Key Components to an Effective

Ethics Training

Program

by

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A Research Paper
Submitted in Partial Fulfillment of the
Requirements for the
Master of Science Degree
in

Training and Development

Approved: 4 Semester Credits

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December, 2007

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Title: ***Key Components to an Effective Ethics Training Program***

Graduate Degree/ Major: MS Training and Development

Research Adviser: **Kari Dahl, MS.**

Month/Year: **December, 2007**

Number of Pages: **53**

Style Manual Used: American Psychological Association, 5th edition

ABSTRACT

Organizations have distinct cultures made manifest in the actions of employees and interactions with customers. Unethical corporate behavior and legal proceedings signal a breakdown in public trust. Too often people with normal moral development become unethical employees. Despite an increase in ethics programs, positive impacts on workplace behavior are unproven. Ethical training integrated into strategic planning and cultural development can transform an organization. This study reviews ethical training programs, philosophies of learning, and methods of training to discover key elements of effective ethics training. Three major themes are 1) selection of trainees through characteristics, 2) training design and implementation, and 3) evaluation of skills. The researcher combines common elements into an outline for an effective ethical training program. Key phrases from this outline comprise the lexicon for content analysis of current communications about ethical training from two groups: education and business. The education group includes university articles on college ethics programs and course syllabi. The business group includes information on corporate workshops, programs, and trade articles on ethical training. Frequencies and rate counts reveal similarities between the two data groups and indicate levels of importance of key training elements. Recommendations are made for designing, implementing, and evaluating ethical training programs.

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Acknowledgments

Looking back through my thesis process, I am immensely grateful to those who have helped me along the way. I would like to now recognize those individuals. First I would like to acknowledge my thesis research advisor, Kari Dahl, who was a truly inspirational mentor throughout the entire process, offering insight and encouragement in her review of my thesis, *Key Components to an Effective Ethics Training Program.* I would also like to thank all of my graduate professors for the fine educational experience that they provided.

I would like to thank my mother, Veronica Shaffer, without whom I would never have made it through graduate school and the thesis experience. Thank you for all your unconditional support and hard work helping me to edit endless drafts. I would also like to thank Andrea Lueck, who was an excellent resource for my statistical analysis. Thanks also to my comrade Danielle Wojcik for spending countless hours keeping me company while I was locked away working on my thesis.

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Chapter I: Introduction

The words ethics and morality are often used interchangeably to refer to a person's fundamental orientation towards a good life. Derived from the Greek word ethos which originally meant "a dwelling place," the term later came to mean "an inner dwelling place," or is the "inner character". The Latin translation of ethos is "mos, moris," from which the English word moral is derived. One language source states that "in Roman times, the emphasis shifted from internal character to overt behavior--acts, habits, and customs" (Manning, G., & Curtis, K, 2003, p 82).

Employee ethics differ from employee to employee. Ethics are learned from families, schools, communities and the cultural environment—including the business culture. Every company has a distinctive culture which is manifested in the daily actions of employees and any interactions with customers. There are no class lines drawn for unethical employee acts; people of all socio-economic strata break company rules and engage in the unauthorized use of company property. Some 70% of employees involved in theft cases have never been convicted of any prior crimes, and indications are that, under the right circumstances, nearly any worker may steal. According to Greenguard, (1997) a full 50% of employees lie, cheat, and steal from their employer. The recent revelations brought to light by the media coverage of legal proceedings against corporations for unethical behavior and illegal actions signal a breakdown in public trust. Because of these recent high-profile cases like Enron, Arthur Anderson, and WorldCom, organizations have been reassessing their corporate cultures and setting their sights on ethics and ethics training to discover why people who experienced normal moral development become employees willing to steal from their companies or worse.

Many corporations have a code of ethics, and some will actually teach employees about this code. There is, however, evidence that these companies are failing to reach employees to inculcate a sense of ethics at work, and that unethical corporate behavior remains prevalent. Since the early 1990s, the Ethics Resource Center (ERC) has conducted an Annual National Business Ethics Survey of employees across nonprofit, for-profit, and governmental sectors of American businesses. According to the National Business Ethics Survey (NBES), there has been a substantial rise in formal compliance (ethics) training programs (2005). Despite this rise in program activity, any corresponding positive impacts on behavior have not as yet been demonstrated. In the past year, the NBES found that 36% of respondents witnessed more than one unethical act. Fifty-two percent of surveyed employees observed one act of misconduct, and only 55% of those acts witnessed were reported. These findings indicate that misconduct in the workplace is probably underreported, and the ethics training programs—as well as the corporate cultures that implement training—are seriously flawed.

Statement of the Problem

What are the key concepts and principles needed for an effective ethics training program?

Purpose of the Study

The purpose of this study is to review current ethical training programs, philosophies of adult learning, and the concepts and methods of ethical training. The researcher will then look for common elements that will be combined into a framework for a practical, effective ethical training program.

Assumptions of the Study

1. Ethics training should be a concern of all corporations,

2. The research used in this study was conducted in a valid and reliable way,

3. The researcher will evaluate information successfully for meaningful and useful findings,

4. The professional communications that were reviewed are created by experts in their business field, and

5. The information gathered is the best information available for the purpose of this study.

Definition of Terms

Accountability. "The perception of defending or justifying one's conduct to an audience that has reward or sanction authority, and where rewards or sanctions are perceived to be contingent upon audience evaluation of such conduct", (Beu, D. S., Buckley, M. R., & Harvey, M. G., 2003, p. 89).

Andragogy: "The science of adult learning", (Laher, S., 2007, p. 384).

Autonomy. "Is a psychological function and it is suppose to be a necessary precondition for higher ethical competence. Autonomy is a way of thinking which focuses on the concrete moral problem situation. The autonomous person is unconstrained in identifying and considering all relevant values, feelings, duties, interests, etc. involved in the situation, as well as all possible ways of action", (Kavathatzopoulos, I., 2003, p. 48).

Business Ethics. "The rules, standards, principles, or codes that give guidelines for morally right behavior and truthfulness in specific (business) situations", (Beu, D. S., Buckley, M. R., & Harvey, M. G., 2003, p. 89).

Cognitive Moral Development. "Cognitive moral development (CMD), or moral maturity, is reflected across three levels of moral reasoning. At the preconventinal level, individuals define morality in terms of the consequences of actions (e.g., reward and punishment) or the moral positions of authority figures (e.g., parents, God). At the conventional level, peer influences, family, and society norms become more instrumental in determining what constitutes moral behavior. Finally, at the postconventional level, individuals define moral principles independently from self-interest, authority figures, and societal pressures. Rather, they define morality in terms of personal consciences and universalistic principles, (Wells, D., & Schminke, 2001, p. 136).

Ethics. "Decisions that are legal or morally acceptable to the larger community", (Beu, D. S., Buckley, M. R., & Harvey, M. G., 2003, p. 88).

Ethical Climate. "The prevailing perceptions of typical organizational practices and procedures that have ethical content", (Wells, D., & Schminke, M., 2001, p. 141).

Organizational Culture. An organizations system of values and beliefs, based on accurate measurements of ethical climate. Connor, K. T., 2006, p. 150)

Pedagogy. "The activities of educating or instructing; activities that impart knowledge or skill"; (pedagogy. (n.d.). WordNet® 2.1, © 2005 Princeton University. Retrieved December 18, 2006, from Dictionary.com website: http://dictionary.reference.com/browse/pedagogy).

Self-efficacy. "The optimistic beliefs about being able to cope with large variety of stressors and explicitly refers to one's competence to deal with challenging situations. Individuals with high perceived self-efficacy have high self esteem and are optimistic." (Beu, D. S., Buckley, M. R., & Harvey, M. G., 2003, p. 93).

Limitations of the Study

One major limitation to this research project was the reliance on recorded data about ethical trainings, and the availability of published and distributed information. Another major limitation is in the establishment of validity for the study. The assumption of the research method is that the words and phrases which appear most often, word-frequencies, reflect the importance of concerns. The research also relies on correspondence within and across articles of the categorization of the targeted words and phrases.

