Workplace Behavior

Instructor Guide

Ready to Work
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LESSON TITLE: Workplace Violence  
Method: Lecture, Guided Discussion

EDUCATIONAL OBJECTIVE: Comprehend that properly recognizing and reporting workplace violence threats protects company resources and employees.

SPECIFIC LEARNING OUTCOMES:

a. Recognize the warning signs that lead to workplace violence.
b. List the different categories of threats that may lead to workplace violence.
c. List the causes of workplace violence.
d. List actions an employee must take if he/she notices an employee with warning signs of workplace violence.

PURPOSE: Workplace Violence is an ever-growing concern. Companies are establishing programs to address workplace violence because of the threat of lawsuits, the OSHA General Duty Clause that requires the employer to respond to threats, and good business practice. This lesson is to inform employees of the dangers associated with workplace violence and provide guidelines for prevention and reporting workplace violence.


HANDOUTS: Handbook titled “Workplace Violence: Awareness, Prevention, Response”

METHOD OF EVALUATION:

INSTRUCTIONAL REFERENCES: None other than the instructional aids.

STRATEGY: The handout titled “Workplace Violence: Awareness, Prevention, Response” should be a required reading prior to class. In preparation, the students should look through the handout and write a response on a separate piece of paper to each of the “Specific Learning Outcomes.” The students will view a video entitled “Workplace Violence: The Calm Before the Storm.” Students will discuss the video. After a brief discussion focusing on the learning outcomes, the students will divide into groups and determine the best course of action to resolve a situation and prevent a violent incident. Afterward, the students will discuss their responses. In this lesson there are lead off questions (LOQ) and follow-up questions (FUQ). This lesson is designed to be a guided discussion. If the students cannot answer the questions, turn
the answers into questions. The class activities reinforce the relationship between sexual harassment and worker production. The lesson timing guide outlines the timing for the main points.

**SAFETY:** None
PART II, WORKPLACE VIOLENCE

LESSON PLAN

(COMPUTER SLIDE 3-1, Module Title)

(COMPUTER SLIDE 3-2, Lesson Title)

(COMPUTER SLIDE 3-3, Overview)

OVERVIEW: Workplace violence is an ever-growing concern. In this lesson, you will learn the causes, warning signs, and actions you should take to intervene and prevent workplace violence. You will participate in some group exercises that will provide you much needed information.

TRANSITION: We will watch a short video about workplace violence. You should take notes and be prepared to discuss the video when it is finished.

(COMPUTER SLIDE 3-4, Calm Before the Storm)

MPa. Know different aspects of Workplace Violence.

INSTRUCTOR NOTE: Show the complete video tape titled ‘Workplace Violence: The Calm Before the Storm.” After the videotape, move on to MPb that starts with typical causes of workplace violence.

SHOW VIDEO: Workplace Violence: The Calm Before The Storm

TRANSITION: We have just watched a videotape titled “Workplace Violence: The Calm Before the Storm.” We will begin this part of the lesson with a discussion of the causes of workplace violence.

(COMPUTER SLIDE 3-5, Causes of Workplace Violence)

MPb. Comprehend that workplace violence has numerous causes that influence the company and employees.

LOQ: What does a “rigid, authoritarian style of management” mean?
Management does not listen to workers. Management dictates everything. Management makes all the decisions. Management thinks they know best. Employees are told what, when, where, and how to do things.

FUQ: When you have seen this in the workplace, what was the atmosphere like?
You felt worthless. Your opinion did not matter. Management did not have a clue. Everyone waited for the supervisor to make decisions thereby reducing productivity.

FUQ: How could this be a cause of workplace violence?
Workers may feel like they are trapped. Workers feel their opinions do not matter.

FUQ: What does … mean? (Use the questioning sequence above to discuss other causes of workplace violence.)

FUQ: When you have seen … in the workplace, what was the atmosphere like?

FUQ: How could … be a cause of workplace violence?

TRANSITION: Now that we have discussed the causes of workplace violence, we must look at the warning signs. Knowing the warning signs will make it possible to prevent some incidents.

(COMPUTER SLIDE 3-6 and 3-7, Workplace Violence Warning Signs)

MPc. Comprehend that if the warning signs that lead to workplace violence are recognized, action can be taken to prevent some incidents.

INSTRUCTOR NOTE: DISPLAY THE COMPUTER SLIDE AND GO OVER EACH OF THE DIFFERENT WORKPLACE VIOLENCE WARNING SIGNS. ASK THE STUDENTS WHAT EACH OF THE ITEMS MEAN. ASK THE STUDENTS IF THEY KNOW OF ANYONE THAT HAS DISPLAYED ANY OF THESE WARNING SIGNS.

LOQ: How could “is argumentative” be a warning sign of workplace violence?
People that are argumentative may feel they are being pushed. People that are argumentative may have a
**FUQ: What action could be taken to prevent a workplace violent incident if an employee was argumentative?**

- Other employees could calm them.
- Others employees could talk rationally to him/her.
- Other employees could discuss options without arguing.
- Other employees may sympathize.

**FUQ: How could “…” be a warning sign of workplace violence?**

**FUQ: What action could be taken to prevent a workplace violent incident if an employee was …? (uncooperative)**

**TRANSITION:** We have discussed some of the warning signs. Now we will discuss the different types of threats and ways to deal with them.

**(COMPUTER SLIDE 3-8, Categories of Threats)**

**MPd.** Comprehend that employees must report other employees to diffuse violent situations in the workplace.

**INSTRUCTOR NOTE:** DISCUSS THE DIFFERENT CATEGORIES OF THREATS. PROVIDE EXAMPLES OF EACH OF THE DIFFERENT TYPES OF THREATS.

<table>
<thead>
<tr>
<th>LOQ: Why would a “direct” threat make you want to report someone?</th>
<th>The threat could be serious. You may not know any other circumstances that management may know of. You may save your own life and the lives of others.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FUQ: Why would a “hidden or veiled” threat make you want to report someone?</strong></td>
<td>The person making the threat may think no one could prove that he/she was out to get someone. These threats are just as serious as any others.</td>
</tr>
<tr>
<td><strong>FUQ: Why would a “conditional” threat make you want to report someone?</strong></td>
<td>You never know when the conditions of the threat are going to come true.</td>
</tr>
</tbody>
</table>
TRANSITION: We have talked about the different categories of threats. Next we will discuss the proper documentation that must be completed to ensure a proper response to incidents.

(COMPUTER SLIDE 3-9, Items To Document)

MPe. Comprehend that employees must document the correct information to respond properly to workplace violence.

STATE: The videotape covered numerous items that must be documented when reporting a threat. These items were (1) where did the threat occur, (2) when did the threat occur, (3) who witnessed the threat, and (4) what was said.

<table>
<thead>
<tr>
<th>LOQ: Why do you think it is important to document all this information?</th>
<th>Documents the threat. Allows the threat assessment team to accurately analyze the situation. Provides a means to get help for the individual making the threats. Allows more qualified people to determine if the threat is real.</th>
</tr>
</thead>
<tbody>
<tr>
<td>FUQ: If an investigation reveals the comment is not a threat, what damage may have been caused?</td>
<td>None</td>
</tr>
<tr>
<td>FUQ: If an investigation reveals the comment was a threat, what damage may have been caused?</td>
<td>None</td>
</tr>
<tr>
<td>FUQ: How do you answer the person that believes threats are just threats and should not be reported unless you are positive something is about to happen?</td>
<td>Damage to property and employees may have been averted. You could feel personal guilt if someone is hurt. The employer could take disciplinary action against you for failing to report it. You life or a coworker’s life could be at risk.</td>
</tr>
</tbody>
</table>

TRANSITION: Now that you understand what must be documented, look at an incident that may be considered workplace violence.

(COMPUTER SLIDE 3-10, Recognizing and Reporting)

MPf. Comprehend that properly recognizing and reporting workplace violence threats protects company resources and employees.
LOQ: Should you report all threats even if you think the person is joking? Why or why not?  
Yes, the person may not be joking. This may not be the type of person with whom you wish to work.

FUQ: Why would it be important to report the person’s behavior?  
This may help the threat assessment team determine the seriousness of the situation. The point is to provide as much information as possible to get a good assessment of the situation.

FUQ: Why would more information be better?  
Allows the threat assessment team to take the necessary action to protect the company resources and employees.

TRANSITION: Now look at a situation.

INSTRUCTOR NOTE: GIVE THE STUDENTS ABOUT 15 MINUTES FOR THIS EXERCISE.

(COMPUTER SLIDE 3-11, Situations)

Situation #1 (Student Handout)

STATE: You work on a production line assembling small engines for lawn mowers and snow blowers. John works on the production line installing a small gas tank on an engine. A few minutes ago during break, you were walking through the break area and overheard John talking to Veronica about the problems he was having at work. You heard John say that he thought his wife was cheating on him. He also said the boss did not know how to manage. Why else would the boss have jumped on John for stopping the production line when he did not have the screws to mount the gas tank? It was not his fault. You noticed John appeared to be fidgety and constantly looking around. John then told Veronica that everybody blames him when the line stops, and he was not going to take it anymore. He was going to show everyone what happens when he gets the blame.

Students will form three groups and answer the following questions on a piece of paper.

Is there a threat?

What are the facts?

What must be done?
After each group answers the questions, have them rotate their group’s paper to another group to be evaluated. After the paper is evaluated, return the papers to the original owners for their review. Ask the students what they missed when they reviewed the situation.

INSTRUCTOR NOTE: FEEL FREE TO ADD MORE SITUATIONS AND TO INCLUDE SITUATIONS THAT MAY NOT BE AS OBVIOUS. ALLOW 30 MINUTES FOR SITUATION #2.

Situation #2
I DO NOT HAVE THIS....
After the completion of situation #1, perform Exercise 1, page 10, of the “Workplace Violence: Leader's Guide.” Perform the exercise exactly as written.

(COMPUTER SLIDE 3-12, SUMMARY)

SUMMARY: Examining the causes and warning signs of workplace violence will allow you to determine the best course of action when you suspect that a violent situation could occur. This knowledge will allow you to document pertinent information and make the Threat Management Team’s job easier.

REMTIVATION: Instructor developed.

CLOSURE: Instructor developed.
## TIMING GUIDE

THE TIMES INDICATED BELOW ARE PROVIDED AS A GUIDE ONLY!

### FIRST HOUR

<table>
<thead>
<tr>
<th>Activity</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTRO/OVERVIEW</td>
<td>5 MIN</td>
</tr>
<tr>
<td>MPA VIDEO</td>
<td>30 MIN</td>
</tr>
<tr>
<td>MPB CAUSES OF WORKPLACE VIOLENCE</td>
<td>15 MIN</td>
</tr>
</tbody>
</table>

### SECOND HOUR

<table>
<thead>
<tr>
<th>Activity</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>MPB CAUSES (CONT)</td>
<td>15 MIN</td>
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<tr>
<td>MPC WARNING SIGNS</td>
<td>30 MIN</td>
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</table>

### THIRD HOUR

<table>
<thead>
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<th>Activity</th>
<th>Duration</th>
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</thead>
<tbody>
<tr>
<td>MPD CATEGORIES OF THREATS</td>
<td>10 MIN</td>
</tr>
<tr>
<td>MPE DOCUMENTING</td>
<td>10 MIN</td>
</tr>
<tr>
<td>MPF RECOGNIZING AND REPORTING</td>
<td>5 MIN</td>
</tr>
<tr>
<td>SITUATION #1</td>
<td>20 MIN</td>
</tr>
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</table>

### FOURTH HOUR

<table>
<thead>
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<th>Duration</th>
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<tbody>
<tr>
<td>SITUATION #2</td>
<td>30 MIN</td>
</tr>
<tr>
<td>SUMMARY</td>
<td>10 MIN</td>
</tr>
</tbody>
</table>
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<th>DESCRIPTION</th>
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<td>3</td>
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<td>OVERVIEW</td>
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<td>4</td>
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<td>CALM BEFORE THE STORM</td>
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<td>5</td>
<td>3-5</td>
<td>CAUSES OF WORKPLACE VIOLENCE</td>
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<td>3-6</td>
<td>WORKPLACE VIOLENCE WARNING SIGNS</td>
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<td></td>
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<td>8</td>
<td>3-8</td>
<td>CATEGORIES OF THREATS</td>
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<tr>
<td>12</td>
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<td>SUMMARY</td>
</tr>
</tbody>
</table>
PART III, WORKPLACE VIOLENCE

TEACHING OUTLINE

1. Objective: Comprehend that properly recognizing and reporting workplace violence threats protects the company's resources and people.

2. Main Points:
   a. MPa. Know different aspects of workplace violence.
   b. MPb. Comprehend that workplace violence has numerous causes that influence company and employees.
   c. MPC. Comprehend that if the warning signs that lead to workplace violence are recognized, action can be taken to prevent some incidents.
   d. MPd. Comprehend that employees must report other employees to diffuse violent situations in the workplace.
   e. MPe. Comprehend that properly recognizing and reporting workplace violence threats protects company resources and people.
You work on a production line assembling small engines for lawn mowers and snow blowers. John works on the production line installing a small gas tank on an engine. A few minutes ago during break, you were walking through the break area and overheard John talking to Veronica about the problems he was having at work. You heard John say that he thought his wife was cheating on him. He also said the boss did not know how to manage. Why else would the boss have jumped on John for stopping the production line when he did not have the screws to mount the gas tank? It was not his fault. You noticed John appeared to be fidgety and constantly looking around. John then told Veronica that everybody blames him when the line stops, and he was not going to take it anymore. He was going to show everyone what happens when he gets the blame.

Students will form three groups and answer the following questions on a piece of paper.

