

INTERACTIVE ETHICS

INTERACTIVE ETHICS:

How Ethical & Unethical Decisions
Are REALLY Made in Organizations
2nd Edition

Thomas H. Schear, Ph.D.

Published in affiliation with
and all proceeds go to:
Coaching, Counseling & Mentoring Services, Inc. (CCMS, Inc.)
Helping the Helping
Professional Be Their Best
<http://www.ccmsinc.net>



Universal Publishers
Boca Raton

*Interactive Ethics:
How Ethical and Unethical Decisions Are REALLY Made in Organizations, 2nd Edition*

Copyright © 2007 Thomas H. Schear
All rights reserved.

No part of this book may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval system, without written permission from the publisher.

Universal Publishers
Boca Raton, Florida ● USA
2010

ISBN-10: 1-59942-864-4
ISBN-13: 978-1-59942-864-2

www.universal-publishers.com

Library of Congress Cataloging-in-Publication Data

Schear, Thomas H., 1954-

Interactive ethics : how ethical and unethical decisions are really made in organizations /
Thomas H. Schear. -- 2nd ed.

p. cm.

Includes bibliographical references.

ISBN-13: 978-1-59942-864-2 (pbk. : alk. paper)

ISBN-10: 1-59942-864-4 (pbk. : alk. paper)

1. Business ethics. 2. Decision making--Moral and ethical aspects. 3. Management--
Moral and ethical aspects. I. Title.

HF5387.S33 2010

174'.4--dc22

2010002150

TABLE OF CONTENTS

Chapter		
1	The Original Interactive Ethics Model	9
2	The “How To” Path from Dilemma to Decision	13
3	Defining the Terms	17
4	Basic Assumptions	35
5	Pulling Things Together	41
	Part 1: First Things First	42
	Part 2: Individual Moderators	53
	Part 3: Organizational Moderators	71
	Part 4: Unfolding Events	88
6	Summary & Conclusions	93
	Appendix A	95
	Bibliography	97
	About the Author	99

Tables

1	Step-by-Step Ethical Decision-Making Process	15
2	Individual Moderators	19
3	Kohlberg's Levels & Stages of Moral Development	21
4	Johari Window	25
5	Organizational Moderators	26
6	Individual & Organizational Criminal Personality	39
7	Primacy	43
8	Individual Sense of Coherence	46
9	Johari Window: Open	49
10	Johari Window: Hidden	50
11	Johari Window: Closed	51
12	Johari Window: Unknown	52
13	Ego Strength	54
14	Field Dependence/Independence	55
15	Locus of Control	56
16	Code of Ethics/Principles	60
17	Identification with Work	61
18	Identification with the Job	62
19	Identification with the Organization	63
20	Personal Overall Assessment	67
21	Organization's Sense of Coherence	72
22	Orientation to the Organization	74
23	Orientation to Work	75
24	Orientation to the Job	76
25	Resolution of Moral Conflict	77
26	Ethical Code/Principles	78
27	Normative Structure	81
28	Tolerance for Risk	82
29	Obedience to Authority	83
30	Responsibility for the Consequences	84
31	Organization's Overall Assessment	86

Figures

1	Original Interactive Ethical Model	10
2	The “How To” Process	13
3	The “How To” Process: Part 2	14
4	The “How To” Process: Part 3	15
5	The “How To” Process: Part 4	16
6	Modified IEM	18
7	Recognizing the Dilemma	42
8	Recognizing the Dilemma: Part 2	45
9	Individual Moderators	53
10	Yours/Others Moral Development	59
11	Individual Moderators: Ethics & Identification	65
12	Organizational Moderators	71
13	Organizational Moderators: Ethics & Orientation	79
14	Moderator Interaction	89
15	Moderator Interaction 2	90
16	Outcome Interaction	91

CHAPTER 1

THE ORIGINAL INTERACTIVE ETHICS MODEL

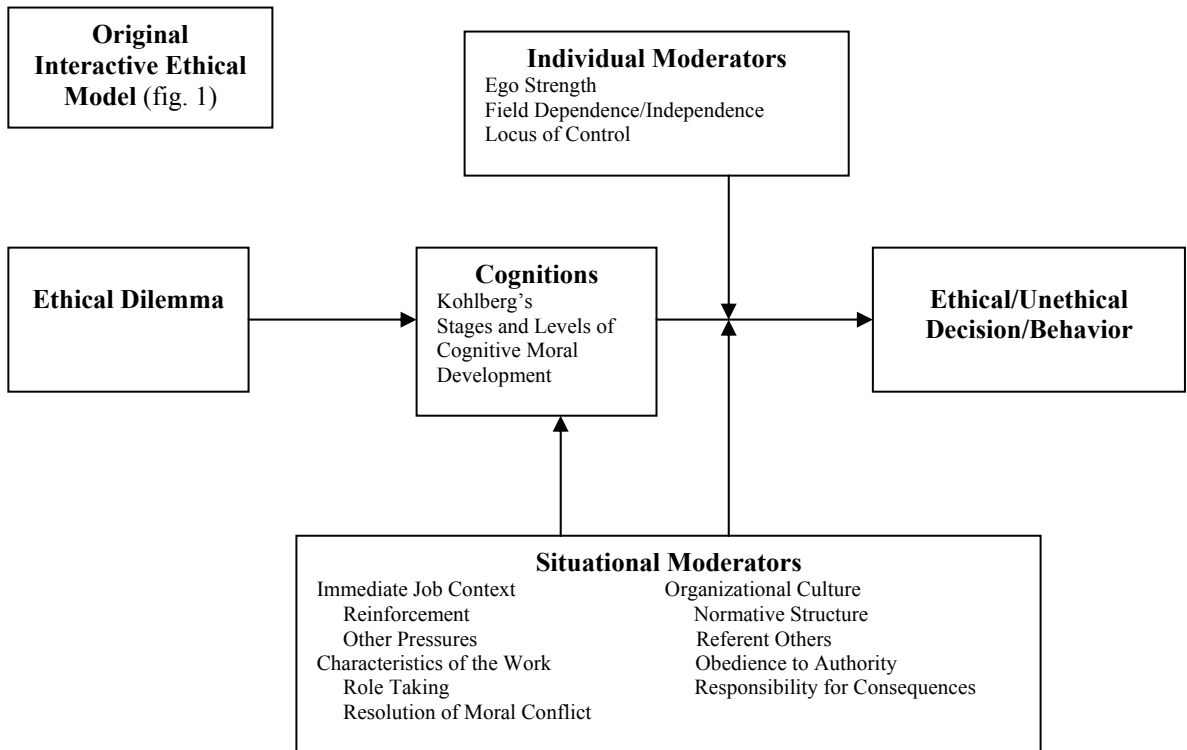
My first exposure to the **Interactive Ethics Model (IEM)** came when it was included in a packet of supplemental materials for an ethics course I was taking at the University of Iowa in the late 1980s. I was expecting to read about yet another **prescriptive model** laying out a code of ethics, ethical principles and a systematic decision-making process which when followed faithfully would lead to an ethical outcome. To my happy surprise the IEM laid out a **descriptive model** laying out how events unfold as the participants proceed from the dilemma to the finally ethical or unethical outcome. The IEM proposed to explain how ethical and unethical decisions **really** get made by individuals in the context of the workplace.