Methodology

The researcher will review the literature to identify theories of practice. The researcher will review the literature for a combination of training theory on ethics in hopes to come up with a list of key components that the theories would suggest to be the best. Using the information collected by the literature review the researcher will then develop a list of key principles based on those concepts. The researcher will then use those phrases to develop a system of analyzing current communications about ethical training. And incorporate the findings of the research to consider for an ethics training program using those key components.

Objectives

1. Identify current theories and components of ethics training

2. Obtain practical information reflecting useful ethical training practices

3. Identify the body of knowledge that will be analyzed for the

4. Obtain useful information demonstrating the teaching of ethics

5. Develop a framework of key components to an Ethical Training Program

6. Develop recommendations for organizations to implement the framework creating their own effective ethical training program.

Chapter II: Literature Review

The literature review was conducted with the focus of reviewing theories of

ethical decision making and current ethical training practices. This literature review will

study several theories of ethical decision making and the current ethical training practices

to combine them with current philosophies of adult learning, and will look at the concepts

and methods of ethical training to combine them into a framework for an effective ethical

training program for practical application.

According to Daley and Gombeski (1990) business ethics programs have broad

goals: to sensitize employees to the importance of ethical conduct, to help the employee

develop an awareness of possible ethical conflicts, to assist employees to think through

the relevant issues clearly, and to help create an environment in which employees feel

comfortable discussing ethical concerns. While these goals of ethics training are broad,

they attempt to measure an improved ethical climate, which is the prevailing perceptions

of ethical practices and procedures which characterize an organization. Ethical

evaluations of businesses are based on guidelines of ethical behavior, a major determiner

of ethical business climate, and corporate culture is the Code of Conduct which reflects

organizational values.

A successful ethics training program will include relevant concepts of ethics,

since individuals make ethical decisions based on personal moral philosophies. Since

these concepts form the basis from which individuals make ethical decisions, they also

provide a framework for discussion and understanding. Ethical concepts are part of

theories of morality that range from the societal focus of utilitarianism to the individual

focus of egotism, or that range from the almost absolute guidelines of the theory of rights

and responsibilities to more relative theories of justice. Each theory has its strengths and weaknesses in their application to the business world.

In concern for the social good, utilitarianism is at one extreme and egotism is at the other. Utilitarianism is a way of making ethical decisions based on the end result. In utilitarianism, "morality is based on the consequences of the actions. Evaluation of the actions should consider all of society. The goal of utilitarianism is to provide the greatest good for the greatest number", (Shultz, Brender-llan, 2004; Daley, and Gombeski, 1990). According to this ethical theory, an action is "good" if the total social benefit exceeds the cost. Utilitarianism is preferred by business because it promotes efficiency and productivity. In contrast, the theory of egotism argues that an action is "good" only if it promotes the best interests of the "individual", which can here refer to an individual person, a group of people, or an organization. The selfish behavior, endorsed in egotism can promote greed and obstruct efficiency and productivity.

The theory of rights or duties provides another approach to evaluating behavior. This approach seeks to protect individuals from injury and establish standards of behavior that are believed to be intrinsically right, independent of consequences for society. This perspective also favors individuals, allowing for privacy, contractual rights and freedoms. Because of its individual approach, however, it tends to encourage inflexibility and self-centered behavior, obscuring the rights of others.

The ethical theories of justice are concerned with rights, fairness, and equity. They seek to insure the fair distribution of benefits and burdens, and to protect the minority by ensuring the "fair" allocation of resources. While principles of equality are important, sometimes inequality is tolerated in favor of the principles of fairness and

rights. The principle of justice, then, can differ with the situation, making justice relative. The theory of Relativism takes the degree of irregularity to an extreme. Relativism believes that all normative beliefs are the function of culture, so no universal ethical rules can exist.

Crucial concepts from all of these ethical theories should be considered and discussed as appropriate frameworks for making ethical decisions. Each theory in turn can be used as a criterion for making decisions all the time in one or more departments, or theories may be switched depending on the department and the situation. Inevitably, in the same circumstance, two ethical theories will support different decisions: "The possibility of conflicting positions on an issue, all with an acceptable ethical standard, should be recognized," (Daley, Gombeski; 1990). When employees are faced with an ethical conflict in the workplace, the ethical climate of the company should direct him or her through the relevant issues, to help him or her make tough decisions, and support his or her ethical conduct.

When selecting elements of an effective morals education program, practitioners draw on the research efforts from business human resources, psychology morals acquisition and education training methods. During this literature review, three major themes to consider were identified by Wells and Schminke (2001): 1) selection of trainees through characteristics, 2) training design and implementation, and 3) transfer of skills and evaluation. These three themes provide an outline for discussing the key components of an effective ethics training program.

Trainee Characteristics

The first theme identified by Wells and Schminke (2001) is the selection of trainees according to individual characteristics, which are the qualities that the program may screen for when selecting the participants for a training program. These characteristics have been shown to improve training and retention when applied to a program specifically designed to train ethical behavior. Selection for success is a key consideration for many ethics programs; however, an organization might not be able to pick and choose exactly who will be attending. Surveys of business ethics programs reveal that many are the result of interventions in response to ethical crises such as public scandals, legal actions, or threatened or imposed government sanctions, (Joseph, 2002).

Examination of the literature reveals that compliance goals, such as satisfying regulators, avoiding litigation or indictment, and improving accountability are the minimal ethical goals. In addition to meeting minimum goals, program priorities cover a spectrum from lower level compliance-oriented goals to higher level value-oriented goals. Instruction for compliance is less complex than for values. Kavathatzopoulos (2003) makes the distinction between declarative knowledge (concrete answers and content information) and procedural knowledge (skills). Lecturing or reading may not be sufficient for employees who do not understand policy applications and need a method of learning that is interactive-such as role-playing scenarios. If the goal of the program is strict compliance, then all employees should be trained. Although individual characteristics may not be a necessary requirement for entering a training program, they will be a key predictor of the success of any program implemented. More importantly, the program should be focused on fostering these desirable characteristics. Based upon this

discussion, a key component of the ethical program will be the assessment of individual characteristics that correlate to ethical behavior. The method of measuring individual ethical progress is pre-testing and post-testing trainees for an increase in a measure of moral development.

Cognitive Moral Development (CMD): Wells and Schminke (2001) suggest the soundness of Kohlberg's CMD model of ethical decision-making which is widely accepted by psychology and implemented by HR. Kohlberg theorized that individuals mature in their morality as they move cognitively to higher levels of moral development. Research demonstrates that individuals with a higher level of CMD will make more ethically sound decisions and act more ethically. There are three levels and six stages of CMD, (Kohlberg, 1969; Rest, 1994). Stages one and two comprise the *pre-conventional* level of moral development. Individuals in these stages tend to view morality in terms of consequences for behaviors or ethical behavior expectations projected by authority figures. The pre-conventional level is based on reward and punishment, or self interest and egoism. Stages three and four comprise the *conventional* level of moral development. In this level, societal, peer and family influences primarily determine ethical courses of action, and this level is often characterized by peer pressure. Stages five and six comprise the third and highest level of moral development the *post-conventional.* Individuals operating at this level make ethical decisions independently from self-interests, authority figures, and the social pressures. Ethical behavior is based on personal conscience and universal principles, and behaviors motivated by these principles are considered more ethical.

CMD is a major component to many positive ethical models and is well established and supported, (Izzo, 2000). Over 500 studies use Colby and Kohlberg's (1987) Moral Judgment Interview (MJI) to evaluate CMD and over 1,000 studies use Rest's (1979) (1986) Defining Issues Test (DIT). Researchers report that the MJI is difficult to administer and the scoring is subjective because it requires experienced interviewers and scorers. The methodology of moral reasoning research improved when James Rest developed the DIT that used standardized scenarios and a multiple-choice format (a 5-point scale 1 = "no importance" and 5 = "great importance") that could be scored electronically. Wells and Schminke (2001) used Rest's (1986) DIT to measure Kohlberg's stages of cognitive moral development.

Based on this information, a key component to a successful ethical training program should be a higher CMD. Education, age, and experience on the job have all been correlated to an increased level of CMD.

