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THE STUDY OF LAWRENCE KOHLBERG'S STAGES OF MORAL  
DEVELOPMENT THEORY AND ETHICS: CONSIDERATIONS IN PUBLIC  
ADMINISTRATION PRACTICES

By  
Sandra E. Ford Mobley

A DISSERTATION

Submitted to  
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NOVA Southeastern University

in partial fulfillment the requirements  
for the degree of

DOCTOR OF PUBLIC ADMINISTRATION

2002

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ADMINISTRATION PRACTICES


By  
Sandra E. Ford Mobley

We hereby certify that this Dissertation submitted by  
Sandra E. Ford Mobley conforms to acceptable standards, and  
as such is fully adequate in scope and quality. It is  
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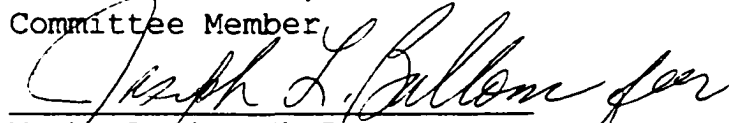
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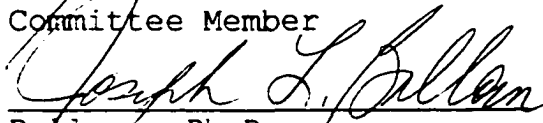
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Sandra E. Ford Mobley



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Love and happiness to you all.

DEDICATION

This dissertation is dedicated to the memory of my  
mother, Florence Glenn Breedlove Ford.

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## ABSTRACT

### THE STUDY OF LAWRENCE KOHLBERG'S STAGES OF MORAL DEVELOPMENT THEORY AND ETHICS: CONSIDERATIONS IN PUBLIC ADMINISTRATION PRACTICES

By  
Sandra F. Mobley

This study uses Kohlberg's cognitive moral development theory (CMD) to test Virginia Commerce and Trade managers' ethical decision-making in the Piedmont, Tidewater, Mountain, and Northern, Virginia regions. This study also employs James Rest's Defining Issues Test (DIT) survey instrument to determine the relationship between Virginia Commerce and Trade managers' age, gender, education, and ethics training and their level of moral development. The results of this research will have significant implications for both the study and practice of public administration ethics. Public managers will realize the ramifications of maintaining an ethical environment as well as the role that education plays in the ethical maturity of its employees.

CHAPTER I  
INTRODUCTION

Overview

The public sector workplace currently is undergoing constant and rapid change. Organizational restructuring and "downsizing" limit opportunities for employees to advance their careers. According to research, inexperienced recruits in their early twenties have minimal attraction to monetary prestige. Furthermore, this generation is the most challenging to manage because young people are much more difficult to motivate than their elders, who are principally motivated by money.

Members from diverse cultural and ethnic backgrounds compose a growing percentage of the Virginia workforce. The African-American, Asian-American, and other minority employees possess a wide range of work skills, traditions, and attitudes toward work that can affect their behaviors on the job. These forces, however, also cause a decline in employment for jobs that once offered "solid" careers.

Virginia government agencies are consolidating and streamlining operations as a result of technological change. Technological change inhibits former production employees as well as less-skilled employees to qualify for



jobs in upgraded employment positions unless they receive skill-specific training. Furthermore, these employees are very concerned about their job security. Fair wages, job security, good working conditions, equitable treatment, and opportunities for advancement are reasonable expectations that can generate innumerable conflicts and pose daunting challenges for the public sector manager.

### Dilemmas

The two most frequent dilemmas confronting public sector managers are decisions that encompass both economic and ethical values. The "economic value" compels the manager toward successful financial performance; whereas, the ethical or "moral value" directs the manager to do the "right thing" for people, particularly the manager's own employees.

The moral value gains popularity when the workers perceive the organization as their "home." However, if managers commit to a strategy that makes an unexpected "twisting" change in their organizations' purposes, "architectural" arrangements, and most importantly, common tasks, many employees consequently will experience discomfort, lose their self-utility and self-value, and release their faith and sense of trust. When such workers feel betrayed by their managers and leaders, whom they had

once trusted to protect and to sustain them, they will then project this "betrayed" view upon those managers whose decisions forced the unwelcome changes. For example, employees are likely to fear for their jobs when the organization announces layoffs. Such anxiety often affects their productivity and weakens their organizational loyalty. Loyalty will return only when managers discover that, in addition to technological equipment, their employees are valuable resources, and when managers begin to treat them with proper fairness and respect. Managers, therefore, absolutely need to prepare themselves for such consequences, and then proactively position themselves to solve these perplexing ethical and practical dilemmas.

Contemporary public administration scholars have recently begun to study public sector and public administration ethics, particularly from a cognitive moral development framework. From the seminal research of Piaget (1997) and Kohlberg (1981, 1984) to the research of Rest and Narvaez (1994), studies have collectively revealed that cognitive moral development is among the most "valid" and "reliable" research in contemporary behavioral science in addition to theoretical and implied ethics.

### Justification of the Study

Research is necessary to investigate public sector managers' predetermined moral judgment levels, particularly the factors that contribute to changes in individual moral reasoning. This author feels that it is important to note initially that some States have virtually no ethics codes, others do not require formal ethics training, and some States that do have codes lack mechanisms to provide an assessment of its employees' ethical maturity levels.

Although scholars such as Cohen, Pant, & Sharp (1998) and Izzo (2000) have examined the effects of moral judgment on ethical decision-making, using data collected from several different demographic populations, no work utilizes Kohlberg's Cognitive Moral Development theory (CMD) to examine state government employees in the context of variables such as age, gender, education, and ethics training. For example, authors Ballantine, Kennedy, & Sauers (2001) examined the effects of moral judgment on ethical decision-making using data collected from Malaysian and New Zealand marketing students. The study's hypothesis proposed, "there would be a significant positive relationship between marketing students' of moral judgment and their ethical intentions toward various ethical decision-making scenarios" (Ballantine, Kennedy, & Sauers,

2001 p. 2). The authors' study results provided only partial support for a relationship between subjects' sound judgment and ethical intentions; evidence of a relationship between a subjects' level of moral judgment and his or her ethical intentions occurred in only three of six instances. Additionally, findings indicated the absence of a consistent empirical relationship between levels of moral judgment and ethical intentions. This suggests that a number of other factors may influence an individual's behavior, namely, the possibility that moral behavior would be predicted by several determinants, not solely by a person's stage of moral development. Knowledge of an individual's moral judgment by itself is not a sufficient predictor of that individual's ethical decision-making behavior. Furthermore, other factors such as age, gender, education, and ethics training need to be considered when evaluating the ethical decision-making process.

In previous studies, scholars such as Ballantine, Kennedy, & Sauers, (2001), Peck, (1999), & Tusi & Windsor, (2001), adopted the DIT because it is considered a more objective recognition instrument that is regarded as scientific, valid, and reliable. The DIT instrument is thus suitable for cross-cultural studies, rather than relying on more subjective interview instruments such as

the Moral Judgment Interview developed by Colby and Kohlberg, (Tusi & Windsor, 2001).

This study identifies relationships between Virginia Commerce and Trade managers' moral maturity levels and four key variables: age, gender, education, and ethical training. The dissertation addresses the need to identify ethical decision-making scores of certain participants, chosen from a cross-section of public sector managers from the Virginia State Secretary of Commerce & Trade, and the Piedmont, Tidewater, Mountain, and Northern, Virginia regions.

#### Problem Statement

Public administration managers face both economic and ethical dilemmas in the changing workplace. Additionally, there is no reliable research on state government employees' moral maturity levels and the factors that impact moral decision-making. The principal purpose of this study, therefore, is to examine the level of ethical maturity among the state government of Virginia's managers in commerce and trade.

This dissertation attempts to provide answers to several essential high-level public administration questions: What are managers' ethical maturity levels? What factors contribute to ethical maturity? Are the State

government managers handling ethical dilemmas positively? What factors contribute to ethical maturity? And finally, Can ethics training improve managers' moral judgment level and moral reasoning skills?

### Background of the Problems

According to Gortner (1991), public administration ethics at times have been thought of as inappropriate and unnecessary because State government institutions and bureaucracy structures presumably guarantee an "ethical" administration. Since the State government has a rigid system of control over personal behavior, according to Gortner (1991), perhaps the State feels that it is unnecessary to invest time and money studying public administration ethics and moral maturity issues. Yet, how public sector managers ethically think and how their relative moral maturity levels and reasoning are ascertained, according to Gortner, (1991), have become critical areas for research, primarily due to the many scandals involving presumably "accountable" and "ethical" government entities and employees.

### Influences

Gortner (1991) stated that if self-understanding starts with personal history, then it is safe to assume those managers' perceptions and values originate from the

influences of the family, religious beliefs, and education. Such influences initially determine how individuals perceive and handle ethical problems.

Researchers such as Duska & Whelan (1975), Garrod, 1993, Gortner (1991), Rich & Devitis (1985), & Shapp (1986) confirm traditional beliefs that emphasize family as the oldest and most important human institution. As the nucleus of family activities, the home provides the child with the earliest form of cognitive training. A child's behavior is reinforced every time the mother displays affection toward him or her, father plays with him or her, whenever he or she receives an answer to a question, or repeats simple prayers. The first experiences in the home mark the beginning of the child's perception of education and religion; therefore, if a child observes or practices such acts as love, honesty, and fair play at home, he or she probably would inherit those behaviors as an adult.

Today, most families find ways to solve their problems and to stay happy. However, some face special problems that are more difficult to solve, such as parents not earning enough money, siblings continually quarreling with each other, or a child rebelling and becoming hard to handle. Such unsolved family problems result in unhappiness or divorce, which may have some adverse effects

on a child's cognitive development and subsequently that person's adult social relationships. Thus, research should address the question of how the family's background and its influence on a manager's beliefs, perspectives, and habits affect his or her capability to solve ethical dilemmas in the workplace.

Moral development refers to growth of the individual's ability to distinguish right from wrong, to develop and adhere to a system of ethical values, and to learn to act morally, (Rich, 1985). Although the United States' political system separates the concepts of state and religion, popular research indicates that both home and religion are the primary factors in a person's moral development. For example, Rich & Devitis (1985) emphasize in their book that, according to Freud, (1961), throughout academic life, a child perceives teachers and other authority figures as having paternal roles. Rich & Devitis (1985) also stated that, according to Jung (1954), the teacher's influence as a role model is dependent on the force of his or her personality. For example, the teacher can wean the child from over-dependence on his or her parents. Gortner's (1991) research further reinforced that popular views assume that home and religion are the primary factors in moral development; however, Kohlberg's (1976)



studies found the most important factor is "the provision of role-taking opportunities," and while the home is important, one's peer groups, the school, and the society are equally impressionable upon the child.

Gortner (1991) maintains that education reinforces a child's self-concept and a teacher's impact on a child's perception can be enormous. Early in the child's academic experience, the child's self-perceptions of mental capacities and learning competencies formulate, and his or her self-images with peers help determine how they handle various types of social interaction, namely the pressures of social conformity. Gortner emphasizes that self-understanding must start with the individual's personal history. Based on this research, self-understanding is important to truly comprehend and to handle ethical situations.

### Assumptions

Kohlberg (1984) believed that the developing child was a philosopher, because his or her mind has its own structure, and therefore, constructs his or her own world. Kohlberg's (1981, 1984) moral developmental research presents two moral assumptions. The first assumption is the cognitive-developmental approach to morality. Moral development is stimulated by promoting thinking and

problem-solving. The second asserted that such constructions were qualitatively unique and proceeded through an invariant sequence of order.

Using Piaget's theories of cognitive and moral development as a basis of his cognitive moral development theory (CMD) studies, Kohlberg (1981, 1984), developed a model of moral development. Kohlberg's (1984) CMD yielded six structures or "stages" within three levels: pre-conventional, conventional, and post-conventional.

#### Levels and Stages

Level A. Pre-moral (pre-conventional) - an individual's behavior is motivated by anticipation of pleasure or pain.

Stage 1: Punishment and obedience orientation.

This stage is heteronymous, that is, what makes something wrong is defined by the authority rather than by cooperation among equals.

Stage 2: Naïve instrumental hedonism. This stage is pragmatic, that is, maximizing satisfaction of one's needs and desires while minimizing negative consequences to the self.

Level B. Morality of conventional role conformity (conventional) - the acceptance of rules and standards of one's group.

Stage 3: "Good-boy" morality. This stage is particularly concerned with maintaining interpersonal trust and social approval.

Stage 4: Authority-maintaining morality.

The individual moral judgments are made in reference to both legal and social institutions or moral and religious institutions and systems of belief.

Level C. Morality of self-accepted moral principles (post-conventional).

Stage 5: Morality of contract, of individual rights and democratically accepted law.

Stage 6: Morality of individual principles and conscience.

Kohlberg's CMD stages can be hierarchically ordered whereby each stage represents a differentiation and coordination of the previous one (Kohlberg, 1984). The individual progresses through each stage in hierarchical order, without excluding or regressing to earlier stages. Additionally, the individual passes through these stages sequentially, but one does not use reasoning associated

with more than two adjacent stages. As the individual develops from child to adult, he or she creates patterns of increasingly complex moral reasoning. It is important for government and public administrators to understand their managers' moral stage level, and particularly the factors that contribute to the highest level of moral maturity.

