Internal Process</b>	Incorporated into policy	Stand-alone processes	X	Continually improved processes
<b>Internal Process</b>	Inconsistent process	Consistent process in VPR portfolio		Processes remain up to date
<b>Internal Process</b>	Inconsistent processes and differing goals campus wide	Inconsistent processes and differing goals campus wide	X	Increased structure and consistency in support
<b>Education and Training</b>	Minimal, only exists for graduate students	Minimal, only exists for graduate students	X	Increase in education and training
<b>Communication</b>	Policy and processes not communicated	Policy and processes not communicated	X	Communication and implementation

In the next section, I explore several solutions to address the PoP and move Forest University closer to the ideal state.

### **Solutions to Address the Problem of Practice**

Consistency between what is being said or what is written in a policy, and what is being done at an organization, is vital. In the previous section, I highlighted gaps between Forest University's current and ideal state. In summary, based on identified gaps controllable by the institution, the ideal goals of the proposed solutions will be to create consistency and inclusivity in internal policies and procedures, to provide education and training, and to create a central, designated support.

This section will outline four possible solutions to address the PoP, that will help narrow these identified gaps, and bring life to the policy, fostering a safe climate encouraging employees to speak up when they witness research misconduct. Improvements to current supports and infrastructure at Forest University will require the institution ensures:

- the policy is maintained, consistent, up-to-date, inclusive, and includes safe disclosure-specific language and content;
- the policy and procedures are communicated within the institution;
- units across campus supporting this policy are aligned;
- clarity about where to go for assistance with an allegation;
- awareness of what constitutes responsible conduct of research;
- misconduct is prevented, where possible; and
- the community continuously works together to foster a climate that encourages individuals to speak up when they witness research misconduct.

#### **Solution 1 – Policy Updates and Implementation**

Forest University's R.I. Policy was updated in 2022 after a long period of no revisions. The policy was updated to ensure alignment with the newest version of the Tri-Agency Framework: Responsible Conduct of Research (RCR Framework) (Government of Canada, 2021). The policy needs to be revised every three years. Ensuring the policy remains updated will be important to be certain

it remains aligned with existing and evolving policies internally and externally. While there will not be another revision of the external Tri-Agency Framework: Responsible Conduct of Research (Government of Canada, 2021) until 2026, the next update to Forest University's R.I. Policy, which will occur prior to the external guidance update, will ensure it is up to date, consistent with other internal policies, and meets the needs of users. Solution 1, therefore, is to ensure Forest University's R.I. Policy is kept up-to-date and consistent with other safe-disclosure policies across campus, that it incorporates additional guidance on safe-disclosure information, and is inclusive by meeting the needs of all users. This solution would also ensure associated procedures are kept up-to-date and that the next round of revisions considers incorporation of an anonymous reporting system that enables individuals to remain part of the process. Information technology plays an important role in maintaining confidentiality and preventing retaliation through the use of various different forms of online technology, websites, and anonymous reporting mechanisms that make it possible to allow the sharing of information with anonymity (Lam & Harcourt, 2019; Latan et al., 2021). If an anonymous reporting system is not feasible, it should be made clearer in the procedures what is required to review an allegation so anyone submitting an anonymous allegation can ensure they submit all the appropriate and required supporting documentation. Once the policy and procedures have been revised, they should be well-communicated across the institution to ensure those affected are able to see where changes have been made.

The desired outcome of this solution would be to have up-to-date and consistent policy and procedures to address above-mentioned gaps. As the policy is already up for renewal again in two years, it will be important this change happens quickly. Setting up meetings and consultations with key project partners and hosting consultations to understand when approvals are required will be important to stay on track. Addition of specific language on safe disclosure and procedures for addressing this would be useful for a future iteration of the policy and procedures. The most recent revision of Forest University's R.I. Policy took approximately 18 months to complete, including internal and external environmental scans, internal consultations, and approvals. The revision was

completed for the first time in 10 years. In saying this, the next revision should not take as long as the policy is mostly up to date and the RCR Framework has not since undergone another revision. The timeline I propose for this solution is approximately one year, which I consider to be low. I led and completed the previous revision as part of my role. It would be more effective to have a dedicated role to oversee the revision of the policy and procedure. The total cost for this solution at Forest University would be a salary of approximately \$70,000 - \$75,000 a year and the role would report to me under the direction of the Vice-President (Research). This solution, therefore, requires a medium financial and human resource investment.

Having recently led the revision of Forest University's R.I. Policy and related procedures, my agency to lead the change involved with this proposed solution is high, as is the feasibility. I have established strong relationships with faculty members across campus and individuals who are essential to the revision and maintenance of this policy and its procedures. As an authentic leader, I would continue to foster these relationships with any new team members I hire. The effectiveness of this solution alone would be low, as discussed: having a policy alone is not enough. Additionally, if this role is only being hired to revise policy and procedures, if the individual hired is not familiar with the institution, they may require additional support or time. Paired with other solutions, however, this would be an effective solution.

### **Solution 2 – Training and Education**

Currently, the only mandatory RCR training at Forest University is for graduate students and is provided by Graduate and Postdoctoral Studies. All graduate students beginning their degrees must complete training prior to commencing their courses. Over the last two years, Forest University has also mandated human ethics training for anyone listed on a new or existing research application submitted for review. Uptake for the training has been high and central administration worked closely with various project partners across campus to ensure a smooth rollout. As discussed, the new Forest University R.I. Policy was also recently approved; however, due to changes in leadership and resources, the policy was never officially implemented or communicated to the research

community, creating a gap in awareness of its existence. Solution 2 includes not only the development of education and training, but the revision of existing websites and proper communication and implementation of policies and procedures.

### ***Solution 2a – Education and Training for the General Research Community***

The desired outcome of solution 2a would be to raise awareness of research integrity content and process, and to increase moral literacy. Training would be provided for research integrity *content* to increase awareness about RCR, with the goal of reducing research misconduct cases at Forest University. Training would also be provided for procedures related to the new policy: what constitutes a breach, how to submit an allegation, and what the process looks like. Additionally, training in moral literacy would be provided to increase the moral and ethical nature of individuals conducting research on campus. This training, which is neither content nor procedure specific, builds skill-sets for ethical and moral decision-making, and may lead to increased willingness to speak up. As no training materials currently exist, this solution, including revision of the existing website and ongoing communications, would require hiring a new staff member who has experience and expertise in this area to create training materials and implement training based on needs. The cost of an administrative role of this nature at Forest University would be approximately \$70,000 - \$75,000 a year and the role would report to me under the direction of the Vice-President (Research).

### ***Solution 2b – Education and Training for Leadership***

The desired outcome of solution 2b is to create allies and to provide mentorship. Using a train-the-trainer model would help increase leaders' knowledge of ethical leadership and encourage them to model good behaviour. To build trust, and to ensure individuals know policies are more than just words, those in leadership positions should embody what is said in the institution's policies. Kenny et al. (2019) argue that if trust is not present—even with effective systems in place—individuals are unlikely to come forward. Leaders may be able to lessen retaliation if they communicate a clear and positive vision, support and encourage staff, foster trust and cooperation, and instill pride and respect in others (Caillier, 2015). For this solution, a new staff member, similar

to the one listed above, would be required to act as the trainer in the train-the-trainer model. The cost of an administrative role of this nature at Forest University would be approximately \$70,000 - \$75,000 a year and the role would report to me under the direction of the Vice-President (Research).

Both solution 2a and 2b would result in a medium financial and human resource requirement. Having led similar training experiences in my role, the timeline for both solution 2a and 2b would be approximately one year each. In addition to hiring this role, which would take approximately three to six months, the total time for this solution would be approximately 18 months. My agency to lead this change is high, as is the feasibility. I have established strong relationships with faculty members across campus, some of whom have revealed significant interest in both the training materials and the train-the-trainer program. As an authentic leader, I would continue to foster these relationships with any new team members I hire. When trainees have trust and respect for those leading these changes, the effectiveness of proposed solutions like this would also be high.

### **Solution 3 – Addition of a Dedicated Ombudsperson and/or Hotline**

Allegations at Forest University are submitted to the Vice-President (Research), which may seem daunting to some. At the 2019 World Conferences on Research Integrity, several colleagues discussed the use of an Ombudsperson or hotline to help with central intake of allegations of research misconduct. Positioned at an arm's length from the Vice-President (Research), the Ombudsperson acts as a neutral party to discuss confidential concerns, even prior to an allegation. In other instances, hotlines allow individuals to submit allegations anonymously, without fear of retaliation. Latan et al. (2021) suggest the use of anonymous channels helps maintain the confidentiality of a person's identity and prevents retaliation. Forest University currently has an Ombudsperson dedicated only to supporting students, not staff or faculty members. It is also not dedicated to providing service related to research conduct-related concerns. Staff and faculty must seek assistance through Human Resources, which can also be a deterrent as, from my experience, individuals may fear professional retaliation.