Education. Level of formal education is the best predictor of CMD and ethical decision making. With higher levels of education, training attendees exhibit greater participation and retention of the material. (Izzo, 2000) Kohlberg (1969) found that level of education is significantly correlated to industry- specific moral reasoning. He goes on to observe that highly educated individuals take better advantage of the growth opportunities that arise at work. Trainees with higher levels of education tend to interact more within the training atmosphere as well. With greater education comes greater ability to transfer training to the job atmosphere.

Age: Age can also be a major factor in trainee performance and retention. It is intuitive that CMD increases with age because as one ages, responsibility increases.

"Kohlberg (1969) attributed age-related gains to continuing adult moral development and to the experiences that individuals are, over their lifetimes, exposed to" (Izzo, 2000, p.232). Wells and Schminke (2001) notes that programs aimed at increasing CMD proved to be most effective with older trainees. Older individuals seem to be more receptive, in some situations, to the efforts of training than younger employees in their 20's. Age does correlate with experience on the job and suggests an area of difficulty similar to the controversy over CMD and gender.

Gender. Although widely accepted now, Kohlberg's CMD has had critics claim gender bias of the measure and subjectivity in the scoring process, (Colby et al., 1983). Most well-known is Gillian, (1982), who wrote in her widely read book, *In a Different Voice; Psychological theory and women's development,* that women view the world through a care/response orientation, whereas men have a cognitive/rational orientation. By 1990, however, research substantially supported the application of CMD to both sexes with slight variation. (Izzo, 2000; Jafee & Hyde, 2000) The general expectation is for females to be stereotypically affectionate, nurturing, respectful, warm (components of caring), and also passive, dependent, conforming, and obedient (components of compliance). Males, however, are expected to be stereotypically independent (a component of assertiveness). Researchers of CMD suggest that studies investigate these characteristics in place of gender. (Beu, et al., 2003) Increased CMD corresponds to training most often when trainees possess certain personality traits.

Personality traits. Assertiveness and self–efficacy also play a role in trainee receptiveness and retention. Self-efficacious trainees are confident that they can transfer learning to the job. Wells and Schminke (2001) suggest that conscientiousness should be

researched. Conscientious individuals tend to be more self-efficacious, disciplined and organized, and as a result, they are better able to apply what they have learned in training. The traits of self-efficacy and assertiveness have been correlated to an increase in CMD; other researchers also suggest the characteristic of integrity. Further research should clarify which personality traits programs should use to select candidates for ethical training.

Training design and implementation

The second theme to examine is the training design and implementation. This theme includes the issues of needs assessment; governance, rules and laws; and the program pedagogy or educational methods.

Needs assessment. Wells and Schminke (2001) address the fact that many aspects of the training program needs to be based from a needs analysis of the organization. Each specific program should have a specific structure for the exact organization it will be used in. There are many ways to get a sense of what training needs are in the organization, such as attitude surveys, exit interviews, focus groups, and advisement committees. The goals or orientation of training change according to needs. Ideally, ethics training needs are continually monitored and program orientation evolves from strict compliance to universal values. Special emphasis could be placed on ethics climate surveys and strategically focused attitude surveys.

Ethical climate surveys. Wells and Schminke (2001) emphasize the Ethical Climate Questionnaire (ECQ) developed by Victor and Cullen (1988) in the evaluation process. The ECQ is a measurement instrument designed to evaluate two dimensions of an organization's perceived ethical practices and procedures. The first dimension

corresponds to the three levels of Kohlberg's (1984) model renamed by Victor and

Cullen, (1988), including *egoism* (pre-conventional), *benevolence* (conventional), and

principle (post-conventional). CMD is crossed with locus of analysis developed by

Gouldner, (1957), and Merton, (1957), as either *individual, local,* and *cosmopolitan.* The

three levels of CMD are crossed with three loci of analysis to yield nine ethical climates.

From this array, five climate types are determined: instrumental, caring, independence,

rules, and law and code (Victor & Cullen, 1988). The concept of ethical climate helps

organization better understand and adjust the setting of ethical training especially to

sustain and support an increase in CMD for each individual.

Strategically focused attitude surveys. These surveys differ from normal attitude

surveys in the fact that they specifically address the observations about ethical activities

related to strategic initiatives of the organization. By making ethical behavior a strategic

initiative the organization can greatly increase its commitment to ethical performance. In

this form of survey, the individual can describe ethical dilemmas faced on the job. These

responses can provide input for developing industry specific training tools

Governance, rules and laws. Joshua Joseph (2002) mentions that organizations all

share key program elements. The organizations all had a code of conduct, a mission

statement, vision statement, and value statement related to ethics and procedures in place

to analyze and track information related to these. According to Wells and Schminke

(2001), the leaders of the organization play a key roll in the ethics training initiative. In

order to reinforce desired behaviors throughout the organization leaders must be models

of exemplary character. Therefore it is beneficial to consider top management for ethical

inputs and training: "research indicates that the behavior of one's superiors is among the

strongest influences on unethical behavior...direct influence of leaders' ethical behavior on that of subordinates", (Wells & Schminke, 2001).

Ethical Code of Conduct. A good place to start when designing a training program for ethics is to review the Code of Conduct. A clearly stated and highly communicated Code of Conduct goes far in renewing the ethical conduct of the organization. According to Joshua Joseph (2002), the Code of Ethics should provide guidance for an organization without intimidating members. It should be supported by top management and should have input from all levels of the organization, therefore creating ownership throughout the organization. A Code of Conduct serves as a road map for business ethics. It should establish guidelines on how employees should go about their daily work lives. The Code of Conduct needs to reflect the corporate culture and organizational values, ideas, and business philosophies. It plays a critically important part in creating an internal cohesive culture of ethical compliance.

A Code of Conduct can also be instrumental in improving corporate culture and organizational morale, by benchmarking organizational loyalty and trustworthiness. An ethical Code of Conduct can help to sensitize management and employees to other people, so that they will be better able to accept, tolerate, and respect honest differences of opinion. Since values are personal or organizational beliefs of what is preferable, values differ. Organizations are composed of individuals, so the culture of an organization relates directly to the beliefs and values of the people who work in that organization.

Core values are the set of beliefs that influence the way individuals and groups behave. Core values set forth in the corporate Code of Conduct are the guiding principles

for employee behavior in a company. It is mainly through core values set forth in a Code of Conduct that strong organizational cultures are created, and cultures are shaped by common values. Common values lead to common goals which enhance motivation to meet those goals which generates teamwork and heightens morale.

Theory X and Theory Y. Another consideration is the employee motivation Theory X and Theory Y, and the impact these two very different perspectives have on corporate culture. According to researchers, "these theories attempt to explain and predict leadership behavior and performance based on the leaders attitude about their followers", (Lussier, Achua; 2007). Douglas McGreagor classified attitudes of belief systems, which he called assumptions, as Theory X and Theory Y. Theory X, is the negative and pessimistic assumption, it says that employees dislike work and must be closely supervised and scrutinized to keep them motivated. Managers with the Theory X perspective use coercive, autocratic leadership, relying on threats and punishment to get points across. This behavior breeds a lack of trust and consideration of your employees.

Theory Y assumptions are quite different. Theory Y perspective says that employees like to work and do not need close supervision to accomplish their work. Managers that hold the Theory Y perspective tend to have an optimistic, positive way of looking at employees. They use participative leadership, which depends on internal motivation of the employee and a reward system. The attitude of the leaders towards their followers is far more important than once believed, (Lussier, Achua; 2007).

Government regulations and law. There are many governmental laws and limitations placed on businesses by local, sate, and federal jurisdictions. The ethical training compliance-oriented goals should include all the relevant information and

provide reliable sources for the review of laws and regulations. Relevant rules and regulations should be reviewed and incorporated into the daily operations of any organization so that the participants are aware of them before the training and can explore them during the training to better understand what is expected of them when working with these limitations. Many laws and regulations are quite simple and take only common sense to understand. The training should focus on some of the more challenging regulations that could change according to the situation. This will help to facilitate flexibility while handling the situation ethically.