#### Rationale for the Study

The rationale for pursuing cognitive moral development research within the political system is based on the premise that a positive ethical environmental setting may be more efficacious once an understanding of the individual's ethical decision-making processes is perceived. Once the State agency identifies the manager's ethical decision-making process, it then may take the steps to minimize ethical problems and to promote responsible moral behavior.

#### Survey Instrument and Participants

This study applies the Defining Issues Test (DIT) survey instrument. Developed by James Rest (1986), The DIT is based on the premise that individuals at different stages of development interpret moral dilemmas differently, define the critical issues of the dilemmas differently, and have dissimilar intuitions about what is "right" and "fair" in a situation. The DIT is a multiple choice, group-

administered, and computer-scored measure (Rest, 1986). This survey instrument provides valuable information on the role of moral judgment in one's moral development. Moral judgment changes with time and formal education, and it changes in the direction predicted by the theory as a developmental progression (Rest, 1986). Finally, the DIT assesses what people perceive as crucial moral issues in a situation by presenting subjects with a number of moral dilemmas and a list of corresponding definitions regarding the major issues involved in the dilemmas.

#### Milieu of the Study

The study will record and analyze the State Commerce and Trade's managers' unethical business ethics and moral decision-making in the four state of Virginia regions: Mountain, Piedmont, Tidewater, and Northern Virginia. The cross-section within managers' populations should provide a variety of valid and reliable assessments.

#### Definitions

1. Cross-section-level-managers are from departments and fields within a State organization. Examples of organizations include Administrative Law, the Commissioner's Office, Field Offices, Field Operation, Information Technology, Human Resource Management Services,

Finance General Service, and Employment Information Services.

2. Ethics - derived from the Greek word "ethos," which means "way of living." Ethics is the study of how individual choices shape certain rules of conduct or moral standards.

3. Ethical decision-making - the process of identifying a problem, generating alternatives, and choosing the alternative that maximizes the result.

4. Moral development - the acquisition of the attitudes, dispositions, sentiments, and cognitive competencies involved in moral judgment and action processes.

5. Public Administrative Ethics - a process of independently critiquing alternatives, based on core social values within the context of the organization, which is subject to personal and professional accountability.

6. Virginia Commonwealth Regions - consist of four statewide regions: Piedmont, Tidewater, Mountain, and Northern Virginia.

7. Virginia Secretary of Commerce & Trade - an executive branch of the Virginia Commonwealth state government agency. The branch has a total of 205 agencies.

3. Virginia Standard of Ethics - provision of principles provided by the Virginia Board of Behavioral Science.

#### Overview of Dissertation

This five-chapter dissertation is an investigation of Virginia Commerce and Trade's managers' maturity levels based on Kohlberg's six stages of moral development. The second chapter reviews ethics literature and literature relating to Kohlberg's (1981, 1984) Cognitive Moral Development Theory (CMD). The third chapter outlines research hypotheses and methodology by discussing the survey instrument's statistical techniques. Accordingly, the fourth chapter presents the analysis results. Chapter five then analyzes and compares state managers' moral maturity level research results with those of previous CMD studies. Chapter five also draws implications from the research, makes appropriate conclusions and recommendations, and suggests topics for future research.

## CHAPTER II

### LITERATURE REVIEW

This chapter presents a literature review of Kohlberg's (1981,1984) Cognitive Moral Development Theory (CMD). The review includes public administration ethics and ethical decision-making, ethical culture in public administration, and historical research in moral development. A summary then will provide framework for Chapter III, Research Design and Methodology, which discusses this study's research hypotheses and the means for investigating them.

#### Public Administrative Ethics and Ethical Decision-making

Many ethics in public administration studies are embedded in the constitutional-legal perspective (Rohr, 1998). Rohr (1998) argued that the constitutional law is public law and is therefore a great moral resource for the public; that professional codes and statements of ethics often engender cynicism and derision because the statements frequently harbor self-serving sentiments that, when exposed, embarrass the professions and delight their critics. Rohr (1998) further stated that professional ethics has several faults: professionals



institutionalize the exceptions they seek, and the exceptions are subsequently hailed as ethical principles of the profession. For example, Rohr (1998) stated that psychologists do not blush about statements in their ethical standards that permit the use of deception in research if the knowledge cannot be generated by any other means. Rohr (1998) further details his argument by exemplifying a spy who cunningly lies to the enemy and stands quite ready to do it again. Additionally, Rohr (1998) stated that such behavior is based on a principled demand for exceptions from the rules by which one is supposed to live.

Frederickson (1993) stated that public administrators practice a form of ethics that generally accepts the purposes and policies of the government agency, and therefore sustains ethical behavior within those restrictions. On the other hand, public administrators collectively practice "bounded ethics." When practicing this concept, the administrator functions within the limits of enabling legislation, usually advocating or at least supporting the purposes of the agency. Also, according to Frederickson (1993), the public administrator is almost always honest, virtuous, procedurally fair, and efficient.

Frederickson (1993) state that workers are concerned with principles of fairness, equity, and justice, and are therefore likely to view government as less legitimate when these principles conflict, especially when the organizations faces a "scandal."

Gortner (1991) cited that ethics in government is quickly becoming a popular field of managerial ethics research due to a swift increase of scholarly interest. Gortner (1991) argues that not enough has been done to apply public administration ethics theory to the daily lives of managers operating in the middle ranges of the public bureaucracy.

Many researchers have contributed varying definitions, concepts, and arguments of the term, "ethics." Some philosophers used the terms "morals" and "ethics" synonymously, while others definitively distinguish between the two. MacKinnon's (1998) contemporary research used "morals and "ethics" interchangeably. She stated that ethics is a branch of philosophy, also known as moral philosophy. This branch asks basic questions about the "good" life, what is "better" versus "worse," about whether there is any objective "right" and "wrong," and one's perceptions between the two. Bowie & Freeman (1992), however,

maintain that ethics is the principal study of moral responsibility and accountability. Administrators who consciously seek to promote the congruence of their actions with the preferences of the community, people, or groups who they serve are said to be sensitive, responsive, and accountable. McKinney & Howard, (1998), and Dobin (1993) distinguished between morals and ethics by stating that morals focus upon rules for behavior, whereas ethics is concerned with "right" conduct as it relates human actions to the attainment of that which is deemed "good." "Moral" may be defined within a particular culture, whereas "ethics" is understood from a self-reflective, objective, and universal perspective.

Moral behavior in public administration is both a complicated and chaotic matter (Waldo, 1980). Waldo stated that moral signifies "right" behavior in an immediate and customary sense.

Guy (1990) stated that ethics and morals are synonymous. "Ethics" is derived from the Greek meaning "way of living;" "moral" is derived from Latin meaning "custom or manners." Guy (1990) defined ethics as both a process of inquiry and as a code of conduct. He stated that ethical inquiry consists of stakeholders asking the questions of what is "good" versus what is

"evil," what is "right" versus what is "wrong." In other words, the purpose of ethical inquiry is to create a general principles framework of right and wrong, what one ought to do, and what one's moral duties are. As a code of conduct, ethical inquiry is the "inner-eye" that enables the individual to see the righteousness or wrongdoing of his or her actions. An ethical code is an aspirational statement as well as a code of commitment to an organization's "stakeholders" or constituent groups.

Extended research defines "administrative ethics" as a process of independently critiquing alternatives, based on core contextual organizational social values, and is subject to personal and professional accountability. Guy (1990) states that there are three fundamental ethics questions that require unequivocal affirmative responses: (1) Should anyone do what is right when doing so is not to that person's advantage? (2) Does anyone do what is right when doing so is not to that person's advantage? (3) Can anyone know what is right? An affirmative response to each question, says Guy (1990), commits the individual to ethical inquiry and ethical decision-making.

The ability for managers to make sound, timely decisions is an "art," (Hall, 1993). Hall clarified five important decision sequences: identifying a problem where action is required; obtaining and evaluating pertinent information from diverse, sometimes conflicting sources; weighing alternatives and assessing priorities; reacting to late-breaking developments; and finally, making the decision.

In contrast to Hall, Drucker (1967) stated that a decision is an imperfect judgment. He argues that a decision is a choice between alternatives, but is rarely a choice between "right" and "wrong." A decision is at best a choice between "almost right" and "probably wrong," but much more often a choice between two courses of action, neither of which is probably more absolutely "right" than the other.

Drucker (1967) further stated that most decision-making publications encourage the reader to "first find the facts." However, Drucker (1967) maintained that individuals who make effective decisions start with opinions instead of facts.

According to Drucker (1967), when one has all of the facts, one's information is clear, one's choice is "right" or "wrong"; and, the ethical decision is "easy."

However, situations can be "clouded" by conflicting responsibilities, incomplete information, and multiple points of view. Serious ethical problems arise when, for example, a brokerage firm pays generous bonuses to top managers just before declaring bankruptcy, when a government contractor hides true costs from its customers, and when stockbroker benefits from inside trade information. Less newsworthy and more common issues include a boss who lies at a worker's expense, a co-worker who "pads" his or her expense account, or a supervisor who uses the company's phone for personal calls. The way one handles these everyday ethical problems collectively shapes the overall ethics of his or her organization and handling them ethically may help one avoid the omnipresent "front-page" scandalous news headlines, especially scandals concerning the public sector.

Decision-making is a key managerial activity requiring conceptual skill and reflective maturity. It is the process of identifying a "decision" type situation, analyzing the problem, considering the alternatives, arriving at a decision, taking action, and finally, assessing the results.

Ethical decision-making is the process of identifying a moral problem, generating alternatives, and choosing among them so that the selected alternatives maximize the most important ethical values while achieving the intended goal (Guy 1990). Not all values can be maximized simultaneously, however. Decision-makers must compromise value in order to maximize others' decisions. This compromise, based on Guy's interpretation, is known as ethical satisficing--pursuing a decision path will produce satisfaction at some specified level of ethical need. To evaluate the best response, one must take into account not just immediate individual profitability, but the organization's reputation, its long-term survival, the happiness and well-being of those affected, particularly the "public interest" in the public sector context, and the integrity of the pursuit itself.

The decision-maker, according to Janis & Mann (1977), satisfices, rather than maximizes. In other words, he or she looks for a course of action that is "good enough" -- one that meets a minimal set of requirements. For example, an executive looking for a new job is likely to settle for the first one that meets his or her "minimal" requirements such as satisfactory

pay, good chance for advancement, adequate working conditions, and acceptable commuting distance from the home. The "satisficing" strategy emphasizes a "superficial" search for information while it de-emphasizes less cognitive work than the maximizing approach (Janis & Mann, 1977). Under these circumstances, the person will sequentially consider the alternative courses of action, until he or she finds one that "will do."

Janis & Mann (1977) argue that the "satisficing" approach satisfies the human being's limited information-processing capabilities. Because an individual has limited ability to foresee future consequences and to obtain information about the variety of available alternatives he or she is then inclined to settle for a barely "acceptable" course of action that is "better than the way things are now." By using this approach, the individual is inclined to collect information about all the complicated factors that might affect the outcome of the choice, to estimate probabilities, or to solve preference orderings for many different alternatives. Janis & Mann (1977) also state that one is content to rely on a drastically simplified



model of the "buzzing," "blooming" confusion that constitutes the real world.

Public officials inadvertently introduced the issue of ethical decision-making in the 1980's at the highest levels of federal government via scandals. The arms-for-hostages deal between the United States and Iran, scandals with the United States Department of Housing and Urban Development, procurement deals between privately-owned nuclear arms manufacturers and the Pentagon, Wall Street insider stock market trading, the forced resignation of Democrat House Speaker Jim Wright, and a plethora of leveraged corporate buyouts, resulted in a renewed emphasis on the need for ethical studies (Guy, 1990).

#### Ethical Culture in Public Administration

Public administration provides a decision-making vehicle with decisions that affect people's lives, are made in the name of the public, and use public resources for positions of trust (Gortner, 1991). Public administration, therefore, operates in a heightened ethical environment.

Guy (1990) summarized, "Actions speak louder than words." Leaders across organizations must understand that in order to behave ethically and promote ethics,

they must go beyond the mere "letter of the law" as stated in the organization's codes of ethics.

Observing a rule does not necessarily make one's behavior ethical. A failure to affirm basic ethical norms conveys a message that values are of little concern or importance in organization (Guy, 1990).

Guy (1990) stated that values are shared by most of the organization's members, and therefore, collectively shape the organizational culture's foundation.

Furthermore, when individuals use managers' values to promote an organization, they are indirectly laying the foundation for an ethical culture. Just as values serve as a guide to an individual's intentions and actions, an organization's values steer organizational goals, policies, and long-term business strategies. The organization's most effective operational values are those that guide members' decisions on day-to-day matters. To be functional, these values concern the mode of members' conduct, and place a focus on goals, function, and operational procedures. Such values deal with issues of product, service quality, and customer satisfaction (Guy, 1990).

Those new members who, on the other hand, violate the acceptable cultural norms are sanctioned by other

employees in such a way that it sends a punishing message to everyone else about which behaviors the culture will not tolerate (Guy, 1990).

Ethical administration practices stem from an ethical organizational culture. Accordingly, the managers' challenge is to create and nourish the culture so that ethical issue consideration routinely is accomplished before any managerial decisions are made.

Leadership is the organizational culture's most important element. The "top" individuals' leadership style seeps downward into any organization, and therefore, plays a major role in deciding how the employees at the lower levels think and act in their daily functions, especially in times of crisis. Because ethical public section managers can expect ethical dilemmas to create a crisis for at least some employees, if not for the total organization, leaders' anticipated reactions are likely to influence organizational ethical decision.