*Is there a threat?*

*What are the facts?*

*What must be done?*
WORKPLACE BEHAVIOR MODULE

- DIVERSITY
- SEXUAL HARASSMENT
- WORKPLACE VIOLENCE
- WORK ETHICS
- TEAM MEMBER TRAINING
Workplace Violence
WORKPLACE VIOLENCE

• (K) different aspects of workplace violence.
• (C) that workplace violence has numerous causes that impact the company and employees.
• (C) that if warning signs that lead to workplace violence are recognized, action can be taken to prevent some incidents.
• (C) Comprehend that employees must report other employees to diffuse violent situations in the workplace.
• (C) that employees must document the correct information to respond properly to workplace violence.
• (C) that properly recognizing and reporting workplace violence threats protects company resources and employees.
The Calm Before the Storm
CAUSES OF WORKPLACE VIOLENCE

- Rigid, authoritarian style of management
- Insensitive terminations
- Pressure for increased productivity
- Psychological instability
- Lack of individual responsibility
- Unstable economy
- Widespread job layoffs
- Obsessive love affairs
- Domestic disputes
WARNING SIGNS

A potentially violent employee may exhibit some of the following behaviors:

• Is argumentative.
• Does not cooperate with others.
• Tends to be a loner.
• Has difficulty accepting others.
• Blames others for problems.
• Depends on the job for higher self-esteem.
WARNING SIGNS (CONT)

• May display changes in work patterns.
  ➢ Lowered productivity.
  ➢ Frequent absences and tardiness.
  ➢ More on-the-job accidents.
  ➢ Extreme and bizarre behavior.
  ➢ Depression.
  ➢ Drug/alcohol use.
• Has history of violence.
• Displays unusual interest in weapons.
CATEGORIES OF THREATS

• DIRECT
• HIDDEN OR VEILED
• CONDITIONAL
ITEMS TO DOCUMENT

• Where did the threat occur?
• When did the threat occur?
• Who witnessed the threat?
• What was said?
RECOGNIZING AND REPORTING
WORKPLACE VIOLENCE

- (K) different aspects of workplace violence.
- (C) that workplace violence has numerous causes that impact the company and employees.
- (C) that if warning signs that lead to workplace violence are recognized, action can be taken to prevent some incidents.
- (C) Comprehend that employees must report other employees to diffuse violent situations in the workplace.
- (C) that employees must document the correct information to respond properly to workplace violence.
- (C) that properly recognizing and reporting workplace violence threats protects company resources and employees.
Ethics

If you are unsure, ask before you ACT!

AIDT
March 30, 2012
## LEARNING OBJECTIVES

**I. ETHICS - HOW MUCH DO YOU KNOW?**

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Learning Objectives:

- Define Ethics in the Workplace
- Explain Business Abuse
- Discuss Guidelines For Ethical Behavior
- Explain Individual's Role in Ethical Behavior
- Clarify Organization's Role in Ethical Behavior
- Ethics Checklist

I. ETHICS - HOW MUCH DO YOU KNOW?

Philosophers have been discussing ethics for at least 2500 years, since the time of Socrates and Plato. Any ethics training program is essentially useless unless all staff members are trained about what it is, how it works and their roles in it. This class is designed to provide an overview of these answers.

How would you define the term ethics?
__________________________________________________________________
__________________________________________________________________

How would you define workplace ethics?
__________________________________________________________________

We have all heard of workplace ethics. What some of us don’t realize is that there is no such thing as workplace ethics. Ethics are the same (or should be) whether in the workplace or in our personal lives.
Classroom Activity: Answer the following ethics questions.

**Typical Ethics Questions**

1. If something at a yard sale is far more valuable than the posted price, do I have to let the seller know?

2. Is it considered stealing to take pens from a bank? What about extra napkins from a fast-food restaurant?

3. If a charity sends me free address labels and I don't make a contribution, is it okay to use them?

4. Is it unfair to move into better (open) seats at a sporting event or a concert?

5. My boss gave me credit for a project on which a colleague did most of the work. Should I accept the praise?

6. Am I obligated to lend money to friends and family?

7. If someone tells an offensive joke, is it my responsibility to speak up about it?

8. Is it ever okay to sneak a peek at your child's e-mail?

9. My boss asked me to cover for him on his expense report by saying I was at a meal when I wasn't. Should I do it?

10. Should an employer use social networking sites to check out potential employees?
II. DEFINING ETHICS

The term ethics has many variations such as: conscience, morality, and legality which are commonly associated with it. Rushworth Kidder, the founder of the Global Institute of Ethics, said "Ethics is what you do in the dark when no one's watching."

Ethics is the inner-guiding moral principles, values and beliefs that a person, group and/or culture uses to analyze a situation and then decide what is the “right” or appropriate way to behave.

Ethics deals with fundamental human relationships: how we think and behave toward one another and how we want them to think and behave toward us.

A. WHAT IT MEANS

Ethics identifies which behaviors are accepted by a culture/society such as: right vs. wrong, good vs. evil, moral vs. immoral, and legal vs. illegal.

Since the ethics concept has come to mean various things to various people, the knowledge of the difference between right or wrong and consciously choosing to do what is right is what ethics is all about. This means being committed to doing the right thing each and every time for the product, process and or service that the company provides to its customers.

Ethics are different than laws and different than doing the right thing as a result of fear of consequences. While something that is unethical might be illegal, there is not necessarily a perfect overlap. Furthermore, in many ways ethics can be even more important than the law, since the law will only deter a person from bad behavior if they fear penalty, while a person with a strong code of ethics will do the right thing just because it is the right thing to do.

Ethics - March 30, 2012
Ethics may not always feel good or appear to benefit the individual. Ethical choices are the right choices to make no matter how difficult and unpopular the decision may be.

The Professional Personnel Development Center at Penn State stated "Ethics is a phrase that describes actions and beliefs of certain people. If a person works very hard and exhibits a great deal of pride in that work, that person is said to have “good work ethic.” It is said that these people tend to be loyal, dependable, self-motivated, and satisfied workers. They believe that they have an obligation to work hard in order to provide for their families, contribute to the economic health of the community, and achieve a level of success for their own self-esteem.”

B. SOURCE OF ETHICS

Experiences from our environment create a concept of ethics, morality, and socially acceptable behavior in each of us.

Beliefs of societal ethics come from:

_____________________________________________________________
_____________________________________________________________
_____________________________________________________________

Ethics are like a jigsaw puzzle that is thrown together over time that, when complete, makes up who we are and what we believe. From our earliest experiences, we start to learn from those we trust and others around us. These learned behaviors help to shape us into the person we will become. As part of this learning process, we develop what will become our norms.

Norms are our everyday way of looking at how the world around us works and helps us to understand our place in the world. Norms also govern how we react to different situations and problems that arise around us. These are our ethics, which are the things we learn as we grow that control the rest of our lives.
C. IMPORTANCE OF ETHICS

Ethics are important for a number of reasons.

First, ethics are important because they give us a baseline for understanding the concepts of right and wrong. Ethics help us to have a ready understanding of how to react to a certain situation long before that situation occurs. There are situational ethics whereby we react as the situation dictates due to our built-in value systems that tell us what to do, not the situation itself. The major problem with having situational ethics is that they change with the situation. Having a standard of ethics that govern us each day of our lives means we always know how we are to live no matter what. There is no second-guessing and no changing your ethics according to what you feel your values are at the moment.

Second, ethics are important because they are the foundation from which we operate when dealing or coming into contact with other people. If we have the wrong sense of ethics we may react to people in a negative manner. But if our ethics are built on the truth, we will see people for who they are.

Third, ethics are the heart of an individual’s integrity and values.

Fourth, ethics are important because we pass them on to others. We have the ability to show others the correct way to act and behave by remaining ethical in the way we live, regardless of whether it involves our personal or professional lives.

D. ETHICS TRAINING

Why conduct ethics training?

Discussion question: If we are all touched by the ethics bug at some point in our lives, why do we need ethics training?
Today’s workforce is more diverse than ever, therefore ethical issues can become a concern if companies are not prepared for this challenge. Ethics training is designed to educate employees on how to react to unethical behaviors/situations when encountered in the workplace. This training empowers employees with an internal gauge or compass to recognize misconduct, and the guidelines for reporting violations whether they be written (Organizational Code of Conduct) and/or unwritten (moral conduct) to their Chain of Command. It is also thought to help reduce the cost associated with litigation, as well as bringing the workforce closer together by sharing a common ethical goal.

**Right or Wrong**

Most of us already know the difference between right and wrong. We know the difference between telling the truth and telling a lie. We can explain why honesty and integrity are important. For the most part we are basically good people. We work hard. We try hard. We learn from our mistakes, usually that is. It’s something that is developed over time. It’s something that constantly evolves based on the decisions we have made, ethical or not.

The same logic holds true for the workplace. Based upon other companies’ activities, ethical and/or unethical, we generally know what are acceptable and unacceptable work ethic practices. Despite hundreds of papers on policies, procedures, codes on ethics and conduct, lapses in workplace ethics occur daily. It would be naive to suggest that an emphasis on ethics or more ethics training will eliminate workplace misconduct.
Small Group Discussion:

Answer the following ethics question.

Assume that you are an employer. List several work ethic characteristics that you would want your employees to possess to ensure the success of your company?

____________________________________________________________
____________________________________________________________
____________________________________________________________
____________________________________________________________

E. BUSINESS ETHICS

Business ethics comprise the principles and standards that guide behavior within the business world. It is even more critical during times of fundamental change such as; mergers, acquisitions, downsizing, transitions and/or restructuring. Throw in our ever changing economy, and values that were previously taken for granted will be strongly re-examined. Many previous values may no longer be followed. Consequently, there will be no clear moral compass to guide the organizational leaders through complex dilemmas and decision making concerns about what is right or wrong during the change.

Many business ethics considerations are merely an extension of an individual’s own personal ethics. Many companies believe that if they hire good people with strong ethical values, then they will be good citizens for the organization. Unfortunately, this is not completely true because an individual’s personal values and moral philosophies are only one factor in their ethical decision making process.

There is a whole different set of ethical guidelines/rules, which are applicable within the workforce. In most organizations, we are introduced to these guidelines/rules during the company’s newcomers orientation.
These orientations are designed to inform applicants joining an organization of what is acceptable and unacceptable behavior concerning their processes, products and or services. The newcomer's orientations also indoctrinate candidates with the knowledge of what individual behavior(s) will and/or will not be tolerated by the employees within that organization. Since employers pay the employee’s salaries, they have the right to specific expectations such as good work ethics. Be aware that employers look for, look at, and measure their employees’ performance based upon their ethical behavior for retention and/or promotions.

Individual work ethic is a cultural norm that advocates being personally accountable and responsible for the work that one does based on a belief that work has intrinsic (built-in) value.

Just being a good person, and possessing sound personal ethics may not be sufficient to enable you to handle the ethical issues that arise in a business environment.

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**Small Group Discussion:**

**Answer the following ethics question.**

What factors affect ethical business decisions?

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**1. Ethical Principles for Business Executives**

Ethical codes that govern businesses often address certain areas. Listed are the areas, as compiled by the Josephson Institute Center of Business Ethics.
Ethical values, translated into active language, establish standards or rules, describing the kind of behavior an ethical person should and should not engage in, are ethical principles. The following list of principles incorporate the characteristics and values that most people associate with ethical behavior. Ethical decision making systematically considers these principles.

• **HONESTY**

Ethical employees/workers are honest and truthful in all their dealings and they do not deliberately mislead or deceive others by misrepresentations, overstatements, partial truths, selective omissions, or any other means.

• **INTEGRITY**

Ethical employees/workers demonstrate personal integrity and the courage of their convictions by doing what they think is right even when there is great pressure to do otherwise; they are principled, honorable and upright; they will fight for their beliefs. They will not sacrifice principle for expediency, be hypocritical, or unscrupulous.

• **PROMISE-KEEPING & TRUSTWORTHINESS**

Ethical employees/workers are worthy of trust. They are candid and forthcoming in supplying relevant information and correcting misapprehensions of fact, and they make every reasonable effort to fulfill the letter and spirit of their promises and commitments. They do not interpret agreements in an unreasonably technical or legalistic manner in order to rationalize non-compliance or create justifications for escaping their commitments.

• **LOYALTY**

Ethical employees/workers demonstrate fidelity and loyalty to persons and institutions by friendship in adversity, support and devotion to duty; they do not use or disclose information
learned in confidence for personal advantage. They safeguard the ability to make independent professional judgments by scrupulously avoiding undue influences and conflicts of interest. They are loyal to their companies and colleagues and if they decide to accept other employment, they provide reasonable notice, respect the proprietary information of their former employer, and refuse to engage in any activities that take undue advantage of their previous positions.

• FAIRNESS

Ethical employees/workers are fair and just in all dealings; they do not exercise power arbitrarily, and do not use overreaching or indecent means to gain or maintain any advantage or take undue advantage of another’s mistakes or difficulties. Fair persons manifest a commitment to justice, the equal treatment of individuals, tolerance for and acceptance of diversity, they are open-minded; they are willing to admit they are wrong and, where appropriate, change their positions and beliefs.

• CONCERN FOR OTHERS

Ethical employees/workers are caring, compassionate, benevolent and kind; they like the Golden Rule, they help those in need, and seek to accomplish their business objectives in a manner that causes the least harm and the greatest positive good.

• RESPECT FOR OTHERS

Ethical employees/workers demonstrate respect for human dignity, autonomy, privacy, rights, and interests of all those who have a stake in their decisions; they are courteous and treat all people with equal respect and dignity regardless of sex, race or national origin.
• **LAW ABIDING**

Ethical employees/workers abide by laws, rules and regulations relating to their business activities.

• **COMMITMENT TO EXCELLENCE**

Ethical employees/workers pursue excellence in performing their duties, are well informed and prepared, and constantly endeavor to increase their proficiency in all areas of responsibility.

• **LEADERSHIP**

Ethical employees/workers are conscious of the responsibilities and opportunities of their position of leadership and seek to be positive ethical role models by their own conduct and by helping to create an environment in which principled reasoning and ethical decision making are highly prized.

• **REPUTATION AND MORALE**

Ethical employees/workers seek to protect and build the company’s good reputation and the morale of its employees by engaging in no conduct that might undermine respect and by taking whatever actions are necessary to correct or prevent inappropriate conduct of others.

• **ACCOUNTABILITY**

Ethical employees/workers acknowledge and accept personal accountability for the ethical quality of their decisions and omissions to themselves, their colleagues, their companies, and their communities.

Reference:  http://josephsoninstitute.org/business/blog/2010/12/12-ethical-principles-for-business-executives/
Discussion question.

Who is affected by the decisions businesses make?

____________________________________________________________
____________________________________________________________
____________________________________________________________
____________________________________________________________

2. What About Stakeholders?

This illustration depicts the relationship of the company to its stakeholders. Stakeholders are those people who have a claim or stake in some way to the company’s product, operations, markets, industry, and outcomes.
It is important that companies build credibility with their stakeholders concerning their product brand name. This can be accomplished through:

- adherence to product commitment/specifications
- obtaining company goals through honorable practices

The ability to recognize and deal with complex business ethical issues has become a significant priority to companies. A number of well-publicized scandals resulted in public outrage about deception and fraud in business. A demand for improved business ethics and greater corporate responsibility has been requested. A global opinion poll for the World Economic Forum concluded that public trust in companies has eroded and dropped significantly over the last few years.

For the sake of both productivity and teamwork, it is essential that employees both within and between departments (internal customers) throughout the organization share a common vision. Programs that create a work environment that is trustworthy make individuals more willing to rely and act on their decisions and on the decisions and actions of their co-workers, supervisors and managers.

To be successful, the relationship with stakeholders must rest on dependability, trust, and commitment. Investors look at the bottom line for profits and the potential for increased stock prices or dividends. They also look for potential flaws in the company’s performance, conduct, and financial reports.