Pedagogy, Andragogy, and learning theory. Pedagogy is the study of strategies, techniques, and approaches that teachers can use to facilitate learning. This field encompasses the methods and issues that arise when an organization designs and delivers training. The complex topic of ethics training requires more instruction than the rules and regulations of the organization; rules alone cannot ensure ethical behavior.

Andragogy is the science of teaching adults with a focus on the individual adult. Research by Malcolm Knowles and other educators verified six assumptions regarding the characteristics of adult learning which support andragogy. First, adult learners are independent, self-directed, and responsible. Second, an adult's life experience and greater knowledge base offers a rich resource to draw upon for learning. Third, adults have a need to know the value or utility in what they are learning. Fourth, adult learners demonstrate a readiness to learn new things they need to know in order to adapt to their real-life situations. Fifth, adults have an orientation to problem-centered, task-centered, or life-centered learning that they perceive will help to solve problems or to perform tasks. Finally, adult learners are motivated by internal pressures and a desire for self-efficacy

and strong goal orientation. For an adult learner to fully assimilate and demonstrate ethical decision making, employee training must match these assumptions with appropriate learning theory and incorporate both into the ethics program, (Ozuah, 2005; and Laher, 2007). Along with adult learning assumptions, general learning theories apply to ethics training.

Philip O. Ozuah (2005) outlines the five main learning theories: behavioral theory, cognitive theory, constructive theory, humanistic theory, and developmental theory. Behavioral theory strives toward the goal of observable change in behavior. According to this approach, the teacher facilitates learning by directing, managing, and reinforces the process of learning. Cognitive theory strives for problem solving and the acquisition of knowledge. The instructor assesses the skills of the learners and provides guidance by attempting to connect concepts with the learners' prior knowledge. In the constructive theory of learning, the goal is the acquisition of a shared understanding and the development of the knowledge acquisition process. The students and the instructor develop the learning objectives together, grounding the learning in the experience of the learners. The goal of developmental theory is the achievement of each learner's maximum potential. The instructor bases the learning objective on the norm, appropriate behaviors, skills, knowledge or the levels of development. Lastly, the theory of humanistic learning assumes there is a natural tendency to learn in an appropriate environment. The learners themselves develop the learning objectives, while the instructor provides a nourishing and encouraging environment and accommodates the needs of the learners.

It is crucial that the training program emphasize the salient features that the learning theories have in common. Philip O. Ozuah (2005) writes that the various learning theories actually have these points of agreement: "the importance of clear goals and objectives; an emphasis on a progression of learning from simple to complex and abstract; an insistence that the learner be active in the learning process; and an appreciation for the importance of reinforcement and feedback, (p.86). These features should be included in every element of ethics training.

Not only does each learning theory have a place in employee training, but experience also revealed that specific activities are effective components of ethics education. According to Ozuah (2005):

Each of the learning theories has some application in adult education. For example, humanistic theory lends itself to problem-based learning and self-understanding, whereas behaviorism seems to be more relevant in the teaching of practical, specific skills. Developmental theory has been applied mostly in the areas of professionalism and moral development, (p. 86).

Furthermore, for ethical training to be effective, the training needs to utilize active learning activities like moral dilemma discussions, case studies, personal development activities, and behavior modeling.

Moral dilemma discussions. Moral dilemma discussions involve discussions based on moral dilemmas designed to arouse cognitive conflict for the trainees, which is geared towards raising CMD. These discussions provide a forum for trainees to practice making moral decisions. The activities should utilize the organization's governance structures and involve specific instances that can occur on the job. This will not only

allow trainees to practice with the content they may face, but it will also give them a chance to confront each other so that assertiveness may be built.

Personal Development Techniques. According to Wells and Schminke (2001) there are many programs that are geared specifically for this purpose, putting emphasis on intense personal reflection techniques and experiential activities. These programs center on self-learning and awareness regarding the social systems in which they live and work. These activities can include public service activities and personal journaling and similar reflective activities integrated with readings and discussions based on ethical thinking.

Behavior Modeling. Behavior modeling and role playing go hand in hand. Wells and Schminke (2001) describe this as an activity in which the trainees are given specific scenarios where they act out ethical dilemmas then they will copy the trainers modeling of the correct behavior. This technique is effective at demonstrating ethic-related knowledge attitudes, and the behaviors.

Transfer of Skills

The third theme that requires consideration is the transfer of training skills to the work environment. This transfer could happen in a positive or negative manner, or not at all. There are three phases of training efforts—those before training, during training and after training.

Pre-training issues. Wells and Schminke (2001) suggest that pre-training activities will greatly enrich the training program. Such activities would include communicating the reasons that the trainees were selected, focusing on what is positive

about the training—not punitive, thereby improving pre-training self-efficacy and generating greater training responsiveness.

Practice of delivery. Also the pre-training preparations are also essential to the training program's effectiveness. The trainer must be always aware of the training schema; they need to setup strategies to monitor the progress of the program and to make adjustments to the delivery of the training. This helps each member of the delivery team to know his or her specific tasks and to better understand his or her role in the training delivery. Goal orientation is also important for both trainer and trainee because it will affect the trainees' motivation to learn: "when a trainee enters into training with a mastery orientation, he or she shows greater effort and uses more complex learning strategies than do trainees who begin with performance implications" (Wells & Schminke 2001).

Issues during training: similarity and duration. Two issues that require consideration during training are similarity and duration. Similarity refers to the degree of likeness to the job trainees perform and how well the training reflects their work situations. It is important that the training is similar to—simulates—the work environment and the ethical challenges that may occur on that job. The absence of similarity may impede the transfer of skills and the training will not be as effective. That is why the training program design should be specific to organizations and should also be focused on the specific instances uncovered by needs assessment that training must address. Additional practice of key behaviors will greatly benefit the organization by helping the trainees avoid unethical behavior.

Program duration is also vital to the transfer of the ethics training. According to Wells ands Schminke (2001), short-term programs do not have a lasting impact on transfer for trainees. It is only when programs are of medium-term, 4-12 weeks, or long-term length, 12 weeks or more, that trainers witness significant transfer to the workplace.

Post training issues. Post training considerations are modeling, support and reinforcement by management in the corporate environment. If these advantages can be implemented and developed as a change in culture, the transfer rate of the trainees will greatly improve. If effective ethics training and a change in culture are built into the strategic planning of the organization, then the organization works to strengthen the ethics program and the ethics program benefits the organization. According to Wells and Schminke (2001), "an organization cannot initiate and sustain an effective training program unless solving ethics programs is a strategic priority and management models, supports and reinforces ethical behavior" (p. 147).

Modeling. This is when management receives ethics training and/or recognizes the goals of training and models the ethical behavior that was trained. Behavioral theory supports the praise and recognition of management for employees demonstrating outstanding ethical behavior. Modeling ethical behavior should also be part of the team environment as well as a criterion of performance appraisal.

Support. The training program should always include follow-up procedures designed to support the trainees' new skills; this will also function to sustain the employee expectations of higher standards of behavior in the workplace. Without a support system that includes management, teammates, and fellow employees; the ethical behaviors will not transfer to the work environment. Ethics advice, including suggestions

and anonymous report systems should be designed to help fellow employees with ethical problems. This is often in the form of a support line or phone extension.

Reinforcement. In accordance with behavioral theory, reinforcement must be built into the training through performance measures with feedback on the ethical decision-making skills of trainees. While positive reinforcement is stressed, organizations should also develop clear policies and procedures to investigate and sanction employees for unethical actions. Wells and Schminke (2001) state that the "absence of punishments or rewards contingent upon ethical behavior in their organizations contributes to unethical behavior among employees. To correct this deficiency, performance feedback can be used to apply sanctions and rewards related to ethical behavior" (147). When organizations tie performance appraisals and compensation to ethical behavior—supported by praise and sanctions—the employees' rate of transfer of ethical training to the work environment will dramatically increase.