#### Historical Research in Ethics and Moral Development

Because morals are sets of rules that individuals use to decide between right and wrong, most moral philosophers' objective was to identify how scholars

justify rules and to state the consequences of the moral beliefs.

Plato (c. 429-347 BC), a Greek philosopher, argued that moral decision-making involves a rational intuition of moral principles. By applying this rational intuition, one perceives moral principles, such as the notion of justice, the same way one rationally perceives basic mathematical truths, such as  $2 + 2 = 4$ .

Aristotle (384-322 BC), also a Greek philosopher, stated that people use reason to determine the best way to achieve the highest moral good. All people strive for happiness, and moral reasoning involves determining the best means for achieving that good end. For example, if a manager's happiness is attained by being courageous, then reason will tell that person what actions he needs to perform in order to be courageous--without being either too cowardly or too rash. Aristotle referred to this as practical "mean" reasoning because reason and balance both serve to guide one's actions or practices.

Aquinas (1225-1274), a medieval Roman philosopher, suggested that one possesses "synderesis," an innate rational faculty that provides individuals with their highest moral obligations. Aquinas also argued that

reason plays a role in deducing secondary moral principles from primary ones, analogous to the methods which geometry theorems are deduced from fundamental logical principles. For example, given the primary principle, "we ought to treat people benevolently," one can deduce the secondary principle, "we should help feed starving people," because feeding the starving is an act of benevolence. Moreover, if one then recognizes that Jones is starving, one can rationally deduce further that it is one's obligation to help feed Jones.

English philosopher David Hume (1711-1776) challenged the longstanding claim that morality involves a rational judgment. Hume argued that reason plays a limited role in moral decisions, and moral approval is merely a feeling in the mind of the person who makes a moral judgment. Hume maintained that reason involves only judgments about reality either of facts individuals perceive through five senses or abstract relations in mathematics and logic. When one closely examines the contents of any morally significant action such as murder, one will never locate a special moral fact or relation about which one can make a judgment. Instead, says Hume, one limits himself to his feelings.

Hume further stated that it is impossible to rationally deduce statements of obligation from statements of fact: "ought cannot be derived from is." For example, all rationalist morality discussions begin with statements of fact, such as "Jones is starving," and then conclude with a statement of obligation, such as "therefore, we should help feed Jones."

British philosopher Jeremy Bentham (1748-1832), one of the founders of Utilitarianism, argued that an individual's rationally calculates the consequences of his actions. Depending on whether the consequences are good or bad, these rational calculations will tell the individual whether the action is "right" or "wrong." Bentham's moral philosophy reflects what he called the "principle of utility" or the "greatest happiness principle": What is morally obligatory is the behavior that produces the greatest amount happiness for the greatest number of people, while the presence of pleasure and the absence of pain determines happiness.

English philosopher John Stuart Mill (1806-1873) was one of Bentham's fellow Utilitarianism advocates. As most clearly stated by Mill, Utilitarianism's basic principle asserts that actions are right to the degree that they tend to promote the greatest good for the

greatest number of people. To Bentham, on the other hand, Utilitarianism was simply the tendency to augment or diminish happiness or pleasure, while measures are strictly quantitative. For Mill, not all pleasures were of equal worth. He defined the "good" in terms of well-being, and distinguished both quantitatively and qualitatively between various forms of pleasure. According to Mill, the principle defines the moral right in terms of an objective, material good. The Utility Principle is an attempt to bridge the gap between empirical facts and a normative conclusion.

Utilitarianism is a branch of ethics theory development and continues to show steady development progression. Utilitarianism defines morality in terms of the maximization of net expectable utility for all parties affected by a decision or an action. The theory is most often associated with the British philosopher John Stuart Mill (1806-1873) who developed the theory from a plain hedonistic version proposed by his mentor, Jeremy Bentham (1748-1832).

German philosopher Immanuel Kant (1724-1804) fathered Deontology, a duty-based theory that emphasized the importance of doing the "right thing," regardless of the consequences (Scott, 1998). According to

Deontologists, individuals are valuable in themselves, and not because of their social value. Kant's Deontological theory argued that true moral actions are freely motivated only by reason, and emotions and desires should not influence morality.

Kant holds that the moral obligation of the act itself carries moral weight, rather than the act's consequences. Where Utilitarianisms argue that all humans seek happiness, Deontologists emphasize that humans are creatures who display goal-oriented behavior and use their rationality to formulate their goals and to figure out what kind of life to live. Kant popularized, "never treat another human being merely as a means but always as an end (Freud, 1978)."

Utilitarianism criticized Kant's Deontological thought because it tolerated sacrificing some people for the sake of others. Because the Utilitarian emphasis is placed on maximizing overall happiness, there are no absolute prohibitions on how one treats others. In contrast, Deontological theories assert that there are some actions that are always wrong, no matter what their consequences are. Although humans may rationalize situations in which intentionally killing one person may



save the lives of many others, Deontologists insist that intentional killing is always wrong.

### Cognitive Development Theory

Piaget's own work and subsequent studies on his seminal research will be considered in this section.

Piaget's (1979) cognitive development theory describes an individual's stages of cognitive development from infancy through adolescence. The theory takes under consideration how psychological structures: (1) develop out of inborn reflexes, (2) are organized during infancy into behavioral schemes, (3) become internalized during the second year of life as thought patterns, and (4) develop through childhood and adolescence into the complex intellectual structures that characterize adult life.

Piaget's theory is based on the theory of interaction--no structure development can take place unless the organism has constant interaction with its environment.

Piaget divides cognitive development into four major periods: sensor motor (birth to two years), preoperational (two to seven years), concrete operations (seven to eleven years), and formal operations (eleven and older).

To identify the child's reasoning process, Piaget (1979) selected the clinical method developed by Sigmund Freud and other clinical psychologists' methods. Piaget adapted the clinical method to pose specific problems to children and allow them the freedom to solve the problems as best they could.

An extensive body of cognitive moral development research has provided evidence that an individual's moral reasoning has legitimate cognitive structure. Piaget (1977) concluded that children begin in a "heteronomous" stage of moral reasoning, characterized by a strict adherence to rules and duties, and obedience to authority.

The seminal work of Piaget (1977) established that children experience stages of cognitive knowledge as they grow. This particular analysis formed one of the basis for the work of Lawrence Kohlberg (1984) in examining the stages of development in moral reasoning. By elaborating on Piaget's (1977) Cognitive Developmental Theory, Kohlberg (1984) provided the foundation for the contemporary cognitive moral development debate.

### Kohlberg's Cognitive Moral Development Theory

Kohlberg defined moral reasoning as judgments about right and wrong. His studies of moral reasoning are based on the use of moral dilemmas, or hypothetical situations, in which people must make a difficult decision. He argued that the position an individual holds is more important than the actual choice he makes, since the choices one makes in a dilemma are not always clear and indisputably right.

Based on his research, Kohlberg determined that moral reasoning development correlated with one's age, and noted that the highest level of moral reasoning was not reached by all of his subjects.

### Rest's Defining Issues Test

Rest (1979, 1986) developed the Defining Issues Test (DIT) as a practical alternative to the moral judgment interviewing and scoring procedures. The DIT has been widely and successfully used as a substitute for the clinical moral judgment method, and it is known to correlate moderately well with Kohlberg's CMD theory. The DIT, (Sapp, 1986), assesses what people see as crucial moral issues in a situation by presenting subjects with both a moral dilemma and a list of dilemma

issue definitions. Thus the DIT objectively assesses moral judgment.

The DIT score is usually expressed in terms of a percentage that range from 0 to 95. The "P" score has shown the most consistent reliability and validity trends of any index based on the DIT. Additionally, the DIT is based on the premise that people at different points of development interpret moral dilemmas differently, define the critical issues of the dilemmas differently, and have dissimilar intuitions about what is "right" and "fair" in a situation, (Rest, 1986).

The DIT presents six dilemmas that are accompanied by a set of 12 items, totaling 72 test items. During a typical DIT scenario, the subject is first presented with a moral dilemma, and is then shown a list of issues or questions that he or she might consider while making a decision about what that situation's most appropriate outcome is. The subject must consider each issue, make a decision, and then indicate which issue influenced it.

The DIT items are comprised of a set of alternatives that present a forced-choice between different concepts of justice. For instance, if a subject consistently selects Stage 4's "law and order" items across the six dilemmas, then one may infer that

that particular concept of justice is preeminent in the person's thinking (Rest, 1986).

Gortner's (1991) basic assumption of his ethics and public managers study argues that public servants' ethical questions have a special importance based on the unique place of public administration within society. His first objective was to describe the unique and critical nature of the public sector and the special challenges public administrators face as they manage in the public interest. The study also focuses on a set of questions that clarify these managers' responses: How do mid-level civil servants and public managers recognize, analyze, and resolve ethical problems in their everyday work? What is unique about the environment that affects their ability to perform this task when ethical problems appear? Are recurring themes apparent as public administrators deal with ethical dilemmas? Are there universal questions that need to be asked in almost every situation, given the nature of the world in which public administrators work? In examining these questions, a series of interviews was completed by Gortner with active and retired federal merit system employees.

### Core Literature

Gilligan (1982, 1988), a critic of Kohlberg, suggested that Kohlberg's cognitive moral development is biased against women because it describes the justice and rights orientation favored by males, while it neglects the care and responsibility direction favored by females.

Critic Turiel (1991) argues that social knowledge can be delineated into separate categories or domains. The moral domain is concerned with prescriptive and universal moral rules. "Domain theory" hypothesizes an inconsistency in individual or individuals' judgments across context, and thus enables the likelihood of morally based decisions from younger and less developed people, in comparison with the traditional Kohlberg paradigm.

### Substantiating Literature

Tusi and Windsor (2001) applied Kohlberg's CMD theory and Hofstede's culture theory to examine whether cultural differences are associated with auditors' ethical reasoning. As stated earlier in this chapter, Kohlberg's CMD classified individuals on three levels of moral development according to a stage sequence model-- the pre-conventional, conventional, and post

conventional level. Hofstede's (1980 p. 25) culture theory, on the other hand, states that culture refers to "a collective programming of the mind which distinguishes one group from another" (Tsui & Windsor, 2001, p. 2). Hofstede (1980) defined culture in terms of five dimensions: individualism versus collectivism, masculinity versus femininity, long-term versus short-term orientation, large versus small power distance, and strong versus weak uncertainty-avoidance. Hofstede (1980) found that cultural differences exist across different national boundaries that could affect international auditors' decision-making. Tusi & Windsor (2001) then explored how multi-national auditors cultural differences impacted their ethical reasoning abilities. Ethical reasoning scores would differ among auditors' from Mainland China, Hong Kong, and Australia.

Tusi & Windsor (2001) used the DIT to measure the ethical reasoning levels based on Kohlberg's CMD. The researchers analyzed completed responses and used t-tests to examine differences in the "P" scores between the Australian and Chinese samples, including both Hong Kong and the Mainland Chinese auditors. Tusi & Windsor (2001) show that there is a relatively significant difference in the DIT scores between the two groups of

auditors in China and Australia. Hofstede's study additionally indicates that China and Australia differ on four cultural dimensions: long-term orientation, power distance, individualism, and uncertainty-avoidance. Tusi & Windsor's (2001) results confirmed that Australian auditors who are more individualistic and less secure, have more equal relationships, display more personal steadiness, and have higher ethical reasoning scores. Tusi & Windsor's (2001) comparative study's limitations included the nonrandom selection of participants whose experiences were restricted to first-tier auditing firms.

The second research team, Au and Wong (2000), aimed to develop a model using Kohlberg's CMD by describing Hong Kong auditors' ethical reasoning abilities. The research question attempts to answer the effect of ethical reasoning on the relationships between business communities and auditors' behavior in audit conflict situations. The study tested three hypotheses: (1) There is no significant relationship between an auditor's ethical judgment and one's moral cognitive development; (2) There is no significant relationship between an auditor's ethical judgment and the existence of personal connection; and (3) The impact of business communities



on an auditor's judgment is dependent on the level of ethical reasoning.

The study's subject population included professional accountants with three or more years of public practice. The sample size consisted of 70 Hong Kong public practice professional accountants. Researchers chose the adept sampling method to administer the survey. Data collection involved a DIT questionnaire survey based on Kohlberg's CMD. Researches then applied multiple regression analysis calculate the data results. Study results suggested all of the coefficients were significant at the 1% level, and the three tested hypotheses can be rejected at the 1% level. Because random sampling was not employed in the data collection process, generalizing the results to other subjects, as well as other environments, may not have been appropriate.

Loe and Weeks (2000) attempted to apply Kohlberg's CMD to determine if sales students' moral reasoning skills could improve as a result of moral training. The researchers asked their subjects one question: "Is the cognitive moral development of females and the cognitive moral development of males influenced differently by the same ethics training?" The study tested two hypotheses:

(H1) Ethics training using the sales context and based upon cognitive moral development principles leads to improved moral reasoning among sales students. (H2) Females reason at higher levels of moral development than males.

The sample included 113 junior and senior students enrolled in professional sales classes at a mid-size southwestern university in the United States. Data were collected using the DIT, and the researchers used the t-tests for the pre-test/post-test design. The findings supported the hypotheses by indicating that cognitive moral development training can influence individual moral reasoning through CMD training. Further evidence suggests that females' reason at higher levels of moral development than do males, though there appears to be no differential effect of ethics training on the moral reasoning skills between males and females. Limitations indicated that the ethics discussions often were biased by what respondents consider as "acceptable" responses or behavior. The DIT, however, attempts to offset this particular problem with the use of its score.