Evidence indicates that social responsibility, including business ethics, is associated with increased profits. One survey indicated that three out of four consumers refuse to buy from certain businesses, and that a business’s social conduct was considered an important reason for avoiding their business practices.
Discussion question.

What percentage of people do you think believe the following statements to be true?

• American businesses are too concerned about profits, and not concerned about responsibilities to workers, consumers, and the environment. ____________.

• If the opportunity arises, most businesses will take advantage of the public if they feel they are not likely to be found out. ____________.

• Even long established companies cannot be trusted to make safe and durable products without the government setting industry standards. ____________.

Ethics in the workplace includes working relationships. How the management staff treat their company employees, clients, customers, suppliers, and or stakeholders directly reflects the way employees will also treat them.

Management Treatment:

- Employees
- Clients
- Customers
- Other Management
- Suppliers
- Stakeholders

Directly reflects how the employees treat
3. Why Ethical Problems Occur in Business

<table>
<thead>
<tr>
<th>Reason</th>
<th>Nature of Ethical Problem</th>
<th>Attitude</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal gain and selfish interest</td>
<td>Selfish interest versus other's interest</td>
<td>&quot;I want it&quot;</td>
</tr>
<tr>
<td>Competitive pressures on profits</td>
<td>Firm's interest versus other's interest</td>
<td>&quot;We have to beat the others at all costs.&quot;</td>
</tr>
<tr>
<td>Conflict of interest</td>
<td>Multiple obligations or loyalties</td>
<td>&quot;Help yourself and those closest to you.&quot;</td>
</tr>
<tr>
<td>Cross-cultural contradictions</td>
<td>Company's interests versus diverse cultural traditions and values</td>
<td>&quot;Foreigners have a funny notion of what's right and wrong.&quot;</td>
</tr>
</tbody>
</table>

What should a company do to eliminate unethical business decisions?

The first step is to create a company policy, in writing, that is read, signed, and upheld by every employee. This will assist in erasing most feelings of ambiguity when it comes to deciding what to do after witnessing unethical behavior.

The second is to give a clear outline of what is expected of the individual who has discovered the unethical behavior. This should include contacting the appropriate supervision/management personnel. Clear instructions, will allow for less hesitation in reporting unethical activities, and then the violation can be dealt with quickly and relatively easily, before it can develop into an overwhelming issue.

Furthermore, the repercussions of unethical behavior should be clearly stated. This way, both the person doing the activity, and the witness to the activity will be well aware of the way things will be dealt with. There won't be any risk of someone not reporting unethical behavior because they're afraid that the culprit will be unfairly treated, or some sort of retaliation may occur for reporting the misconduct.

http://www.anonymousemployee.com/csssite/sidelinks/unethical_behavior.php
The customer’s product is the end result of the employees’ efforts and should reflect the companies’ commitment to excellence. As the product(s) are viewed, so too is the company’s reputation viewed.

The organizations’ employees are the source of its strength. Team members should work together, not just on their assigned tasks, but on interpersonal relationships as well.

4. **Ethics and the Internal Customer**

People have the right to:

- Be treated with dignity and respect.
- Work in an environment free of discrimination, abusive, offensive or harassing behavior.

**Small group discussion:**

What are some things co-workers can do to each other that could result in uncomfortable internal customer relationships?

5. **Ethics and the Organization**

Pressures to excel in business come from everywhere; shareholders, bosses, competitors, and even competitive peers within an organization. From time to time, some business leaders find it expedient to take shortcuts, which are unethical and potentially illegal.

Pressures to take shortcuts are often self-initiated in a quest to show results or by an ambition to get ahead. Shortcuts such as bending the rules, or making a minor adjustment seem so small and insignificant
at first. But over a period of time, like a little white lie, a person can become overconfident and these small shortcuts (which have now become a part of the process) get bigger and bigger. Eventually, they get caught up in their own unethical web. Getting caught by an accountant, an auditor, the company security system/staff or a co-worker is inevitable. Remember, it is easy in stressful situations to succumb to making panic decisions that could later be regretted.

It is sad, but true, that unfortunately every employee will at some point encounter a co-worker(s) engaging in some sort of unethical behavior. During the last decade, studies have consistently shown that one of the main reasons employees decide not to raise ethical concerns or report misconduct they observe at work is their fear of retaliation for speaking up. Companies should be aware that employees are just as likely to fear retaliation from coworkers as they are from management.

Discuss responses for these ethically based questions.

- Should a salesperson omit facts about a product’s poor safety record in a sales presentation to a client? Explain your answer.

- Should an accountant report inaccuracies that he/she discovered in an audit, to keep from making the company look bad. Explain your answer.

- Should an automotive tire manufacturing company intentionally conceal safety concerns to avoid a massive and costly tire recall? Explain your answer.
As employees, what are our choices?

• Ignore business abuse
• Rationalize it away
• Speak up, report violations

Discussion question.

If a coworker reports an ethical misconduct what are they called or labeled? ____________________________

A 2002 NBES finds that one in three employees believe their coworkers will see them as “snitches” if they report misconduct. This is roughly the same proportion of employees who believe that management will see them as “troublemakers” for reporting ethical concerns.

The report showed that only 1% of reports are made by using some sort of whistleblower hot line, and retaliation for reporting misconduct is most likely to occur at the local government level instead of at the state and federal levels.

Definition of a Whistleblower

When an employee in an organization uncovers wrongdoing, attempts to get it resolved within the organization and is unable to do so (either because mechanisms are not in place or there is no response), they then choose to report the situation outside of the organization (e.g. media or government).
6. **The Sarbanes-Oxley Act**

In 2002, Congress passed the Sarbanes-Oxley Act, largely in response to widespread corporate accounting scandals making it illegal for employees to retaliate in any way against whistleblowers who report information that could have an impact on the value of a company’s shares. It also requires boards of directors to establish procedures for hearing employee’s complaints.

Companies now must create an independent board audit committee, a code of conduct and ethics policies, whistleblower hot lines, and annual reports on effectiveness of financial reporting systems. CEOs and CFOs must sign off on the accuracy of financial statements. The act directs that Organizational Sentencing Guidelines be reviewed and amended. Penalties: up to $5 million and twenty years in prison.

7. **Darrin Clements’s 10 Point Ethical Checklist:**

   a. **The Golden Rule (Ethic of Reciprocity or Role-Reversal):**

      Would I want people to do this to me? How would I feel if I were in their place?

      1. (Positive form): One should treat others as one would like others to treat oneself.

      2. (Negative/prohibitive form, also called The Silver Rule): One should not treat others in ways that one would not like to be treated.

   b. **The Fairness Test (Morning After Test):**

      Who might be affected and how? Is this fair to everyone? How will I feel about the act the morning after? The next day, do you ask yourself, have I done the right thing? Did I break a rule, policy, procedure, and protocol?
c. **The ‘What if everybody did this?’ Test (Common Sense Test):**

Would I want everyone to do this? Would I want to live in that kind of world? Can I discuss this with anyone, a peer, a colleague, my mentor or a manager with out fear of unfavorable consequences?

d. **The Truth Test:**

Does this action represent the whole truth and nothing but the truth?

e. **The Parents Test:**

How would my parents feel if they found out about this? What advice would they give me?

f. **The Children Test:**

Would I be willing to explain everything about this to my kids and expect them to act in the same way?

g. **The Religion Test:**

Does this go against my religion?

h. **The Conscience Test (Mirror Test):**

Does this go against my conscience? Will I feel guilty? Can I look myself in the mirror? Is my conscience bothering me? How would others judge my actions? What impact could this have on my agency, project, position, etc.?

i. **The Consequences Test:**

Are there possible consequences of this action that would be bad? Would I regret doing this? How could this impact my colleagues, family and/or friends?
j. **The Front Page Test:**

How would I feel if my actions were reported on the front page of my hometown paper? How would I feel if this became public knowledge? How would my colleagues and/or others whose opinions I respect, view my actions?

8. **Work Rules**

*Work rules* are usually stricter than those in school because a business is primarily involved in making money. Below are some general work rules that apply to the workforce.

a. **Attendance and Punctuality:**

1. Show up for work as scheduled.
2. Arrive a few minutes early.
3. Call employer as early as possible when you will have to miss work.
4. Ask, don’t tell, the supervisor when you will need to take time off (ask as early as possible to allow for scheduling as necessary).
5. Return from breaks on time.
6. Run personal errands on your time.
7. If you and a co-worker need to switch assignments, get the change approved prior to conducting the switch.

b. **Neat appearance and appropriate clothes for the job:**

1. Precautions should be taken against body and breath odor.
2. Clean hands and nails.
3. Dangling jewelry may be distracting (NOTE: For safety reasons, wearing of jewelry in some occupations is prohibited.)
4. Clothing fads, jeans and t-shirts may not be appropriate.
5. Hair should be clean and styled.
6. Remember you are not completely dressed until you put on your SMILE!
c. Visiting on the job:

1. Work time is work time, using company computers, phones, and or office equipment for your personal use is discouraged and should not be done on company time.
2. Personal telephone calls should be kept at a minimum.
3. Family and friends must understand that they should not call or have lengthy personal visits during work hours.

d. Keep busy/Stay productive:

1. Never just stand around
   • There are always things that need to be cleaned, straightened, stacked, marked, or displayed.
   • Every job, regardless of how dirty or unattractive is important, the cleaner the area, the higher the morale.
   • Use slack/down periods to learn more about the job or other jobs within the facility.
2. Never sit down on a job that can be performed better standing.
3. Do not wait to be told to do something.
4. Work even when the supervisor is not looking.
5. Stay with a task until it is completed, multi-task only when necessary.
6. Do not become upset if you have to re-do a job.

e. Maintain poise:

1. Have a positive attitude.
2. Stay calm, work quickly and steadily without getting flustered when things go wrong or work piles up (because it will).
3. Speak in a clear, distinct, refined voice, avoid slang, cursing and improper English.
4. Avoid giggling, boisterous voice, distracting nervous gestures or habits.
5. Do not participate in the shop floor gossip.
Checklist For Building Confidence On Ethical Decisions:

Utilize the A.C.T. with Integrity Model

A – Analyze the situation

Is it legal? Am I violating any law or company policy?

Am I acting fairly? Would I want to be treated this way?

C – Consider the consequences

How will it make me feel about myself?

Will I have to hide my actions or keep them secret? Has someone warned me not to disclose my actions? Am I feeling unusually nervous?

T – Take appropriate action

Report misconduct to the organization’s Chain of Command

Some managers think ethics is an individual issue that has nothing to do with management, while others believe ethics has everything to do with management. Managers are responsible for their decisions and the ethical conduct of their employees.

Managers often set the formal ethical standards, but more important are the messages they send through their actions. Management’s tolerance or intolerance of ethical misconduct influences employees more than any written ethics codes.

9. The Organization’s Role In Ethics

Ethics begins at the top. Companies should create an atmosphere/environment that promotes, expects and rewards good ethical behavior. They should set an example of ethical behavior in all internal and external dealings and act with consistency.
Benefits To The Employees Who Work For An Ethical Organization:

- Less pressure/stress to compromise their own ethical standards.
- More productive because there is less misconduct to distract them.
- Greater willingness to report misconduct, trusting the company to do what is right for the company and the employees.
- Greater satisfaction with the organization for handling the misconduct that is reported.
- Greater likelihood of feeling valued by the company.
- Generally stay out of court. Litigations can filter down to an individual.

A company must have an effective program to ensure that all employees understand its values and comply with the policies and code of conduct that create its ethical culture. Because employees come from diverse businesses, educational and family backgrounds, it cannot be assumed that we all know how to behave appropriately when we enter a new organization or job.

Company representatives should recognize that employees either enhance or diminish a company’s reputation through their daily decisions and interactions. There are tremendous benefits for everyone when a company takes ethical practices seriously.

Benefits To The Organization For Maintaining Ethical Standards:

- Recruit and retain top performers
- Attract and maintain loyal customers
- Create a more productive work environment
- Build and sustain a good brand name reputation
- Reduce the “Gray Area”, legitimizing open discussion of ethical issues
- Stay in business and out of court
Guilt or an uneasy feeling is a signal that an unethical decision has occurred. You must avoid any relationship or activity that might impair your ability to make objective and fair decisions when performing your job(s).

10. **Rationalizing Unethical Behavior**

List some reasons people may choose unethical behavior:

_______________________________________________________
_______________________________________________________

Employee commitment comes from employees who believe their future is tied to that of the organization and their willingness to make personal sacrifices for the organization. The more a company is dedicated to taking care of its employees, the more likely it is that the employee will take care of the organization.

**Types of Misconduct Observed by Employees in 2011:**

<table>
<thead>
<tr>
<th>Misconduct</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Misuse of company time</td>
<td>33%</td>
</tr>
<tr>
<td>Abusive or intimidating behavior</td>
<td>21%</td>
</tr>
<tr>
<td>Lying to employees, customers, public</td>
<td>20%</td>
</tr>
<tr>
<td>E-mail and Internet abuse</td>
<td>16%</td>
</tr>
<tr>
<td>Discrimination (race, color, age, gender…)</td>
<td>15%</td>
</tr>
<tr>
<td>Violation of safety regulations</td>
<td>13%</td>
</tr>
<tr>
<td>Mis-reporting actual time worked</td>
<td>12%</td>
</tr>
<tr>
<td>Stealing or theft</td>
<td>12%</td>
</tr>
<tr>
<td>Sexual harassment</td>
<td>11%</td>
</tr>
<tr>
<td>Producing goods/service that fails specification</td>
<td>10%</td>
</tr>
<tr>
<td>Misuse of confidential information</td>
<td>7%</td>
</tr>
<tr>
<td>Falsification or misrepresentation of financial records or reports</td>
<td>5%</td>
</tr>
<tr>
<td>Improper use of competitors’ inside information</td>
<td>5%</td>
</tr>
<tr>
<td>Giving or accepting bribes, kickbacks, or inappropriate gifts</td>
<td>5%</td>
</tr>
</tbody>
</table>

*Source: 2012 Ethics Resource Center*
F. **ETHICAL DILEMMA**

An ethical dilemma is a problem, situation, or opportunity that requires an individual, group, or organization to choose between two or more equally unsatisfactory alternatives.

Employees face ethical dilemmas every day in the workplace. Sometimes it is difficult choosing to do what is right over what is easy and comfortable. Simply put, ethics involves learning what is right or wrong, and then doing the right thing -- but "the right thing" is not nearly as straightforward as it sounds. Many ethicists believe that there's always a right thing to do based on moral principle, and others believe the right thing to do depends upon the situation -- ultimately it's up to the individual. Most ethical dilemmas in the workplace are more complicated than choosing the right thing to do.