Evaluation. The most important aspect of evaluation is accurate information and record keeping. Wells and Schminke (2001) suggest that "to create and maintain effective training programs, accurate information is needed on the impact of training overall" (p. 148). The researchers go on to state that the best-known framework for the evaluation is Kirkpatrick's model which includes measures from four levels of evaluation. The first level involves a measure the trainee reactions to the training. This is a relatively easy aspect to measure by simply administering a reaction survey. The second level measures trainee learning. There are several tests to measure this. A pre-test of the training material followed up by a post-test of the material assess learning by the difference in the scores. The third level is a measure of change in the attitudes and behaviors of the trainees while

on the job. Simple measures of improvement can be included in management's appraisal of the employee's job performance to asses this change. The fourth level is a measure of the improvements in the organization's results or bottom line. The measures could include increased productivity and/or sales, reduced waste, and/or lower job turnover and higher job satisfaction.

An understanding of the complicated process involved in a thorough evaluation of an ethics program can account for the sparse discussion of this critical aspect of program development. Ethics programs—just like management and sales—not only cover a wide spectrum of behaviors, but they also have intangible, even spiritual, components that must be included in strategic planning and evaluated separately and thoroughly.

Chapter III: Methodology

The purpose of this study is to review current ethical training programs, philosophies of adult learning, and the concepts and methods of ethical training. The researcher will look for common elements that will be combined in to a framework for a practical, effective ethical training program.

Objectives.

There are 6 objectives that were identified in the introduction of this study. These objectives were followed throughout the literature review and were used as a basis for the rest of the study. The objectives were:

1. Identify current theories and components of ethics training

2. Obtain practical information reflecting useful ethical training practices

3. Identify the body of knowledge that will be analyzed for the textual analysis

4. Obtain useful information demonstrating the teaching of ethics

5. Develop a framework of key components for an ethical training program

6. Develop recommendations for organizations to implement the framework creating their own effective ethical training program.

Statement of the Problem.

What are the key concepts and principles needed for an effective ethics training program?

Research Design

The literature review was conducted with the explicit purpose of identifying the key components needed for a good program of ethical training. Through the review, the researcher identified three main themes: the selection of trainees through trainee

characteristics, training design and implementation, and transfer of training skills and evaluation. Using these three themes the researcher identified all the key components that a training designer should include when designing an effective ethics training program.

Instrumentation

The research method used was a form of content analysis called textual analysis. Textual analysis is the study of textual communications. This technique allows researchers to study human behavior in a non-direct way. There were 14 educational course descriptions, and 12 business articles utilized for this study. The researcher organized the data into categories, which were used for comparison in order to illuminate the information being researched, and systematize and quantify information about ethical training (Fraenkel, J. and Wallen, N.; 2000).

The researcher reviewed the literature to identify theories of practice, and for a combination of training theory on ethics in hopes to identify a list of key components that the theories would suggest to be the best. Using the information collected by the literature review the researcher then developed a list of key principles based on those concepts. The researcher used those phrases to develop a system of analyzing current communications about ethical training, and incorporated the findings of the research to consider for an ethics training program using those key components.

Data Collection Procedures

The information used for this research method was the professional communications of what ethical course trainings will include. The researcher classified two specific groups of data which were analyzed. The first was the correspondences about how business and industry are or should be training ethics. This included

information on workshops, information on company programs, and professional trade articles on ethical training. The second group of data included correspondences on college educational programs on ethics. This group of correspondences included university articles and course syllabi.

Data Analysis

The data was collected and analyzed according to a key components list. Using the literature review as a guide, the researcher organized a list of phrases for ethics training. The researcher then organized the list of phrases into the following three categories or themes:

Theme A: Trainee Characteristics
    A 1 Ethical Theory / Concepts / Principles
    A 2 Cognitive / Moral Development
        A 2.1 Moral Assessment
        A2.2 Personality Traits

Theme B: Training Design and Implementation
    B 1 Needs Assessment
        B 1.1 Climate Survey / Attitude Survey / Ethical Analysis
    B 2 Corporate Governance
        B 2.1 Code of Conduct / Ethics
    B 3 Regulations / Law/ Federal Guidelines
    B 4 Pedagogy / Instruction Method
        B 4.1 Learning Style
        B 4.2 Moral / Ethical Discussion
        B 4.3 Personal Development / Personal Reflection
        B 4.4 Ethical / Social leadership
        B 4.5 Mentoring
        B 4.6 Ethical Case Study/ Ethical Dilemma Study

Theme C: Skills Transfer, Pre-training and Post-training Issues
    C 1 Communicate Importance
    C 2 Job Similarity
    C 3 Program Duration
    C 4 Behavior Modeling
    C 5 Support / Reinforcement
    C 6 Program Evaluation

The researcher identified words relevant to each category or theme. The researcher then analyzed the data using the word frequency in all the articles and the rate of the word occurrence throughout an individual article. The researcher also reviewed the data for a qualitative component, noting any relevant and/or reoccurring themes or ideas present in the communications.

Limitations

One major limitation to this research project was the reliance on recorded data about ethical training programs, and the availability of published and distributed information. Another major limitation is in the establishment of validity for the study. The primary assumption of this research method of content analysis is that the words and phrases which appear most frequently can identify major concerns across articles, and the rate of usage of phrases within individual articles reflects their importance. The research then relies on the correspondence to the categorization of the analyzed words and phrases.

Chapter IV: Results

The purpose of this study was to review current ethical training programs, philosophies of adult learning, and the concepts and methods of ethical training. The researcher then sought common elements to be combined to form a framework for a practical, effective ethical training program.

According to a textual analysis research method, the researcher reviewed current ethical training programs, ethics workshops, and ethics collage course syllabi to uncover common elements for a practical, effective ethical training program. The researcher matched and noted phrases equivalent to those categorized from the literature review, and analyzed them according to their frequency of appearance/nonappearance in all the articles and the rate of appearance, frequency of appearance in a single article.

Theme Categorization of Phrases

Through the literature review the researcher uncovered three main themes for training ethics: (1) selection of trainees through characteristics, (2) training design and implementation, and (3) transfer of skills and evaluation. These three major themes were broken down into an outline of key components of ethical training. The researcher then developed a phrase list or lexicon by analyzing the key components and categorizing them.

Theme 1: Trainee Characteristics
    A 1 = Ethical Theory / Concepts / Principles
    A 2 = Cognitive / Moral Development
        A 2.1= Moral Assessment
        A 2.2 =Personality Traits
Theme 2: Training Design and Implementation
    B 1= Needs Assessment
        B 1.1 Climate Survey / Attitude Survey / Ethical Analysis
    B 2= Corporate Governance
        B 2.1=Code of Conduct / Ethics

B 3= Regulations / Law/ Federal Guidelines
B 4= Pedagogy / Instruction Method
    B 4.1= Learning Style
    B 4.2= Moral / Ethical Discussion
    B 4.3= Personal Development / Personal Reflection
    B 4.4= Ethical / Social leadership
    B 4.5= Mentoring
    B 4.6= Ethical Case Study/ Ethical Dilemma Study
Theme 3: Skills Transfer, Pre-training and Post-training Issues
    C 1= Communicate Importance
    C 2= Job Similarity
    C 3= Program Duration
    C 4= Behavior Modeling
    C 5= Support / Reinforcement
    C 6= Program Evaluation

The research materials were then organized in to two groups: (I) a business group and (II) an education group. The educational group consisted of 14 course syllabi; the business group consisted of 12 articles on ethical training programs and workshops. Having categorized and coded the phrases, the researcher then determined frequencies by counting the occurrences of the phrases which were uncovered in each of the two groups of research materials. The researcher also noted other reoccurring themes, or ideas in the two data groups. The researcher continued with the analysis of frequencies and rates.

The significance of the phrases were viewed in two ways: first, the frequency of phrases across all articles in a group considers the breadth of the usage of the phrase to identify a major concern for ethics training, and second, the rate of the usage of a phrase in a single article considers the depth the usage of the phrase to indicate importance of the phrase for ethics training.