Izzo (2000) applied Kohlberg's CMD to field-test the effectiveness of compulsory ethical training on salespeople's moral development. The proposition states

if salespeople respond favorably to compulsory ethics education (specifically moral value learning), they should score higher on measures of cognitive moral development (represented by DIT scores), and also be able to demonstrate greater industry-specific ethical reasoning within the field of real estate sales. The study tested four hypotheses: (H1) There is a positive relationship between compulsory ethics education and the cognitive moral development of salespersons (DIT scores). (H2) There is a positive relationship between compulsory ethics education and the industry-specific ethical reasoning of salespersons (RES scores). (H3) A higher proportion of those salespeople who take compulsory ethics education will recognize (make a judgment) real estate issues of ethical concern than those who do not. (H4) A higher proportion of those real estate salespeople who take compulsory ethics education will express ethical intentions toward perceived ethical issues than those who do not.

The population survey consisted of sales agents and brokers of real estate firms, and was restricted to a 360-subject sample of residential real estate practitioners. Izzo applied two instruments, the DIT and Real Estate Survey (RES). The variables consisted

of gender, age, level of formal education, and years of profession experience. Study results revealed income level practitioners' were significantly related to RES scores. Furthermore, results indicated a null association between compulsory ethics education and increased cognitive moral development. However the study had several limitations: First, it did not include segments of the real estate field that were not included in the study. Some of the omitted groups represented independents that operate as general practitioners and others who operate commercial real estate and lease offices. Second, the potential bias that originated from the use of a quasi-experimental design has been objectively interpreted. Third, the use of paper and pencil instruments may have introduced some method variance. Fourth, the use of convenience samples introduced a certain amount of self-selection bias, particularly as those practitioners who regularly attended sales meetings may have had higher (or different) motivation levels from those who did not. Finally, the study sample was cross-sectional, limiting inferences to relationships between variables to a single point in time.

Cohen, Pant, and Sharp (1998) used Kohlberg's CMD to test for gender and discipline-based differences in ethical awareness and gender bias. The researchers were interested primarily in whether a gender bias in the ethical behavior evaluation exists among potential public accounting recruits. Researchers tested three hypotheses. (H1) Undergraduate discipline affects ethical intention and ethical awareness. (H2) Women respondents are more likely to evaluate questionable actions as less ethical and are more likely to state an intention to act more ethical than male respondents. (H3) Questionable actions performed by women are evaluated as less ethical than the same actions performed by men.

Cohen, Pant, and Sharp's sample population included accounting, various business majors, and liberal arts undergraduate students from four universities in the northeast United States. All 761 subjects participants used the Multidimensional Ethics Scale (MES). In contrast to the DIT, the MES provides direct measures of respondents' ethical orientation of five moral constructs drawn from the moral philosophy literature by Reidenbach and Robin, which include justice, deontology, relativism, utilitarianism and egoism. Results

indicated that the men and women had significantly different degrees of ethical awareness and ethical limitations.

### Conclusion

Kohlberg's Cognitive Moral Developmental theory is deeply rooted in Piaget's work and remains one of the most influential cognitive-structural perspectives on contemporary moral development.

Rest's DIT is a reliable instrument for testing and scoring morality, as it correlates moderately well with Kohlberg's CMD.

### Summary of Literature Review

The application of CMD and the major studies on cognitive moral development have helped researchers to understand the importance of ethical maturity levels. Therefore, it is imperative to examine the CMD level of the Commonwealth of Virginia's state employees' CMD levels by utilizing the validity and reliability of the DIT instrument. The application of the survey's results will enhance the state leaders' awareness of their employees' ethical maturity levels, and could lead to specialized ethical training efforts, which, in turn, will create a more effective, efficient, and moral state government.

Despite existing research, no CMD research exists at the Virginia State managers' level. Therefore, this study will perform research and produce specific results that will help improve State managers' behavior, as well as State agencies' organizational behavior.

The third chapter outlines research hypotheses and methodology by discussing the survey instrument's statistical techniques. Accordingly, the fourth chapter presents the analysis results. Chapter five then analyzes and compares state managers' moral maturity level research results with those of previous CMD studies.

CHAPTER III  
RESEARCH DESIGN AND METHODOLOGY

This chapter discusses this study's design, objectives, and hypotheses associated with each objective, and provides a working definition of each dependent and independent variable. The survey instrument description, database, and data analysis methodology are discussed at the chapter's conclusion.

A key managerial skill requiring a heightened level of cognitive ability is decision-making. As defined in the previous chapter, decision-making is the process of identifying a situation, analyzing the problem, considering the alternatives, and making a choice between them, taking action, and assessing the results. State government managers make decisions based on varying amounts of information, so their decisions have varying degrees of success or failure.

There are four reasons why this study has chosen participants from a cross-section of managers within the State Commerce & Trade agencies. First, these individuals come from similar economic and social backgrounds and are likely to share single-level government experiences during



the interviews. Second, most individuals at this level have had an average of twenty years in government and, therefore, could provide specific examples from their career experiences. Third, because the sample is limited to Commerce and Trade service sector, the interviews will probably reflect professional paths/positions within the sector. This method also helps create a balance between homogeneity of careers and diversity of experiences and perspectives. Fourth, limiting the sphere to the State government service makes the study manageable for one person.

Survey participant requirement: Participants must be active State government agency employees who have been employed by the agency for a minimum of one year.

#### Research Questions and Hypotheses

This study's objective is to examine Kohlberg's cognitive moral development theory against the age, gender, education, and ethics training of Commonwealth of Virginia State government managers. Such data will help to construct general theoretic understandings of morality, which can then be applied as practical solutions to specific moral problems or dilemmas in an organization. Testing the hypotheses involves comparing independent groups' t-test means.

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### Research Question #1

Is there a relationship between ethical maturity level and public sector managers' level of education? In other words, as measured by Rest's Defining Issues Test (DIT), is there a difference in ethical maturity level between public sector managers with post-secondary degrees and public sector managers without post-secondary degrees?

### Null Hypothesis #1

H<sub>0</sub>. There is no significant difference in ethical maturity levels between public sector managers with post-secondary degrees and public sector managers without post-secondary degrees.

### Alternative Hypothesis #1

H<sub>A</sub>. There is a significant difference in ethical maturity level between public sector managers with post-secondary degrees and public sector managers without post-secondary degrees.

### Research Question #2

Is there a relationship between the ethical maturity level and public sector managers' age? In other words, as measured by Rest's DIT, is there a difference in ethical

maturity level between public sector managers who are 45 years of age and over and public sector managers below 45 years of age?

#### Null Hypothesis #2

H<sub>0</sub>. There is no significant difference in ethical maturity level between public sector managers 45 years of age and over and public sector managers below the age of 45.

#### Alternative Hypothesis #2

H<sub>A</sub>. There is a significant difference in ethical maturity level between public sector managers 45 years of age and over and public sector employees below the age of 45.

#### Research Question #3

Is there a relationship between ethical maturity level and public sector managers' gender? In other words, as measured by Rest's DIT, is there a difference in ethical maturity level between male public sector managers and female public sector managers?

#### Null Hypothesis #3

H<sub>0</sub>. There is no significant difference between female and male public sector managers' ethical maturity levels.

### Alternative Hypothesis #3

H<sub>A</sub>. There is a significant difference between female and male public sector managers' ethical maturity levels.

### Research Question #4

Is there a relationship between public sector managers' ethical maturity level and ethics training? In other words, as measured by Rest's DIT, is there a difference in ethical maturity level between public sector managers with ethics training and public sector managers who do not have ethics training?

### Null Hypothesis #4

H<sub>0</sub>. There is no significant difference in ethical maturity level between public sector managers with ethics training and public sector managers without ethics training.

### Alternative Hypothesis #4

H<sub>A</sub>. There is a significant difference in ethical maturity level between public sector managers with ethics training and public sector managers without ethics training.

## Research Methodology

### Statistical Techniques

Measuring one's CMD level requires measuring the individual's moral reasoning process and classifying the results according to Table I on page 55. To accomplish this, Kohlberg (1981) initially advocated the use of his moral judgment interview (MJI) to measure individuals' levels of moral reasoning. Rest (1979, 1986) developed the Defining Issues Test (DIT) as a simpler, more reliable procedure for studying CMD.

According to Rest (1986), the DIT is based on the premise that people at different points of development interpret moral dilemmas differently, define the critical issues of the dilemmas differently and have different intuitions about what is "right" and "fair" in a situation. The DIT is the most widely used measure of moral development among contemporary research.

The "P" score will be used to report group means and differences, and report correlations. The DIT scores range from zero to 95, where high "P" percent scores are associated with higher levels of CMD.

The "P" index has shown the most consistent reliability and validity trends of any index based on the DIT (Rest, 1986).

Table 1 illustrates Kohlberg's model of moral development:

Table 1.

---

<b>Level</b>	<b>Stage</b>	<b>Social Orientation</b>
Pre-conventional	1	Obedience and punishment
	2	Individualism, instrumentalism, and exchange
Conventional	3	"Good-boy/girl"
	4	Law and order
Post-conventional	5	Social Contract
	6	Principled Conscience

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### Sampling Plan

N = 300

This study employs a purposive sample survey. The target population consists of the State of Virginia Department of Commerce & Trade managers, in the Piedmont, Tidewater, Mountain, and Northern Virginia regions. While there are 94,430 employees in the state government, there are 2,709 employees within the State Commerce & Trade Department. 2,709 is a significant number for this study so as to obtain the sample size of 300.

### Data Collection and Survey Instrument

Because DIT has proven to be both a valid and reliable instrument, this study will utilize the Defining Issues Test (DIT) to assess the state managers' ethical maturity levels. The DIT has been used extensively for more than 1,000 studies in over forty countries. The instrument's reliability is based on test-retest correlations conducted over a wide range of group and individual participant settings.

### Summary

In brief, decision-making is a process of identifying problems and opportunities and choosing among alternative courses of action for successfully dealing with them. Effective managers know that not every problem requires an immediate decision (Gortner, 1991). Rather, effective managers know how and when to delegate decision-making responsibilities. Managers, however, must know what it means to be moral, and especially what factors contribute to morality. Finally, managers should recognize moral issues, and have sufficient information to make a reasoned informed decision.

An extensive body of research has shown that Kohlberg's CMD is one of the most influential, reliable,

and valid cognitive structural perspectives on contemporary moral development theory.

Chapter IV presents the survey instrument results, and Chapter V draws implications to make final conclusions.



CHAPTER IV  
ANALYSIS AND PRESENTATION OF FINDINGS

Chapter 3 presented four research questions that emerged from the CMD literature review and applied them to a Virginia State government management setting.

Research Question #1: Is there a relationship between ethical maturity level and public sector managers' level of education?

Research Question #2: Is there a relationship between the ethical maturity level and public sector managers' age?

Research Question #3: Is there a relationship between ethical maturity level and public sector managers' gender?

Research Question #4: Is there a relationship between public sector managers' ethical maturity level and ethics training?

This chapter presents the results of the survey population data analysis by clarifying survey population demographics, reviewing the data collection procedures, illustrating the primary research findings, and finally, discussing findings through a chapter summary.

Sample

The Author distributed the Defining Issues Test (DIT) survey instrument in two ways: first, the Author hand-

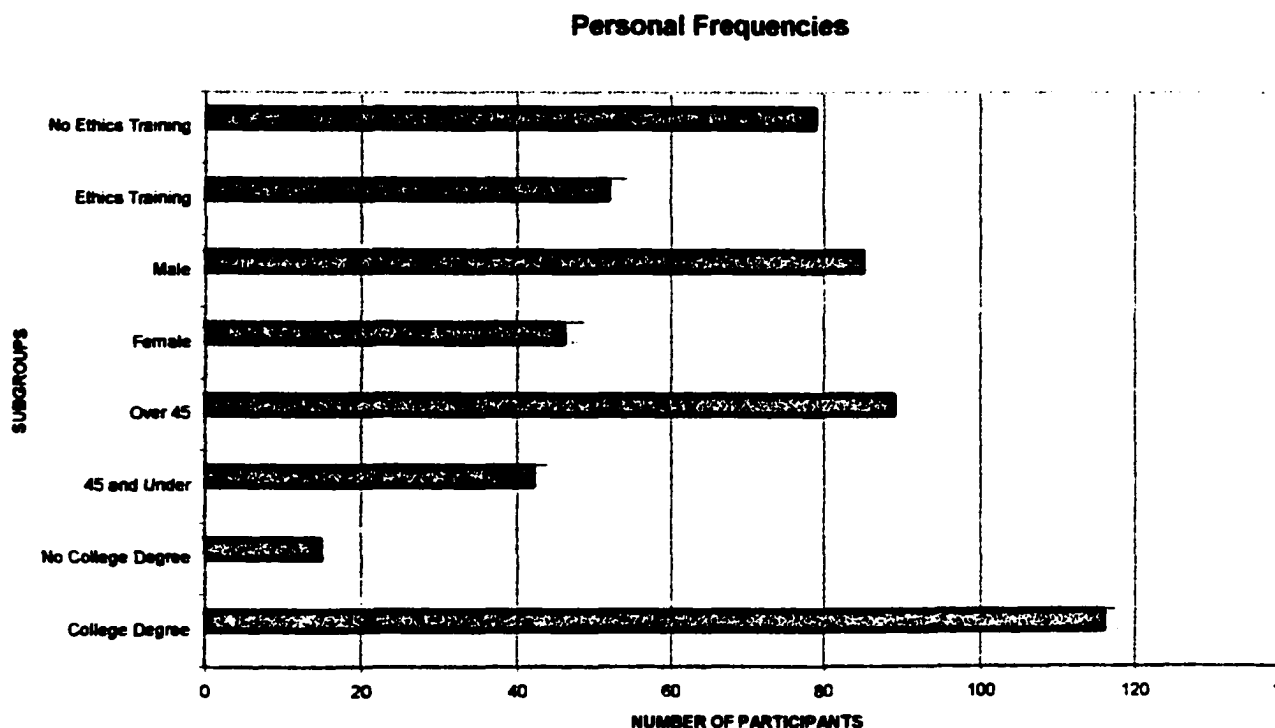
delivered the surveys to Commerce and Trade agencies, and Secretaries of Corporate Commission, Education, Health and Human Resources Natural Resources, Public Safety, and Transportation managers. Second, the Author distributed surveys to government officers in the Piedmont Tidewater, Mountain and northern Virginia regions by postal mail. Survey participants maintained at least one year of full-time Virginia state government employment.