As stated earlier, something that is unethical might be illegal, there is not necessarily a perfect overlap. If a person had no code of ethics, they could steal, as long as no one was watching. They could lie to loved ones or to strangers, as long as the lie didn't rise to the level of criminal fraud. They could engage in all sorts of things that were "wrong" and "bad" as long as they didn't get caught.

What happens when someone asks you if they look fat or if their bad tasting dinner is delicious? The ethical dilemma there: which is more ethical, lying or being unkind? Other ethical dilemmas become a bit more complex. For example, is it right to steal from the rich to give to the poor? Is it right to fight wars in the name of a good cause, even if innocent people get hurt or killed?

**What is The Gray Area?**

Many employees find that discovering unethical behavior among co-workers actually tests their own values and ethical behaviors. After all, unethical behavior that is not illegal frequently falls in a gray area between right and wrong that make it difficult to decide what to do when it is encountered.

When employees discover other employees doing something that they know is wrong by the company's standards, their own sense of what is right and what is wrong instantly comes into question. Even by deciding to do...
something about it, the employee who has discovered the unethical behavior is presented with a number of difficult choices. Should the employee speak to the individual directly, or should the employee head directly to a company supervisor?

Small group activity:

Read each of the following case study problems and decide if anything needs to be done to correct the situation. Explain your reasoning in the space provided.

A. Roger works for a manufacturer of building and home improvement supplies. Because he often must do heavy, dirty work, it is not necessary for him to wear dress clothes. Therefore, he usually wears his old jeans with the knee worn out and one of his t-shirts with the picture of a marijuana or wine bottle.

Are there any work rules being violated or ethical misconduct occurring?

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
B. Betty works in a small jewelry store with only one other employee. As soon as Betty arrives at work, the other employee can go on break and then do some bookkeeping duties that cannot be done until someone comes to help the customers. However, because Betty has such little time between school and work, she asked if she could also have a break. Now Betty’s mother calls frequently to give her a short shopping list to fill during her break, and Betty calls her mother to ask about borrowing the family car after work.

Are there any work rules being violated or ethical misconduct occurring?

C. Lucy works at a flower shop. She is an excellent employee except for one problem. Lucy has difficulty getting to work on Saturday mornings after a late date on Friday nights. She doesn’t hear her alarm go off and has left work early several times.

Are there any work rules being violated or ethical misconduct occurring?
D. Susan is a timid girl who works in the ladies’ ready-to-wear department of a well-known chain of department stores. She is very good about assuming new responsibilities. For example, after she quickly finished marking a shipment of blouses, she asked the head of the department to show her how to operate the ticket printing machine and how to figure the cost code. However, when it came time to display the blouses, several of the plastic bags protecting the blouses were so badly wrinkled that they looked like old merchandise. Consequently, several of the blouses had to later be marked down in order to sell.

Are there any work rules being violated or ethical misconduct occurring?

_______________________________________________________
_______________________________________________________
_______________________________________________________
_______________________________________________________
_______________________________________________________
_______________________________________________________

E. Stanley just got fired. His explanation is the following: “The boss seemed to have a good reason for cutting back on the number of employees at this time, but I think he really just doesn’t like me. The boss mentioned once that I didn’t seem interested in the job. Heck, I’m going to be a lawyer. I just want to work in the men’s clothing store to get through eight years of college. I don’t need to know how to do all that stuff in the store. Besides, the boss always got mad if I just stood around a minute. He and the other employees are always standing around talking to each other when there aren’t any customers in the store. They expect me to do my work and their work, too, especially if it is a dirty job.”

Are there any work rules being violated or ethical misconduct occurring?

_______________________________________________________
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_______________________________________________________

Ethics - March 30, 2012
F. Bob has been observed using the office’s postage stamps for personal letters.

Are there any work rules being violated or ethical misconduct occurring?

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Any ethics program may invite suspicion if not handled openly and honestly. No matter how fair and up-to-date a company’s policies are, the legal system will often interpret employee behavior (rather than written policies) as de facto policy. Therefore, all employees must be aware of and act in full accordance with their organization’s ethics policies and procedures.

Summary, if you are unsure before you act, ASK!
Typical Ethical Questions and Answers

1. If something at a yard sale is far more valuable than the posted price, do I have to let the seller know?

A piece of furniture you've been searching for is marked $25. You know that similar pieces in worse condition have sold for more than 10 times as much. You're under no obligation to correct the seller on their underpricing. One of the beauties of yard sales is such finds. Savor yours.

2. Is it considered stealing to take pens from a bank? What about extra napkins from a fast-food restaurant?

While grabbing a pen isn't necessarily considered stealing, you should just ask the teller if you have any doubts. That said, one pen is okay, but enough to stock your home office isn't (the same goes for napkins). A good rule is: If something feels sneaky, then it probably isn't a good idea.

3. If a charity sends me free address labels and I don't make a contribution, is it okay to use them?

Go right ahead. The labels and the request were unsolicited. Better you should put them to use than toss them in the trash. If it's a cause you believe in and are willing to support, then terrific if you can make a donation as well. But as you affix the labels to your envelopes, you can do so with a clear conscience.

4. Is it unfair to move into better (open) seats at a sporting event or a concert?

There's no harm in seeing if you can move into a better viewing position. But before you do, make sure there's no posted policy against it. And if an usher asks to see your tickets, be prepared to move back to your original seats without argument.
5. My boss gave me credit for a project on which a colleague did most of the work. Should I accept the praise?

Fight the urge to accept the compliment wholeheartedly. It's unfair for your colleague not to get the kudos they deserve. But you don't want to sell yourself too short, either. An appropriate response: "Thanks, but while all of us worked hard, it was Evan who did the bulk of the work on the project."

6. Am I obligated to lend money to friends and family?

One of your oldest friends asks if you can lend her money to make her condo payment. You feel as if you should help her out since she is a dear friend, but in actuality you have no such duty, particularly if doing so puts your own finances in a squeeze. Decline by saying you are steeped in your own bills. If a family member calls seeking aid, again, there's no requirement. But if they are truly in need and you have the money, concern about their well being should trump any fears you have about them paying you back. If you do lend money to a family member or friend who has reoccurring financial problems, you should be prepared never to see that cash again.

7. If someone tells an offensive joke, is it my responsibility to speak up about it?

Letting such humor pass without comment not only permits the teller to be offensive to you and other people but also sends the message that you're okay with hearing such bunk. Unless the joke crosses the line into harassment territory, there's no need to beat the person up in response. A simple "I enjoy a good joke now and then, but, you know, yours was pretty offensive" will suffice.

8. Is it ever okay to sneak a peek at your child's e-mail?

Yes, if it's a quick scan while you're walking by the computer. But if you decide to do anything more invasive, like opening e-mails, then you should have an agreement with your child that from time to time you will be screening their online activity. If your child ever finds out that you have read their e-mail without their consent, then
rebuilding trust will prove monumental. (And keep in mind that given how tech-savvy kids are these days, they may have an e-mail account all scrubbed and ready for your discriminating eyes.)

9. My boss asked me to cover for him on his expense report by saying I was at a meal when I wasn't. Should I do it?

Your boss put you in a miserable position. Signing your name to the report makes you just as culpable should the misdeed be discovered. But if you stand up to him, you could find yourself out of a job. Bear in mind that a boss who would put you in such a predicament will probably do it again.

Reference: http://articles.cnn.com/2010-03-10/living/rs.10.ethical.questions_1_labels-stealing-pen?_s=PM:LIVING

10. Should an employer use social networking sites to check out potential employees?

The use of Facebook by employers is a controversial issue. The information available through this social media network makes it easier for employers to judge the inherent value, character and personality of the future employees and candidates for jobs in their companies. Employers feel they have every right to find out all they can with regard to people they are considering for employment. Unfortunately some of the information found on Facebook can be misleading or misinterpreted making a candidate seem unworthy. Potential employees have questioned the ethics of using Facebook as a means of checking candidates. There are people who have actually gone as far as blocking their profiles and information from potential employers, while others have created profiles that are more acceptable to future employers.

For more information see:
http://adrienne2.hubpages.com/hub/Is-It-Ethical-For-Employers-To-Use-Social-Networking-Sites-To-Check-Out-Potential-Employees
Failure to practice fundamental workplace ethics on a daily basis diminishes the quality of life in the workplace for each and every employee.

Examples of Employees Failing to Practice Fundamental Workplace Ethics:

1. You use the last roll of toilet paper, or the last piece of paper towel and go back to your workstation without replenishing the roll.

2. You call in sick, or leave work early to meet a client, instead you go fishing, to the beach, shopping.

3. You leave your dirty cup, dish or utensil in the lunchroom.

4. You work in a restaurant in which wait staff tips are shared equally and you withhold a portion of your tips from the common pot.

5. You use the company phone to make non-work related long distance calls or use your personal cell phone to talk with family and friends on non-emergency subjects.

6. Without authorization you take office supplies home.

7. You use the company computer to shop, pay bills, conduct your online banking.

8. You use the last of the copier/printer paper without replenishing it.

9. You allow a part that you know does not meet specification to leave your workstation uncorrected.

10. You claim credit for someone else’s work.

http://humanresources.about.com/od/businessethics/qt/workplace.htm
Sources:

Business Ethics seventh edition, by Ferrell, Fraedrich and Ferrell copyright 2008

The Professional Personnel Development Center, Penn State University

Josephson Institute on Business Ethics article dated 2010

Michael Fortin on copywriting, marketing, business and life article. articles.cnn.com

answers.yourdictionary.com

allaboutphilosophy.com

article: Is it ethical for employers to use social networking sites to check out potential employees?
This page intentionally left blank.
If you are unsure before you act, ASK!
Learning Objectives

- Define Ethics in the Workplace
- Explain Business Abuse
- Discuss Guidelines for Ethical Behavior
- Explain Individual’s Role in Ethical Behavior
- Clarify Organization’s Role in Ethical Behavior
- Ethics Checklist
How Much Do You Know?

How would you define ethics?

How would you define workplace ethics?
Ethics is the inner-guiding moral principles, values and beliefs that a person, group and/or culture uses to analyze a situation and then decide what is the “right” or appropriate way to behave. Ethics deals with fundamental human relationships: how we think and behave towards one another.
Definition Continued

Ethics identifies which behaviors are accepted by a culture/society.

Ethics are different than laws and different than doing the right thing as a result of fear of consequences.

A person with strong ethics will do the right things because it's the right thing to do.

Ethical choices can be difficult and unpopular.
Experiences from our environment can create a concept of ethics, morality, and socially acceptable behavior in each of us.

Where do beliefs of societal ethics come from?

What are norms?
Importance Of Ethics

- Ethics gives us a baseline for understanding the concepts of right and right.
- Ethics are the foundation from which we operate when dealing or coming into contact with other people.
- Ethics are the heart of an individual’s integrity and values.
- Ethics are important because we pass them on to others.
Why conduct ethics training?

How can diversity affect ethics?

How can training reduce the cost associated with litigation?
Business Ethics

- Comprise the principles and standards that guide behavior within the business world.

- Business ethics considerations are merely an extension of an individual’s own person ethics.

- There is a whole different set of ethical guidelines/rules, which are applicable within the workforce.

- Just being a good person, and possessing sound personal ethics may not be sufficient to enable you to handle ethical issues that arise in a business environment.
Ethical Principles for Business Executives

- Honesty
- Integrity
- Promise-keeping & Trustworthiness
- Loyalty
- Fairness
- Concern for Others
- Respect for Others
- Law Abiding
- Commitment to Excellence
- Leadership
- Reputation and Morale
- Accountability
Stakeholders?

- Company
  - Employees
  - Customers
  - Community
  - Shareholders
  - Government Regulatory Agencies
- Suppliers
  - Special Interest Groups
- Mass Media
- Trade Associates
- Competitors
What percentage of people do you think believe the following statements to be true?

- American businesses are too concerned about profits, and not concerned about responsibilities to workers, consumers, and the environment.
- If the opportunity arises, most businesses will take advantage of the public if they feel they are not likely to be found out.
- Even long established companies cannot be trusted to make safe and durable products without the government setting industry standards.
Why Ethical Problems Occur in Business

- Personal gain and selfish interest
- Competitive pressures on profits
- Conflict of interest
- Cross-cultural contradictions

**Solutions:**
- Create a company policy in writing that is read, signed, and upheld by every employee
- Give a clear outline of what is expected of the individual who has discovered the unethical behavior
- Clearly state the repercussions of unethical behavior
People have a right to:
- Be treated with dignity and respect
- Work in an environment free of discrimination, abusive, offensive and harassing behavior
Ethics and the Organization

- Pressures to excel in business come from everywhere
  - Shareholders
  - Bosses
  - Competitors
  - Competitive peers

- Pressures to take shortcuts are often self-initiated in a quest to show results or by an ambition to get ahead.
An employee in an organization uncovers wrongdoing, attempts to get it resolved within the organization and is unable to do so (either because mechanisms are not in place or there is no response), they then choose to report the situation outside of the organization (e.g. media or government).
Sarbanes-Oxley Act

- This act was passed by Congress in 2002
- In response to widespread corporate accounting scandals
- Made it illegal for employers to retaliate in any way against whistleblowers
- Requires boards of directors to establish procedures for hearing employee’s complaints
- Companies must create an independent board audit committee, a code of conduct, ethics policies, whistleblower hotlines, and annual reports on effectiveness of financial reporting systems
- CEO must sign off on the accuracy of financial statements
- Penalties: Up to $5 million and 20 years in prison
Darrin Clements’ 10 Point Ethical Checklist

- Golden Rule (Ethic of reciprocity or role-reversal)
- Fairness Test
- ‘What if everybody did this?’ Test (Common Sense test)
- Truth Test
- Parents Test
- Children Test
- Religion Test
- Conscience Test
- Consequences Test
- Front Page Test
Work Rules

- Work rules are usually stricter than those in school because a business is primarily involved in making money.
  - Attendance and punctuality
  - Neat appearance and appropriate clothes for the job
  - Visiting on the job
  - Keep busy/stay productive
  - Maintain poise
Checklist for Building Confidence on Ethical Decisions (ACT)

- **A – Analyze the situation**
  - Is it legal? Am I violating any law or company policy?

- **C – Consider the consequences**
  - How will it make me feel about myself?

- **T – Take appropriate action**
  - Report misconduct to the organization’s Chain of Command
Organization’s Role in Ethics

- Ethics begins at the top
- Companies should create an atmosphere/environment that promotes, expects, and rewards good behavior
Benefits for Employees
(Who Work for An Ethical Organization)

- Less pressure/stress to compromise their own ethical standards
- More productive because there is less misconduct to distract them
- Greater likelihood of feeling valued by the company
- Generally stay out of court
Benefits for Organizations
(Who Maintain Ethical Standards)

- Recruit and retain top performers
- Attract and maintain loyal customers
- Create a more productive work environment
- Build and sustain a good brand name reputation
- Stay in business and out of court
Rationalizing Unethical Behavior

List some reasons people may choose unethical behavior:

Employee commitment comes from employees who believe their future is tied to that of the organization and their willingness to make personal sacrifices for the organization. The more a company is dedicated to taking care of its employees, the more likely it is that the employee will take care of the organization.