Figure 1: Education Data Analysis Graph of Phrase Averages

Education Data Averages

Category	average
C6	0.29
C5	0.07
C4	0.14
C3	0.43
C2	0.00
C1	0.29
B4.6	5.43
B4.5	0.00
B4.4	0.64
B4.3	0.86
B4.2	1.14
B4.1	0.07
B4	0.00
B3	1.64
B2.1	2.50
B2	1.00
B1.1	0.29
B1	0.07
A2.2	0.29
A2.1	1.14
A2	1.86
A1	4.36
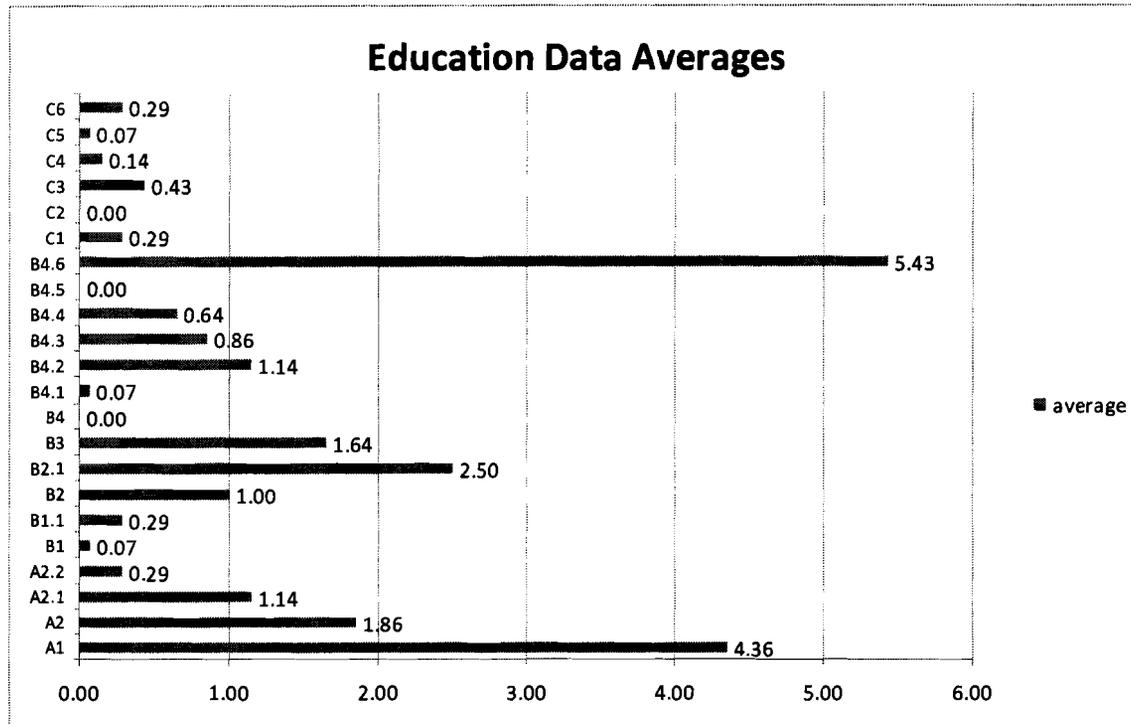
Education Data

Trainee Characteristics: Category A. The charts of the means illustrate the usage

of phrases across all articles in a group. Phrases in this A-category were prevalent in the

Education Group. A high count of 61 occurrences for A1-Ethical Theories, an average of

4.36 per article, demonstrates this topic is a major one. A2-Cognitive /Moral

Development was second in prevalence across this category with a 26 count, an average

of 1.86 per article. The third notable phrase for this theme in the Education Group was

A2.1-Moral Assessment, yielding a count of 16 occurrences with an average of 1.14 per

article.

Training Design and Implementation: Category B. The second theme accounted

for the most occurrences for the theme with emphasis on more phrases for both data

groups. From the education group data five phrases show prevalence. The first was B2-

Corporate Governance with a count of 14 and an average .5 occurrences per article. The second was B2.1-Code of Conduct/Ethics with a count of 35 and an average of 2.5 occurrences per article. The next phrase noted is B3-Regulations / Law/ Federal Guidelines with a count of 23 and an average of 1.64 per article. Variable B4.2-Moral / Ethical Discussion follows with a count of 16 occurrences and an average of 1.14. The highest occurring phrase within the educational group and this theme is B4.6-Ethical Case Study/ Ethical Dilemma Study with a count of 76 and an average of 5.43 occurrences per article.

Skills Transfer, Pre-training and Post-training Issues: Category C. This theme, although crucial to training, seemed to lack emphasis in the research data since the largest number of occurrences within this theme was 6. The phrases C1-Communicate Importance and C6-Program Evaluation, as well as C4-Behavior Modeling do show up, but all are relatively less important than C3-Program Duration.

Just as instruction for compliance is less complex than for instruction for values, theoretical knowledge can be transmitted by reading and lecture but skill development is more complicated. Kavathatzopoulos (2003) makes the distinction between declarative knowledge which involves concrete answers and content information—areas of interest in theme-A and theme-B—and procedural knowledge which involves the acquisition, retention and transfer of skills—areas of interest under theme-C. Current training documentation in both education and business seem focused on declarative or theoretical knowledge. The need for further research into practical program application requires the discussion of the development of ethical skills incorporated into an ethical culture.

Figure 2: Business Data Analysis Graph of Phrase Averages

Business Data Averages

Category	average
C6	0.08
C5	0.33
C4	0.33
C3	0.00
C2	0.00
C1	0.17
B4.6	2.83
B4.5	0.08
B4.4	0.08
B4.3	0.58
B4.2	4.42
B4.1	0.00
B4	0.00
B3	2.00
B2.1	1.58
B2	0.50
B1.1	0.17
B1	0.17
A2.2	0.25
A2.1	0.00
A2	1.00
A1	2.33
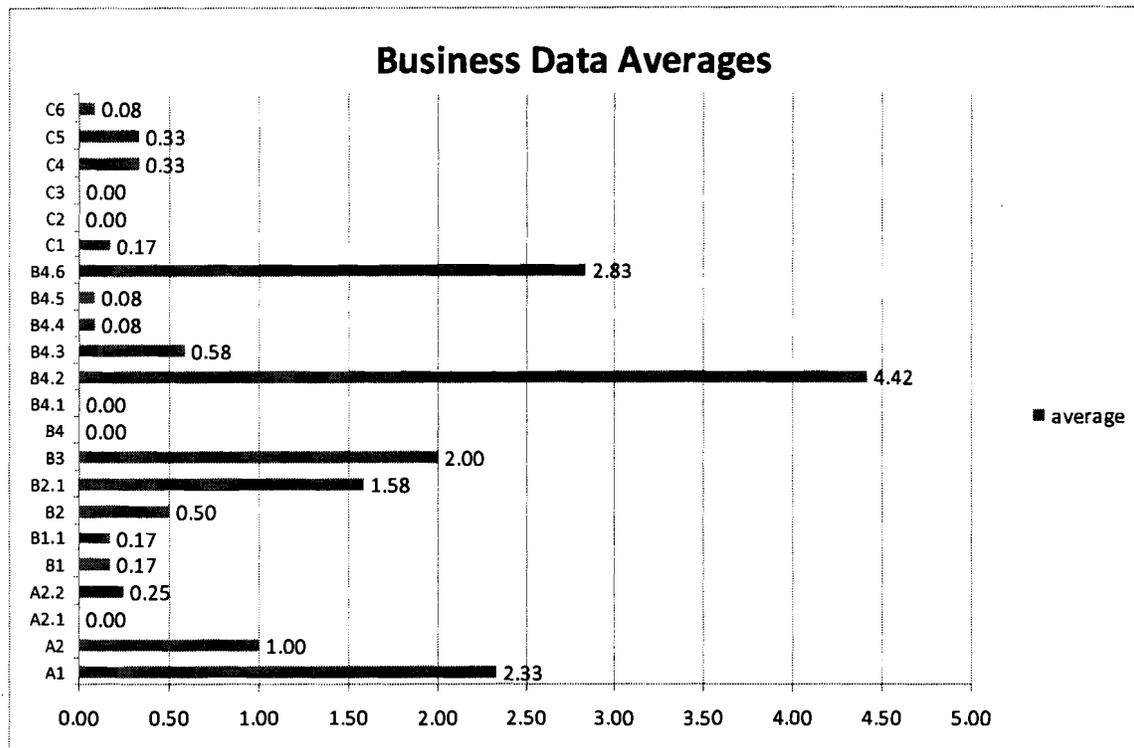
Business Data

Trainee Characteristics: Category A. The Business Group also focused on the phrase A1-Ethical Theories with a count of 28 with an average of 2.33 occurrences per article. The other notable phrase in the business data pool which again corresponds with the Education Group was A2-Cognitive/Moral Development with an occurrence of 12 with an average of 1 per article.