While both options—a research conduct-related ombudsperson and hotline—have been considered at Forest University, these solutions would require additional human resources. The hotline and the Ombudsperson would both require a designated, confidential phone line that has someone available to respond on a regular basis. The cost to support the role of an Ombudsperson for research-related concerns at Forest University would be approximately \$70,000 - \$75,000 a year and the role would report to me under the direction of the Vice-President (Research). There may be some concern, however, that the ombudsperson should be at arm's length from the Vice-President (Research) to ensure they remain neutral. It might be more beneficial for this role to be hired outside of the office of the Vice-President (Research).

While the use of an Ombudsperson and/or hotline for research-related concerns is appropriate in some jurisdictions, its feasibility at Forest University is low because Forest University's R.I. Policy has specific requirements for anonymous allegations. Also, as currently proposed in this OIP, the Ombudsperson would report to the Vice-President (Research), which means they would not be neutral. If, as suggested above, the role was hired outside of the Office of the Vice-President (Research), my agency for leading the change for this solution would be low. While I have soft power, influence, and relational agency, recommending this role be hired outside of my office would be difficult at this time without additional support from senior leadership. While solution 3 *would be* a highly effective solution, it does not currently align with Forest University's R.I. Policy, nor would it be a feasible solution outside of my office.

#### **Solution 4 - Hybrid Approach**

There are elements of each solution that are not currently feasible, and other elements that may be feasible, but require modifications. I measured all potential solutions against the same criteria: required human resources, time, and cost, and reviewed my agency, and the effectiveness and feasibility of each solution. Given resources available at this time, and based on the above-mentioned measurement of all proposed solutions, the selected change solution is a hybrid approach that integrates several different aspects:

- Policy
  - maintained, up-to-date, consistent with other policies, and inclusive; and
  - implemented and communicated within the institution.
- Training and education
  - on research integrity and procedures related to policy; and
  - revised website.
- Addition of a dedicated support role
  - to support solutions in the hybrid approach.

This hybrid approach will foster continuous improvement of culture and a climate that encourages individuals to speak up when they witness research misconduct. From previous experience, I realize implementing a training program with no additional resources is extremely difficult and consumes a lot of time. The effectiveness of an ombudsperson would be high, but not as proposed above. Therefore, building on the idea of having a role individuals could come to with concerns who is not the Vice-President (Research) would be a helpful step in place of an ombudsperson. This proposed solution, therefore, would require the addition of at least one staff member, as a start, to serve as a dedicated support and change implementer, and to assist with the change implementation plan. The cost of an administrative role of this nature at Forest University would be approximately \$70,000 - \$75,000 a year and the role would report to me under the direction the Vice-President (Research). As there is no current training model in Canada for RCR or safe disclosure, this dedicated support would need to develop training and education materials. As part of previous information-gathering efforts, consultations have been conducted to determine *how* education and training could be offered. Any future training initiatives will be based on these specific needs and other feedback collected. For these reasons, solution four has a medium resource requirement and is feasible. Once a new role is hired, I will provide onboarding given that I have the expertise. This solution is therefore within agency and scope. This hybrid approach will be effective because it introduces a combination of educational tools based on identified needs, well-maintained

and communicated policies, and a central intake process that will help create transparent and efficient processes. The proposed change to address the PoP will be a first-order change as I aim to modify research conduct-related policies and structures at Forest University that will lead to a second-order change: fostering a psychologically safe climate that encourages individuals to speak up when they witness research misconduct. This aligns with Bartunek and Moch's (1987) definition of second-order change as a modification to the framework, that enables individuals to behave differently.

Two figures conclude this section. Figure 6 illustrates resources required to successfully implement each proposed solution outlined above. Figure 7 shows the feasibility and effectiveness of each proposed solution. Feasibility is the capacity to do something with resources available at this time. Effectiveness is the degree to which the proposed solution is successful in achieving the desired goal. Reviewing these figures together helped me decide upon the hybrid approach as my selected change solution as it has the highest feasibility and effectiveness, and lower resource requirements. Additionally, the different aspects of the hybrid approach align well with my selected change framework—specifically the phases of mobilization, acceleration, and institutionalization. It is during the mobilization phase that the dedicated support will be hired, the tools built, and the policy and procedures prepared for revision. The acceleration phase will be when the tools and website will be deployed for use by those affected by the change. Finally, it is during the institutionalization phase that the newly revised policy and procedures will be brought into alignment with the change by being effectively implemented and communicated.

**Figure 6***Resources Required for Potential Solutions*

	Human Resources	Time	Cost
<b>1. Policy Update</b> - Consistent - Inclusive, meeting needs - Up to date	Medium	Low	Medium
<b>2. Training and Education</b> <b>-General Research Community</b> <ul style="list-style-type: none"> <li>• Research integrity content</li> <li>• Procedures related to R.I. Policy</li> <li>• Moral literacy</li> </ul> <b>-Leadership</b> <ul style="list-style-type: none"> <li>• Train-the-trainer model</li> </ul>	Medium	Medium	Medium
<b>3. Addition of Dedicated Ombudsperson and/or Hotline</b> - Dedicated ombudsperson - Anonymous hotline - Centralized intake	Medium	Low	Medium
<b>4. Hybrid model</b> - Policy Update - Training and Education <ul style="list-style-type: none"> <li>• General Research Community               <ul style="list-style-type: none"> <li>○ Research integrity content</li> <li>○ Procedures related to R.I. Policy</li> </ul> </li> </ul> <b>- Addition of Dedicated Support</b> <ul style="list-style-type: none"> <li>• Dedicated intake</li> </ul>	Medium	Medium	Medium

**Figure 7***Feasibility and Effectiveness of Potential Solutions*

	Agency	Effectiveness	Feasibility
<b>Policy Updates</b>	High	Low	High
<b>Training and Education</b>	High	High	High
<b>Ombudsperson and Hotline</b>	Low	Low	Low
<b>Hybrid Approach</b>	High	High	High

### Chapter Summary

As a community, Forest University will continue to work together to foster continuous improvement in culture and a climate that encourages employees to speak up when they witness research misconduct. In this chapter, I explained how I will use my leadership approach—authentic leadership—to lead and propel the change forward. I related my leadership approach to the organizational context and PoP, and I identified additional problems related to marginalization, which will be addressed by applying this leadership framework and forming a working group across the institution. From there, I introduced my selected frameworks—the CPM, Krüger’s Iceberg Model of Change, and PDCA—I will use to lead the change process. Reviewing gaps and using an adapted change readiness tool, I clarified where the institution is in terms of readiness to change and used this information to identify a clear path forward with several possible solutions. Rating each of these solutions using the same criteria—resources, agency, feasibility, and effectiveness—I concluded the chapter with my selected change solution: a hybrid approach, to be explored in the next chapter.

### **Chapter 3: Implementation, Communication, and Evaluation**

Chapter 3 introduces the change implementation plan, which will be known as the plan, that will drive the change process to achieve the solution outlined in chapter 2: a hybrid approach for safe disclosure with a focus on dedicated support, policy updates, increased resources, and training. As discussed in chapter 2, the Change-Path Model (CPM) will be used as the primary change framework. Results of data analyzed from McKnight and Glennie's (2019) readiness rubric and Krüger's Iceberg Model of Change (Buller, 2014) were used to determine how to best communicate the path of change to different audiences to raise awareness and communicate throughout the change process. The Plan-Do-Check-Act cycle (PDCA) will be used as an inquiry cycle to monitor and gather important information for evaluating the change process and determining if refinement is required. To conclude this chapter, I discuss next steps and future considerations.

#### **Organizational Change Roles**

It is important to understand the different roles involved in the plan, and who holds each of them. Deszca et al. (2020) define the change leader as responsible for leading the change and, while this may be a formal leader, it can also be an informal leader who has emerged to lead the change. The change leader can play multiple roles in the change process. There are two change leaders in this change: the Vice-President (Research) (VPR) is the formal change leader and will predominantly take on the roles of change initiator and facilitator. I am also a change leader, acting in an informal capacity, and will move between the roles of change initiator, implementer, and facilitator. By working together on the research integrity portfolio, the Vice-President (Research) and I identified a need for change. We realized more support, clarity, and transparency of safe-disclosure processes is needed. As the need for change has been clearly identified, I will work to bring together individuals from across campus who also work at arm's length on research misconduct, or similar allegations. These individuals will form a working group to help lead change in the roles of change implementers and change facilitators. Together, we will effect change from the middle of the organization. It is, therefore, being driven within the organization by multiple individuals pulling in the same direction

and with the support of the Vice-President (Research) rather than from the top or by one individual. This working group will be critical to moving the change forward. We will work to increase awareness of the need for change. The Vice-President (Research) will champion the change in her role as change initiator. As a change facilitator, the Vice-President (Research) will actively foster support, alleviate resistance, and provide guidance and council as needed. Deans and faculty members, and even the President and board of governors, will hold the role of change facilitators as they understand the institution and its change processes, and are able to help move the change process forward. These change facilitators may be looked to as consultants to the working group for valuable feedback, input, and advice. Figure 8 provides a visual summary of participant roles in the plan.