Types of Misconduct Observed by Employees in 2011:

<table>
<thead>
<tr>
<th>Misconduct</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>Misuse of company time</td>
<td>33%</td>
</tr>
<tr>
<td>Abusive or intimidating behavior</td>
<td>21%</td>
</tr>
<tr>
<td>Lying to employees, customers, public</td>
<td>20%</td>
</tr>
<tr>
<td>E-mail and Internet abuse</td>
<td>16%</td>
</tr>
<tr>
<td>Discrimination (race, color, age, gender…)</td>
<td>15%</td>
</tr>
<tr>
<td>Violation of safety regulations</td>
<td>13%</td>
</tr>
<tr>
<td>Mis-reporting actual time worked</td>
<td>12%</td>
</tr>
<tr>
<td>Stealing or theft</td>
<td>12%</td>
</tr>
<tr>
<td>Sexual harassment</td>
<td>11%</td>
</tr>
<tr>
<td>Producing goods/service that fails specification</td>
<td>10%</td>
</tr>
<tr>
<td>Misuse of confidential information</td>
<td>7%</td>
</tr>
<tr>
<td>Falsification or misrepresentation of financial records or reports</td>
<td>5%</td>
</tr>
<tr>
<td>Improper use of competitors’ inside information</td>
<td>5%</td>
</tr>
<tr>
<td>Giving or accepting bribes, kickbacks, or inappropriate gifts</td>
<td>5%</td>
</tr>
</tbody>
</table>

Source: 2012 Ethics Resource Center
An ethical Dilemma is a problem, situation, or opportunity that requires an individual, group, or organization to choose between two or more equally unsatisfactory alternatives.

What is the gray area?
Summary

- If you are unsure before you act, ASK!
Ethics Test Questions

1. Ethics is a new concept that explains how we think and behave towards one another and how we want people to think and behave towards us. T or F

2. The term ethics is described as moral principles that govern a person or group's behavior. T or F

3. Ethical employees are a good people so it is easy to be ethical. T or F

4. The ethical choice always feels good therefore it is easy to do. T or F

5. Ethics identifies mainly with saying the right things instead of saying the wrong things. T or F

6. When an employee in an organization uncovers wrongdoing, an attempt to get it resolved in-house but is unable to do so then choose to report outside of the organization he/she is called a ____________.

   A. Rationalizer   B. Unethical employee   C. Whistleblower  D. None of these

7. ___________ are those people who have a claim in some ways to the company's product, operations, markets, industry and outcomes.

   A. Internal customers   B. Stakeholders   C. Suppliers   D. Executives

8. Business Ethics comprise the principles and standards that guide behavior, these ethics are taught during ____________.

   A. Orientation   B. Ethics Training   C. Social Experiences   D. All   E. A, B, and C

9. This measure was put in place to stop employers from retaliating against employees who report unethical behavior.

   A. Sarbanes-Oxley Act   B. Integrity Model   C. Darrin Clements Model   D. Work Rules

10. Norms are only learned at work. T or F
**Answer Key**

**Ethics Test Questions**

1. Ethics is a new concept that explains how we think and behave towards one another and how we want people to think and behave towards us. T or F

2. The term ethics is described as moral principles that govern a person or group's behavior. T or F

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9. This measure was put in place to stop employers from retaliating against employees who report unethical behavior.

   A. Sarbanes-Oxley Act   B. Integrity Model   C. Darrin Clements Model   D. Work Rules

10. Norms are only learned at work. T or F
LESSON TITLE: Team Member Training  METHOD: Lecture, Guided Discussion

EDUCATIONAL OBJECTIVE: Comprehend that effective team member practices enhance goal accomplishment.

SPECIFIC LEARNING OUTCOMES:

a. Identify team member attributes that enhance goal accomplishment.

b. Recognize the importance of collaboration to enhance goal accomplishment.

C. Predict the impact of the team on goal accomplishment based on given scenarios.

PURPOSE: Teamwork is vital in business and industry because of the application of quality techniques that emphasize cost reductions, superior products, continuous improvement, and training. This lesson stresses student understanding of competition, collaboration, and the natural progression (stages) of team members. Teams often fail because of frustration. Students will discuss a model for team building with emphasis on recognizing natural behaviors that exist at the different stages of team building.

INSTRUCTIONAL AIDS: Computer Slides – Disk 2, overhead slide, stopwatch, and transparency marker pens.


METHOD OF EVALUATION:
STRATEGY: This lesson links the concepts of effective team practices and goal accomplishment. To ensure students reach the intended educational objective, it is imperative they make the mental connection of the relationship between team practices and goal accomplishment. It may not always be necessary to repeat the second term exactly as indicated by the questions illustrated in this guide provided the students are making that relationship with their responses. The first exercise and follow-up discussion begins the lesson by illustrating the effect of group collaboration on goal accomplishment. The second exercise and discussion shows the effects that competition has on goal accomplishment. Following the second exercise, a discussion will cover how a healthy team spirit leads to goal accomplishment. From these discussions, students will be able to draw some conclusions about effective teams and be able to recognize behaviors that are common in the different stages of group/team development. In this lesson there are lead off questions (LOQ) and follow-up questions (FUQ). This lesson is designed to be a guided discussion with some lecture. If the students cannot answer the questions, turn the answers into questions. The lesson timing guide outlines the timing for the main points.

INSTRUCTIONAL REFERENCES:


PART II, TEAM MEMBER TRAINING

LESSON PLAN

(COMPUTER SLIDE 5-1, Module Title)

STATE: When we think of quality in manufacturing and meeting production requirements, we can never forget the key ingredient common to all - people. If people are not committed to the process, there is the possibility that the job will be done but will it be done to the highest possible degree of quality?

(COMPUTER SLIDE 5-2, Lesson Title)

To get everyone working toward the goals of the company with the least amount of effort and error, employees must be members of cohesive teams.

(Rhetorical Questions)
1. How can we best accomplish our roles as team members?
2. How do we get a number of people with different value systems to cooperate to accomplish the goals of the company in the most efficient and effective way?

(COMPUTER SLIDE 5-3, Overview)

INSTRUCTOR NOTE: DO NOT PROVIDE TOO MUCH INFORMATION IN THE OVERVIEW CONCERNING THE EXERCISES OR YOU MAY BIAS THE BEHAVIORS EXPECTED FROM THE STUDENTS.

STATE: We will begin with an exercise that illustrates the impact of group collaboration on goal accomplishment. A follow-up discussion will provide an opportunity to exchange ideas about how and when applying this concept would enhance goal achievement.

Another short exercise will show the impact competition has on goal accomplishment. Our follow-up discussion will focus on conclusions we reach after examining this effect.

We will discuss five factors of a healthy team spirit that leads to goal accomplishment.

We will then draw some conclusions about effective teams that will enhance goal achievement. We will draw from our previous discussions and from COGs Ladder model that was your required reading for this lesson.

TRANSITION: We will begin with an exercise that illustrates the relationship of group collaboration and the achievement of goals.

(COMPUTER SLIDE 5-4, Collaboration)
STEP 1: Provide one copy of “Lost at Sea” (attached at end of lesson plan) or either alternative collaboration worksheet to each student. Tell them to complete the worksheets independently. Inform them that they have a maximum of ten minutes to finish the exercise. (If everyone finishes before the end of the ten-minute period, proceed with the remainder of the exercise.)

STEP 2: After time is lapsed or everyone has completed their worksheets, divide the seminar into two, three, or four groups. Provide a copy of the same worksheet to each of the groups. Inform them that each group should now complete the group worksheets according to the following instructions:

STATE: 1. Each group must come to a consensus - not unanimity - on each item. Consensus is a general agreement or something everyone in the group can live with.

   a. No averaging
   b. No “majority rule” voting
   c. No “horse-trading”

2. Have one member of the team record the consensus on the worksheet.

3. Do not change any responses on the individual worksheets that you have already completed because of what the team decides.

4. You have a maximum of twenty minutes to complete the exercise.
(COMPUTER SLIDE, 5-5, Lost At Sea Rubric)

<table>
<thead>
<tr>
<th></th>
<th>GROUP ONE</th>
<th>GROUP TWO</th>
<th>GROUP THREE</th>
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<tbody>
<tr>
<td>INDIVIDUAL SCORES</td>
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<tr>
<td>AVERAGES OF INDIVIDUAL SCORES</td>
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<tr>
<td>SCORE OF GROUP CONSENSUS</td>
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STEP 3: Pass out the answer key and have the students compare the individual results to the results of the group.

(NOTE: The lower the score, the closer it is to the rankings on the answer key.)
INSTRUCTOR NOTE: AFTER THE STUDENTS COMPLETE THE EXERCISE AND RATED THEMSELVES AND THE GROUPS, USE THE FOLLOWING QUESTIONS TO EXPLORE COLLABORATION.

**LOQ:** How many people did better than their group? (This should be the exception.) Generally, group scores will be closer to the answer key than individual scores.

INSTRUCTOR NOTE: IF THERE ARE INDIVIDUAL SCORES THAT ARE LOWER THAN THE GROUP SCORE, ASK THE FOLLOWING QUESTIONS FIRST. IF NOT, SKIP THEM AND GO TO THE AREA ENTITLED "IF INDIVIDUAL SCORES ARE HIGHER".

**IF INDIVIDUAL SCORES ARE LOWER**

**FUQ:** Why did the group do better as a team than individually? Two (or more) heads are better than one. More experience/knowledge from which to draw.

**FUQ:** What techniques did you use to reach your decisions? (Expect a variety of Answers) Some reasons may include: Open discussion Listening Encouraging inputs Accepting every input for consideration and discussion

**FUQ:** What impact did sharing of information have on goal achievement? The team was more successful than the individuals

**IF INDIVIDUAL SCORES ARE HIGHER**

**FUQ:** Why did you score better than the group? The team rejected my inputs. (Ask/discuss why. Were they not as convincing as they could/should have been?) I did not think I was right. (Ask if they had offered their input and rationale to the team.)

**FUQ:** What impact did the lack of sharing or having the information rejected have on goal achievement? The team was less successful than it could have been.
INSTRUCTOR NOTE: USE THE FOLLOWING QUESTIONS TO GET THE STUDENTS TO DISCUSS HOW THEY MIGHT USE GROUP COLLABORATION TO ENHANCE GOAL ACCOMPLISHMENT IN THE WORKPLACE.

| LOQ: What are some examples of how we might use group collaboration in the workplace to enhance goal accomplishment? | Setting/clarifying goals  
Problem solving  
Decision making  |
| FUQ: If your supervisor used group collaboration to set or clarify goals, how would this enhance goal accomplishment? | Team members would be committed to "their" goals (As opposed to those set by someone else.)  
Team members would understand the goals and what is required to achieve them.  |
| FUQ: Why would using group collaboration in a problem solving situation enhance goal accomplishment? | Team members would express more ideas  
Team members have personal experiences that could avoid "reinventing the wheel" and wasting resources  
Some alternate solutions that normally would not be considered possible by a single individual.  
Commitment to solving a problem that team members have taken ownership of.  |
| FUQ: Why would using group collaboration in the decision-making process enhance goal accomplishment? | Team members would express more alternate solutions.  
Team members have personal experiences about similar decisions and what resulted from those decisions.  
Team members would be committed to a decision that was "theirs"  |
| FUQ: What is the overall effect of using collaboration in problem solving, decision making and setting goals? What is the effect on communication and team spirit? | Efficiency should increase.  
Teams should be more effective.  |
| FUQ: Based on the exercise and our discussion of group collaboration, what effect does it have on goal accomplishment? | Enhance or improve it  |

TRANSITION: Now that we have looked at the effects group collaboration can have on goal accomplishment, we are going to look at the impact competition can have on the
accomplishment of goals. We will begin with an exercise that should illustrate this point quite well.

INSTRUCTOR NOTE: DO NOT PROVIDE ANY FURTHER INFORMATION AT THIS TIME OR YOU MAY BIAS THE EXPECTED BEHAVIORS OF THE STUDENTS.

(COMPUTER SLIDE5-6, Competition)

MPb. (C) that competition impacts upon goal accomplishment.

**WIN AS MUCH AS YOU CAN EXERCISE**

**INSTRUCTIONS FOR COMPLETING EXERCISE**

**STEP 1:** Divide and separate the students into three groups.
   Team 1  RED
   Team 2  BLUE
   Team 3  BLACK

**STEP 2:** Display overhead on board.

**STEP 3:** Provide each group with a color marker.

**STEP 4:** Read the following instructions aloud. Re-reading the rules is permitted; do not provide additional information or clarification.

The title of this exercise is "Win As Much As You Can".

You are **not** to confer verbally or nonverbally with other members of the class unless authorized to do so.

Each group must agree on where to put their “X” for each round. (Teams may use symbols instead of colors, such as; $ 0 X, etc.) You will have 30 seconds to make your decision.

You are to ensure that the other members of the class do not know your group’s choice until you reveal it.

We will conduct as many rounds as needed to fill in the squares. The time allotted for you to form your strategy between rounds is limited.

**STEP 5:** After the conference time has expired, each team will go to the board and fill in one square with their “X”.

**STEP 6:** Post and compute the results whenever money is won. (Write it on the board.)
STEP 7: During some rounds, one student (same/different) from each group may confer with the other group representatives. (To speed up the game, teams may draw more than one “X”.)

INSTRUCTOR NOTE: YOU MAY WANT TO STIMULATE THE COMPETITION BETWEEN THE GROUPS BY HAVING EACH GROUP SELECT A NAME FOR THEIR GROUP AND COVERTLY SHORTENING THE TIME ALLOWED FOR EACH ROUND. PROVIDE FOR SOME FRIENDLY BADGERING DURING THE EXERCISE. THESE ACTIONS SHOULD ASSIST YOU IN BRINGING OUT THOSE UNDESIRABLE ATTITUDES AND BEHAVIORS WE OFTEN SEE BECAUSE of COMPETITION.
(COMPUTER SLIDE, 5-7, SCORING RUBRIC FOR WIN AS MUCH AS YOU CAN)

TEAM 1 = RED  TEAM 2 = BLUE  TEAM 3 = BLACK

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<th>C</th>
<th>D</th>
<th>E</th>
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6 in a row - $100.00
5 in a row - $80.00
4 in a row - $60.00

Start here remembering that the slide numbers changed.