As time passed I used the IEM when I taught my own college-level ethics courses and when training counseling professionals on the topic. I added my own concepts and definitions of terms giving them my own twist to explain their implications and applications. During that time I managed to lose the original article while keeping its general outline and definitions. In anticipation of writing this book I underwent an Internet search and dug into journals from the right time period, but the original article was nowhere to be found. Consequently, in this edition I am unable to give due credit to the author(s) of the original article. If you are its author or if you know who wrote it please contact me at tshear@ccmsinc.net so I can give them proper credit in future editions.

The original IEM, with its terms, concepts and the events as they unfold within and between the boxes is spelled out on the next page (fig. 1). In order to not repeat myself I will wait until Chapter 3 to describe how I modified the IEM and define all the terms from both the original and modified versions. In this chapter we will walk through the model so you can better understand how it suggests events move from when an ethical dilemma is recognized to the point an ethical or unethical decision is made with the resultant ethical or unethical behaviors.

Before you begin I would like to introduce you to the **double vision** strategy which is essential when applying either the original or the modified models. For our purposes double vision suggests the ability to participate while at the same time play the part of the observer while events unfold. Things are happening and decisions are being made within yourself, between yourself and others and in the context of the organization. Double vision suggests that while you are there in the thick of it you are also able to observe and assess what is really happening. One of the unique things about being human is that not only do we think but we can also think about what we are thinking. So remember this double vision concept because it will be referred to again and again throughout the book.

In the original model we are presented with the **Ethical Dilemma**. This dilemma may be an issue of confidentiality or legality or it may bring the ethical principle of autonomy or justice into the picture or there may be an apparent conflict of interests that needs to be resolved. Whatever the case, an ethical dilemma has been identified and as the arrows in the model indicate the first stopping point is **Cognitions** where Kohlberg’s Levels & Stages of Moral Development are tapped as a measure of how the participants will most likely to respond to moral/ ethical issues. Are you fearful of punishment? Are you concerned about looking good to those around you? Do you aspire to a higher sense of responsibility for others?



We all bring baggage (both good and bad) to the situation referred to as **Individual Moderators** including: ego strength, locus of control and field dependence/independence. These factors largely lead us to be more or less consistent and predictable in how we respond to a broad range of situations not just ethical dilemmas. Where we find ourselves with these factors suggests how well we stick to our guns in the face of opposition and reveals how easily we buckle under pressure to go along with other’s unethical choices. As will be noted several times people fall somewhere along continuums with respect to each of the factors which indicate a preferred way of dealing with life’s situations.

The organization enters the picture in two ways through what the model calls **Situational Moderators**. First, the organization’s influences (as indicated by the arrow) the level/stage of moral development from which the dilemma is viewed. Like with the

individual the questions remain the same but apply to the organization: is it trying to influence its employee in order to avoid punishment or obeying the law or fulfilling a social contract with its customers, employees and the community? Secondly, it impacts what occurs during and after the dilemma through creating a structure and an environment which impact the events as they unfold.

The model suggests the final result could be an ethical or an unethical decision with resultant ethical or unethical behaviors. As originally presented and as preserved in the modified version the IEM is **not** some new sophisticated step-by-step decision-making process. It is **not** a recasting of ethical principles or a code of ethics which when applied to an ethical dilemma will virtually guarantee an ethical outcome most if not all the time. Not to say that ethical principles are flawed or that a fine-tuned step-by-step decision-making process won't work or that a code of ethics is irrelevant but rather the IEM recognizes we are all flawed human beings working in imperfect human-designed organizations with all the attending faults, foibles and idiosyncrasies which go on full display when facing an ethical dilemma.

The IEM is **not** a new step-by-step decision-making process. When faced with an ethical dilemma an individual does not reflect on their level/stage of moral development. Nor do they consider if they have high or low ego strength or whether they are internal or external locus of control. All these factors already exist and kick in automatically, without thinking, responding in ways consistent with the individual's moral/ethical development, ego strength and locus of control. Additionally, the organization's past and personality comes into play as it impacts how the dilemma is defined, responded to as well as the degree and type of support it offers to the individuals involved in an ongoing process.

To put it another way, the IEM is not prescribing **how to** make ethical decisions through the use of a step-by-step decision-making process based on ethical principles supported by a professional code of ethics or a company's code of conduct. Rather it is a description of **how do** ethical decisions actually get made as everyone moves from dilemma to the final outcome. The IEM explodes the image that ethical decisions are made through a carefully thought out systematic process as it describes the social-psychological undercurrents accompanied by the micro and macro-political and economic background noise.