### Participant Demographics

#### Personal Demographics

Survey results represented a diversified management participant pool, including all races, religions, and managerial levels. Respondents were 35 percent female (46) and 65 percent male (85). The majority of respondents (89) were 45 years of age and over and had a high degree of post secondary education, with 75 percent holding a college degree (116). Additionally, more male participants reported having had ethics training (female 16, male 36) than having had no ethics training (female 30, male 49). Figure 1 displays these variables.

Figure 1



### Data Collection Procedures

The Author distributed over 258 of the DIT surveys to Virginia government managers in the Richmond area and administered the remaining 42 to managers outside the Richmond area by postal mail. Each survey was packaged in a sealed manila folder with a pencil, cover letter (see Appendix D) explaining the survey's participant identification number procedures, and a test instruction booklet/answer sheet. (See Appendix C.) The Author

collected the completed surveys within one week from each agency manager's secretary.

### Research Finding

This Author uses four CMD items to illustrate survey findings: Education, age, gender, and ethics training. Table 2 represents brief explanations of each stage that could categorize a person or group's ethical maturity level. (See Chapter 3, Table 1 for additional stage explanations.) CMD suggests that people can be perceived as progressing through series of developmental stages, each of which presume increasing moral maturity. Also, CMD theory is used to describe decision-making process that occurs prior to ethical or unethical behavior.

The center for the Study of Ethical Development published survey results. These results provided the Author with statistics necessary to analyze the sample's moral development. To enhance the reliability, the "M" or "meaningless" score was used to screen out subjects who may have given insufficient attention to the survey. Originally developed for the full-length DIT, which contains six hypothetical situations in which participants must make ethical decisions based on six hypothetical stories, the M score may also be cautiously utilized to check the consistency of three-story DIT: In accordance

with Rest's (1990) recommendations, the responses of those subjects whose M scores exceeded a count of eight errors in a single story and/or more than two stories with inconsistent responses were discarded from this study's analysis. This study found a total of 23 of 155 responses, (15%) were found to be inadequate in this manner. Although this does not exceed the expected 5-15 percent response loss projected by Rest (1990), it can be attributed to the cut-off values associated with the six-story DIT. Thus, the analysis of the subject's CMD and the testing of the hypotheses were conducted on 132 responses.

The "U" or "utilizer" score, as devised by Dr. Stephen Thomas, represents the degree to which a subject uses concepts of justice in making moral judgments. By implication, this asserts that some people use other criteria than justice in making moral judgments, such as a religious doctrine, or cultural belief. The U score measures two pieces of DIT data: first, the action choices that people make (for example, Heinz should steal, or Heinz should not steal); and secondly, which of the items they rank as most important.

The "P" score is the most important DIT score. This score is interpreted as a factor that is comparable to the characteristics of highest three CMD stages, States 5a, 5b,

and 6 (see Table 2 below). Theoretically, this combination is comprised of all versions of principled moral thinking (Rest, 1986). Rest explains that the P-score is a representation of the degree to which a person's thinking resembles that of moral philosophers. The P-score can range from 0-95. For example, consider that junior high school students generally average a P-score in the 20s P-score, senior high students in the 30s, college students in the 40s, graduate students in the 50s, and moral Philosophers in the 60s. Based on these averages, adults average in the 40s.

**Table 2**

<b>KOHLBERG'S STAGES OF COGNITIVE MORAL DEVELOPMENT STAGES 2 THRU 6</b>	
STAGE 2:	Punishment and Obedience Orientation
STAGE 3:	Instrumental Relativist Orientation
STAGE 4:	Good Boy-Nice Girl Orientation
STAGE 5A	Law and Order Orientation
STAGE 5B	Social-Contract Legalistic Orientation
STAGE 6	Universal Ethical Principle Orientation

Cronbach's Alpha index has historically determined that the DIT internal consistency has been in the high .70's (Rest, 1990). Thus, based upon this finding's study, and the previous chapter's validity and reliability

references, the survey results determined that the DIT was useful for examining the participants' CMD levels.

Table 3 displays the DIT scores of each CMD stage and provides both descriptions and summary statistics for the variables involved in the statistical testing of the aforementioned research questions.

**Table 3.**

(Descriptions, means, and Standard Deviations of Variables)  
**DIT SCORES OF EACH CMD STAGE**

		Statistics							
		ID	STAGE2	STAGE3	STAGE4	STAGE5A	STAGE5B	STAGE6	Post Conventional (P score)
N	Valid	131	134	134	134	134	134	134	134
	Missing	3	0	0	0	0	0	0	0
Mean		154653.4	1.1343	3.4627	12.1269	6.2090	1.1343	2.9179	34.5398
Std. Deviation		32273.36	1.7420	2.7873	4.2434	3.3763	1.5404	1.8920	15.8620

**NOTE: The TOTAL group is the whole sample prior to categorizing into sub-samples.**

### Comparative Results

Although there are over 1,000 published DIT studies, this study references only a select number of them. Table 4 presents a comparison between the results found in this study and those found in prior studies of Peek (1999) and Osgood (2000). These two studies resemble this one, in terms of survey instrument application. Table 4 illustrates the three studies' results: (N: number of samples, M: means, and S. D.: standard deviation including the DIT average from a group of Karen Peek's

(1999) study of GSA employees (N = 134) and DIT averages for a group of Florida municipal government officials presented by Osgood's (2002) study (N = 115). Finally, Table 4 exhibits this study's results (N = 132).

The mean P-score of the present study (M = 34.5, S.D. = 15.86) can be observed to be in line with the results of Peek's 1999 analysis of GSA employees (M = 30.9, S. D. = 14.5). The sample mean P-score is significantly lower than Osgood's Municipal officials (M. = 41.9, S. D. = 15.2).

**Table 4**

(Descriptions, Means, and Standard Deviations of Variables)  
**DIT SCORES OF EACH CMD STAGE: A COMPARISON**

(Previous Sample Groups vs. Virginia State Managers Sample)

Group	Statistics	Stage 2	Stage 3	Stage 4	Stage 5A	Stage 5B	Stage 6	P Score
Peek Study GSA Employees	M	2.82	9.04	25.5	11.6	2.06	4.92	30.9
	SD	2.86	7.56	9.48	6.91	2.84	4.20	14.5
Osgood Study Municipal Elected Officials	M	0.86	13.71	20.00	10.57	3.14	3.14	41.9
	SD	1.07	8.04	9.24	5.62	3.24	2.27	15.2
Mobley Study Virginia State Managers	M	1.13	3.46	12.13	6.20	1.13	2.91	34.5
	SD	1.74	2.79	4.24	3.37	1.54	1.89	15.9

**NOTE:** Missing data is indicated by 0.00. The TOTAL group is the whole sample before breaking it down by sub-sample.



Table 5 compares this dissertation's sub-samples by utilizing the mean P-score to assess eight different demographic groupings.

**Table 5**

**Post Conventional (P score) \* EDU**

Post Conventional (P score)

EDU	Mean	N	Std. Deviation
college	35.3592	116	15.4745
no college	28.2222	15	15.0062
Total	34.5420	131	15.5333

**Post Conventional (P score) \* AGE**

Post Conventional (P score)

AGE	Mean	N	Std. Deviation
45 and under	30.6349	42	16.7920
over 45	36.3858	89	14.6405
Total	34.5420	131	15.5333

**Post Conventional (P score) \* GENDER**

Post Conventional (P score)

GENDER	Mean	N	Std. Deviation
female	33.9855	46	14.5656
male	34.8431	85	16.1090
Total	34.5420	131	15.5333

**Post Conventional (P score) \* ETHICS**

Post Conventional (P score)

ETHICS	Mean	N	Std. Deviation
training	34.1346	52	17.7629
no training	34.8101	79	13.9877
Total	34.5420	131	15.5333

Table 6 presents the results of four one-way ANOVA analyses using P scores as the dependent variable. The table displays the significance of the P-score by each variable: educational level, age, gender and ethics training. If the probability is less than .05, there is evidence that there is a significant difference between the two groups under comparison. On the other hand, if the probability is greater than .05, there is evidence that there is no significant difference between the two groups. The Null Hypothesis is rejected when F is larger than or equal to .05.

**Table 6**


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Four One-Way ANOVA Tables for CMD Using P Scores

ANOVA

		Sum of Squares	df	Mean Square	F	Sig.
EDU	Between Groups	1.793	21	8.537E-02	.810	.702
	Within Groups	11.490	109	.105		
	Total	13.282	130			
AGE	Between Groups	4.986	21	.237	1.099	.360
	Within Groups	23.548	109	.216		
	Total	28.534	130			
GENDER	Between Groups	3.809	21	.181	.759	.762
	Within Groups	26.038	109	.239		
	Total	29.847	130			
ETHICS	Between Groups	4.394	21	.209	.846	.659
	Within Groups	26.965	109	.247		
	Total	31.359	130			

---

Table 7 displays the results of a Non-parametric Correlations test. The Non-parametric Correlation test was chosen for this study because it can be applied easily to non-numerical data, such as education level, gender, and ethics training. In this study, a Non-parametric Correlation tests assesses differences between sub-groups in the data. It makes a comparison on the P-scores of the sub-groups formed on the basis of educational level, age, gender, and ethics training. By examining the intersections of one sub-group with another, the 2-tailed number and P-score number, one may compare the significance levels. If the significance levels are less than .05, there is evidence of a statistical difference between the subgroups in moral judgment. The Null hypothesis is rejected when F is larger than or equal to .05 of the P-score sub-group differences and makes comparisons on the P-scores of the sub-groups formed on the basis of the first digit identification number.

**Table 7****Non-parametric Correlation Matrix for Study Variables**

			<b>Correlations</b>			
			<b>EDU</b>	<b>AGE</b>	<b>GENDER</b>	<b>ETHICS</b>
Kendall's tau_b	<b>EDU</b>	<b>Correlation Coefficient</b>	1.000	-.010	.013	-.051
		<b>Sig. (2-tailed)</b>	.	.911	.878	.559
		<b>N</b>	131	131	131	131
	<b>AGE</b>	<b>Correlation Coefficient</b>	-.010	1.000	.077	.011
		<b>Sig. (2-tailed)</b>	.911	.	.379	.900
		<b>N</b>	131	131	131	131
	<b>GENDER</b>	<b>Correlation Coefficient</b>	.013	.077	1.000	-.074
		<b>Sig. (2-tailed)</b>	.878	.379	.	.400
		<b>N</b>	131	131	131	131
	<b>ETHICS</b>	<b>Correlation Coefficient</b>	-.051	.011	-.074	1.000
		<b>Sig. (2-tailed)</b>	.559	.900	.400	.
		<b>N</b>	131	131	131	131
	<b>Post Conventional (P score)</b>	<b>Correlation Coefficient</b>	-.149*	.142	.015	.015
		<b>Sig. (2-tailed)</b>	.044	.054	.839	.839
		<b>N</b>	131	131	131	131

\*. Correlation is significant at the .05 level (2-tailed).

Table 8 displays one-sample t-tests of the P score differences between the sub-groups in the data and norm groups. This table reveals whether the sub-groups in this study are statistically different from a national sample of graduate students, physicians, nurses, and accountants, adults in general. If the probability level is less than .05, there is evidence of a significant difference between the two groups being compared.

**Table 8**

Summary of One-Sample T-Test  
Comparing Virginia State Government Managers' Post-  
 Conventional Reasoning (P%) to Other Groups

GROUP DATA SOURCE	P% SCORE	DF	STD ERROR MEAN	T
Graduate Students	65.2	273	1.02	-23.2
Law Students	52.2	273	1.02	-10.5
Practicing Physicians	49.2	273	1.02	-7.6
College students	42.3	273	1.02	-0.8
Adult in General	40.0	273	1.02	1.4
Accountants	38.06	273	1.02	-7.8
VA State Managers	34.46	-	-	-

Statistical Testing of Hypotheses

Statistical testing of the four hypotheses supporting the correlating research questions was carried out according to the methods and guidelines discussed in Chapter 3. The remainder of this chapter discusses the results of this study.

Research Question #1: Is there a relationship between ethical maturity level and public sector managers' level of education?

This question is supported by the data. From Tables 5 and 6, it can be observed that among the demographic variables, education is by far the most powerfully associated with DIT scores.