**STEP 8:** Compute the total score for the group.

Example:

- TEAM 1 +$200.00
- TEAM 2 +$120.00
- TEAM 3 $00.00

**STEP 9:** Compute the total score for the class.

CLASS Total +$320.00
INSTRUCTOR NOTE: EACH GROUP SHOULD HAVE BEEN ABLE TO MAKE $200 FOR A CLASS TOTAL OF $600.

LOQ: What was the goal in this exercise? Win as much as you can.

FUQ: What was your definition of the word "you"? Responses should vary.

FUQ: How well did you achieve your goal? Responses should vary (depending on individual team scores).

FUQ: What impact did competition have on the class achieving a win? Hampered or detracted from it.

FUQ: Although you were somewhat restricted by the rules of the exercise, what effect did your competitive spirit have on your willingness to work together for the mutual good of all the groups? It caused conflict, distrust, unethical behavior, and backstabbing by others.

TRANSITION: Thus far, we have seen and discussed the effects of group collaboration and competition on goal accomplishment. We used these exercises to illustrate how a group of individuals can succeed or fail in goal accomplishment. The exercises showed that collaboration and competition could create attitudes and behaviors that can influence the overall goal. If these attitudes and behaviors are positive, we can have a healthy team spirit.

INSTRUCTOR NOTE: ENSURE THAT YOU DEFUSE ANY ANIMOSITY BETWEEN CLASS MEMBERS. IDENTIFY HOW YOU STIMULATED THE COMPETITION BY SOLICITING NAMES FOR THE INDIVIDUAL GROUPS, SHORTENING THE TIMES BETWEEN EACH ROUND, AND ENGAGING A LITTLE FRIENDLY BADGERING.

(COMPUTER SLIDE 5-8, Healthy Team Spirit)

MPC. (C) that a healthy team spirit leads to goal accomplishment.

HEALTHY TEAM SPIRIT
* ETHICAL BEHAVIOR
* SHARING
* TRUST
* CRITICAL JUDGEMENT
* COOPERATION

STATE: Many factors can help to build a healthy team spirit that enhances goal accomplishment. During this discussion, think about the behaviors you saw exhibited
during the exercises today and the impact these behaviors had on goal accomplishment.

(COMPUTER SLIDE 5-9, Ethical Behavior)

STATE: Occasionally the need to continue winning becomes so great that a team will disregard any sense of fair play to achieve its goals. It may not see or care about the negative impact of its actions on the company as a whole. Its behavior often becomes immoral or illegal as the need to win intensifies.

LOQ: Why is ethical behavior a necessary ingredient for a healthy team spirit that will enhance goal accomplishment?

The need to continue winning becomes so great that a team will disregard any sense of fair play to achieve its goals. It may not see or care about the negative impact of its actions on the company as a whole. Its behavior often becomes immoral or illegal as the need to win intensifies.

Teams with a healthy spirit will share and help each other to achieve their common goals. A healthy team spirit leads to building and maintaining trusting relationships. Members of teams with a healthy team spirit will view their decisions more objectively before taking action that is detrimental to other teams.

(COMPUTER SLIDE 5-10, Sharing)

STATE: When a group views itself as a team, everyone else is an outsider. They may keep information and other resources to themselves so they may look good in the eyes of the supervisor. In the manufacturing environment, this type of secrecy can be unhealthy.

LOQ: Why would sharing generate a healthy team spirit that enhances goal accomplishment?

There are no secrets for success between individuals or groups. Less time is wasted looking for solutions to common problems. All resources are effectively used to meet the goal.

(COMPUTER SLIDE 5-11, Trust)

STATE: Another unhealthy attitude is the "we/they" syndrome. An example is "we" cannot trust "them" to provide good information or reliable resources. "They" keep this company from meeting the goals.

LOQ: Why is trust an important ingredient for a healthy team spirit that will enhance goal accomplishment?

Information is shared and accepted in good faith. Feedback is exchanged between members in an open and sincere manner.
Backstabbing and the need to get the upper hand do not exist.

(COMPUTER SLIDE 5-12, Critical Judgement)

STATE: Teams that have been successful for a long time often experience a decline in critical judgement of their decisions and behavior. Critical judgement is interpreted as an attribute that if possessed, will allow for self-criticism, and/or outside negative evaluations. Here is an example. A group lacks critical judgement when they fail to accept constructive criticism to improve their methods. The group feels they cannot be wrong since their methods have always worked in the past.

LOQ: Why is critical judgement a vital ingredient for a healthy team, and how does it enhance goal accomplishment?

Team members will share information including flaws they see in each other. Team members will accept information from "outsiders." Team members will not attempt to make their bad decisions work at the expense of the overall unit.

(COMPUTER SLIDE 5-13, Cooperation)

STATE: Successful teams with an unhealthy spirit will begin to disintegrate as individual "all-starring" and infighting within the group increases. Members begin to leave the team because of their dislike for the all-stars or to look for places where they think their skills will be more appreciated. What was once an effective working unit destroys itself from within because of this lack of cooperation.

Attitudes and statements similar to the following may begin to arise:
• “So-and-so takes all the credit while I do all the work.”
• “I wonder how well they could do without me.”
• “If I hold back, they would appreciate me more.”
• “This is too easy. I can do the job without the rest of the team.”

LOQ: How would encouraging cooperation help create a healthy team spirit to enhance goal accomplishment?

Team members will understand that they really depend on others to get their jobs done. Members will see that other team members make very important contributions toward team goals.

(COMPUTER SLIDE 5-14, All Team Spirit)

FUQ: Reflect on the teams where you Expect different examples and link
have served; some had a healthy spirit, others did not. Why? Explain.

STATE: There may be 2000 employees working together to produce a product. These teams will be grouped together. For instance, in automotive production facilities, there are people that work in the body department, paint department, and assembly department.

<table>
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<tr>
<th>LOQ: In a work environment such as the one described above, why is it important to have a healthy team spirit?</th>
<th>All the employees are working on the same product. Since all employees are producing the same product, all employees must trust each to do their best so that the overall quality of the product is not affected. A poor quality product would result if employees started acting unethically. If all employees shared information, the work may become easier resulting in a higher quality product. In a healthy team, critical judgement from outsiders may provide clues for methods to produce a better product, more efficiently. Cooperation between the teams could lead to a better product.</th>
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TRANSITION: The five basic factors needed for a healthy team spirit are exhibiting ethical behavior, sharing, trusting, using critical judgement, and cooperating. Having a healthy team spirit is the foundation for being involved with effective teams. Turn your attention to COG’s Ladder. How does it apply to what we have discussed and how might we apply it to building effective teams that enhance goal accomplishment?

(COMPUTER SLIDE 5-15, COG’s LADDER OVERVIEW)

MPd. (C) that consideration of a team’s development stage enhances goal accomplishment.

**COG’S LADDER**

**A MODEL FOR GROUP DEVELOPMENT**
- ESPRIT
- CONSTRUCTIVE
- BID FOR POWER
- WHY WE ARE HERE
- POLITE
STATE: It is important to realize that teams move through stages. Sometimes teams are not as productive as they should be. The lack of production causes team members to feel frustrated and concerned. Team leaders should quickly recognize this and begin to make corrections so the team will become productive again. Team members must do their part to participate in team activities and encourage others to do the same.

Slide 5-15 shows the five steps of group development identified in your reading on COG's ladder. We will review the various behaviors, goals, and productivity identified with each stage. We will discuss the ways team leaders may identify and satisfy team needs at each level of COG'S Ladder in order to build effective teams as quickly as possible.

INSTRUCTOR NOTE: THE AUTHOR, GEORGE O. CHARRIER IS A SECTION HEAD IN THE RESEARCH AND DEVELOPMENT DEPARTMENT FOR THE PROCTOR AND GAMBLE COMPANY AND TEACHES MATHEMATICS AND COMPUTER PROGRAMMING AT XAVIER UNIVERSITY.

ANOTHER MODEL THE STUDENTS MAY BRING UP IS THE BRUCE TUCKMAN MODEL. THIS MODEL, USED BY MANY MANUFACTURERS, BREAKS THE STAGES OF TEAM DEVELOPMENT DOWN INTO FOUR AREAS.

THE AREAS ARE FORMING, STORMING, NORMING, AND PERFORMING.

THE "FORMING" STAGE RELATES TO THE "POLITE" STAGE MENTIONED EARLIER.
THE "STORMING" STAGE RELATES TO THE "WHY WE'RE HERE & BID FOR POWER" STAGES.
THE "NORMING" STAGE RELATES TO THE "CONSTRUCTIVE" STAGE.
THE "PERFORMING" STAGE RELATES TO THE "ESPRIT" STAGE.

(COMPUTER SLIDE 5-16, Polite)

STATE: When individuals first come together, they are in a stage called polite. Think of when this group came together along with other experiences when we talk about teams.

| LOQ: When you first join a group, what are some of the behaviors you have experienced associated with the polite stage? | Size people up  
Cliquies form  
Need for group approval is strong  
Little or no group identity |
|---|---|
| FUQ: What are the goals of a group in this first stage? | Get acquainted  
Avoid controversy |
| FUQ: Generally speaking, how much production could you expect from a group | Little or none because members are only acquainted with each other, not ready to |
**FUQ:** What can we do as members of a group to get past this polite stage?

Talk to the other members of the group and encouraging the following:
- Participation
- Self-Disclosure
- Feedback
- Try to find things in common with others.

**STATE:** There is very little production at the polite stage. However, after team members get to know each other, they are ready to move into the “Why We’re Here” stage of development.

**LOQ:** What are some of the behaviors associated with this second stage?

- Setting goals and objectives
- Cliques build power
- Hidden agendas arise
- Decline in need for group approval
- Low group identity
- Building structure

**FUQ:** What goals does a team have in the why we’re here stage?

Determine what needs to be done (Setting goals)

**FUQ:** How much productivity could you expect from a group at this level of development?

Very little because they do not have direction or structure to get work done.

**FUQ:** How can individual team members help their team through the why we’re here stage of development?

- Do not pass judgement
- Stay motivated
- Listen
- Keep a positive attitude
- Ask questions
- Pay attention
- Stay focused on the task

**STATE:** This third stage of development - Bid For Power - provides the widest range of interaction.

**LOQ:** What characteristic behaviors are predominant in this stage?

- Increase in competition
- Struggle for unofficial leadership positions
- Expressions of hostility from some members while others become silent

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**Ready To Work**

4/30/07

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<th>Question</th>
<th>Answer</th>
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<td>Conflicting views arise. Cliques become more important and powerful (We versus They)</td>
<td>Decide who is in control (Informal and formal leaders)</td>
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<tr>
<td>FUQ: What goals do teams have in this stage?</td>
<td>They will get the job done, but solutions are not the best they could be. (Members have to compromise on what they think is right and are not totally committed to what they are doing.)</td>
</tr>
<tr>
<td>FUQ: Although some teams do not ever get past this stage, how effective will they be in task accomplishment?</td>
<td>Encourage group collaboration. Develop a healthy team spirit including: Sharing, Trusting, Using Critical Judgement, Exhibiting Ethical Behavior, Cooperating. Avoid creating competition between teams and team members. Help other members unconditionally.</td>
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<tr>
<td>FUQ: What are some techniques that team members can use to get teams through the bid for power stage?</td>
<td>Higher productivity in shorter amount of time.</td>
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<tr>
<td>FUQ: What would you expect from a team that moves quickly through the first three stages of development?</td>
<td>(COMPUTER SLIDE 5-19, Constructive)</td>
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**STATE:** In the constructive stage, teams reflect a more positive attitude toward each other and the job.

**LOQ:** What are some of the behavior characteristics of the constructive stage? | Attitudes change. Attempts to control group decline. Members change their ideas/opinions because of open questioning and active listening. Group makes real progress toward goals. Conflict becomes the group problem, not a win-lose battle. All team members contribute. Team spirit begins to build. |

**FUQ:** What is the goal of a group in the constructive stage? | Accomplish the task through group effort. |
**FUQ:** In terms of productivity, what would you expect from a group in this stage of development?

High production because they are working together to achieve the team goals.

**FUQ:** What techniques can we use to maintain this high level of productivity?

Continue using group collaboration. Continue to nurture a healthy team spirit.

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**(COMPUTER SLIDE 5-20, Esprit)**

**STATE:** Esprit is the final stage of development in COG’s model.

| **LOQ:** What behaviors would we see in a team at this level? | Strong group identity
High morale
Intense loyalty
All members approval of each other
No cliques
Membership is "closed"
Constructive and productive |
|---|---|

| **FUQ:** What would be the goals of a group in the esprit stage? | Accomplish the task at hand
Maintain group identity
Enhance group reputation |
|---|---|

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<th><strong>FUQ:</strong> What kind of production would you expect from a group at this level?</th>
<th>High because everyone is committed to the group and its goals.</th>
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<th><strong>FUQ:</strong> What techniques can we use if we are to maintain this high productivity?</th>
<th>Continue using group collaboration. Continue to nurture a healthy team spirit.</th>
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<th><strong>FUQ:</strong> In terms of team effectiveness, where do we want to be on the ladder?</th>
<th>Constructive or esprit stages.</th>
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**(COMPUTER SLIDE 5-21, All COG'S Ladder)**

**STATE:** Before a team can enter these higher stages of development and productivity, they will first progress through the lower stages at their own pace.

**TRANSITION:** Let us look at some different ways the team concept is used in business and industry.

**INSTRUCTOR NOTE:** WE WILL DEFINE TEAMWORK BY DISCUSSING THE ELEMENTS OF TWO TYPES OF TEAMS: A FOOTBALL TEAM AND A GYMNASTICS TEAM. MOST PEOPLE WILL THINK THAT TEAMWORK IS MORE
LIKE A FOOTBALL TEAM. HOWEVER, IN MANUFACTURING, TEAMWORK IS MORE CLOSELY RELATED TO A GYMNASTICS TEAM.

STATE: We are all familiar with championship football, baseball, gymnastics, etc. Let us talk about football.

**LOQ:** How does a football coach (boss/supervisor) interact with the team?  
Very hands-on  
Very coach directed both for individuals and for the whole team  
Coach designs the plays  
Coach decides on the plays depending on the progress of the game.