**Figure 8**

*Change Roles and Responsibilities at Forest University*

Role	Description	Who
Change leaders	Responsible for leading the change Can be initiator, implementer, facilitator Often formal change leader, however informal change leaders will emerge and lead change	As we are both currently the first point of contact for accepting and handling allegations of research misconduct at the institution, the Vice-President (Research) and I are both change leaders.
Change initiators	Provides resources and supports Identifies the need and vision for change Champions the change	Both the Vice-President (Research) and I identified a need for change in our firsthand handling of allegations of research misconduct at the institution. We are both change initiators.
Change implementers	Take action and responsibility for making the change happen, charting the path forward, nurturing support, and responding to resistance.	I, along with the working group will be responsible for making the change happen, charting the path forward, nurturing support, and responding to resistance.
Change facilitators	Help manage the change Assist initiators and implementers in the change management process Foster support, alleviate resistance, and provide guidance and council	The individuals who work closely to this process and who will support the change through the working group will be the change facilitators. These individuals may include me, Vice-President (Research), deans, working group, faculty members, board of governors, and president.
Change recipients	On the receiving end and affected by the change	Researchers, faculty, students, staff, post-docs, etc. will be the change recipients.

*Note:* Adapted from Deszca et al. (2020)

## **A Space for All Voices**

In chapter 1, I discussed that there are individuals who, due to cultural norms, may not be able to follow the same processes as the current policy and procedures outline. I also discussed in chapter 1 how it will be important to have their voices at the table. As everyone in the institution plays a role in shaping culture, all voices should be heard when making a culture change. Shields (2005) suggests that by building a community and asking people for their input, you continue to empower them, making them feel like their voices are being heard and that they are part of the solution. Using shared equity leadership (Kezar et al., 2021), I will facilitate the creation of a working group based on specific skills and experience from across campus, rather than selecting specific roles from each of the related units. Creating a working group in this manner will allow me to bring together a diverse set of individuals who have specific skills so we can learn from each other. By expanding this group and focusing on skills, we can build a ladder of shared equity leadership, establish trust, and help people feel more comfortable having their voices heard. As a result, more people will feel empowered to join and share their stories, leading to greater impact.

## **Change Implementation Plan**

Preventing and responding to research misconduct at Forest University requires a multi-faceted and collegial approach. As such, I am developing the plan as illustrated in Appendix A, which brings together several different solutions as a hybrid approach. This approach is being used to achieve short- to long-term goals, as displayed in Figure 9. The goals align with the phases of the change framework, which will be used to address the Problem of Practice (PoP): the impact that a lack of mechanisms and structures to support safe disclosure has on individuals who have experienced research misconduct. Solutions provided by the hybrid approach consist of hiring a dedicated support role for receiving allegations of research misconduct, building a website to implement and communicate the new Forest University R.I. Policy, regularly updating policy and procedures, and introducing new training resources. Taken together, these new resources will help

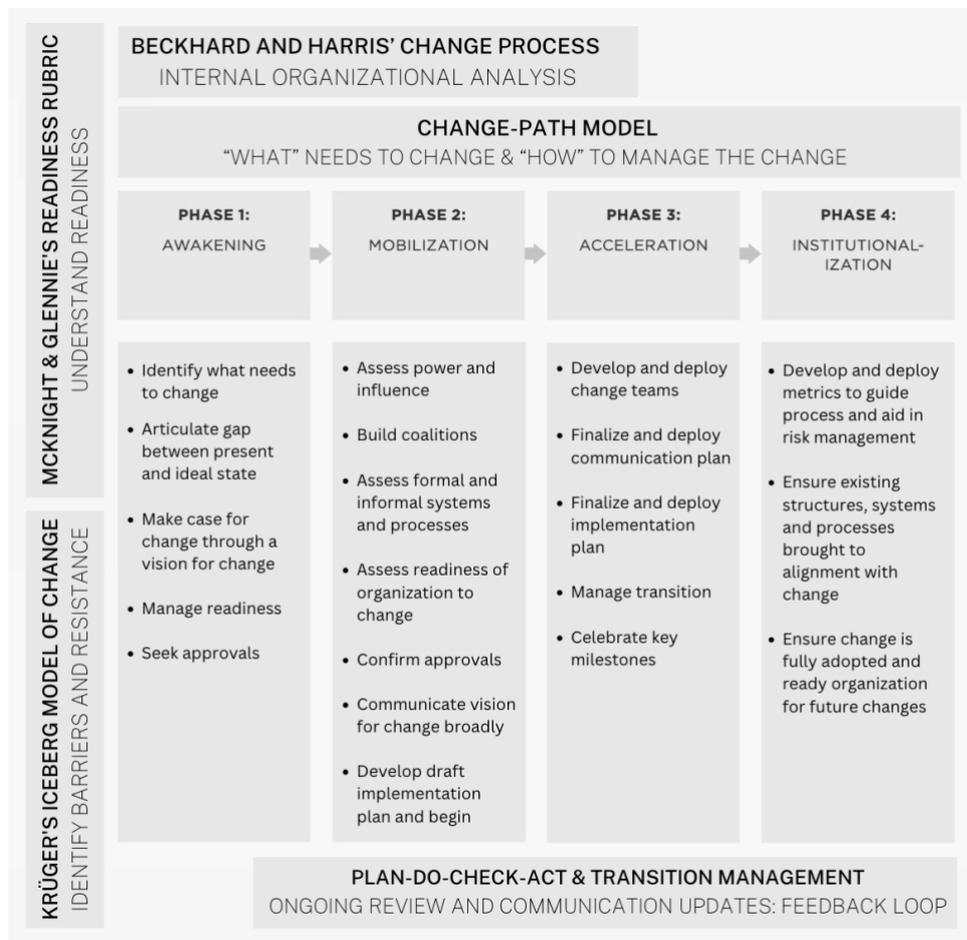
foster a climate that encourages individuals to speak up when they witness research misconduct at Forest University.

Two important outcomes of this Organizational Improvement Plan (OIP) are a) to ensure Forest University's research conduct policy and procedures become living documents; and b) to ensure ongoing efforts to continuously improve culture at Forest University around safe disclosure. As outlined in Figure 9, the plan's two-year timeline contains three major goals for achieving the outcomes of the OIP. Within the first six months, the goal is to increase awareness of the problem to leadership and of safe disclosure and supports at Forest University to the community. The first step will be to create a working group to support the change. Along with the newly assembled working group, I will work to substantiate the problem, create urgency, understand need, and clearly communicate the vision for change. Over the next eight-month period, the goal will shift from increasing awareness to increasing supports. As introduced in chapter 2, I will hire a dedicated support role to provide intake for research conduct-related allegations, maintain policies and procedures, and develop the website and training tools. Finally, within the last six months of the plan, the goal will be to increase knowledge. The new tools, policies, and procedures will be communicated to users to prevent misconduct, and when misconduct is not prevented, to ensure individuals know how to report it and are empowered to do so. At the end of two years, I anticipate presenting data that support efforts to include retaliation as a violation of policy with institutional enforcement, and to strengthen procedures related to retaliation reporting and investigations.