This is not the ethical decision-making process itself but it is the emotional fuel that moves everyone toward an outcome. It is the purpose of this book to broaden and deepen the IEM from its original conception, demonstrating how the various elements intertwine, intersect and otherwise merge into and diverge from, not a process, but **an unfolding of events** that can lead to an ethical outcome, or in the worst case to the latest "perp walk" shown on the evening news.

Chapter 2 provides a brief overview of the **how to** prescriptive model as ethical principles, step-by-step decision-making processes and codes of ethics work together to moving everyone from dilemma to decision.

Chapter 3 presents the modified IEM with emphasis on defining and describing the implications of the various factors presented in the modified model.

In **Chapter 4** I will lay out the basic assumptions that need to be understood, if not accepted, in order to better use the model in any meaningful way.

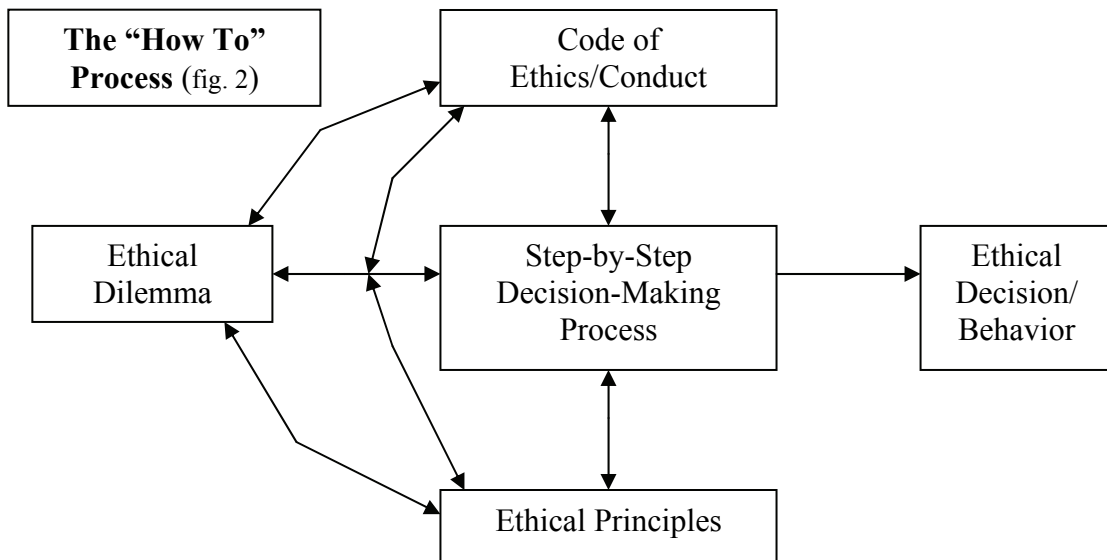
In **Chapter 5** through various graphic displays and questioning you can learn how to better understand and rate yourself, your coworkers and your organization on the various factors which make up the model. I will also discuss how the factors interact, interplay and intertwine within the individual, between individuals and in the organization as spelled out along with the implications of the movement of attention and activity as indicated by the arrows.

Finally, **Chapter 6** summarizes and concludes the book encouraging you to be self-reflective, using that double-vision to better understand how the individual and organizational factors play their role in the final outcome. The hope is that through greater understanding and keeping clear on what is going on that better ethical outcomes will be the result.

CHAPTER 2

THE “HOW TO” PATH FROM DILEMMA TO DECISION

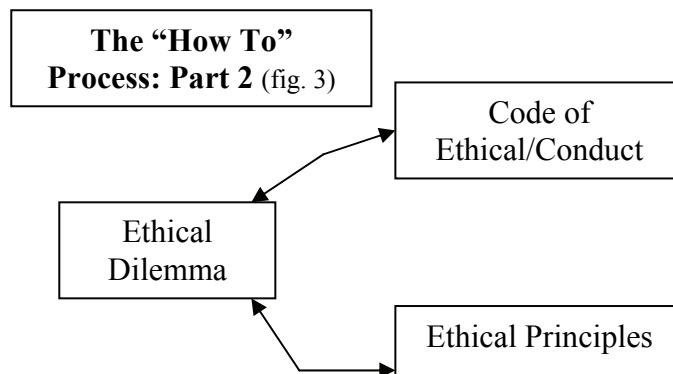
The next several pages will lay out my understanding of the **prescriptive model** of ethical decision-making as described in every text and article I have read on the topic. Figure 2 describes the typical prescriptive path leading from the **Ethical Dilemma** usually identified as such because the situation calls for the **Code of Ethics/Conduct** and/or **Ethical Principles** to be applied. It may be an issue of confidentiality or a conflict of interest or something else, but whatever the case by activating the ethical codes and principles the **Step-By-Step Decision-Making Process** has begun. As the arrows indicate there is fluidity between the dilemma, the code, and the principles as the decision-making process works its way through various twists and turns but generally the path leads the reader to ethical results.



First, when considering codes of ethics/conduct I see a distinction between code of ethics and code of conduct. A **code of ethics** suggests a code of behavior, beliefs and attitudes that are geared towards a given profession such as medicine, law, counseling, accounting and even pet grooming. Such a code is developed by a budding profession as it sets out to be taken seriously by other professions. Finally, the code is followed up by the new profession policing itself all presumably for the benefit of the profession, its association, employers, clients and the public at large.

A **code of conduct** on the other hand is established by an organization for itself to act as a benchmark to guide its employees as they deal with the employer, their coworkers, customers, vendors, etc. Acting as the organization's code of ethics it is often put into place as a reaction to some recent ethical or legal lapse calling into question the organization's integrity and honesty. Some organizations develop a code because their business association suggests it due to such lapses in another part of that industry. Some businesses develop a code of conduct out of the sincere desire to influence their employee's behavior in ethical/legal matters in the workplace. No matter what the reason may be, as with a profession's code of ethics, an organization's code of conduct is only as good as its enforcement.