**FUQ:** What is the role of the player?  
Follower  
Very dependent on the other players  
Assists other players as needed during the game  
Activities change depending on the situation

**FUQ:** Game style (Integrated team effort)  
Group scoring/team win  
Each play takes a different amount of time  
Tall organizational chart  
Coach  
Asst. coaches  
Quarterbacks  
Team captains  
1st and 2nd team

**FUQ:** How is the game organized?  
60 minutes playtime with only actual playing time is measured.

**State:** What about a gymnastics team? How is it different from a football team?

**LOQ:** What about the coach (boss or supervisor)?  
Works with the team members to get ready for the meet:  
Develops a routine  
Trains to improve skills  
Teaches new skills  
Ensures safety of equipment and routine  
During a meet:  
Encourages  
Does not change a routine

**FUQ:** What is the role of the team member?  
Performs independently with little supervision  
Strives to learn new skills  
Strives to improve skills
Practices independently
Does not change routine without coach’s input
During a meet, does not change a routine
Strives to do individual best
Performs within the rules of time and boundaries
Can be trusted to do his/her part
Trusts that other team members will do their part
Understands that the competition is to improve self and is not to beat other team members

To the other team members:
Encourages
Cooperates
Makes suggestions

Q: How are the meets organized?  The team member:
Performs independently
Maintains routines
Stays in time limits and boundaries
Remembers safety

TRANSITION: A gymnastics team is different from a football team.

STATE: A gymnastics team member works independently but with restrictions:
In practice the gymnast develops new skills and practices. At meet the gymnast strives to do their personal best, to put quality in work

The individual scores are counted and added to give the team score. Each team member is responsible for ensuring that his/her performance is as free of errors as possible. Components like attendance, promptness, encouragement of other team members, are considered vital to the team effort although these are individual efforts.

In many businesses and industries, team members are expected to work semi-autonomously which means you are given a set of instructions and the training to perform those instructions safely and to the highest levels of quality. No one watches over you. You are responsible to do your job. You should keep in mind all your customers - internal and external - so that your customers are satisfied.

A flat organizational chart means that there are few layers of management between a team member and the president. However, most organizational charts are not flat. Typically, there are team leaders providing supervision. The assistant managers, who answer to the managers, supervise the team leaders. The VP, who answers to the president, supervises managers. Team leaders are not supervisors but work with team
members for quality and safety purposes. Except for the president, the other supervisors are on the plant floor almost all the time.

Team members are often responsible for maintaining quality and for improving the system. Team members are typically thoroughly trained to improve team member skills.

Open communication provides formal and informal opportunities for team members to recommend changes for improvements. Team members are encouraged to talk with supervisors at all levels.

Obviously, teams must be highly cohesive and have a healthy team spirit.

(COMPUTER SLIDE 22, Conclusion/Discussion of COG’s Ladder)

TRANSITION: By using the information described in the COG’s Ladder Model we can mature and move more quickly through the stages to get to higher productivity.

| LOQ: How can members increase the pace at which teams develop? | Pay attention.  
Work together.  
Do not create conflict.  
Communicate. |
|---------------------------------------------------------------|---------------------------------------------------------------|
| **FUQ: What techniques can we use to help the team progress into higher stages?** | Encourage group collaboration  
Do not get into a competition  
Maintain a healthy team spirit |
| **FUQ: What can we expect if we are members of a team and we work to reach the higher levels?** | Enhanced goal accomplishment |
| **FUQ: Why does participating in effective teams enhance goal accomplishment?** | Reduces confusion and increases production etc. |

(COMPUTER SLIDE 23, Summary)

SUMMARY: We began this lesson with an exercise that illustrated the impact that group collaboration can have on goal accomplishment. We then discussed how we might be able to use group collaboration to enhance goal accomplishment in the workplace by getting people involved in setting or clarifying unit goals, problem solving, and decision-making.

Our second exercise showed the impact that competition can have on goal accomplishment when everyone is not working together for the overall good of the organization.
We discussed how ethical behavior, sharing, trust, critical judgement, and cooperation create a healthy team spirit that enhances goal accomplishment.

Finally, we looked at the COG's Ladder Model to determine where our teams are in relation to their development. If we combine the information we know from COG's Ladder with what we also know about group collaboration and a healthy team spirit, we will be on our way toward building effective teams that enhance goal accomplishment.

**REMOPTION: As team members, we should be concerned with team building as it affects the product our company produces. Sharing, cooperation, trust, and those other things we discussed will ultimately make everyone more effective in achieving their goals.**
TIMING GUIDE

THE TIMES INDICATED BELOW ARE PROVIDED AS A GUIDE ONLY.

FIRST HOUR

INTRO/OVERVIEW 5 MIN
MPA:
COLLABORATION EXERCISE INSTRUCTIONS 5 MIN
INDIVIDUAL RANKING 10 MIN
GROUP RANKING 20 MIN
SCORING 5 MIN

SECOND HOUR

DISCUSSION OF HOW GROUP COLLABORATION ENHANCES GOAL ACCOMPLISHMENT 15 MIN
MPB:
“WIN AS MUCH AS YOU CAN” INSTRUCTIONS 5 MIN
“WIN AS MUCH AS YOU CAN” ACTIVITY 25 MIN

THIRD HOUR

RECAP OF COMPETITION EXERCISE 10 MIN
MPC:
DISCUSSION OF HOW HEALTHY TEAM SPIRIT ENHANCES GOAL ACCOMPLISHMENT 30 MIN
PREVIEW USE OF COG’S LADDER FOR MPC 5 MIN

FOURTH HOUR

MPD:
A MODEL FOR DETERMINING GROUP DEVELOPMENT USING COG’S LADDER TO BUILD EFFECTIVE TEAMS 40 MIN
SUMMARY 5 MIN
1. **OBJECTIVE:** Comprehend that effective team member practices enhance goal accomplishment.

2. **MAIN POINTS:**

   a. **(C) that group collaboration enhances goal accomplishment.**
      
      1. Collaboration exercise conducted individually and in groups
      2. Discussion of how group collaboration enhances goal accomplishment.
      3. Techniques used in group collaboration.
      4. Discussion of how group collaboration can help in:
         a. Setting/clarifying unit goals
         b. Problem solving
         c. Decision making

   b. **(C) that competition impacts goal accomplishment.**
      
      1. "Win As Much As You Can" Exercise using three teams of students.
      2. Discussion of how competition influences goal accomplishment.

   c. **(C) that a healthy team spirit leads to goal accomplishment.**
      
      1. Ethical Behavior
      2. Sharing
      3. Trust
      4. Critical Judgement
      5. Cooperation

   d. **(C) that consideration of a team’s development stage enhances goal accomplishment.**
      
      1. Discussion of COG’S LADDER stages, to include the Behaviors, Goals, and Productivity for each stage.
         a. Polite Stage (Forming)
            i. Behaviors
            ii. Goals
            iii. Productivity
         b. Why We're Here Stage (Storming)
            i. Behaviors
            ii. Goals
            iii. Productivity
c. Bid For Power Stage (Storming)
   i. Behaviors
   ii. Goals
   iii. Productivity

d. Constructive Stage (Norming)
   i. Behaviors
   ii. Goals
   iii. Productivity

e. Esprit Stage (Performing)
   i. Behaviors
   ii. Goals
   iii. Productivity

(2) Review of techniques used to build effective teams.
(3) Results of participating or not participating in effective teams.

4. SUMMARY: Instructor developed.

5. CONCLUSION: Instructor developed.
Alternate Collaboration Exercise

I. Q. TEST #1
Here are some real puzzlers for you!
Decipher the hidden meaning of each set of words.

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Ready To Work

4/30/07
After the groups have completed this phase of the exercise, pass out the answer sheets. Instruct the students to score their individual and group worksheets by totaling the number of correct answers.

ANSWERS

1. Hitting below the belt
2. Out on a limb
3. More often then not
4. Fly by night
5. A splitting headache
6. A man for all seasons
7. All in a day’s work
8. Westside story
9. Forgive and forget
10. Short of breath
11. Accident prone
12. Horseback riding
13. Men out of work
14. Just under the wire
15. Dirty dozen
16. A foot in the door


STEP 4: Post all the individual scores of each team member in the individual score block of Computer Slide 5-5 under the appropriate Group column.

- Have someone from each team calculate the average of the individual scores and post that in the average block for each team.
- Post the score for the group consensus for each of the teams.
# Alternate Collaboration Exercise

## I. Q. TEST #2

Here are some real puzzlers for you!

Decipher the hidden meaning of each set of words.

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1. Cry over spilled milk
2. Big man on campus
3. Six of one; half dozen of another
4. Unfinished business
5. Canceled check
6. Moving in the right circles
7. Cross roads
8. Sitting on top of the world
9. Three square meals a day
10. Vitamin “A” deficiency
11. High seas
12. Back seat driver
13. Right under your nose
14. First person singular
15. Tee totaler
16. The good, the bad and the ugly
ALTERNATE “WIN AS MUCH AS YOU CAN” EXERCISE

INSTRUCTIONS FOR COMPLETING EXERCISE

STEP 1: Divide and separate your class into three or four (3 or 4) person groups.
STEP 2: Provide each student with a game sheet.
STEP 3: Provide each group with an "X" and "Y" Voting Card.
STEP 4: Read the following instructions aloud. Re-reading the rules is permitted; don't provide additional information or clarification.

The title of this exercise is "Win As Much As You Can".

- You are not to confer verbally or nonverbally with other members of the seminar unless authorized to do so.

- Each group must agree upon a single choice for each round.

- You are to ensure that the other members of the seminar do not know your group's choice until you are instructed to reveal it.

- As indicated on the tally sheet, there are ten rounds to this exercise. The time allotted for you to form your strategy between rounds is also on the sheet.

STEP 5: After the conference time has expired, call for a vote. Ensure each group votes simultaneously.
STEP 6: Post and compute the results of each round (utilize overhead slide).
STEP 7: During bonus rounds, allow a student (same/different) from each group to confer with the other group representatives.

AI NOTE: YOU MAY WANT TO STIMULATE THE COMPETITION BETWEEN THE GROUPS BY HAVING EACH GROUP SELECT A NAME, COVERTLY SHORTENING THE TIME ALLOWED FOR EACH ROUND, AND PROVIDING SOME FRIENDLY BADGERING DURING THE EXERCISE. THESE ACTIONS SHOULD ASSIST YOU IN BRINGING OUT THOSE UNDESIRABLE ATTITUDES AND BEHAVIORS WE TOO OFTEN SEE RESULTING FROM COMPETITION.
### WIN AS MUCH AS YOU CAN

#### STEP 8: Compute the total score for the class.
- Example: Group A  +18
  Group B  -21
  Group C  + 6
  Group D  + 2
  Seminar Total  + 5

INSTRUCTOR NOTE: IF ALL GROUPS HAD SELECTED "Y"
EVERY ROUND, EVERYONE WOULD HAVE SCORED +25 --
FOR A SEMINAR TOTAL OF +100.

REFER BACK TO LESSON PLAN (MAIN POINT b) FOR DISCUSSION OF HOW
COMPETITION IMPACTS GOAL ACCOMPLISHMENT.
Lost at Sea Exercise
Individual Worksheet

INSTRUCTIONS:

You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors’ pockets are cigarettes, several books of matches and five one-dollar bills.

Your task it to rank the fifteen items below in terms of their importance to your survival. Place the number 1 by the most important item, the number 2 by the second most important, and so on through number 15, the least important.

Sextant
Shaving mirror
Five-gallon can of water
Mosquito netting
One case of U.S. Army C rations
Maps of the Pacific Ocean
Seat cushion (flotation device approved by the Coast Guard)
Two-gallon can of oil-gas mixture
Small transistor radio
Shark repellent
Twenty square feet of opaque plastic
One quart of 160-proof Puerto Rican rum
Fifteen feet of nylon rope
Two boxes of chocolate bars
Fishing kit
Lost at Sea Exercise
Instruction Sheet

This is an exercise in group decision-making. The task for your group is to use the group consensus method in reaching a decision as to how the items should be ranked. This means that the rank of each of the fifteen items must be agreed upon by each group member before it becomes a part of the final group decision. As consensus is difficult to reach, not every ranking will meet with everyone’s complete approval. However, try, as a group, to make each ranking one with which all group members can at least partially agree — one which each member can accept on the basis of logic, whatever his level of satisfaction.

Below are some guidelines you may follow to assist you in achieving consensus. Please read these guidelines before beginning discussion.

1. Don’t argue for your own rankings, but Do explain your position and your logic.

2. Don’t change your mind just to reach agreement, or avoid conflict. When an impasse occurs, Do try to find the next most acceptable alternative for both parties and support only those solutions with which you are able to agree at least somewhat.

3. Don’t use techniques such as majority vote, averaging, trade-offs or coin-flipping. Differences of opinion occur when there is a lack of sharing of information. When differences occur, Do promote an increased sharing of data.

4. Do adopt the attitude that differences in opinion are natural and, if handled properly, can be helpful and not hindering.

5. When one or more members agree with your ranking of a particular item, Don’t feel you have to “pay-him-back” by agreeing with him or them at some later point.

6. Don’t adopt the attitude that this is a “win-lose” discussion. Each member can contribute and should be looked upon as a potential resource of valuable information important to the group.

7. Do think positive. Adopt the attitude that your group can excel in this discussion decision exercise.
Lost at Sea Exercise
Group Discussion Worksheet

It may be helpful to begin your group discussion by writing each individual’s ranking on the chart provided.

<table>
<thead>
<tr>
<th>ITEMS</th>
<th>Individual Member Predictions</th>
<th>Consensus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sextant</td>
<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
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<tr>
<td>Shaving Mirror</td>
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<tr>
<td>Five-gallon can of water</td>
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<tr>
<td>Mosquito Netting</td>
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<tr>
<td>One Case of US Army C Rations</td>
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<tr>
<td>Maps of Pacific Ocean</td>
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<tr>
<td>Seat Cushion (Floatation Device)</td>
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<tr>
<td>Two-gallon can of Oil-gas mixture</td>
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<td>Small Transistor Radio</td>
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<td>Shark repellent</td>
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<td>Twenty square feet of opaque plastic</td>
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<td>One quart of 160-proof rum</td>
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<td>Fifteen feet of nylon rope</td>
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<td>Two boxes of chocolate bars</td>
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<td>Fishing Kit</td>
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Lost At Sea Exercise  
Effectiveness of Individual VS. Group Decision Making

<table>
<thead>
<tr>
<th>1 Error (3-2)</th>
<th>2 Individual Rank</th>
<th>3 Expert Rank</th>
<th>4 Group Rank</th>
<th>5 Error (3-4)</th>
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Total          Total          

**Synergism:** Cooperative action of discrete agencies such that the total effect is greater than the sum of the effects taken independently.
LOST AT SEA ANSWER AND RATIONALE SHEET

According to the “experts”, the basic supplies needed when a person is stranded in mid-ocean are articles to attract attention and articles to aid survival until rescuers arrive. Articles for navigation are of little importance: Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to subsist during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signaling air-sea rescue. Of secondary importance are items such as water and food, e.g., the case of Army C rations.

A brief rationale is provided for the ranking of each item. These brief explanations obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1. Shaving mirror
   Critical for signaling air-sea rescue.

2. Two-gallon can of oil-gas mixture
   Critical for signaling — the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).