Research Question #2: Is there a relationship between the ethical maturity level and public sector managers' age?

This question is not supported by the data. One may also observe from Tables 5 and 6 that among the demographic variables, age is by far the most powerfully associated with DIT scores. The F score is not larger than .05; therefore, the null hypothesis is accepted.

Research Question #3: Is there a relationship between ethical maturity level and public sector managers' gender?

This question is also not supported by the data. From Tables 5 and 6, it can be observed that among the demographic variables, gender ranks as the second most powerfully associated with DIT scores. Although it ranks higher than most of the demographic variables, its F score is not larger than .05; therefore, the null hypothesis is accepted.

Research Question #4: Is there a relationship between public sector managers' ethical maturity level and ethics training?

The results in Tables 5 and 6 show that there is no difference in ethical maturity level of State government managers for those with ethics training and those without ethics training. There is no significant difference between the two groups.

#### Summary of Analysis and Presentation of Findings

The results of the findings only support Research Question #1. The Null Hypotheses are accepted for Research Questions #2 and #3. Chapter 5 addresses the practical implications of these findings as well as a normative assessment of the findings.

CHAPTER V  
SUMMARY AND CONCLUSIONS

The fundamental aim of this research effort was to empirically test potential differences in moral reasoning levels of public sector managers in Virginia State government in terms of education, age, gender and ethics training.

This chapter discusses the results of the data analysis and answers the rudimentary question, "How do the Virginia government managers rank with Kohlberg's classification of moral reasoning stages?" Additionally, this chapter evaluates, reviews, and examines the study's limitations. Finally, attention will be focused on directions for further exploration.

Discussion of Results and Conclusion

The purpose of this study was to examine the moral reasoning level of public sector managers. The results depicted in Chapter 4's Tables 5,6, and 7 can be applied to the four research questions and the supporting hypotheses in the preceding chapter. A summary of the findings as presented in Chapter 4 is as follows:

1. The first research question, relating public sector managers' ethical maturity level to post-secondary



degrees, was supported through this analysis. According to Rest (1986), education is the strongest CMD. This study found strong support for the contention that ethical maturity levels are indeed a significant correlate of education. Thus, this research has important implications for both the studies of government ethics in general and for the study of CMD and specifically the "ethical" work climate.

2. The second research question, relating public sector managers' ethical maturity levels to age, was not supported in this analysis. This is a direct challenge to the validity of the dependency of public sector employees' CMD on their age. Null Hypothesis 2, which advanced the connection between ethical maturity level and age, must be interpreted as casting doubt on this dependency. The result further supports Rest's (1986) notion that adults' CMD levels have a stronger correlation with education than to age.

3. The third research question, relating public sector managers' ethical maturity levels to gender, was confirmed through this analysis. Findings indicated women scored significantly higher than men. This research further refutes Gilligan's (1982) criticism of Kohlberg's model for sexual bias.

4. The final research question, relating public sector managers' ethical maturity levels to ethics training, was not supported. This study's findings indicated that there is not a significant correlation between ethical maturity levels of Virginia government managers and ethics training. This research has important implications for both the studies of public service ethics in general and for the study of CMD as well as the "ethical" culture, specifically pertaining to government.

The statistical results indicate that ethics training has no demonstrable impact on public sector managers' CMD levels. As displayed in Tables 5, and 6, the CMD levels of public sector managers who have had ethics training as a part of a standard curriculum show no significant difference when compared to the CMD levels of public sector managers who have not had ethics training as a part of a standard curriculum.

This study's results indicate that regardless of gender or age, employees' educational level has an impact on their CMD. As displayed in Tables 5, 6, and 7, Virginia government managers' CMD levels fall within the range of high school students. Although Virginia government has hired many employees with post-secondary degrees, it also employs and promotes many workers that have not graduated

from a college or university. Although many of Virginia's managers have several years of experience, their ethical maturity levels have not increased past that of high school students.

#### Evaluation of the Approach

While not completely consistent with all of the findings in which Rest's methods have yielded using individuals as the subject base, this study's moral reasoning assessment approach offers considerable promise. Although statistical analyses using a broader base of State agencies could yield more expansive generalized conclusions about specific research hypotheses, the true value of this approach does not reside within its ability to generalize, but in the insights that can be gained about public sector managers within the State of Virginia.

#### Implications for Public Sector

This study has important implications for the field of governmental ethics and for the study of cognitive moral development and ethics in the professional work environment. Additionally, it also has important implications for inquiry into the ethical climate of the state government of Virginia.

Predominate findings have confirmed that education plays an important role in the ethical maturity level of

Virginia government managers. CMD was postulated to be an influence on both the ways in which people consider moral issues and the outcomes of the decision-making process. With an agenda for research linking CMD to ethical decision-making, it will be contingent upon State governmental authorities in the ethics discipline to develop a method to enhance moral development.

Public sector managers are governed by both formal and informal standards of conduct. Informal standards of conduct exist as social norms of the nation, the community, and professional groups. Formal standards of conduct exist as constitutional provisions, laws, and administrative rules and regulations.

The formal standards of conduct for public sector managers are embodied in the Virginia Constitution, Code of Virginia, § 2.1-639.4, § 2.1-51.48 - Secretary of Technology, and the Regulations of the Virginia Board of Behavioral Science, Adopted July 27, 1977, Section VII: Ethical Standards, POR 7.1: Code of Ethics. (See Appendix B.)

#### Implication for Public Sector Managers in Practice

The purpose of this study was to examine factors that may impact the ethical maturity level of public sector employees. As such, this research provides an association

between the educational level of public sector managers and higher ethical maturity levels.

The results of this study show that there is a linkage between employees with post-secondary education and higher ethical maturity levels. Presently, the State only requires a small percentage of its managers to possess post-secondary degrees. Several Virginia government managers without post-secondary degrees hold management/supervisory positions and are responsible for fiscal budget ranging upward to several millions of dollars. To obtain a more ethical climate, it behooves Virginia government Commerce and Trade and other state agencies' upper management to increase its percentage of management with employees to possess post-secondary education.

The concepts of CMD and an ethical work climate perception share some key characteristics in that they are products of individual learning experiences. Therefore, all levels of State government management should be continually reminded that their actions have potentially high consequences.

#### Limitations of the Study

The limitations of this study are centered on the scope of the research. As an exploratory study, a

purposive sample was selected to study the relationships between variables. Thus, the hypotheses were examined in an associative nature. Causality can neither be inferred nor confirmed in this study.

The return ratio and accuracy of the DIT was limited based on the methods of distribution. The return ratio and accuracy were higher for the surveys that were distributed and collected on-site versus ones that were distributed through postal mail. The lack of completed Commerce and Trade surveys contributed to low return ratios and inaccuracies in their respective divisions.

Because of time constraints, the Author chose to use the three-scenario DIT format instead of the six-story scenario format. There is a possibility that the abbreviated three-story scenario limited participant assessment.

Also, the scope of this study was geographically limited to the Commerce and Trade employees of the Piedmont, Tidewater, Mountain, and Northern areas of Virginia. Although Commerce and Trade is not the largest State government division, the results of this research do not reflect a full Commerce and Trade assessment.

### Directions for Future Research

The Author recommends either expanding the use of the DIT by directing participants to respond to more stories or by conducting post-survey interviews to gather additional information to confirm the causality of ethical behavior. Moreover, this Author advocates partnering with upper management for survey distribution in order to obtain a higher level of staff participation. Through their endorsements, future studies could benefit from the six-scenario format as well as a larger sample population.

To test hypotheses regarding cross-cultural differences, this study could be replicated not only on a national, but also on an international basis. Also, rather than focusing on moral development, research could be directed at linking an individual's moral philosophy to ethical attitudes and decision-making.

The most expedient direction that future research can take to advance the study of ethics and ethical decision making in public administration is to bridge the isolation that has largely characterized the study of these fields. It is vital that the research questions addressed in the new millennium focus beyond ethical decision-making itself and into the consequences of ethical matters and concerns

on both individual and organizational performance. The effects of individual-organizational incompatibility on such factors as job performance, turnover, absenteeism, job satisfaction, alienation, and causalities are examples of each matter. Also, an assessment of the participants' knowledge of definable policies, ethical codes, rules, and procedures may be useful in future research. Studying ethical decision-making on the strategic level, in regards to both strategic performance and organizational responsibility, may be beneficial for the organization's overall moral and financial well being.

If the aforementioned research is accomplished in the future, it will likely expand the moral dimension into even greater scrutiny in managerial research and managerial practice. An enhanced ethical climate will be beneficial not only to the public sector, but also to the nation as a whole.



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APPENDIX A

CONSTITUTION OF VIRGINIA

# CONSTITUTION OF VIRGINIA

## ARTICLE I Bill of Rights

*A DECLARATION OF RIGHTS made by the good people of Virginia in the exercise of their sovereign powers, which rights do pertain to them and their posterity, as the basis and foundation of government.*

### **Section 1. Equality and rights of men.**

That all men are by nature equally free and independent and have certain inherent rights, of which, when they enter into a state of society, they cannot, by any compact, deprive or divest their posterity; namely, the enjoyment of life and liberty, with the means of acquiring and possessing property, and pursuing and obtaining happiness and safety.

### **Section 2. People the source of power.**

That all power is vested in, and consequently derived from, the people, that magistrates are their trustees and servants, and at all times amenable to them.

### **Section 3. Government instituted for common benefit.**

That government is, or ought to be, instituted for the common benefit, protection, and security of the people, nation, or community; of all the various modes and forms of government, that is best which is capable of producing the greatest degree of happiness and safety, and is most effectually secured against the danger of maladministration; and, whenever any government shall be found inadequate or contrary to these purposes, a majority of the community hath an indubitable, inalienable, and indefeasible right to reform, alter, or abolish it, in such manner as shall be judged most conducive to the public weal.

### **Section 4. No exclusive emoluments or privileges; offices not to be hereditary.**

That no man, or set of men, is entitled to exclusive or separate emoluments or privileges from the community, but in consideration of public services; which not being descendible, neither ought the offices of magistrate, legislator, or judge to be hereditary.

### **Section 5. Separation of legislative, executive, and judicial departments; periodical elections.**

That the legislative, executive, and judicial departments of the Commonwealth should be separate and distinct; and that the members thereof may be restrained from oppression, by feeling and participating the burthens of the people, they should, at fixed periods, be reduced to a private station, return into that body from which they were originally taken, and the vacancies be supplied by regular elections, in which all or any part of the former members shall be again eligible, or ineligible, as the laws may direct.

### **Section 6. Free elections; consent of governed.**

That all elections ought to be free; and that all men, having sufficient evidence of permanent common interest with, and attachment to, the community, have the right of suffrage, and cannot be taxed, or deprived of, or damaged in, their property for public uses, without their own consent, or that of their representatives duly elected, or bound by any law to which they have not, in like manner, assented for the public good.

**CONSTITUTION OF VIRGINIA**  
**Article I, Sections 7, 8, 8-A, 9**

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**Section 7. Laws should not be suspended.**

That all power of suspending laws, or the execution of laws, by any authority, without consent of the representatives of the people, is injurious to their rights, and ought not to be exercised.

**Section 8. Criminal prosecutions.**

That in criminal prosecutions a man hath a right to demand the cause and nature of his accusation, to be confronted with the accusers and witnesses, and to call for evidence in his favor, and he shall enjoy the right to a speedy and public trial, by an impartial jury of his vicinage, without whose unanimous consent he cannot be found guilty. He shall not be deprived of life or liberty, except by the law of the land or the judgment of his peers, nor be compelled in any criminal proceeding to give evidence against himself, nor be put twice in jeopardy for the same offense.

Laws may be enacted providing for the trial of offenses not felonious by a court not of record without a jury, preserving the right of the accused to an appeal to and a trial by jury in some court of record having original criminal jurisdiction. Laws may also provide for juries consisting of less than twelve, but not less than five, for the trial of offenses not felonious, and may classify such cases, and prescribe the number of jurors for each class.

In criminal cases, the accused may plead guilty. If the accused plead not guilty, he may, with his consent and the concurrence of the Commonwealth's Attorney and of the court entered of record, be tried by a smaller number of jurors, or waive a jury. In case of such waiver or plea of guilty, the court shall try the case.

The provisions of this section shall be self-executing.

**Section 8-A. Rights of victims of crime.**

That in criminal prosecutions, the victim shall be accorded fairness, dignity and respect by the officers, employees and agents of the Commonwealth and its political subdivisions and officers of the courts and, as the General Assembly may define and provide by law, may be accorded rights to reasonable and appropriate notice, information, restitution, protection, and access to a meaningful role in the criminal justice process. These rights may include, but not be limited to, the following:

1. The right to protection from further harm or reprisal through the imposition of appropriate bail and conditions of release;
2. The right to be treated with respect, dignity and fairness at all stages of the criminal justice system;
3. The right to address the circuit court at the time sentence is imposed;
4. The right to receive timely notification of judicial proceedings;
5. The right to restitution;
6. The right to be advised of release from custody or escape of the offender, whether before or after disposition; and
7. The right to confer with the prosecution.

This section does not confer upon any person a right to appeal or modify any decision in a criminal proceeding, does not abridge any other right guaranteed by the Constitution of the United States or this Constitution, and does not create any cause of action for compensation or damages against the Commonwealth or any of its political subdivisions, any officer, employee or agent of the Commonwealth or any of its political subdivisions, or any officer of the court.