All codes are based on **ethical principles** which essentially are the expression of the profession's and/or organization's guiding beliefs and values. After conducting an extensive web search of several codes and ethical principles I found one list that included as many as 20 such principles. However, the same general themes cut across them all with Gerald Corey (2003) boiling them down to six: integrity, justice, beneficence (do good), non-malevolence (do no harm), autonomy and honesty.



As indicated by the arrows, the code and principles compliment and reinforce one another guiding employees as they protect confidentiality (non-malevolence and beneficent) or are alert to conflicts of interest (integrity and honesty). While ethical principles appear as a section of some codes, generally I understand the code of ethics/conduct to be codified ethical principles and as such separate from one another. As suggested by the arrows in Figure 3 the Code of Ethics/Conduct and Ethical Principles help the participant(s) identify and define the Ethical Dilemma while simultaneously the code and the principles aid in determining what principles or what articles of the code apply. The dilemma is identified and defined based on what is found in the code applying appropriate ethical principles while that same code and principles suggest the actions to be taken.

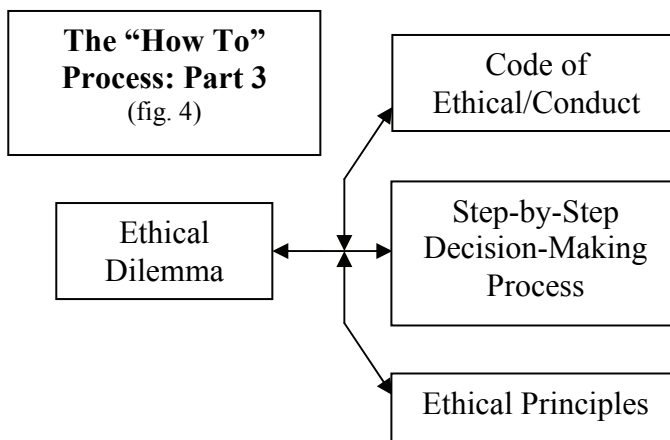
The final element, the **step-by-step ethical decision-making process**, essentially assumes that by applying a systematic, objective, repeatable method of implementing the code and principles the results will be consistent, predictable and ethical. Without

THE “HOW-TO” PATH FROM DILEMMA TO DECISION

defining terms, Table 1 lays out two examples of a decision-making processes which seem rather typical after reviewing several books and websites on the topic.

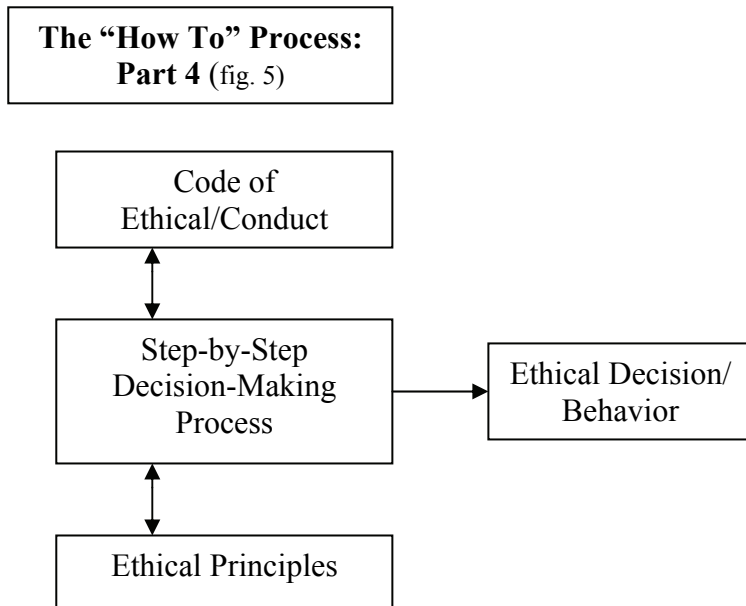
Step-by-Step Ethical Decision-Making Process (Table 1)

The Seven-Step Path To Better Decisions (Josephson Institute of Ethics)	The Ten-Step Method of Decision Making (developed by Jon Pikel and Doug Wallace)
<ol style="list-style-type: none"> 1. Stop & Think 2. Clarify Goals 3. Determine Facts 4. Develop Options 5. Consider Consequences 6. Choose 7. Monitor and Modify 	<ol style="list-style-type: none"> 1. Identify the Key Facts 2. Identify & Analyze the Major Stakeholders 3. Identify the Underlying Driving Forces 4. Identify/Prioritize Operating Value & Ethical Principles 5. Decide Who Should Be Involved In Making the Decision 6. Determine & Evaluate All Viable Alternatives 7. Test Preferred Alternative With a Worst-Case Scenario 8. Add a Preventative Component 9. Decide & Build a Short & Long-Term Action-Plan 10. Use Decision-Making Checklist



As the arrows suggest in Figure 4, activating a defined decision-making process formalizes and systematizes the identification and definition process based on the code and principles by more clearly defining the nature and implications of the dilemma itself. In reviewing step-by-step processes like those noted earlier it becomes clear that getting the facts, identifying the stakeholders, clarifying the desired goals, identifying the consequences (depending on the final choice made) and following up on the outcome moves the consideration of codes and principles from an intellectual exercise into the realm of action.

As suggested in Figure 5 there is an interchange directly between the code, principles and decision-making boxes as the process measures and prioritizes principles and various assertions found in the code. At the same time the decision-making process weighs and measures the impact the code and principles have in the final choice, which in the best of circumstances lead to an ethical or at least the most ethical decision one can hope for.



This chapter concentrated on **how to** make ethical decisions as described in nearly every article or book I have read on the topic. While dilemmas are tough and complex it seems to be assumed that through an understanding of ethical principles supported by a carefully crafted code and applying a systematic decision-making process everything will quite naturally lead to the right outcome. Much of the time this may be true, but the facts show some organizations and individuals in those organizations consistently make unethical decisions. Some have greater struggles than others when faced with a dilemma. Some are not consistent in their decision-making from one situation to the next.