Training Design and Implementation: Category B. There were four notable phrases for the business data group within this theme. The first phrase is B2.1-Code of Conduct/Ethics with a count of 19 and an average of 1.58 occurrences per article. The next phrase noted is B3-Regulations / Law/ Federal Guidelines with a count of 24 and an average of 2 occurrences per article. B4.2 Moral / Ethical Discussion follows with a

count of 53 and an average of 4.42. The last phrase from this theme is B4.6-Ethical Case Study/ Ethical Dilemma Study with a count of 34 and an average of 2.83.

Skills Transfer, Pre-training and Post-training Issues: Category C. The business group of data yielded even lower frequencies than the education group and less emphasis for the third theme. The results only yielded 4 counts for both C4-Behavior Modeling and C4-Support/Reinforcement. C1-Communicate Importance and C5-Program Evaluation did at least occur.

What the two groups of data—education and business—reveal is more similarity than difference. Theoretical knowledge and training design—themes A and B—appear to operate on the level of declarative knowledge to the exclusion of procedural knowledge—theme C. The issue of program evaluation, however, is complex and too important to be neglected.

Qualitative Analysis

There were two reoccurring themes in the two data pools. The first reoccurring theme was Social Responsibility. In context, this phrase referred to the quality demonstrated by businesses that play an exemplary role as good corporate citizens. Developing an ethical culture is an expensive commitment, just as environmental impact statements are. The socially responsible attitude for business is to announce that these commitments are well worth the investment. This phrase, then, was uncovered 18 times in the educational data pool, and 17 times in the business data pool. The second reoccurring theme was Creating an Ethical Culture, or Building a Culture of Ethics. In context, these phrases indicated the scope of ethical change which is actually a transformation of the work environment. This theme was uncovered 9 times in the

educational data pool, and 15 times in the business data pool. Both of these have an

occurrence rate that reveals companies and educational institutions place high importance

on both of these concepts.

Conclusion

When working with the data through the frequency count analysis method the

researcher developed the following decision table.

Table 1: Data Analysis Decision Table

Frequency Percent of Article Appearance	Rate per Article	Group Comparison	Importance
25 % +	Yes	2+ in 50%	Yes → Both Groups → High; One group → Medium/High; No → Medium/Low
0 – 25%	NO		Low

This Frequency Count Decision Table yielded a grouping of phrases for

importance. The phrases with the highest importance rating showed up in 25% of the

articles in each group, this was done to group the lowest 25% in to the low importance

group. Then the phrases were required to have been referenced at least twice in each

article for more than half of the articles. This was done to verify that the phrase was not

just a random occurrence that the phrase did have some importance. If they did not meet

this criteria then the phrase was grouped in to the medium-low importance group. If the

phrases met both these criteria for either group, they were then grouped into the medium

–high importance level. The high importance group was then the phrases that had passed

the criteria for both data pools, with the exception of Moral / Ethical discussion. The

business group had a very high occurrence of this phrase, indicating that this was of the highest importance, whereas the educational group did not have as high of importance placed upon it.

The phrases were grouped according to importance as follows:

High Importance:
      A 1 Ethical Theory / Concepts / Principles
      B 4.6 Ethical Case Study/ Ethical Dilemma Study
      B 4.2 Moral / Ethical Discussion
Medium-High:
      A 2 Cognitive / Moral Development
      B 2.1 Code of Conduct / Ethics
      B 3 Regulations / Law/ Federal Guidelines
Medium-Low:
      B 2 Corporate Governance
      B 4.3 Personal Development / Personal Reflection
      C 1 Communicate Importance
      C 3 Program Duration
Low Importance:
      A 2.1 Moral Assessment
      A 2.2 Personality Traits
      B 1 Needs Assessment
      B 1.1 Climate Survey / Attitude Survey / Ethical Analysis
      B 4.1 Learning Style
      B 4.4 Ethical / Social leadership
      B 4.5 Mentoring
      C 2 Job Similarity
      C 4 Behavior Modeling
      C 5 Support / Reinforcement
      C 6 Program Evaluation

Comparing the averages to the decision table renders the same pattern. The three highest averages in order are: B4.6-Ethical Case Study/Ethical Dilemma Study, B4.2-Cognitive/Moral Development, and A1-Ethical Theory/Concepts/Principles. This helps to confirm that the frequency count did show which phrases are more important to ethics training programs in business and education. Almost the entire theme C, reflecting pre-training and post-training assessment and skills transfer is under-represented in both groups of data.

Chapter V: Discussion

Through the literature review the researcher identified three major themes under which the key components to ethical training can be categorized. Based on the findings of this study, which used a list of phrases—a lexicon—to first confirm these themes and categories and then to quantify their importance. The words and phrases were the variables in content analysis of groups of texts. Through this method, the researcher analyzed two groups of communications on ethical training, an education group and a business group. The phrases were the basis for the analysis of communications dealing with how educational and business institutions train for ethics.

The textual analysis depends primarily on frequencies, counting the occurrences of the key phrases in the communications. The data were then analyzed by the frequency of the phrases either appearing or not appearing in the articles, and the rate at which they appear in each article, and then to group the phrases into groups according to levels of importance.

Limitations

One major limitation to this research project was the reliance on published information on ethical training programs which may be considered proprietary information, and the availability of published and distributed information from either educational institutions or businesses. Another major limitation is in the establishment of validity for the study—the lexicon and variability between researcher counts. The primary assumption of the research method of content analysis is that the words and phrases which appear most frequently across articles carry the most importance and can identify major concerns, and the rate of usage of phrases within individual articles

reflects the importance of these concerns. The research then relies on the correspondence between the categorization outline developed through the literature review and the importance of the analyzed words and phrases.

Conclusions

The first consideration is the two overriding themes uncovered by qualitative analysis: social responsibility and ethical cultural development. One explanation for repetition of the theme of social responsibility is that this is an important rational for change in the perception that business ethics is a contradiction in terms. Business must step up to the challenge that work culture should reflect the most important values in this society. The increasing diversity of the work force means that team collaboration requires mutual respect. Expectations that businesses will act as responsible citizens are on the rise. Furthermore, even with globalization, downsizing, contracting, and outsourcing; management asks for loyalty and dedication from employees. It is no accident that leadership models based on shared values and enhanced spirit answer a need for business to address values, meaning, and purpose in the workplace.

The topics of ethical training, cultural development, and executive/leadership styles are all interconnected. The repetition of the theme of development of ethical culture indicates that successful ethics training involves a sea change for the business world. The literature stresses that if ethics is made a strategic priority and skills acquired in training are modeled by management, supported by co-workers, and positively reinforced by policy; then the ethical climate improves and business culture changes. If effective ethics training and a change in culture are built into the strategic planning of the

business, then the business works to strengthen the ethics program and the ethics program benefits the business. This is the cycle of the development of ethical culture.

Through the literature review the researcher uncovered three major themes and many aspects of these themes to consider when developing an effective ethics training program: A) selection of trainees through characteristics, B) training design and implementation, and C) transfer of skills and evaluation. The data analysis revealed the presence of these themes, although at different levels of importance. This list of terms identified as the lexicon for content analysis could, in fact, be viewed as a list of key components and concerns when designing an ethics training program. The different emphasis on thematic importance may provide insight into the reasons ethics training programs are failing.

Theme-A covers definitions and theories of moral development and ethical systems; while theme-B contains elements of building an ethical business culture and creating a sense of corporate responsibility which are both identified by qualitative analysis as very important to ethical training. The process of assessing ethical skills and evaluating programs is largely detailed in theme-C, which is an area of ethical training where documentation seems to be lacking in emphasis.