**Figure 9***Goals of Hybrid Approach to Address the PoP*

Timeline	Priorities for change aligned with CPM	Steps to achieve goal
<b>Goal: Increase awareness</b>		
Short-term (0–6 months)	Awakening <ul style="list-style-type: none"> <li>Identify the need for change</li> <li>Create awareness of the problem</li> <li>Shared vision for change across campus</li> </ul>	<ul style="list-style-type: none"> <li>Substantiate the problem</li> <li>Create urgency through awareness</li> <li>Assemble special working group to support change</li> <li>Communicate the vision for change</li> </ul>
<b>Goal: Increase supports</b>		
Medium-term (6-18 months)	Mobilization <ul style="list-style-type: none"> <li>Build structures to support change</li> <li>Develop supports</li> <li>Set the stage for implementation</li> </ul>	<ul style="list-style-type: none"> <li>Hire a dedicated support</li> <li>Maintained policies and procedures</li> <li>Develop tools</li> </ul>
<b>Goal: Increase knowledge</b>		
Medium to long-term (18-24 months)	Acceleration <ul style="list-style-type: none"> <li>Engage and empower</li> <li>Implement structures</li> <li>Manage transition</li> <li>Normalize new structures and supports</li> </ul>	<ul style="list-style-type: none"> <li>Communicate new structures and supports</li> <li>Misconduct prevented where possible</li> </ul>
<b>Goal: Change policy</b>		
Next steps (24+ months)	Institutionalization <ul style="list-style-type: none"> <li>Monitor</li> <li>Improve where needed</li> <li>Refine policies</li> <li>Continuously improve culture</li> </ul>	<ul style="list-style-type: none"> <li>Continuous improvement</li> <li>Incorporate retaliation into policies</li> <li>Alignment and enforcement of policies</li> </ul>

As illustrated in chapter 2, I have already used McKnight and Glennie’s (2019) readiness rubric to assess Forest University’s readiness for change. Similarly, I’ve applied Krüger’s Iceberg Model of Change (Buller, 2014) to determine points of resistance. Deszca et al. (2020) suggest an additional tool, Beckhard and Harris’ Change-Management Process (1987), be used with CPM during the awareness phase to conduct internal organizational analysis. We will use PDCA as an inquiry cycle, upon which I will elaborate later in this chapter. The use of these different models together, as illustrated in Figure 10, will help ensure the plan is supported from multiple angles.

**Figure 10***Models to Support the Change Implementation Plan*

*Note.* This figure is adapted from Deszca, 2020 and demonstrates how several change management models will be used together to support the change implementation plan. Krüger's Iceberg Model of Change (Buller, 2014) and McKnight and Glennie's (2019) readiness rubric have been used to prepare for the change. The dominant framework for leading the change process will be the Change-Path Model (CPM) (Deszca, 2020; Deszca et al., 2020). Deszca et al. (2020) suggest the use of Beckhard and Harris' Change-Management Process (1987) to analyze the organization; as such, I will use it throughout the first two phase of the change implementation plan to gather important information. The Plan-Do-Check-Act (PDCA) cycle (Johnson, 2002; Pietrzak & Paliszkievicz, 2015) will be used as an inquiry cycle to support the already existing tracking and evaluation components of the Change-Path Model.

### **Change-Path Model (CPM)**

The CPM connects to authentic leadership in that it asks specifically what needs to change and how (Deszca et al., 2020). CPM also addresses how the change process is managed. As an authentic leader, I look at all possible ways of understanding a situation through continuous reflection. I lead with my heart and build genuine relationships, which allows me to better understand those involved in the change, work with them to communicate the change, get them on board, and keep them engaged throughout the process. As one of the two change leaders, I will be intentionally consultative during the plan's implementation to ensure everyone who will be affected by the change is included early and remains engaged.

### ***Awakening***

Change cannot happen until key individuals fully understand and agree to the need for change, and a clear vision for the change is established and communicated. During the foundational awakening phase, interest in the change is "awakened" and necessary efforts are made to ensure everything is in place for the change to begin. It is during this phase that Beckhard and Harris' Change-Management Process (1987) will be used as a gap analysis tool to collect pre-implementation baseline behaviour data from those who will be affected by the change. Data collected from these tools will be combined with previously collected data, including environmental scans of other Canadian universities' compliance and integrity policies and programs, and an in-depth gap analysis of compliance and integrity policies, programs, and processes at Forest University I conducted in 2017-2018. Despite being unable to share confidential details of cases, the Vice-President (Research), as change leader, will inform the President and board of governors (BOG) of the need for change by presenting them with anonymized data and communicating with them in a gain vs. loss format (Lewis, 2019) that emphasizes potential risks to the institution if change does not happen. Data will also be used to demonstrate the alignment of priorities related to RCR across units. The working group will create a common vision for change. This vision for change will be shared through multiple communication channels to raise awareness of the change, help show

individuals what is in it for them, and obtain necessary approvals from leadership, as required. Some of the working group members may not be privy to specific, confidential cases; however, this is okay as the data gathered to support the need and vision for change will not include discussion of confidential cases.

### ***Mobilization***

As introduced above, I will engage individuals across campus who work at arm's length on research misconduct or similar allegations to create a working group that helps lead this change. This working group will be assembled using shared equity leadership (Kezar et al., 2021) to ensure a diverse set of individuals who have specific skills and experience can learn from each other. These individuals will be brought together from Graduate and Postdoctoral Studies, Faculty Relations, legal counsel, and Human Resources. As a working group, we will begin working together towards a commonly agreed upon vision for change. While the Vice-President (Research) and I have already identified the *need* for change, the *vision* for change will be co-created by the working group to ensure everyone on campus sees this need. Together, we will review information gathered in the awakening phase from Beckhard and Harris' Change-Management Process (1987) and the pre-implementation survey to determine needs for training and bring them into alignment with the above-mentioned goals. A dedicated support role will be hired during this phase. I anticipate this role will provide valuable insight into the plan's implementation. As one of the change leaders, I will work with this new hire—who will become a change implementer and change facilitator—to train them and assist them with ongoing consultations for the next iteration of Forest University's R.I. Policy, which requires revision every three years. The training program, as discussed in chapter 2, will be multi-faceted and will include training on responsible conduct of research (RCR), how to submit an allegation, where to seek help or go for advice, what retaliation means, and the repercussions of retaliation. The website, introduced above as one of the new tools, will include helpful information that aligns with these topics.

***Acceleration***

While the vision for change was shared with the research community during the awakening phase, communications during the acceleration phase will be used to implement the change and to introduce supports to the community. All project partners will be engaged through various methods of communication, not to over-burden, but to ensure key messages are conveyed throughout the implementation of the plan. The goal of the new training and website is to normalize new structures and supports to foster a climate to encourages individuals to speak up when they witness research misconduct. I expect to celebrate successes during this phase. New training will be mandatory for anyone conducting research and will help build skills for those affected by the change. Those who have taken the training can act as role models and help build momentum for late adopters and training will have an eventual effect of reducing research misconduct across campus. Metrics will be collected for how many individuals click on website links, open communications, and then click on calls to action and complete the training. These measures will be added to a dashboard to be used by various project partners. The dashboard will help them remain updated on progress and will be helpful in the next stage to determine if further refinement is needed.

***Institutionalization***

Reviewing the dashboard after a two-year change period, will enable us to solidify the short- and medium-term goals and to prepare to accomplish longer-term goals related to continuous improvement of culture. We will monitor the success of the short- and medium-term goals to provide feedback to key project partners and to offer guidance on next steps and future considerations. PDCA will be used to determine if original goals have been met or if we need to go back to the planning stage and refine.

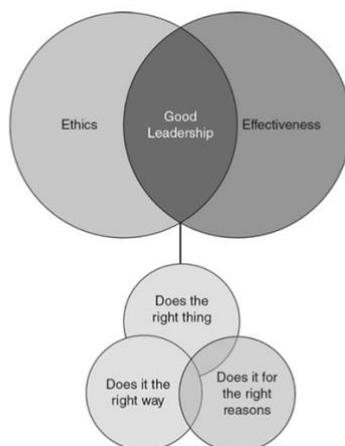
***Inquiry Cycle***

While CPM includes an existing process to track and evaluate change, I will incorporate PDCA as an inquiry cycle to determine whether refinement is needed. PDCA “draws its structure from the notion that constant evaluation of management practices, . . . is key to the evolution of a

successful enterprise” (Johnson, 2002, p. 120). As such, PDCA will be interwoven into CPM to provide snapshots of progress throughout the plan. Applying PDCA will not only allow me to determine if the change is successful, but to determine if the work we are doing is making a difference and ensure my leadership of the change is providing a balance of ethics and effectiveness as shown in Figure 11. PDCA does just that. Pietrzak and Paliszkiwicz (2015) discuss that planning cannot be a one-time event; it should be ongoing. PDCA is an iterative process that allows for a deeper understanding that leads to improved processes.

**Figure 11**

*Testing the Effectiveness and Ethics of the Project*



*Note: Taken from Ciulla’s (2018) “The Nature of Good Leadership”*

If the desired goal *is not* achieved after implementing the change, we will start again at the beginning of the change process and re-identify solutions. If the desired goal *is* achieved, we will continue with the new state and reinforce the change. More details of how PDCA will be incorporated into the plan will be provided during the discussion of monitoring and evaluation.