This suggests there is more going on. The IEM affirms there is more going on and that the reasons both ethical and unethical decisions occur can be understood and possibly even quantified. It is the purpose of the remainder of this book to use the IEM to examine **how ethical and unethical decisions actually do get made** by individuals in the context of their organizations.

CHAPTER 3

DEFINING THE TERMS

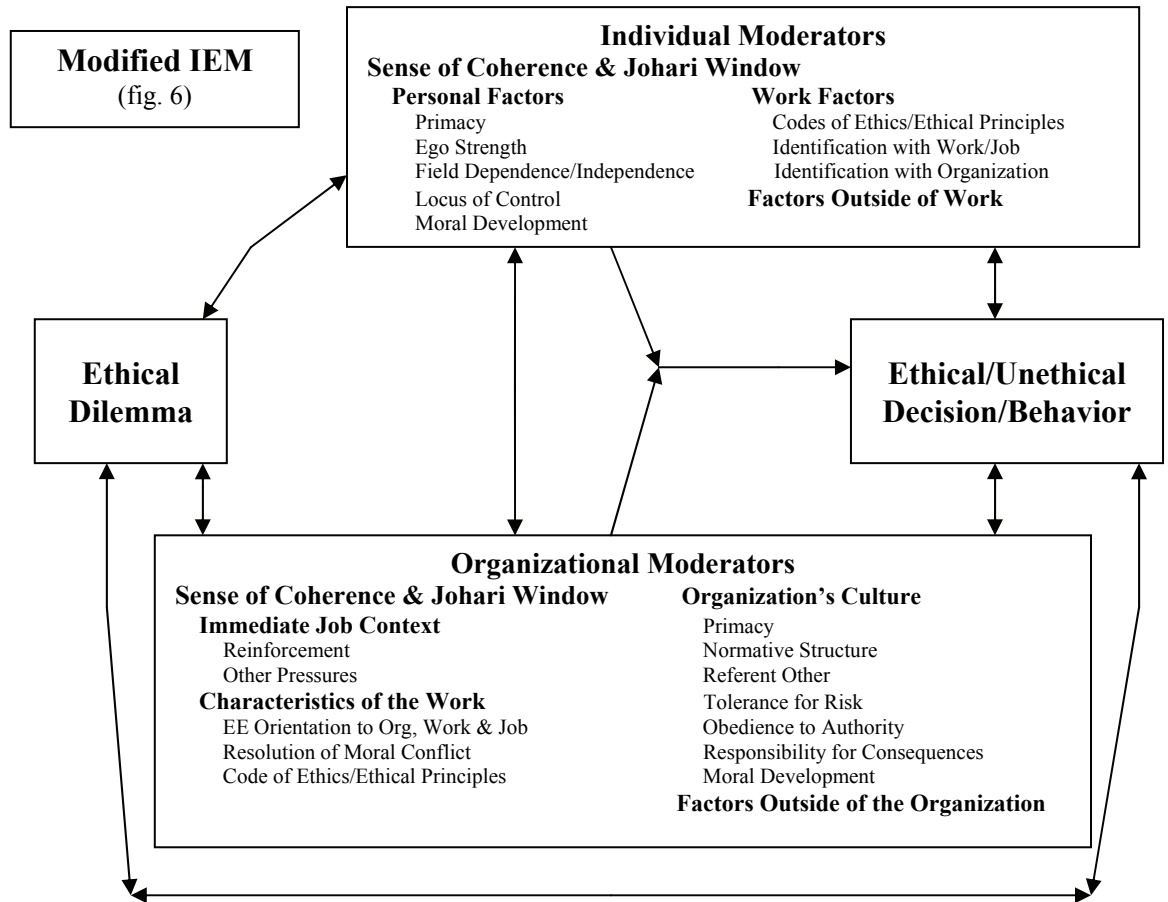
As I taught ethics courses using the original IEM, I began tinkering around the edges mostly by adding a concept here and there to see how it worked. When shared the modified model with Graham Phaup of the Institute of Global Ethics he suggested the movement of energy, attention and activity could be better illustrated by having the arrows pointing both to and from the boxes. This suggestion made sense leading to some additional experiments of adding arrows, thinking through the implications then making more changes. In the end the addition of arrows pointing in every direction between all the boxes complicated the model to the point it was unexplainable even to myself. After much tinkering and thinking out its implications the final modified version of the IEM (Figure 6) took shape.

The biggest changes include eliminating **Cognitions** as a separate box then folding **Kohlberg's Moral Development Model** into newly designed **Individuals Moderators** and **Organizational Moderators** boxes and getting real about the number and placement of arrows. So the changes made the model as simple as possible considering the fact I had more than doubled the number of factors to be considered. But the upside is that the new and improved IEM more accurately describe what occurs in the face of an ethical dilemma. In the remainder of this chapter I will define and describe the meaning and some of the implications of the factors found in the IEM, which will be followed up by a more in depth discussion in Chapter 5.

While it is the individual who deals with and ultimately decides what to do in the face of the ethical dilemma, there are in fact several others playing their role influencing, creating barriers, facilitating and may even dictating how the dilemma is finally resolved. The individuals directly and indirectly involved include: the one facing the dilemma, their supervisor, the department manager, coworkers, the CEO and others. This collection of individuals comes to the table with their own expectations, assets and deficits, all the while moving from the dilemma to the inevitable ethical or unethical decision with resultant behaviors. Those involved may not be fully aware of their role, nor will they likely be thinking about what they are doing while they are doing it. They are doing what seems to come natural to them. However, fully understanding the IEM increases the participant's insight and self-awareness of what and why we think, behave and feel the way we do. As mentioned in the first chapter, you are urged to develop that double vision so that while you are participating in the "how to" ethical decision-making process you are simultaneously playing the part of the critical observer as events unfold in the "how do" or IEM model.

One final caveat: the IEM describes what is happening under the surface, in the background while everyone is moving from dilemma to decision. At the same time it

describes the what, why and how a person makes what appears to be a spur-of-moment ethical or unethical decision.