The amendment ratified November 5, 1996 and effective January 1, 1997—Added a new section (8-A).

**Section 9. Prohibition of excessive bail and fines, cruel and unusual punishment, suspension of habeas corpus, bills of attainder, and ex post facto laws.**

**CONSTITUTION OF VIRGINIA**  
**Article I, Sections 10, 11, 12, 13, 14, 15**

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That excessive bail ought not to be required, nor excessive fines imposed, nor cruel and unusual punishments inflicted; that the privilege of the writ of habeas corpus shall not be suspended unless when, in cases of invasion or rebellion, the public safety may require; and that the General Assembly shall not pass any bill of attainder, or any ex post facto law.

**Section 10. General warrants of search or seizure prohibited.**

That general warrants, whereby an officer or messenger may be commanded to search suspected places without evidence of a fact committed, or to seize any person or persons not named, or whose offense is not particularly described and supported by evidence, are grievous and oppressive, and ought not to be granted.

**Section 11. Due process of law; obligation of contracts; taking of private property; prohibited discrimination; jury trial in civil cases.**

That no person shall be deprived of his life, liberty, or property without due process of law; that the General Assembly shall not pass any law impairing the obligation of contracts, nor any law whereby private property shall be taken or damaged for public uses, without just compensation, the term "public uses" to be defined by the General Assembly; and that the right to be free from any governmental discrimination upon the basis of religious conviction, race, color, sex, or national origin shall not be abridged, except that the mere separation of the sexes shall not be considered discrimination.

That in controversies respecting property, and in suits between man and man, trial by jury is preferable to any other, and ought to be held sacred. The General Assembly may limit the number of jurors for civil cases in courts of record to not less than five.

**Section 12. Freedom of speech and of the press; right peaceably to assemble, and to petition.**

That the freedoms of speech and of the press are among the great bulwarks of liberty, and can never be restrained except by despotic governments; that any citizen may freely speak, write, and publish his sentiments on all subjects, being responsible for the abuse of that right; that the General Assembly shall not pass any law abridging the freedom of speech or of the press, nor the right of the people peaceably to assemble, and to petition the government for the redress of grievances.

**Section 13. Militia; standing armies; military subordinate to civil power.**

That a well regulated militia, composed of the body of the people, trained to arms, is the proper, natural, and safe defense of a free state, therefore, the right of the people to keep and bear arms shall not be infringed; that standing armies, in time of peace, should be avoided as dangerous to liberty; and that in all cases the military should be under strict subordination to, and governed by, the civil power.

**Section 14. Government should be uniform.**

That the people have a right to uniform government; and, therefore, that no government separate from, or independent of, the government of Virginia, ought to be erected or established within the limits thereof.

**Section 15. Qualities necessary to preservation of free government.**

That no free government, nor the blessings of liberty, can be preserved to any people, but by a firm adherence to justice, moderation, temperance, frugality, and virtue; by frequent recurrence to fundamental principles; and by the recognition by all citizens that they have duties as well as rights, and that such rights cannot be enjoyed save in a society where law is respected and due process is observed.

That free government rests, as does all progress, upon the broadest possible diffusion of knowledge, and that the Commonwealth should avail itself of those talents which nature has sown so liberally among its people by

**CONSTITUTION OF VIRGINIA**  
**Article I, Sections 16, 17; Article II, Section 1**

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assuring the opportunity for their fullest development by an effective system of education throughout the Commonwealth.

**Section 16. Free exercise of religion; no establishment of religion.**

That religion or the duty which we owe to our Creator, and the manner of discharging it, can be directed only by reason and conviction, not by force or violence; and, therefore, all men are equally entitled to the free exercise of religion, according to the dictates of conscience; and that it is the mutual duty of all to practice Christian forbearance, love, and charity towards each other. No man shall be compelled to frequent or support any religious worship, place, or ministry whatsoever, nor shall be enforced, restrained, molested, or burthened in his body or goods, nor shall otherwise suffer on account of his religious opinions or belief; but all men shall be free to profess and by argument to maintain their opinions in matters of religion, and the same shall in nowise diminish, enlarge, or affect their civil capacities. And the General Assembly shall not prescribe any religious test whatever, or confer any peculiar privileges or advantages on any sect or denomination, or pass any law requiring or authorizing any religious society, or the people of any district within this Commonwealth, to levy on themselves or others, any tax for the erection or repair of any house of public worship, or for the support of any church or ministry; but it shall be left free to every person to select his religious instructor, and to make for his support such private contract as he shall please.

**Section 17. Construction of the Bill of Rights.**

The rights enumerated in this Bill of Rights shall not be construed to limit other rights of the people not therein expressed.

**ARTICLE II**  
**Franchise and Officers**

**Section 1. Qualifications of voters.**

In elections by the people, the qualifications of voters shall be as follows: Each voter shall be a citizen of the United States, shall be eighteen years of age, shall fulfill the residence requirements set forth in this section, and shall be registered to vote pursuant to this article. No person who has been convicted of a felony shall be qualified to vote unless his civil rights have been restored by the Governor or other appropriate authority. As prescribed by law, no person adjudicated to be mentally incompetent shall be qualified to vote until his competency has been reestablished.

The residence requirements shall be that each voter shall be a resident of the Commonwealth and of the precinct where he votes. Residence, for all purposes of qualification to vote, requires both domicile and a place of abode. The General Assembly may provide for persons who are employed overseas, and their spouses and dependents residing with them, and who are qualified to vote except for relinquishing their place of abode in the Commonwealth while overseas, to vote in the Commonwealth subject to conditions and time limits defined by law. The General Assembly may provide for persons who are qualified to vote except for having moved their residence from one precinct to another within the Commonwealth to continue to vote in a former precinct subject to conditions and time limits defined by law. The General Assembly may also provide, in elections for President and Vice-President of the United States, alternatives to registration for new residents of the Commonwealth.

Any person who will be qualified with respect to age to vote at the next general election shall be permitted to register in advance and also to vote in any intervening primary or special election.

*The amendment ratified November 7, 1972 and effective January 1, 1973—In paragraph one, the voting age, formerly "twenty-one", was reduced to "eighteen".*

*The amendment ratified November 2, 1976 and effective January 1, 1977—In paragraph two, substituted "be" for "have been" and removed the durational residency requirement of "six months" in the Commonwealth and "thirty days" in the precinct in the first sentence. The second sentence removed the language "fewer than thirty days prior to an election" and, after the word "may", added the language "in the*

APPENDIX B

SUMMARY OF THE VIRGINIA STATE GOVERNMENT  
CODES OF ETHICS  
FOR  
STATE EMPLOYEES

**Center for Study of Ethics in the Professions**  
**ILLINOIS INSTITUTE OF TECHNOLOGY**  

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**CODES OF ETHICS ONLINE**

**Organisation :** State of Virginia

**Verified on :** 05/26/99

**Source :** <http://www.state.va.us/>

**Previous Version**  
**(s) :** None

**Regulations of the Virginia  
Board of Behavioral Science  
Adopted July 27, 1977**

**Section VII: Ethical Standards**

**POR 7.1: Code of Ethics.**

A. The protection of the public health, safety, and welfare and the best interest of the public shall serve as the primary source of guidance in determining the appropriate professional conduct of all persons whose activities are regulated by the Board.

B. No person whose activities are regulated by the Board shall:

- 1. Engage in professional conduct inimical to the public health, safety, and welfare or the best interest of the public.
- 2. Engage in professional conduct designed solely to further the financial interest of such person which is not necessary for diagnostic or therapeutic purposes.
- 3. Engage in any professional conduct for which he/she is not qualified by training or experience
- 4. Knowingly violate or induce another to violate any provision of Chapter 28 of Title 54, Code of Virginia, any other statute applicable to the practice of the professions regulated by the Board, or any provision of the regulations or Code of Ethics adopted by the Board or by any professional board or certification committee having authority to regulate the conduct of such person.
- 5. Perform or attempt to perform professional functions outside the area for which such person is licensed or certified.

 [CODES HOME](#)

 [CODES INDEX](#)

 [CODES SEARCH](#)

 [CSEP HOME](#)

 [IIT HOME](#)



CODE OF ETHICS

of the

COMMONWEALTH OF VIRGINIAASSOCIATION OF PROFESSIONAL PROCESS SERVERS

Each member agrees to abide by the provisions and principals set forth herein when dealing with clients, general public, associate members, and associates in business as follows:

**1, Duties to Clients, General Public, and Legal Entities**

All work shall be performed in a professional and ethical manner. Nothing shall be done which would impugn the position or name of this Association or its members or the process serving industry. Everything possible shall be done to protect the rights, interest, and confidentiality of clients, entities being served, and the legal profession as a whole

**2. Licenses, Permits, Bonds, and Other Requirements**

Each member agrees to comply with and keep current during the tenure of his or her membership, all necessary business licenses, bonds, permits, and any other requirements mandated by the city, county, and/or state in which the member conducts business

**3. Exchange Work**

Each member agrees to handle work sent to him or her by another member in a professional and ethical manner. It is unethical for a member to contact another member's client unless specifically directed to do so. If there is authorized contact concerning the specific service, the member should never make any rate quotes for the service to the client, nor actively solicit business from the sending member's client.

**4. Proofs Of Service, Not Found Returns, Other Reports**

Each member shall use COVAPPS or NAPPS Request For Service forms, or a copy thereof, when exchanging business and must comply with all instructions given by the forwarding agency. If a proof of service is provided by the sending party, it is mandatory that the serving party use that proof and fill it out in the manner requested. All documents shall be returned timely upon completing the work order.

**5. Financial Responsibility**

Each member agrees to promptly pay for services rendered by another member unless other specific arrangements have been made. A member, who is not owner of the firm for which they work, is responsible for the ethical conduct of the firm for which they work

APPENDIX C

DEFINING ISSUES TEST

# DIT

DEFINING ISSUES TEST  
University of Minnesota  
Copyright, James Rest  
All Rights Reserved, 1979

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## Opinions about Social Problems

The purpose of this questionnaire is to help us understand how people think about social problems. Different people have different opinions about questions of right and wrong. There are no "right" answers to such problems in the way that math problems have right answers. We would like you to tell us what you think about several problem stories.

You will be asked to read a story from this booklet. Then you will be asked to mark your answers on a separate answer sheet. More details about how to do this will follow. But it is important that you fill in your answers on the answer sheet with a #2 pencil. Please make sure that your mark completely fills the little circle, that the mark is dark, and that any erasures that you make are completely clean.

The Identification Number at the top of the answer sheet may already be filled in when you receive your materials. If not, you will receive special instructions about how to fill in that number.

---

In this questionnaire you will be asked to read a story and then to place marks on the answer sheet. In order to illustrate how we would like you to do this, consider the following story:

### FRANK AND THE CAR

Frank Jones has been thinking about buying a car. He is married, has two small children and earns an average income. The car he buys will be his family's only car. It will be used mostly to get to work and drive around town, but sometimes for vacation trips also. In trying to decide what car to buy, Frank Jones realized that there were a lot of questions to consider. For instance, should he buy a larger used car or a smaller new car for about the same amount of money? Other questions occur to him.

We note that this is not really a social problem, but it will illustrate our instructions. After you read a story you will then turn to the answer sheet to find the section that corresponds to the story. But in this sample story, we present the questions below (along with some sample answers). Note that all your answers will be marked on the separate answer sheet.

First, on the answer sheet for each story you will be asked to indicate your recommendation for what a person should do. If you tend to favor one action or another (even if you are not completely sure), indicate which one. If you do not favor either action, mark the circle by "can't decide."

Second, read each of the items numbered 1 to 12. Think of the issue that the item is raising. If that issue is important in making a decision, one way or the other, then mark the circle by "great." If that issue is not important or doesn't make sense to you, mark "no." If the issue is relevant but not critical, mark "much," "some," or "little" --depending on how much importance that issue has in your opinion. You may mark several items as "great" (or any other level of importance) -- there is no fixed number of items that must be marked at any one level.

Third, after you have made your marks along the left hand side of each of the 12 items, then at the bottom you will be asked to choose the item that is the most important consideration out of all the items printed there. Pick from among the items provided even if you think that none of the items are of "great" importance. Of the items that are presented there, pick one as the most important (relative to the others), then the second most important, third, and fourth most important.

**SAMPLE ITEMS and SAMPLE ANSWERS:**

FRANK AND THE CAR: ● buy new car    0 can't decide    0 buy used car

Great    Some    No  
 Much    Little

- 
- 0 0 0 0 ● 1. Whether the car dealer was in the same block as where Frank lives.
  - 0 0 0 0 2. Would a used car be more economical in the long run than a new car.
  - 0 0 ● 0 0 3. Whether the color was green, Frank's favorite color.
  - 0 0 0 0 ● 4. Whether the cubic inch displacement was at least 200.
  - 0 0 0 0 5. Would a large, roomy car be better than a compact car.
  - 0 0 0 0 ● 6. Whether the front connibillies were differential.

	1	2	3	4	5	6	7	8	9	10	11	12
Most important item	0	0	0	0	●	0	0	0	0	0	0	0
Second most important	0	●	0	0	0	0	0	0	0	0	0	0
Third most important	0	0	●	0	0	0	0	0	0	0	0	0
Fourth most important	●	0	0	0	0	0	0	0	0	0	0	0

Note that in our sample responses, the first item was considered irrelevant; the second item was considered as a critical issue in making a decision; the third item was considered of only moderate importance; the fourth item was not clear to the person responding whether 200 was good or not, so it was marked "no"; the fifth item was also of critical importance; and the sixth item didn't make any sense, so it was marked "no".