### **Transition Management**

Institutions of higher education are large, complex organizations that will not slow down to enable change. This is reflected in the initial step of the transition management plan by Deszca et al.

(2020), where they discuss three components of transition management. The first highlights the importance of ensuring the institution continues to function and is not strained while change is being implemented. The second is to keep people informed of the change to reduce anxiety. The final component happens after the change and involves a debrief to conduct the “after-action review” (Deszca et al., 2020). This review provides helpful insight into what was learned and what transpired along the way. Deszca et al. (2020) discuss the use of a transition manager to help with transition management. While resources are not available to hire an additional role to act as a transition manager, I will implement three different processes to act as checkpoints throughout the plan. Clear communications and detailed plans will be put into place to ensure there is no strain on the ongoing work while the change is taking place. Those affected by change will make up their own narratives if they are not kept well-informed of the change. This is where rumours can begin and the planned change can go off course. Johansson and Heide (2008) state that “[w]hen a new complex situation arises, . . . people immediately start to talk about it in order to understand it” (p. 294). Communication will also be used to keep individuals informed of the change and to reduce anxiety and build trust. Building genuine relationships and trust are key components of authentic leadership (Anugerah et al., 2019; George & Sims, 2007; Ilies et al., 2005) and are important values for me. Johansson and Heide (2008) also explain that providing more accurate information to those affected by change reduces uncertainty and builds trust. Finally, check-in points and an end-of-change survey will be utilized to gather feedback and ensure a smooth transition.

### **Project Partners**

Project partners will become great allies if engaged early. While I already have good working relationships with many of the key project partners, the working group will continue to develop relationships with others. It will also be important to understand exactly who needs to be at the table. Relating back to chapter 1, the consultation process for Forest University’s R.I. Policy could have been more diverse. With this plan, it will be essential to ensure no one is excluded from the conversation and that diverse perspectives are reflected. Utilizing shared equity leadership (Kezar et

al., 2021) will support participation of a diverse set of individuals who have specific skills and experience so we can learn from each other. This will help establish and foster trust and enable people to feel more comfortable having their voices heard. As more people feel empowered to join and share their stories, we will be better positioned to create a more diverse and inclusive policy.

Kang (2015) explains the differences between micro and macro change management. Macro change management is concerned with strategic or process level organizational initiatives, where micro change management is concerned with tactics for managing the human aspects. Many stages of the plan involve preparing individuals for the change by “reducing resistance to change, taking care of people’s concerns regarding a specific change, and communicating with all affected people” (Kang, 2015, p. 29). In other words, the plan is dependent on micro level change management. In alignment with both an interpretive approach and authentic leadership, micro level change management will be used throughout the plan. It will include tactical solutions for managing resistance and transition, an effective communication plan that highlights the vision for change and how it aligns with individuals’ values and beliefs. Communications will focus on engaging project partners throughout the plan to maintain motivation for change and to respond to their concerns.

Maintaining trust through ethical leadership is not only important as I lead this change, it is a key tenet of authentic leadership and who I am as a person. I will work continuously with different project partner groups to build and maintain relationships and trust. This will be vital to the project’s success and reflects my authentic leadership approach to change. There will be many different project partners involved in our plan and each individual or group of project partners will influence or be affected in different ways, as shown in Figure 12. It is important for me to understand the needs of each different project partner group and to ensure the plan to address their needs is clear.

**Figure 12***Project Partner's Needs and the Plan to Address Needs*

Project partners	Influencer or Affected	Project partner needs	My needs from project partner	Plan to address needs
President/BOG	Affected	Reputation / Risk	Support	Gap analysis, data
Provost/Senate	Influencer	Student success	Approval	Gap analysis, data
Vice-President (Research)	Influencer	Research integrity	Champion	Numbers of cases, ongoing work
Deans	Influencer	Department success	Support	Gap analysis, data
Faculty Relations	Both	Faculty rights	Collegiality	Proposal of collaboration
Human Resources	Both	Staff rights	Collegiality	Proposal of collaboration
Graduate & Postdoc Studies	Both	Student rights	Collegiality	Proposal of collaboration
Faculty	Affected	Protection	Uptake/Mentor	Education, dedicated support
Staff	Affected	Protection	Uptake	Education, dedicated support
Administration	Affected	Protection	Uptake	Education, dedicated support
Students	Affected	Protection	Uptake	Education, dedicated support
Public	Affected	Trust	Confidence	Share progress as applicable
Funders	Both	Confidence	Increase policy	Reports showing progress

**Limitations**

As part of the proposed hybrid approach, we are asking people to think differently about what responsible research looks like and whether speaking up is the best thing to do. While asking people to speak up aligns with the policy, it may be difficult for some if supports and systems are not in place to provide a safe space for so doing. Building genuine relationships and building trust are key components of my leadership approach and align well with the CPM and what we are asking people to change and to learn.

Despite careful planning, one of the possible limitations of this work is that individuals do not see the same need for change as I do. I am confronted by these concerns daily and I understand my context is much different from others. The CPM directly addresses the question of why the change is needed. From my role as change leader, the goal is to equip different change recipients with the knowledge, skills, and tools they need to notice, report, prevent, and/or appropriately resolve issues.

## Communication Plan

Communication, when performed correctly, can help eliminate misunderstandings, suspicions, disputes, and rumours, and can be used to form and strengthen relationships by setting expectations and raising awareness, while facilitating dialogue and providing an opportunity for discussion (Adiguzel, 2019). In Norway, there is a high misconduct reporting rate. Skivenes and Trygstad (2010) “believe that a culture of communication, participation and openness” (p. 1092) has led to individuals feeling comfortable to bring forward their concerns in the country. Throughout the change process, communication can play various roles. Deszca et al. (2020) suggests that before the change communication can help relieve anxiety; during the change it can help settle emotions related to change; and after the change it can help individuals accept change. Just as communication can play different roles throughout the change process, the way in which communication is provided may require the use of different methods. Using a one-size-fits-all approach for communicating change that proposes a gradual shift in culture will not work as shifting culture—and with this topic specifically—may bring up different emotions and fear for some. Based on previous experience with change at Forest University, I know it will be important for us as a first step to know our audience and to adapt communication methods and messages as needed. Taking this into consideration, the communication approach we will take will encourage continuous communication through various channels and directed messages for each of the different CPM phases. This approach will promote openness throughout the change process and ensure those effected by the change will remain part of the conversation. Maintaining consistency between what is being said and what is being done is crucial to shifting to fostering a climate that encourages individuals to speak up when they witness research misconduct. The actions, processes, and values of the institution should reflect what is communicated in our policies.

### Building Awareness

Research shows that from a very early age, children continuously ask *why*. Humans are naturally programmed to seek out explanations and, if not satisfied, to continue to ask questions to

understand (Frazier et al., 2016). This helps illustrate why, when a change is taking place, it is important as a first step to build awareness of the need for change by answering *why*. Hiatt (2006) believes that successful changes begin by not only explaining *that* the change is happening, but also what will result, and most importantly, *why* the change is happening, including why now, and the risk of not changing. During the awareness stage, Hiatt (2006) states that it is the goal to ensure all individuals who will be affected by the change can say they know the nature of the change and why the change is happening. The stage of building awareness is in line with my leadership framework in that it ensures relationships are built and that everyone is included at the start and remain engaged. Paker (1997) explains that rejection is possible at any stage of the change journey, which is why it is important to ensure urgency is created for individuals to decide to adopt the change and to proceed with it. Urgency is created by raising awareness. Five different ways to raise awareness for change are:

1. Make the organization aware it is in or near crisis, or create a crisis that needs to be solved.
2. Identify a transformational vision based on higher-order values.
3. Find a transformational leader to champion the change.
4. Take the time to identify common or shared goals and work out ways to achieve them.
5. Use information and education to raise awareness of the need for change (Deszca et al., 2020).

I understand through previous experience and ongoing work that the use of information and education is the best way to raise awareness. Similarly, based on this experience, I know that other options provided by Deszca et al. (2020) will not be effective. For example, creating a crisis where there is not one would not be ethical and would create panic across campus. Identifying a transformational vision based on values may work, but in my experience, there have been visionary declarations that have not been delivered upon. Individuals may not believe there is a true need for the change and there may be unmet expectations. One of the solutions I proposed in chapter 2 was to use a train-the-trainer model with faculty members acting as role models to champion change.