Think of it this way. An employee decides to steal money or executives determine to manipulate the appearance of profitability of the company for their personal gain or the counselor has a dual relationship with a client can all be explained by the IEM. In each case, the individuals have their own baggage and are making decisions in the context the organization has created. But once any of these infractions has been discovered the IEM further explains how it is the individuals who have the information and/or the power to do something about it who will or will fail to act in an ethical manner.

The first two concepts in the **Individual Moderators** (Table 2) section, **Sense of Coherence** and the **Johari Window**, will be discussed in greater detail later for reasons that will be made clearer then. So for now we'll start with the **Personal Factors**: Primacy, Ego Strength, Field Dependence/Independence, Locus of Control and Moral Development.

In the context of the IEM the concept of **Primacy** refers to the employee's prior employment experience and/or exposure to and resolution of previous ethical/moral

situations and relationships with authority figures. It seems obvious that an employee's experiences with prior employers or authority figures create patterns influencing current and future relationships patterns and decision-making styles. However, there is no guarantee that everyone fully appreciates how much prior experiences impact them in the here and now.

<p style="text-align: center;">Individual Moderators (Table 2)</p> <p>Sense of Coherence & Johari Window</p> <p>Personal Factors</p> <ul style="list-style-type: none"> Primacy Ego Strength Field Dependence/Independence Locus of Control Moral Development <p>Work Factors</p> <ul style="list-style-type: none"> Codes of Ethics/Ethical Principles Identification with Work/Job Identification with Organization <p>Factors Outside of Work</p>

The employee whose previous employer or supervisor acted ethically, promoted and expected ethical behavior from subordinates will enter an ethical dilemma with a very different mindset as compared to the one whose prior employer/supervisor ignored ethics at best and ridiculed such standards at worst. Because we can think, consider and evaluate what has happened we don't have to just respond in some knee-jerk fashion. But the past proves to be a powerful force, creating behavior patterns which are easy to drift into with little question as one goes down a particular path with its possible consequences.

Ego Strength refers to an individual's strength of conviction and their ability to self-regulate. The person with high ego strength is more likely to resist impulses following their own convictions, as contrasted with the low ego strength individual who tends to give in to their impulses. With high ego strength, one can be expected to be more consistent in their behavior as they are not only committed to believing what is right but they are willing to follow through with their commitment. Being blown about by their impulses or perhaps by the desire to be liked by others and less firmly anchored in their beliefs, low ego strength people will be less consistent, giving in to what appears to be the easy way out of an ambiguous or stressful situation.

By their very nature, ethical dilemmas are filled with ambiguity where values, principles, rights and responsibilities are all in conflict concentrated on a specific situation or set of circumstances. Information becomes a key element in removing the ambiguity in order to come to a final decision. The concept of **Field Dependence/ Independence** refers to how that information is obtained and utilized in the decision-making process. The **field independent** person functions with greater autonomy, making the decisions in their own head, tending to be less consistent with other information available and over time from one situation to the next. It isn't always clear how they arrive at a given

decision with their reasoning often chalked up to a gut response or intuition, but may actually be found in the words “don’t confuse me with the facts.”

Recognizing that an ethical dilemma means others are involved, other interests are at stake, and an entire organization is invested in the outcome the **field dependent** person is more likely to rely on others for information to help remove the ambiguity. In ambiguous situations, the actions of field dependent individuals will likely be more consistent as they utilize the information provided by an external source or sources. One problem may be the confusion which occurs when information from various sources conflict with one another. Another downside is, it can be difficult to distinguish between real information versus gossip and rumor. To learn more about field dependence/ independence you may wish to check out a web page referred to in the bibliography by Robert Wyss (2002) which provides a great thumbnail sketch along with a brief checklist on the topic.

Locus (location) of Control (LOC) is largely a matter of an individual’s perception of how much control they believe they have or do not have over their life. An “**internal**” **LOC** person believes that life’s outcomes are the result of their own efforts since they are in control while the “**external**” **LOC** person believes much of life’s events and outcomes are attributable to luck or destiny. An internal is more likely to take action and take responsibility for the consequences of their actions relying on their internal determination of right and wrong and of what is in their best interest to guide behavior. An external, then, is less likely to take personal responsibility for their decisions or for the consequences of ethical/unethical behavior, and is more likely to rely on or blame external forces.

If you are interested in learning more about this concept I would suggest you take the inventories entitled “Locus of Control Scale” in the book **The Mind Tests** by Rita Aero and Elliot Weiner (1981) or “The Internality, Chance and Powerful Others Scale” which can be found in **The Psychologist’s Book of Self-Tests** by Louis Janda (1996).

In the original IEM **Kohlberg’s Levels and Stages of Moral Development** model is used to describe the preferred moral response people have towards an ethical or any other moral dilemma. Referred to as **Cognitions** in the original, I make a more straightforward forward reference to this part in the modified model as **Moral Development**. Additionally, rather than Kohlberg’s model represented by a separate box suggesting it is somehow outside the individual and the organization, I have placed moral development inside both the Individual and Organizational Moderators boxes. In the case of Individual Moderators Moral Development is included in the Personal Factors and placed in the Organization’s Culture part in the Organizational Moderators box. As noted earlier I believe this change more accurately describes what is going on in the modified IEM and easier to explain.

Kohlberg’s (Table 3) and Carol Gilligan’s (feminist moral development model) models are both broken down into three levels with each succeeding level displaying more mature motivations or reasoning for behaving morally. Kohlberg further subdivided each level into two additional stages. Each succeeding level demonstrates greater willingness to be less selfish pursuing goals for a greater good. People develop a less egocentric moral consciousness as they grow older, presumably having the potential of growing from

DEFINING THE TERMS

behaving morally out of fear of punishment (Level I, Stage 1) to the desire to be considered a good person (Level II, Stage 3) finally, to the point where they behave morally due to their commitment to live by universal principles such as the Golden Rule (Level II, Stage 6). However, most people don't mature to Kohlberg's highest stages with most getting stuck somewhere between stages 1 and 4.