Theme-C includes the evaluation of ethical training, including skills transfer and pre-training and post-training issues. When creating an ethical training program, an organization should lay the foundation for change in the ethical climate. First, the company must communicate the importance of ethical training and raise employee awareness of ethical problems. This will help employees understand the specific behavioral symptoms that led management to assess a need for ethics training. While

theme-A identifies ethical theory and theme-B may match theory to situation in ethical case studies, it is theme-C that calls for customizing ethical dilemmas to simulate the work situations their employees may face. These topics under theme-C provide practical guidance to help employees learn to behave more ethically in their specific workplaces.

This theme of the development of ethical skills and the progression of on-going ethics training from compliance-based to value-based over time has a direct impact on the organizational culture. The program duration under theme-C is a crucial consideration when designing a training program; time and resources must be allocated in order for an ethical climate to improve. No one-day or weekend workshop can affect that change. Employees need time to learn skills and apply what they learn to the workplace. Ethical behavior modeling, support, and reinforcement begin with good practices and flourish in an ethical culture. Effective educational methods—under theme-B—to teach employees how to act ethically are important, but without a supportive ethical culture, the transfer of skills will not take place and ethics training will fail.

The importance of ethical behavior is communicated through the organizational culture, and ethical behavior changes the culture by improving the ethical climate. Several tools are available to perform a needs analysis with specific components to asses the ethical climate and the attitudes of the employees. A company must assess where it stands and set ethical goals that determine how far it must go. Businesses must periodically reevaluate corporate rules and regulations—especially the code of conduct or code of ethics—to allow ethical practices to evolve. Direct input from the employees on a code of conduct, a mission statement, and list of core values fosters a sense of ownership.

Trainees can be strategically selected to optimize chance of a program's success. Too many ethics programs are the response to crises such as public scandals, legal actions, or threatened or imposed government sanctions. Ethics training should be presented as an opportunity to develop skills of leadership through values. Since leaders of the organization play a key roll in the ethics training initiative, programs should begin by selecting executives and management to attend trainings together with key employees. A mentoring plan can help transmit similar views to employees who work together employees to foster new ethical attitudes.

Before designing the program, trainers should assess the trainees' personality traits and learning styles. The curriculum design should match personality traits and learning styles to methods of instruction and materials. The literature overwhelmingly supports the use of case studies and moral dilemmas that are similar to those the employees could encounter. There is little guidance regarding the collection of ethical dilemmas that employees have faced in the past in his or her work. Although the literature sites this method, the examples were limited to hypothetical dilemmas demonstrating how different ethical theories will support different decisions.

HR departments must develop these instructional materials and design tools to asses the progress of the trainees throughout the process. Updated versions of Rest's DIT measure stages of CMD and ethical climate surveys, especially the Ethical Climate Questionnaire (ECQ) assess the effect of training. HR can determine which tools to use in the evaluation process. Ethical programs and climates need to be evaluated in order to improve. Results should be monitored and verified to determine what is or is not working for the training program.

Recommendations

Ethical training alone cannot solve the problems that require intervention; the solution must be an integral part of a strategic plan for cultural development. In *Leadership and Spirit*, Russ S. Moxley maintains that when values at work coincide with personal values, workers can transform an organization. For this reason, it is important for management to receive input from employees to define core values, to create a mission statement, and to set shared goals. At the same time, leadership by values takes place from the top down. Management and human resources (HR) must work together to process input and track ethical problems, to train leadership based on positive not cynical views of human potential, and to develop a program of ethics training.

Plan for a two-tier ethics program: lower level program for new employees with compliance-oriented goals, and a selective program viewed as leadership sharing with higher level value-oriented goals. HR must be kept informed of research on the assessment of individual characteristics that correlate to ethical behavior. Further research should clarify which personality traits programs should use to select candidates for ethical training.

Management and HR should be kept current on the methods of needs assessment and improvement of ethical climate. When faced with an ethical conflict in the workplace, employees depend on the ethical climate of the company to direct him or her through the relevant issues, to help him or her make tough decisions, and to support his or her ethical conduct. Research should help develop the surveys that measure improvement in ethical climate.

Neither group—I- Education nor II- Business —contained extensive information on the more practical aspects of program implementation and evaluation coved under theme-C. Research could verify that the three theme outline adapted from Wells and Schminke (2001) does indeed provide a framework for an effective ethical training program. In the final analysis, effectiveness can only be confirmed by accurate measures of effectiveness.

The literature reveals the wide use of the theory of Cognitive Moral Development (CMD) to assess a change in ethical thinking. The Defining Issues Test (DIT) should detect an increased CMD. Research can establish which trainee characteristics correspond to an increase in CMD. The traits of self-efficacy and assertiveness have been correlated to an increase in CMD; other researchers also suggest the characteristic of integrity.

Finally, this research is the result of efforts from the business field of HR, the psychology field of morals acquisition, and education theories of adult learning. Research efforts should aim for outreach and collaboration among researchers from these three professions to investigate and determine the elements of an effective morals education program.

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Appendix A: Textual Analysis Phrase Educational Data Counts

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	Total	Average
A1	10	0	0	11	4	14	6	3	3	0	2	3	1	4	61	4.36
A2	0	4	2	1	0	0	3	1	1	0	0	7	0	7	26	1.86
A2.1	0	0	0	0	0	13	0	0	1	0	0	0	0	2	16	1.14
A2.2	0	0	0	0	0	0	0	0	0	0	0	0	0	4	4	0.29
B1	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0.07
B1.1	1	0	0	0	0	0	0	0	0	0	0	2	0	1	4	0.29
B2	2	0	1	0	0	0	0	0	0	0	1	4	0	6	14	1.00
B2.1	0	1	1	0	0	5	2	0	3	10	0	1	0	12	35	2.50
B3	3	0	0	0	0	0	0	0	0	3	7	1	6	3	23	1.64
B4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
B4.1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	0.07
B4.2	0	0	0	1	1	0	0	2	6	0	3	1	2	0	16	1.14
B4.3	0	2	0	1	0	0	0	0	1	0	0	5	0	3	12	0.86
B4.4	0	0	2	0	0	0	0	0	0	0	0	4	0	3	9	0.64
B4.5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
B4.6	1	4	9	1	3	11	9	7	4	11	1	10	2	3	76	5.43
C1	1	0	1	0	0	1	0	0	0	0	1	0	0	0	4	0.29
C2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
C3	0	0	1	0	3	0	0	0	1	1	0	0	0	0	6	0.43
C4	0	0	0	0	0	0	0	0	0	0	1	1	0	0	2	0.14
C5	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0.07
C6	0	0	0	0	2	0	0	0	0	0	0	2	0	0	4	0.29

Appendix B: Textual Analysis Phrase Counts Business Data Counts

	1	2	3	4	5	6	7	8	9	10	11	12	Total	Average
A1	0	2	3	3	7	1	2	1	0	9	0	0	28	2.33
A2	0	0	0	5	0	3	2	0	0	2	0	0	12	1.00
A2.1	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
A2.2	0	0	0	1	0	2	0	0	0	0	0	0	3	0.25
B1	0	0	0	1	0	0	0	0	0	1	0	0	2	0.17
B1.1	0	0	0	0	0	0	0	1	1	0	0	0	2	0.17
B2	1	0	0	2	0	0	0	0	0	3	0	0	6	0.50
B2.1	1	0	0	6	1	0	0	6	2	1	2	0	19	1.58
B3	1	0	0	1	15	0	0	0	2	5	0	0	24	2.00
B4	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
B4.1	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
B4.2	1	16	5	12	1	0	1	6	1	4	0	6	53	4.42
B4.3	0	3	0	3	0	0	1	0	0	0	0	0	7	0.58
B4.4	1	0	0	0	0	0	0	0	0	0	0	0	1	0.08
B4.5	0	0	0	0	0	1	0	0	0	0	0	0	1	0.08
B4.6	3	4	5	3	0	3	2	3	6	3	1	1	34	2.83
C1	0	0	0	1	0	0	1	0	0	0	0	0	2	0.17
C2	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
C3	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
C4	0	0	0	1	0	1	0	2	0	0	0	0	4	0.33
C5	0	0	0	1	0	0	0	3	0	0	0	0	4	0.33
C6	0	0	0	1	0	0	0	0	0	0	0	0	1	0.08