This solution may not be feasible as faculty members would not buy in or it may go against their contractual agreements. While I can tie the change to the strategic goals of Forest University, the fourth option of working towards shared goals aligned with the strategic plan is more of a long-term goal in my change plan. Raising awareness and knowledge through information and education will help everyone understand the need for change from their own points of view. Fisher et al. (2011) explain that “[w]hat one says, the other may misinterpret” (p. 21). Tying this to our work, I have recently discovered that not everyone is speaking the same language when it comes to RCR, nor does everyone have the experience I do with research misconduct. Applying the concept of language to a communication plan will help raise awareness of the need for change and about what RCR, safe disclosure, and retaliation mean. We will use Lewis’ (2019) blanket and targeted communications approach to disseminate information and education to get everyone speaking the same language and to get everyone closer to the same starting point as the change is implemented. Bringing everyone to a more level playing ground will help implement the change. Using education to increase awareness also aligns with the readiness rubric I completed for the institution. As discussed in chapter 2, there are several areas that need to move from “Getting Ready” or “Not Ready” to “Ready”. Figure 13 shows a summary of the readiness rubric and how the areas that are “Getting Ready” or “Not Ready” can move to “Ready” to facilitate change.

**Figure 13**

*Readiness Rubric Summary of How Areas Can Move to “Ready” so Change Can Occur*

<b>Getting ready</b>
Leaders are committed to proposed change and provide ongoing support and resources
Leaders support project partners in aligning required changes with core values and articulating how change can benefit
Staff members have the capacity to carry out the new work and are given any needed supports aligning with change goals
Proposed change is viewed as needed by all affected
Proposed change is viewed as positive and appropriate by all affected and barriers to change are minimized
<b>Not ready / Getting ready</b>
Leaders have shared decision-making process to co-create change vision, goals, and implementation plans for institution

Based on my experiences and the current organizational structure and environment, the use of education to move these areas to “Ready” will be helpful. Based on previous changes I have led or have been a part of at Forest University, I know that people prefer to get information directly, accurately, and with enough information to be informed. Not receiving information in this manner has been proven to raise concerns and start rumours, causing people to make sense of the change themselves instead of being properly informed. Having a clear communication plan to raise awareness will help initiate the change process.

### **Responding to Feedback**

Previously, I discussed the use of Krüger’s Iceberg Model of Change (Buller, 2014) to deepen my understanding of organizational culture and identify resistance points that might prevent individuals from wanting to change or that could even derail the change process. Areas of resistance might include not wanting to change, alignment of values, impact to work, comfort with the way things are, feeling as though the change will not make a difference, and a lack of credibility from the person leading the change (Prosci, n.d.). While I do not have the formal leadership title generally associated with large-scale, organizational change, I have soft power, and influential and relational agency, and I know I will be in the best position to communicate change messages on behalf of the working group. The Vice-President (Research) has more agency but is less known and relatable to those affected by this change. I will lead two-sided conversations (Deszca et al., 2020; Lewis, 2019) with those affected by the change so they feel engaged from the start and beyond the implementation to address the resistance point of not feeling as though the change will help. If employees see themselves reflected in the change and their feedback is considered, they are more likely to accept the change (Deszca et al., 2020). Using two-way communication, it will be important to engage individuals and to gather feedback along the way instead of just informing them that change is happening. Using effective communication techniques will help surface other areas of resistance so we are able to address them as they appear and learn from them. Anticipating ongoing questions and resistance points will also help as we plan to raise awareness—returning to the use of

education in this case—for why the change is necessary at the institution. Feedback gained can be used to create positive energy and a space for people to continue to voice their concerns, share thoughts and frustrations, and help curb negativity (Deszca et al., 2020).

### **Knowledge Mobilization Plan**

Knowledge mobilization activities include a wide range of activities put in place to connect research (or knowledge) to policy and practice by empowering people to use the knowledge to address real-life problems (Malik, 2020; Social Sciences and Humanities Research Council, 2019). We will use the following steps for knowledge mobilization, as illustrated in Figure 14:

1. Understand who the knowledge users are.
2. Set knowledge mobilization goals and determine how impact will be measured.
3. Select knowledge mobilization methods for each audience.
4. Create the main messages that we will deliver to the different audiences.

**Figure 14***Knowledge Mobilization (KMb) Plan*

Knowledge User	KMb Goals	KMb Methods	Main Message	KMb Impact	Timeline
<b>Research community</b>  <i>Mobilize tools and resources</i>	Raise awareness  Increase knowledge  Change behaviour	Use of KMb visual to disseminate toolkit  Launch of website  Launch of training	Training and education can help prevent misconduct, where it cannot be prevented, supports can help empower individuals to speak up.  There are new resources and a variety of ways to access them.	# of hits on website # completed training # of people using resources	After idea and beyond  Work with this group after idea to gather input helpful for creation and revision of tools
<b>Internal decision-makers</b>  <i>Mobilize data if it shows a positive change</i>	Raise awareness  Inform policy  Identify gaps Show success	Plain language summary  Use of dashboard to show areas of change / gaps	Prevention of misconduct is key, but when it cannot be prevented, supports are important to help individuals feel empowered to speak up.  This is what has worked, this is what hasn't, where can we go next?	Improved processes Informed policy # of people using services Data informing policy	Before idea and beyond  Work with this group to gain buy-in for change
<b>External decision-makers</b>  Funders / government  <i>Mobilize data to change policy</i>	Raise awareness  Inform policy  Inform practices	Policy brief  Use of dashboard to show change	Prevention of misconduct is key, but when it cannot be prevented, supports are important. Policy is required to help institutions drive policy and without external guidance this is difficult to do.  This is what has worked, this is what hasn't, where can we go next?	Informed policy Data informing policy	After change (24 months +)  Work with this group after project concludes and into next steps

*Note:* Adapted from Barwick (2019)

**Knowledge Mobilization Artifact**

I have provided an infographic as my knowledge mobilization artifact in Appendix B. This infographic will be used to disseminate the different tools created as part of the solution to support

safe disclosure across campus. The infographic provides a high-level overview of what fear of retaliation might look like (Lennane, 1993) and statistics related to how many other people experience retaliation (Ethics Resource Centre, 2012). This information has been provided to help raise awareness for people who may have experienced retaliation, with the goal of making them know they are not alone. Resources are also provided so individuals can access help. The infographic will be effective as it is designed to appeal to different kinds of learners: it includes visual and written cues for easy access to information.

### **Communicating Through Change**

As noted earlier, Deszca et al. (2020) explain three components of transition management. To keep people engaged, it will be important to align the communication methods we use with these transitions. This will ensure we are communicating successfully throughout the change, reporting on major milestones, and celebrating wins along the way. As illustrated in Figure 15, I have aligned the stages of CPM with different milestones during the change process. We will use three communication principles outlined by Klein (1996) to create a strategy to communicate through change. Face-to-face communication will be used whenever possible as it is said to have the greatest impact (Klein, 1996), be the most powerful, create space for two-way conversations, and is most effective at getting the message out quickly (Beatty, 2015). Message redundancy (Klein, 1996) will be used to ensure the message is being repeated enough that individuals see it, but not so much they are frustrated by the repetition. Finally, the use of different media (Klein, 1996) will be helpful as Beatty (2015) states that while face-to-face communication is a preferred method of communication, there are disadvantages: not knowing what others will say and not getting people to attend. As mentioned previously, the communication approach should be broader than one-size-fits-all, so we need to ensure different media are used. Looking at the various groups with whom we will communicate, I have also selected various communication tools and methods to achieve the proposed communication goals. As outlined in Figure 15, we will use the three methods introduced by Lewis (2019) and discussed previously, which include blanket vs. targeted, gain vs. loss, and

two-sided messaging. During mobilization, we will deal with uncertainty and the use of WIIFM (what's in it for me) (Hiatt, 2006) will be useful. Application of WIIFM will help individuals affected by the change understand what is in it for them and why the change is important. Moving to the acceleration stage, an infographic (Appendix B) will be used to mobilize new support tools. Finally, during the institutionalization stage, I will present reports and dashboards to both internal and external decision-makers, which can help determine next steps. Emails will be sent to affected groups to manage transition, determine progress, and gather critical feedback to be used in monitoring and evaluation.