KOHLBERG'S LEVELS AND STAGES OF MORAL DEVELOPMENT (Table 3)

LEVEL I: PRECONVENTIONAL MORALITY. The person conforms to rules imposed by authority figures in order to avoid punishment or to obtain personal rewards.

Stage 1: Punishment-and-obedience orientation. At this stage, the person determines the goodness or badness of an act based on the consequences. There is no real conception of right or wrong only what you can "get away" with and the consequences if you get caught. One act is measured as more wrong than another if you are punished more severely or if the objective harm is greater.

Stage 2: Naïve hedonism, or instrumental orientation. For the person at this stage of moral development conformity to the rules is for the purpose of gaining rewards or to satisfy personal needs. Politicians and lawyers operate at this stage all the time but they try to disguise their lack of moral maturity by using high-sounding terms like "quid quo pro" which essentially means "something for something." The seriousness of a violation now depends, in part, on the intent of the actor but mostly based on how well the exchange works out.

LEVEL II: CONVENTIONAL MORALITY. At this level, the individual strives to obey the rules set forth by others in order to win praise, be recognized for virtuous conduct or to maintain social order.

Stage 3: "Good-boy" or "Good-girl" orientation. Moral acts are for the purpose of pleasing, helping, or gaining the approval of others. A primary objective is to be thought well of by others and to be regarded as a "nice" person.

Stage 4: Law-and-order orientation. The orientation is toward established authority, regulations, and the maintenance of the social order. Laws are accepted with little or no question.

LEVEL III: POSTCONVENTIONAL MORALITY, OR THE MORALITY OF SELF-ACCEPTED MORAL PRINCIPLES. Developing to this stage means that morality has become a personal commitment to a set of standards that are shared by others yet which transcend specific authority figures. In short, moral standards are internalized and have become the person's own.

Stage 5: Social-contract, or legalistic, orientation. Right actions are those expressed by the majority or to maximize social welfare. There is awareness that laws may be unjust but that such rules must be obeyed until they can be changed by social consensus such as through an orderly election.

Stage 6: The universal-ethical-principle orientation. At this, "highest" stage of moral reasoning, the individual defines right and wrong on the basis of the self-chosen ethical principles of one's own conscience. It may be the Ten Commandments or the Golden Rule or the greatest good for the greatest number or principles of universal justice and respect for individual rights that are to be applied in all situations.

Carol Gilligan's feminist view of ethics essentially states that men seek justice while women seek harmony. While the exact verbiage is different, Griffin's summary of Gilligan's work (1991) views of female moral development as progressing through the following levels:

1. **Orientation to Individual Survival (Preconventional Morality):** At this stage the individual is consumed by self-interest and is egocentric.
2. **Goodness as Self-Sacrifice (Conventional Morality):** Selfishness is replaced with selflessness with decisions based on how it affects others.

3. **Responsibility for Consequences of Choice (Postconventional Morality):**

There is recognition of the complexity of the problem and the options available.

I have no reason to dispute the assertion that people develop greater moral reasoning over time, but frequently real life demonstrates that most people develop to some comfortable stage of development and stop. While we all hope that people, those we do business with or work with are aspiring to greater moral understanding and improved decision-making capacity this is clearly not the case. For instance, though a person may have developed to Stage 5, they will not necessarily perform at that stage at all times or in all circumstances. That person may operate at a Stage 1 while they speed in their car to get to work on time, at a Stage 4 when filling out their taxes but view dealing with their employees as a social contract being consistent with Stage 5 development. Or to further muddy the waters, another individual may have never developed beyond Stage 3 but because they are a careful observer may note that their supervisor (who operates at a Stage 5) is a true believer in ethical standards and principles. The subordinate may mouth words that sound like Stage 5 development but all in an attempt to be thought of as a good employee by their supervisor. Or another person may commit a horrendous act but because they know how to use the language of compassion, religious-sounding words, or other such verbal hustles can give their lowly act a high moral sounding twist. Or it should be possible for the Stage 5 supervisor or rank and file employee or even the idealistic fresh-out-of-college rookie by repeating and reminding others of ethical principles to enhance the ethical/moral reasoning, if not actions, of their colleagues. If nothing else, the Stage 5 person who is familiar with Kohlberg's work should be able to speak of ethical/moral issues in a meaningful way to the Stage 1, 2, 3 and 4 people they work with to motivate them to reason and behave in a way leading to an ethical outcome. Finally, a manager or business owner stuck at Stage 2 can bring low ego strength, external LOC people down to their level and can create a comfortable environment for those who are also Stage 2 while higher ego strength/internal LOC/Stage 3 or better employees become disillusioned, cynical and busily update their resume.

Work Factors represent the degree to which the individual identifies with key parts of their workplace broken down to include: Codes of Ethics/Ethical Principles, Identification with Work/Job and Identification with the Organization.

When I taught ethics classes one of the assignments was for students to visit local professionals preferably someone working in the field the student was planning to major in to ask questions developed in class about business ethics. Budding counselors went to the local mental health center while the accountant wannabe visited the partners of an accounting firm and so on asking their list of questions several of which involved the profession's code of ethics. Answers varied from "That was something I learned in college" to "Here they are, framed and hanging on our wall" to "I have a copy of that somewhere I just don't know where." The student's lesson was that the **Codes of Ethics/Ethical Principles** are no better than the paper they are printed on if the individual puts little or no stock in their meaning, implications and applications in their life and how they conduct themselves in the workplace.

DEFINING THE TERMS

The bottom line is that in a given situation each participant has their own view of ethics. Some are true believers in the codes, the principles and the implication of a clear cut decision-making process. Others just want to survive until something better or different or retirement comes along. One person may be fresh out of college with ethics courses clearly in mind. Another may have been around forever and is a bit cynical sense they “have seen it all.” Finally, while the person directly facing the dilemma may intend to follow the ethical path, those intentions can be squelched by those who are further up the food chain but have no such intentions or inclinations.