Note that the most important item comes from one of the items marked on the far left hand side. In deciding between item #2 and #5, a person should reread these items, then put one of them as the most important, and the other item as second, etc.

Here is the first story for your consideration. Read the story and then turn to the separate answer sheet to mark your responses. After filling in the four most important items for the story, return to this booklet to read the next story. Please remember to fill in the circle completely, make dark marks, and completely erase all corrections.

---

#### **HEINZ AND THE DRUG**

In Europe a woman was near death from a special kind of cancer. There was one drug that doctors thought might save her. It was a form of radium that a druggist in the same town had recently discovered. The drug was expensive to make, but the druggist was charging ten times what the drug cost to make. He paid \$200 for the radium and charged \$2,000 for a small dose of the drug. The sick woman's husband, Heinz, went to everyone he knew to borrow the money, but he could only get together about \$1,000, which is half of what it cost. He told the druggist that his wife was dying, and asked him to sell it cheaper or let him pay later. But the druggist said, "No, I discovered the drug and I'm going to make money from it." So Heinz got desperate and began to think about breaking into the man's store to steal the drug for his wife. Should Heinz steal the drug?

---

#### **ESCAPED PRISONER**

A man had been sentenced to prison for 10 years. After one year, however, he escaped from prison, moved to a new area of the country, and took on the name of Thompson. For eight years he worked hard, and gradually he saved enough money to buy his own business. He was fair to his customers, gave his employees top wages, and gave most of his own profits to charity. Then one day, Mrs. Jones, an old neighbor, recognized him as the man who had escaped from prison eight years before, and whom the police had been looking for. Should Mrs. Jones report Mr. Thompson to the police and have him sent back to prison?

---

#### **NEWSPAPER**

Fred, a senior in high school, wanted to publish a mimeographed newspaper for students so that he could express many of his opinions. He wanted to speak out against the use of the military in international disputes and to speak out against some of the school's rules, like the rule forbidding boys to wear long hair.

When Fred started his newspaper, he asked his principal for permission. The principal said it would be all right if before every publication Fred would turn in all his articles for the principal's approval. Fred agreed and turned in several articles for approval. The principal approved all of them and Fred published two issues of the paper in the next two weeks.

But the principal had not expected that Fred's newspaper would receive so much attention. Students were so excited by the paper that they began to organize protests against the hair regulation and other school rules. Angry parents objected to Fred's opinions. They phoned the principal telling him that the newspaper was unpatriotic and should not be published. As a result of the rising excitement, the principal ordered Fred to stop publishing. He gave as a reason that Fred's activities were disruptive to the operation of the school. Should the principal stop the newspaper?

### **DOCTOR'S DILEMMA**

A lady was dying of cancer which could not be cured and she had only about six months to live. She was in terrible pain, but she was so weak that a good dose of pain-killer like morphine would make her die sooner. She was delirious and almost crazy with pain, and in her calm periods, she would ask the doctor to give her enough morphine to kill her. She said she couldn't stand the pain and that she was going to die in a few months anyway. Should the doctor give her an overdose of morphine that would make her die?

---

### **WEBSTER**

Mr. Webster was the owner and manager of a gas station. He wanted to hire another mechanic to help him, but good mechanics were hard to find. The only person he found who seemed to be a good mechanic was Mr. Lee, but he was Chinese. While Mr. Webster himself didn't have anything against Orientals, he was afraid to hire Mr. Lee because many of his customers didn't like Orientals. His customers might take their business elsewhere if Mr. Lee was working in the gas station.

When Mr. Lee asked Mr. Webster if he could have the job, Mr. Webster said that he had already hired somebody else. But Mr. Webster really had not hired anybody, because he could not find anybody who was a good mechanic besides Mr. Lee. Should Mr. Webster have hired Mr. Lee?

---

### **STUDENT TAKE-OVER**

Back in the 1960s at Harvard University there was a student group called Students for a Democratic Society (SDS). SDS students were against the war in Viet Nam, and were against the army training program (ROTC) that helped to send men to fight in Viet Nam. While the war was still going on, the SDS students demanded that Harvard end the army ROTC program as a university course. This would mean that Harvard students could not get army training as part of their regular course work and not get credit for it towards their degree.

Harvard professors agreed with the SDS students. The professors voted to end the ROTC program as a university course. But the President of the University took a different view. He stated that the army program should stay on campus as a course.

The SDS students felt that the President of the University was not going to pay attention to the vote of the professors, and was going to keep the ROTC program as a course on campus. The SDS students then marched to the university's administration building and told everyone else to get out. They said they were taking over the building to force Harvard's President to get rid of the army ROTC program on campus for credit as a course.

Were the students right to take over the administration building?

---

Please make sure that all your marks are dark, fill the circles, and that all erasures are clean.

**THANK YOU.**



GREAT  
MUCH  
SOME  
LITTLE  
NO

NEWSPAPER:  Should stop it     Can't decide     Should not stop it

- 1. Is the principal more responsible to students or to parents?
- 2. Did the principal give his word that the newspaper could be published for a long time, or did he just promise to approve the newspaper one issue at a time?
- 3. Would the students start protesting even more if the principal stopped the newspaper?
- 4. When the welfare of the school is threatened, does the principal have the right to give orders to students?
- 5. Does the principal have the freedom of speech to say "no" in this case?
- 6. If the principal stopped the newspaper would he be preventing full discussion of important problems?
- 7. Whether the principal's order would make Fred lose faith in the principal.
- 8. Whether Fred was really loyal to his school and patriotic to his country.
- 9. What effect would stopping the paper have on the student's education in critical thinking and judgment?
- 10. Whether Fred was in any way violating the rights of others in publishing his own opinions.
- 11. Whether the principal should be influenced by some angry parents when it is the principal that knows best what is going on in the school.
- 12. Whether Fred was using the newspaper to stir up hatred and discontent.

- Most important item     1  2  3  4  5  6  7  8  9  10  11  12
- Second most important     1  2  3  4  5  6  7  8  9  10  11  12
- Third most important     1  2  3  4  5  6  7  8  9  10  11  12
- Fourth most important     1  2  3  4  5  6  7  8  9  10  11  12

GREAT  
MUCH  
SOME  
LITTLE  
NO

DOCTOR'S DILEMMA:  He should give the lady an overdose that will make her die     Can't decide     Should not give the overdose

- 1. Whether the woman's family is in favor of giving her the overdose or not.
- 2. Is the doctor obligated by the same laws as everybody else if giving an overdose would be the same as killing her.
- 3. Whether people would be much better off without society regimenting their lives and even their deaths.
- 4. Whether the doctor could make it appear like an accident.
- 5. Does the state have the right to force continued existence on those who don't want to live.
- 6. What is the value of death prior to society's perspective on personal values.
- 7. Whether the doctor has sympathy for the woman's suffering or cares more about what society might think.
- 8. Is helping to end another's life ever a responsible act of cooperation.
- 9. Whether only God should decide when a person's life should end.
- 10. What values the doctor has set for himself in his own personal code of behavior.
- 11. Can society afford to let everybody end their lives when they want to.
- 12. Can society allow suicides or mercy killing and still protect the lives of individuals who want to live.

- Most important item     1  2  3  4  5  6  7  8  9  10  11  12
- Second most important     1  2  3  4  5  6  7  8  9  10  11  12
- Third most important     1  2  3  4  5  6  7  8  9  10  11  12
- Fourth most important     1  2  3  4  5  6  7  8  9  10  11  12

**PLEASE DO NOT WRITE IN THIS AREA**



GREAT  
MUCH  
SOME  
LITTLE  
NO

WEBSTER:  Should have hired Mr. Lee     Can't decide     Should not have hired him

- 1. Does the owner of a business have the right to make his own business decisions or not?
- 2. Whether there is a law that forbids racial discrimination in hiring for jobs.
- 3. Whether Mr. Webster is prejudiced against orientals himself or whether he means nothing personal in refusing the job.
- 4. Whether hiring a good mechanic or paying attention to his customers' wishes would be best for his business.
- 5. What individual differences ought to be relevant in deciding how society's rules are filled?
- 6. Whether the greedy and competitive capitalistic system ought to be completely abandoned.
- 7. Do a majority of people in Mr. Webster's society feel like his customers or are a majority against prejudice?
- 8. Whether hiring capable men like Mr. Lee would use talents that would otherwise be lost to society.
- 9. Would refusing the job to Mr. Lee be consistent with Mr. Webster's own moral beliefs?
- 10. Could Mr. Webster be so hard-hearted as to refuse the job, knowing how much it means to Mr. Lee?
- 11. Whether the Christian commandment to love your fellow man applies to this case.
- 12. If someone's in need, shouldn't he be helped regardless of what you get back from him?

Most important item    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Second most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Third most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Fourth most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫

GREAT  
MUCH  
SOME  
LITTLE  
NO

STUDENTS:  Take it over     Can't decide     Not take it over

- 1. Are the students doing this to really help other people or are they doing it just for kicks.
- 2. Do the students have any right to take over property that doesn't belong to them.
- 3. Do the students realize that they might be arrested and fined, and even expelled from school.
- 4. Would taking over the building in the long run benefit more people to a greater extent.
- 5. Whether the president stayed within the limits of his authority in ignoring the faculty vote.
- 6. Will the takeover anger the public and give all students a bad name.
- 7. Is taking over a building consistent with principles of justice.
- 8. Would allowing one student take-over encourage many other student take-overs.
- 9. Did the president bring this misunderstanding on himself by being so unreasonable and uncooperative.
- 10. Whether running the university ought to be in the hands of a few administrators or in the hands of all the people.
- 11. Are the students following principles which they believe are above the law.
- 12. Whether or not university decisions ought to be respected by students.

Most important item    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Second most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Third most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫  
Fourth most important    ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫

**PLEASE DO NOT WRITE IN THIS AREA**

GREAT  
MUCH  
SOME  
LITTLE  
NO

DILEMMA #7:  Pro  Can't decide  Con

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
- 12.

- Most important item    1 2 3 4 5 6 7 8 9 10 11 12
- Second most important 1 2 3 4 5 6 7 8 9 10 11 12
- Third most important    1 2 3 4 5 6 7 8 9 10 11 12
- Fourth most important   1 2 3 4 5 6 7 8 9 10 11 12

**DO NOT WRITE IN SHADED AREAS**

GREAT  
MUCH  
SOME  
LITTLE  
NO

DILEMMA #8:  Pro  Can't decide  Con

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
- 12.

- Most important item    1 2 3 4 5 6 7 8 9 10 11 12
- Second most important 1 2 3 4 5 6 7 8 9 10 11 12
- Third most important    1 2 3 4 5 6 7 8 9 10 11 12
- Fourth most important   1 2 3 4 5 6 7 8 9 10 11 12

PLEASE DO NOT WRITE IN THIS BOX



729621

APPENDIX D

INSTRUCTIONAL LETTER

Dear Manager:

On behalf of NOVA Southeastern University Huizenga Graduate School of Business & Entrepreneurship Doctor of Public Administration program and with permission of your administrator, I am conducting a study on managers' perceptions of workplace ethics. I have selected you to participate in the Defining Issues Test (DIT), an anonymous questionnaire that presents you with a variety of solutions to three ethical dilemmas. The questionnaire is untimed but should take approximately 30 minutes to complete.

In order for me to both properly compute these survey results and preserve your anonymity, I need you to first prepare your Identification Number on the upper right-hand corner of your Answer Sheet. Your Identification Number is dependent your answers to the following questions. For each question, write the numeral that represents your answer in the block, and then transpose it to the corresponding bubble. *Note: the block order moves from left to right, while the bubble lines move from bottom to top. Use the #2 pencil to mark your Identification Number as well as the survey questions.*

Question	Block	Bubble Line
Do you have a college degree?	Write this number in the <i>first</i> block.	Fill this bubble number in on the <i>fifth</i> bubble line
Yes	1	①
No	2	②
Are you 45 years of age or under?	Write this number in the <i>second</i> block.	Fill this bubble number in on the <i>fourth</i> bubble line.
Yes	3	③
No	4	④
Are you a female or male?	Write this number in the <i>third</i> block.	Fill this bubble number in on the <i>third</i> bubble line.
Female	5	⑤
Male	6	⑥
Have you had formal ethics training?	Write this number in the <i>fourth</i> block.	Fill this bubble number in on the <i>second</i> bubble line.
Yes	7	⑦
No	8	⑧
N/A	Write a zero (0) in the <i>fifth</i> block.	Fill the 'zero' (⑨) bubble number in on the <i>first</i> bubble line.

Once you have completed your Identification Number, read the first three short stories in the Instructional Booklet: "Heinz and the Drug," "Escaped Prisoner," and "Newspaper." Fill in the number that represents how you would honestly handle each of the three social situations. Please **BE HONEST**. This is an anonymous questionnaire; there are no right or wrong answers.

After you have read each story, complete these Answer Sheet items:

1. What decision would you make about the situation?
2. How important were each of the 12 statements in helping you reach your decision?
3. Rank only four statements that were the most important to you.

When you have completed the survey, seal the Instruction Booklet and Answer Sheet in the envelope provided and submit to your secretary by **Friday, March 8, 2002**. The Instructional Booklet contains further details, but if you have any questions, please contact me at (804) 371-2936. Thank you for taking the time to participate in the DIT!

Sandra F. Mobley 

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