**Figure 15**

*Communication Plan*

	<b>Awakening</b>	<b>Mobilization</b>	<b>Acceleration</b>	<b>Institutionalization</b>
<b>Communication goal</b>	To reduce anxiety To raise awareness	To deal with uncertainty	To communicate tools To report progress	To disseminate results To manage transition
<b>Communication tool / method</b>	Blanketed vs. Targeted Gain vs. Loss Two-sided	Two-sided What's in it for me?	Infographic Website	Emails Reports Dashboard
<b>Deliverables</b>	Vision for change Discussion of risks	Build momentum for release of program	Tools for supporting safe disclosure	Results Next steps
<b>Communication principle</b>	Face-to-face Repetition of message Use of different media	Face-to-face Repetition of message Use of different media	Face-to-face Repetition of message Use of different media	Face-to-face Repetition of message Use of different media
<b>Audience</b>	President and BOG Campus-wide Working group	Support hire Campus-wide Working group	Campus-wide	Campus-wide President and BOG Fundors
<b>Frequency</b>	0 – 6 months	6 – 18 months	18 – 24 months +	24+ months
<b>Owner</b>	Change leader	Change leader	Change leader	Change leader

### Monitoring and Evaluation of the Change Process

Change is an ongoing process, and Johansson and Heide (2008) share that “[a]ny change program is continually being modified and adapted” (p. 290). The change process will be continuous and, as Kezar (2009) notes, change in general can take a very long time to come to fruition. Taking into consideration that change is continuous and should always be modified and adapted, it is

important to measure and monitor progress throughout the change to ensure initial goals are being achieved and that the change process is moving in a positive direction. Monitoring and evaluation are essential steps in the change process. Markiewicz and Patrick (2016) explain that while monitoring and evaluation are similar in that they both use various methods to investigate what is happening during the life cycle of a change and drive recommendations, each has distinctly separate functions.

Monitoring is a continuous, ongoing process primarily focused on tracking progress and gathering information on what is being done and how. Information gained from monitoring can be used as feedback to help adjust the change process as needed. Feedback can also be communicated to key project partners to update on progress or provided to leadership in the form of corrective action recommendations.

Evaluation uses information collected during monitoring to determine the ongoing quality and value of the change that has been implemented. During evaluation, any potential issues associated with the change process will drive the formulation of recommendations for improvement.

### **Evaluation Questions**

With this change, the goals are to increase awareness, supports, and knowledge, and to provide evidence to continue to build the safe-disclosure support program and change policy. I have selected evaluation questions that will help identify different ways to use the monitoring information and to evaluate progress to determine if the above-mentioned goals are being achieved. Building on the framework of Markiewicz and Patrick's (2016) evaluation plan, I have developed five evaluation questions (Figure 16) that align closely with my goals and are based on the authors' overarching evaluation themes of appropriateness, effectiveness, efficiency, impact, and sustainability. These questions will be proposed to the working group to confirm they evaluate what we want them to evaluate.

**Figure 16***Evaluation and Monitoring Strategy*

<b>Evaluation Questions</b>	<b>Focus of Monitoring</b>	<b>Who and When</b>	<b>Indicators and Targets</b>	<b>Monitoring Sources</b>
<b>Appropriateness</b>				
Was this an appropriate solution to address organizational gaps and increase awareness related to safe disclosure?	Differences between participant awareness before and after implementation	Change leader All participants 0 months 18 months 24 months	Reported increase in awareness of available tools and supports	Pre- and post-surveys
<b>Effectiveness</b>				
How effective was the implemented support program in increasing participant's knowledge of safe disclosure?	Differences between participant knowledge before and after implementation	Change leader All participants 0 months 18 months 24 months	Reported increase in knowledge  Reported increase in motivation to complete training	Pre- and post-surveys
<b>Efficiency</b>				
Were the resources allotted for the program within the original limits?	Role hired and supports in place are able to handle the demand	Change leader Support roles  12 months 24+ months	Positive feedback from users  Positive feedback from support roles	Interviews  Two-way communication
<b>Impact</b>				
To what extent has there been an increase in number of people completing training?	Number of people completing training and accessing resources	Change leader 0 months 24 months	Reported increase in number of people completing training	Administrative record review
<b>Sustainability</b>				
Was there evidence of ongoing benefits and additional strategies beyond the implemented support program?	Ongoing and continuous change as a result of the increase of supports	Change leader 24+ months	Change in policy so retaliation is a violation  Shift in policy by five years	Policy review

*Note:* Adapted from Markiewicz and Patrick (2016)

**Evaluation Process**

I have prepared evaluation questions to be used in combination with different types of evaluation outlined in a document created by the Centre for Disease Control (CDC) (Center for Disease Control, 2008) to conduct a deeper dive into evaluating impact. The different types of evaluation as outlined by the CDC are:

- process evaluation, which focuses on whether the change process has been implemented as intended;
- outcome evaluation, which measures the effects on those affected by the change by assessing the progress in the goals the change process was designed to achieve; and
- impact evaluation, which assesses the effectiveness of the change process achieving the original goals.

While it is important to determine if the change process is being implemented as intended, we will be applying PDCA as outlined below. In so doing, we will not need to use the above-mentioned process evaluation. Our proposed evaluation will be a combination of outcome and impact evaluation that assesses the impact on those affected by the change. This evaluation focuses predominantly on affected individuals and outcomes rather than process. Additionally, information gained from this evaluation will be shared with decision-makers to inform future changes to policy and next steps. Impact evaluation is carried out during, and at the end, of the program (Center for Disease Control, 2008); as such, it will align well with tools used to monitor progress along the way.

### **Measuring Change Through Monitoring**

The monitoring process is a key part of the plan. Markiewicz and Patrick (2016) explain that “when traced to its Latin roots, [monitoring] means ‘to warn’” (p. 121). We will learn what is happening throughout by reviewing information gained from the monitoring process to answer evaluation questions. Monitoring will take place throughout the plan as illustrated in Figure 16, and different monitoring sources will be used to test where things are at any given moment. I have ensured the monitoring indicators and targets I have set are SMART—specific, measurable, achievable, relevant, and time bound (Boogaard, 2021). This will help provide further structure to the evaluation and monitoring plan. Tools and measures we will use to track change, gauge progress, and assess change include pre- and post-surveys, interviews, reviews of administrative records, policy scans, and two-way communication using email. Surveys will ask questions about behaviour, knowledge, and awareness prior to the provision of supports to ascertain a baseline, and after to

determine if there have been any appreciable increases. It is important we focus specifically on questions related to baseline knowledge and awareness of RCR, policies, and procedures, and whether the individual has witnessed misconduct. If so, did they report it and why or why not? In line with keeping those affected by the change involved in the change, we will also ask how policies and procedures can be better communicated, and how the program can be improved to help support safe disclosure. Seeing an increase in awareness, knowledge, and behaviour would indicate success. We will also use surveys and interviews with various support units and with the dedicated support role to determine if appropriate resources have been allotted to support this change. Here, we will be looking for increases in positive feedback. Administrative records will be reviewed to determine if the number of cases is decreasing. A reduction in cases of research misconduct allegations and retaliation will illustrate success. Two-way communication (Deszca et al., 2020), as outlined in Figure 16, will be used to monitor efficiency and sustainability to receive helpful feedback. Finally, policy reviews will be conducted post-implementation to see if there have been shifts in policy within five years, and then again in 10 years.

All surveys and data collection methods used to monitor and evaluate will be conducted for quality improvement purposes. Quality improvement does not fall within the scope of Research Ethics Board (REB) review as per the Tri-Council Policy Statement 2 (TCPS2) (Government of Canada, 2020). These evaluation methods, which include pre- and post-surveys, consulting with those affected, two-way communication, and policy and environmental scans are in line with common forms of evaluation used at my institution.

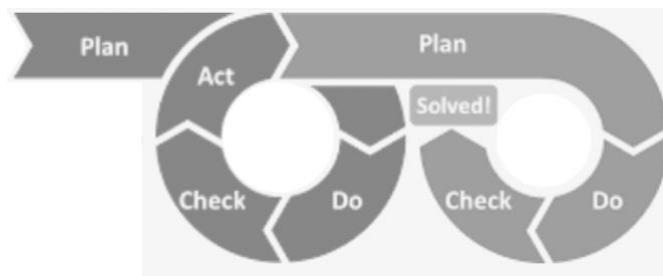
### **Refining with PDCA**

As introduced earlier, we will use PDCA as an inquiry cycle. Using PDCA will increase knowledge about the outcomes of the changes and determine if the work we are doing is the right kind of work, with the right people, and making a difference. PDCA will help determine what kind of refinement is required to the plan to remain aligned with change goals. As an assessment tool, PDCA is an example of double loop learning. In double loop learning, the first loop uses goals or decision-

making rules. This can be illustrated as continuous monitoring throughout the CPM. In the process of double loop learning, essential feedback is collected so the process can be continuously improved. If the goal is achieved, or the problem is solved, the loop closes; however, if refinement is required, the loop continues to test what is going right, what is not going right, and then rights itself back onto the course with adjustments. This can continue until the loop eventually closes. An illustration of double loop learning as will be used to apply PDCA to the CPM for our work can be seen in Figure 17.