As with the other factors, **Identification with Work/ Job** is a matter of degree, points along a continuum with each individual involved occupying their own place. For our purposes I see work as being distinct from the job. **Work** could be viewed as the larger meaning or purpose a professional or at least a professional attitude can bring to what you are doing, while a **job** is a particular position with assigned responsibilities by your current employer. For instance, you may identify with your profession and you are willing to go above and beyond what is expected by your employer but yet you may not identify with the job you currently hold in your organization. An individual may have a vision of what their work is about, its purpose for themselves, how it serves their clients or customers, the company, and the greater good of society but think their job stinks. I am asserting that the more a person identifies with both their work (their profession) and their job (their current responsibilities) the more likely they will feel confident in what they are doing overall and will behave more consistently and hopefully more ethically. The person who identified with one, their work for instance, but not the other will find themselves with internal conflict and at odds with their employer. Imagine being a supervisor or manager with employees where some are committed to their profession but not their job, while others are committed to keeping their job but are disillusioned about their profession, and still others identifying with both and finally employees who identify with neither all the while facing ethical dilemmas in the workplace.

A construction company is clearly different from an accounting firm, but actually they are the same in that they are in business to provide a product or service to their customers for a profit. That is the job portion. But that really isn't enough to keep a business going or to keep employees committed. The work portion is where the individual worker puts quality into what they do providing a sense of purpose that goes above and beyond products, services and profits. Having a sense of transcendent meaning in the work that puts greater value into what an employee does for their employer and leads to greater consistency over time and between situations.

It is **Identification with the Organization**, a “buy in” with the business's purpose, vision and spirit along with identification with the work and the job that measures the individual's commitment, consistency and predictability over time and between situations. The more an employee identifies with the organization the more they will behave in a way that is consistent with its purpose, vision and spirit. The less they identify the more likely the employee will be act in ways that are inconsistent with the company's interests. Part of the responsibility for this buy in comes from the employer and is discussed later but the

employee themselves also has some role to play in how open they will be accepting the organization's mission into their own way of working.

Factors Outside of Work essentially is a catchall phrase for all the life circumstance that can go right or wrong outside of work that spill over into the workplace. These factors can include all those things an employee assistance program might deal with such as drug, alcohol, financial, legal, marital/family, health, etc. problems that may not occur during work hours yet impact work performance. How would a person's marital conflict distract them from correctly identifying and then effectively dealing with an ethical dilemma? Is the alcoholic employee faced with a dilemma on a blurry-eyed Monday morning or late Friday afternoon be less effective than if they had been presented with the same situation midday Wednesday?

In short, there are circumstances, situations, problems and issues outside the workplace bringing pressure to bare interfering with job performance, attentiveness to work situations and personal stamina as the person faces challenges only to be confronted by equally grueling dilemmas at work. Life outside the workplace impacts work and may influence how quickly, effectively, efficiently, thoroughly and ethically any dilemma is identified and dealt with.

Now we will return to the concepts of **Sense of Coherence (SOC)** and **Johari Window**. It needs to be understood that both are seen as overarching concepts. That is to say both cut across all the Individual Moderator's factors. Pulling the factors together so that rather than being distinct and separate they make up a coherent whole.

Sense of Coherence (SOC) was developed by Aaron Antonovsky and for our purposes refers to how well ego strength, LOC, field dependence/independence, identification with work, the job and the organization, and the rest hold together, make sense, enabling the individual to behave consistently and predictably. As with nearly every concept in the model SOC falls along a continuum with the afore-mentioned factors fitting together into a cohesive whole for one person but as a disjointed, confusing, meaningless mass for another. McCubbin (1998) in his book on the subject points out 3 basic measures of cohesiveness as defined and described below:

- The foundational concept is the perception that **life is comprehensible**. Simply the belief that what happens in life is understandable and there is context that can be observed and understood creating a degree of optimism and curiosity about life.
- Comprehensibility then dovetails into the next part of the model: **life is meaningful**. Since life is comprehensible it seems natural enough to apply meaning to what we comprehend. By applying meaning to the good and bad events of our lives we can give even the worst of events a positive meaningful purpose.
- Finally, **life is manageable** essentially refers to the belief that we have or we can obtain the resources we need to deal with life's challenges.

We will explore these three concepts in more detail in Chapter 5 but for now suffice it to say that the person who sees life as comprehensible, meaningful and manageable is at a

DEFINING THE TERMS

distinct advantage over the one who doesn't. Additionally, just from the perspective of understanding ones self and others, the SOC can aid you in understanding how well some can put together the Individual Moderator factors into a coherent whole while others remain fragmented and lost.

JOHARI WINDOW (Table 4)	Known to Self	Not Known to Self
Known to Others	OPEN	CLOSED
Not Known to Others	HIDDEN	UNKNOWN

Having been introduced to the **Johari Window** (Table 4) when taking and then teaching psychology courses I began to see how its emphasis on what you know about yourself and what others know about you can contribute to a greater understanding of the IEM. We all have beliefs, attitudes, feelings, assumptions, biases, ways in which we present ourselves, our self-image, the way we think we are, etc. which are either known or not known by our self and those we come into contact with. A brief snapshot of the four window panes are as follows:

- The **Open** pane represents the parts of your self that are known by yourself while at the same time clearly seen by others. These areas both you and others would agree to be true about you and the way you are like.
- What is **Hidden** represents your secrets, the fears, the anger and resentments, hidden agendas you have but which you keep to yourself.
- The **Closed** area is the parts of your personality or the way you come across to others that are clearly seen by others but for you it represents a blind spot. For instance, you may believe you come across to others as honest and forthright but others see you as shady and pretentious.
- Finally, there is that area which is **Unknown**, unseen by both yourself and the other people in your life. Because it is unknown it is difficult to comment on except to say you can usually tell when behavior is coming out of this area when neither you nor the others have an explanation for it.

As you relate to others and as they relate to you all four of these elements are at work. It is being aware of your own open and hidden areas while acknowledging that the closed and unknown areas must exist that enables you to begin to be understand yourself better and become more effective with others. There will be more discussion on this along with SOC in Chapter 5.