**Figure 17**

*PDCA Represented as Double-Loop Learning*



*Note:* Adapted from PDCA Multi loop by Christoph Roser at AllAboutLean.com, 2016

(<https://creativecommons.org/licenses/by-sa/4.0>). CC BY-SA 4.0

### **Power Inequities and Barriers**

In work related to RCR and reporting misconduct, I have witnessed that there are many different power inequities at play. Individuals may feel as though they cannot come forward with an allegation against their supervisor because it may hinder their scholarly career. Similarly, an employee may not feel they can come forward against their supervisor without fear of losing their job. These fears were introduced in chapter 1 during a discussion of the personal and societal risks of speaking up. While I have also previously discussed how these fears can act as deterrents for individuals wanting to speak up, continuous monitoring and evaluation will ensure additional barriers and fears are not introduced as I work with other to improve the process where different power inequities are currently at play.

Various monitoring sources will be taken into consideration to continually measure and monitor progress of the change to ensure initial goals are achieved. PDCA will be used as an inquiry tool alongside the monitoring sources to collect information on whether the change should continue or if additional planning is required. Information gathered from monitoring and the inquiry cycle (PDCA) will answer vital evaluation questions and determine ongoing quality and value of the change. One of the evaluation questions we will ask to ensure overall success relates to impact and will assess the effectiveness of the change process in achieving its goals based on outcomes of affected individuals.

### **Chapter Summary**

A hybrid approach to address the PoP will combine newly designed training materials and a dedicated role with maintained policies and clearly communicated and transparent procedures. This solution will help Forest University foster a climate to encourage individuals to speak up when they witness research misconduct. Integrating the Beckhard and Harris Change-Management Process (1987) will allow us to conduct a gap analysis and provide necessary data to illustrate the problem and create a shared vision for change. Applying CPM aligns well with my leadership framework of authentic leadership as it brings together everyone affected by the change early and maintains contact with them throughout to build and maintain trust. The use of various communication methods and tools allows us to communicate clearly and continuously to diverse audiences.

Monitoring and evaluation processes will be applied to determine if key goals of the two-year plan—increased supports, awareness, knowledge—have been achieved. PDCA will be used to identify where refinement to the change plan is needed, and to ensure its ongoing, successful implementation. At the conclusion of the change, data will be used to inform decision-makers on next steps and policy change.

### **Next Steps and Future Considerations**

The idea for this OIP began with a reflection on my own leadership approach during my revision of Forest University's R.I. Policy and the desire to address a problem I witnessed in my role

that was emphasised through personal experience, the media, and anonymous cases shared between colleagues in similar roles nation-wide.

To address the PoP to its full potential requires a continued improvement of culture to create a space where individuals feel comfortable and empowered to speak up about allegations of research misconduct. As the proposed change plan is only 24 months in length, it will be important to reflect on the change as it is implemented to determine areas for improvement.

The current plan includes adding mechanisms and structures based on the needs of users to support safe disclosure of research misconduct at Forest University. It is my hope by raising awareness and knowledge individuals will feel empowered to speak up, and that the culture across campus will continue to improve. Future considerations to build onto this plan and change policy include developing and implementing a process for handling allegations of retaliation. Currently, there is no process for handling these kinds of research misconduct allegations at Forest University. Another opportunity would be to offer an anonymous reporting line. While this is not currently feasible at the institution, research shows that the fear of retaliation decreases if individuals are able to report anonymously (Khan et al., 2022; Latan et al., 2021; Young, 2017).

A more robust section is required related to retaliation within the current policy. This section could include information on safe disclosure and protections against retaliation that would align well with introduction of new procedures. Based on my consultations during the last revision, I believe there is an appetite for a stronger section on safe disclosure. While the proposed solutions for this plan focus on additional centralized resources, I believe work also needs to be done at the department level to better support relationships where power dynamics are at play and to help foster safe environments across campus. Additionally, increased guidance related to appropriate supervision would be helpful. Finally, retaliation should be recognized as a breach of institutional policy. When there is a violation of this policy, education would be provided with the goal of future prevention and correction.

At the end of the initial two-year period, results of the evaluation processes will also be used to inform decision-makers and to mobilize continued change through the institution, outwards to national networks, and upwards to funders. The mobilization of change and influence on other institutions may drive further policy change at the funder level, making it easier for institutions to enforce policy and initiate mandatory programs and supports for safe disclosure.

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**Appendix A: Change Implementation Plan**

<b>Awakening Phase   Goal: Increase Awareness   Timeline: 0-6 months</b>				
<b>Steps to achieve goal</b>	<b>Actions</b>	<b>Responsibility</b>	<b>Benchmark/Performance Indicator</b>	<b>Timeline</b>
Substantiate problem	Use <b>Beckhard and Harris</b>	Change Leader	Data-reinforced need for institutional change Reported increase in awareness	0-2 months
	Conduct pre-implementation survey			
Create urgency for leaders	Communicate gain/loss and risks	Change Leader	Discussion of risks with President and board Approvals and permissions in place	2-3 months
	Confirm approvals and support			
Assemble working group	Align priorities of units involved	Change Leader Change Implementers	Working group created and plan in place for implementation	3-6 months
	Gather support			
Communicate vision	Share vision for change campus-wide	Change Leader	Communication is opened by 75%	Month 6

<b>Mobilization Phase   Goal: Increase Supports   Timeline: 6-18 months</b>				
<b>Steps to achieve goal</b>	<b>Actions</b>	<b>Responsibility</b>	<b>Benchmark/Performance Indicator</b>	<b>Timeline</b>
Dedicated support in place	Hire support	Change Leader	Support in place Successfully trained to support	6-12 months
	Train support			
Maintained policies	Update every three years	Change Leader Change Implementers	Updated policy every three years Consultation plan created and followed	Ongoing
	Continuously consult			
Develop tools	Create a transparent website	Change Implementer	Website content created based on feedback Training created based on feedback/need	9-18 months
	Create multi-faceted training program			

<b>Acceleration Phase   Goal: Increase Knowledge   Timeline: 18-24 months</b>				
<b>Steps to achieve goal</b>	<b>Actions</b>	<b>Responsibility</b>	<b>Benchmark/Performance Indicator</b>	<b>Timeline</b>
Communicate	Communicate new structures and supports through various channels to alleviate transition anxiety	Change Leader Change Implementer	Measure number of people who visit website and then how many complete training or reach out to supports with questions	Month 18
Misconduct prevention	Training implementation	Change Implementer	Survey results show increase in number of individuals trained, awareness, and knowledge Administrative records shows decrease in misconduct	Month 18-24
	Normalize new structures and supports			
	Conduct post-Implementation surveys			

<b>Institutionalization Phase   Goal: Change Policy   Timeline: 24+ months</b>				
<b>Steps to achieve goal</b>	<b>Actions</b>	<b>Responsibility</b>	<b>Benchmark/Performance Indicator</b>	<b>Timeline</b>
Continuous improvement	Use <b>PDCA</b> to identify areas for improvement	Change Implementers	Areas identified for improvement Positive feedback from users and support roles	24 months +
	Conduct transition debrief, post-implementation surveys, interviews			
Retaliation as violation	Add retaliation as violation of policy	Change Leader Change Facilitators	Policy updated with retaliation as a violation Individuals who violate have corrective action	24 months +
	Enforce policies			
Inclusive policies	Make policies more inclusive	Change Leaders Change Implementer	Policy includes diverse perspectives Policy is aligned with other safe disclosure	24 months +
	Align policies across campus			

## Appendix B: Knowledge Mobilization Artifact

# SUPPORTING SAFE DISCLOSURE

WE'RE HERE TO HELP

### WHAT DOES FEAR OF RETALIATION LOOK LIKE?

LOSS OF JOB OR POOR GRADES  
STRESS OR DEPRESSION  
RELATIONSHIP TROUBLES  
DIVORCE  
ILLNESS



### HOW MANY EXPERIENCE RETALIATION?

45% HAVE WITNESSED MISCONDUCT  
65% HAVE REPORTED IT  
22% HAVE EXPERIENCED RETALIATION

### WE'RE HERE TO HELP

#### CENTRALIZED SUPPORT

- NEED TO TALK?
- 555-555-5555

#### TRANSPARENT PROCEDURES

- HAVE A CONCERN?
- NOT SURE HOW TO SUBMIT?
- START THE PROCESS HERE

#### TRAINING & EDUCATION

- RAISE AWARENESS OF MISCONDUCT
- RAISE AWARENESS OF RETALIATION
- RECOGNIZE PROBLEMS EARLY
- EMPOWERMENT TO TAKE ACTION
- PREVENT MISCONDUCT



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FOREST UNIVERSITY SAFE-DISCLOSURE SUPPORT PROGRAM

*Note:* The knowledge mobilization artifact will be displayed across Forest University's campus.