3. Five-gallon can of water
   Necessary to replenish loss of perspiring, etc.

4. One case of U.S. Army C rations
   Provides basic food intake.

5. Twenty square feet of opaque plastic
   Utilized to collect rain water, provide shelter from the elements.

6. Two boxes of chocolate bars
   A reserve food supply.

7. Fishing kit
   Ranked lower than the candy bars because “one bird in the hand is worth two in the bush”. There is no assurance that you will catch any fish.

8. Fifteen feet of nylon rope
   May be used to lash equipment together to prevent it from falling overboard.

9. Floating seat cushion
   If someone fell overboard, it could function as a life preserver.

†Officers of the United State Merchant Marines ranked the fifteen items and provided the “correct” solution to the task.
Lost at Sea Answer and Rationale Sheet†
10. **Shark Repellent**
   Obvious

11. One quart of 160-proof Puerto Rican rum
    Contains 80 percent alcohol — enough to use as a potential antiseptic for any injuries incurred; of little value otherwise; will cause dehydration if ingested.

12. **Small transistor radio**
    Of little value since there is no transmitter (unfortunately, you are out of range of your favorite AM radio stations).

13. **Maps of the Pacific Ocean**
    Worthless without additional navigational equipment — it does not really matter where you are, but where the rescuers are.

14. **Mosquito netting**
    There are no mosquitoes in the mid-Pacific.

15. **Sextant**
    Without tables and a chronometer, relatively useless.

The basic rationale for ranking signaling devices above life-sustaining items (food and water) is that without signaling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

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COG’S LADDER: A MODEL OF GROUP DEVELOPMENT

The COG’s Ladder model consists of five steps of group development.

The first step is called the polite stage. In this phase, group members are getting acquainted, sharing values, and establishing the basis for a group structure. The group members need to be liked.

The second step is Why We’re Here. During this phase, the group members define the objectives and goals of the group.

The third step consists of a Bid for Power. On this step of the ladder to maturity, group members attempt to influence one another's ideas, values, or opinions. This stage is characterized by competition for attention, recognition, and influence.

The fourth step is cooperative-- the Constructive stage. In this phase, group members are open-minded, listen actively, and accept the fact that others have a right to different value systems. This stage might also be referred to as the "team-action" stage.

The fifth and final step is one of unity, high spirits, mutual acceptance, and high cohesiveness. It is the Esprit stage.

1. POLITE

The initial item on every group's agenda is to get acquainted, whether or not the leader of the group allows time for it. Generally, a T-group will begin with members introducing themselves. Nametags are provided to members of other groups to aid in the process of "getting to know you". Polite conversation includes information sharing, which helps group members anticipate each other's future responses to group activities.

During this phase, some group members rely on stereotyping to help categorize other members. A group establishes an emotional basis for future group structure. Cliques are formed which will become important in later phases. The items on the hidden agendas of group members stay hidden and do not usually affect behavior at this time. The need for group approval is strong. The need for group identity is low or completely absent. Group members participate actively, though unevenly, and usually agree that getting acquainted is important to the group. Conflict is usually absent in this phase.

The rules of behavior seem to be to keep ideas simple; say acceptable things; avoid controversy; avoid serious topics; if sharing feelings, keep feedback to a minimum; avoid disclosure.

Nonverbal exercises are best to accelerate the polite stage. By eliminating words, group members respond only to nonverbal behavior. Instead, when conversation and bodily gestures transmit conflicting signals, the polite stage slows down because group members must spend time to sort out the signals from the noise.

2. WHY WE’RE HERE

When a group is ready to grow beyond the Polite stage, it usually enters the Why We're Here stage. Group members want to know the group's goals and objectives.

Some members demand a written agenda. A branch of managerial science (Management by Objectives) focuses on this step of group maturity. A task-oriented group needs to spend more time in this phase than a personal-growth group. For example, while T-groups will usually discuss establishing a purpose but will not agree on one, a team finds that agreement on goals is essential to group success.

In the second phase cliques start to wield influence. Cliques grow and merge as clique members find a common purpose. Hidden agenda items begin to be sensed as group members try to verbalize group objectives most satisfying to them.

Identity as a group is still low. The need for group approval declines from what is was in the polite stage as group members begin taking risks and displaying commitment. There is usually active participation from all members.

In a T-group, it is common for participants to look to the trainer to supply a group goal. Structure appears to evolve in this phase.

The time spent in this phase varies widely. Some groups omit it completely, while a few groups will give it most of their allotted time. Much seems to depend on the task to be done.
The easier it is to define objectives, the faster a group appears to agree on them. When purpose comes from outside the group, the members will still discuss it in order to gain understanding and to build commitment. The group also needs to know that the purpose agreed on is important.

3. BID FOR POWER

The third stage of the model, Bid for Power, is characterized by competition.

In this phase, a group member tries to rationalize his own position and to convince the group to take the action he feels is appropriate. Other members are close-minded and are accused of not listening. Conflict in the group rises to a higher level than in any other stage of group growth. A struggle for leadership occurs which involves active participation by all cliques, or sub-groups. Typical attempts to resolve this struggle include voting, compromise, and seeking arbitration from an outside group.

The group does not feel a strong team spirit during this phase. Rather, some members may feel very uncomfortable as latent hostility is expressed. Some group members, who contribute willingly in earlier phases, remain completely silent in the Bid for Power phase. Other members relish the opportunity to compete and attempt to dominate the group. In T-groups, these members may be accused of "bulldozing."

Cliques take on the greatest importance in this phase. Through cliques, the group members find they can wield more power.

Hidden agenda items cause a behavior change. Members who easily concealed their hidden agendas in earlier stages now find that other group members are becoming more aware of these hidden agendas.

In T-groups, feedback in this phase can be stinging. Disclosure is cautiously attempted. The need for group approval declines below the level it has in step 2. Group members are willing to go out on a limb and risk the censure of the group. In all groups, creative suggestions fall flat because the group feels that the author wants credit (power) for the suggestion.

The group still does not build an identity in this phase. The range of participation by group members is the widest of any phase. That is, there is a greater difference between the speaking times of the least and the most talkative member in this phase than in any other phase.

The need for structure is strong. In T-groups the content during this phase may well be whether to elect a rotating chairman, a recording secretary, or a group leader. This process is, in reality, a bid for power.

Roles are important in third-phase activity. The group-building and maintenance roles are most important. The harmonizer, the compromiser, the gatekeeper, and the follower try to maintain an acceptable balance between the needs of individual group members and the needs of the group. The harmonizer seeks to reduce the level of conflict to offset the tendency that the aggressor will raise the conflict levels.

Some groups never mature past this stage. Nevertheless, they can fulfill their task, even though the data indicate that solutions arising out of third-phase activity are not optimum solutions; they never satisfy all group members and at best, are products of compromise.

4. CONSTRUCTIVE

The transition from the third stage (Bid for Power) to the fourth stage (Constructive) is characterized by an attitude change. Group members give up their attempts to control and substitute an attitude of active listening.

In the Constructive stage, group members are willing to change their preconceived ideas or opinions based on facts presented by other members. Individuals actively ask questions of each other. A team spirit starts to build. Cliques begin to dissolve. Real progress toward the group's goals becomes evident. Leadership is shared. Group identity begins to be important to the group members. The range of participation by members narrows. When conflict arises it is dealt with as a mutual problem rather than a win-lose battle. At this point in a group's growth, it may be difficult to bring in a new member.

Because of members' willingness to listen and to change, a group in this phase will often use the talents of any individual who can contribute effectively. Practical creativity can be high because the group is willing to accept
creative suggestions. Furthermore, creative suggestions are solicited by the group, listened to, questioned, responded to, and, if appropriate, acted on.

Depending on the talents of the group members and the problem, an optimum solution or decision—usually better than any offered by a single group member—can result from fourth-phase interaction. For this reason, some businesses are attempting to organize for "team" group activity.

Any group exercises that enhance the basic values of group cooperativeness are appropriate for groups in this phase, such as those based on sharing, helping, listening, anticipating group needs, questioning, and building. Competitive exercises at this point tend to disrupt group growth, as they apply gentle pressure to regress to phase 3 (Bid for Power).

Group leaders can be most effective in this phase by asking constructive questions, summarizing and clarifying the group's thinking, trusting the group to achieve its maximum potential, trying to blend in with the group as much as possible, and refraining from making any comments that tend to reward or to punish other group members. An effective group leader will also be tolerant of group members' widely varying abilities to contribute to the group's goals.

5. ESPRIT

The fifth and final phase of group growth is the Esprit phase. Here the group feels high group morale and an intense group loyalty. Relationships between individuals are empathetic. The need for group approval is absent because each group member approves of all others and accepts them as individuals. Both individuality and creativity are high. The overall feeling is that "we don't always agree on everything but we do respect each other's views and agree to disagree." A non-possessive warmth and a feeling of freedom result. Cliques are absent.

The group may create an identity symbol. The members participate as evenly as they ever will. The need for structure depends on whether the group is an action group or a learning group; learning groups have no need for structure if they have evolved to this phase.

At this stage, the group is tightly "closed." If a new member is introduced, the feelings of camaraderie and esprit will be destroyed, since the group must regress to an earlier stage and then grow again to the esprit stage, carrying the new member along in the process.

A group in this phase continues to be constructive and productive. In fact, such a group usually achieves more than is expected or than can be explained because of the collective talents of the group members.

Although hidden agenda items are present in this phase, they do not seem to detract from the esprit and group loyalty. Perhaps group members that have granted to themselves and to one another, the right to have hidden agendas provided they are productive and for the individual and the group. On the other hand, the trust level may have risen so high that the group trusts each member not to abuse the group loyalty. By this time, the group may be well aware of each member's hidden agenda and may recognize that it holds no threat.

INTER-RELATIONSHIPS

Reasons prompting a group to move, or not to move, from phase to another varies. For example, the transition from phase 1 (Polite) to phase 2 (Why We're Here) seems to occur when any single group member desires it. He can simply say, "Well, What's on the agenda today?" and the group will usually move to phase 2.

The ability to listen has been found to be the most important human trait in helping groups move from phase three (Bid for Power) to phase four (Constructive). In some cases, where the group as a whole desired to relate in the fourth phase while several members stayed rooted in the third phase, groups have been observed to reject these members.

On the other hand, the transition from phase three to phase four can be permanently blocked by a strong, competitive group member or by his clique.

The transition from phase four (Constructive) to phase five (Esprit); however, seems to require unanimous agreement among group members.
Group cohesiveness seems to depend on how well the group members can relate in the same phase at the same time. A group will proceed through these five stages only as far as its members are willing to grow. Each member must be prepared to give up something at each step in order to make the move to the next stage.

To grow from stage 1 (Polite) to stage two (Why We're Here), for example, each member must relinquish the comfort of non-threatening topics and risk the possibility of conflict.

In the move from stage two to stage three (Bid for Power), he must put aside a continued discussion of the group's purpose and commit himself to a purpose with which he may not completely agree. Further, he must risk personal attacks, which he knows occur in phase three.

Growing from phase three to phase four (Constructive) requires individuals to stop defending their own views and to risk the possibility of being wrong. Phase four demands some humility.

Team members moving from phase four to phase five (Esprit) demands that a member trust himself and other members of the team.

George O. Charrier

This lecturette is based on an article that previously appeared in ADVANCED MANAGEMENT JOURNAL, Vol. 37, No. 1 (January 1972) pp. 30-37

Reproduced from The 1974 Annual Handbook For Group Facilitators

J. William Pfeiffer and John E. Jones, Editors
La Jolla, California: University Associates Publishers, Inc., 1974
**COG's LADDER: A Model for Team Building**

<table>
<thead>
<tr>
<th>STAGE OF DEVELOPMENT</th>
<th>BEHAVIORS AND MOTIVES</th>
<th>GOALS</th>
<th>PRODUCTIVITY</th>
<th>GROUPS LEADER'S ACTION PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>POLITE</td>
<td>* Size people up</td>
<td>* Get acquainted</td>
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<td></td>
<td>* Cliques begin to form</td>
<td>* Avoid controversy</td>
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<td></td>
<td>* Strong need for group approval</td>
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<td>* Little or no group identity</td>
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<td>WHY WE'RE HERE</td>
<td>* Setting of goals and objectives</td>
<td>* Build structure</td>
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<td>* Cliques build power</td>
<td>* Determine goals</td>
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<td>* Hidden agendas arise</td>
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<td>* Decline in need for group approval</td>
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<td>* Low group identity</td>
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<td>BID FOR POWER</td>
<td>* Competition increases</td>
<td>* Decide how to operate</td>
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<td>* Struggle for leadership positions</td>
<td>* Decide who's in control</td>
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<td>* Conflicting views arise</td>
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<td></td>
<td>* Cliques take on more importance</td>
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<td>* Widest range of interaction</td>
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<td>CONSTRUCTIVE</td>
<td>* Attitudes change (give up attempt to control group)</td>
<td>* Accomplish task at hand through group effort</td>
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<td></td>
<td>* Willingness of members to change - ideas/opinions based on facts presented by the group</td>
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<td>* Progress toward goals made</td>
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<td></td>
<td>* Open questioning --Active listening</td>
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<td>* Conflict dealt with as group problem - rather than win-lose battle</td>
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<td>* All members contribute</td>
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<td>* Team spirit begins to build</td>
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<td>ESPRIT</td>
<td>* Strong group identity</td>
<td>* Accomplish task at hand through group effort</td>
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<td>* High morale</td>
<td>* Maintain group identity</td>
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<td>* Intense loyalty</td>
<td>* Enhance group reputation</td>
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<td>* All members approve of each other</td>
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<td>* No cliques</td>
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<td>* Membership is &quot;Closed&quot;; No new members are welcome</td>
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<td>* Constructive/Productive actions</td>
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* introductions
* Help people get acquainted
* Encourage participation
* Allow some socialization

* Provides sufficient structure to enable the team to "get down to business:
  - Agenda items for meetings
  - Goals/Milestones for tasks
* Specific responsibilities
* Encourage commitment to the task

* Continue to provide structure:
  - Goals and Milestones
* Encourage group collaboration
* Avoid creating internal competition

* Encourage group collaboration
* Foster a Healthy Team Spirit

(These activities are primarily "Get out of the way" items, in other words, if you've done a good job with the lower stages, you don't want to do anything to hamper the group's progress.)

* Encourage group collaboration
* Foster a Healthy Team Spirit

(Same as CONSTRUCTIVE Stage)
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The Cog's Ladder model consists of five steps of group development.

The first step is called the Polite stage. In this phase, group members are getting acquainted, sharing values, and establishing the basis for a group structure. The group members need to be liked.

The second step is Why We're Here. During this phase the group members define the objectives and goals of the group.

The third step consists of a Bid for Power. On this step of the ladder to maturity, group members attempt to influence one another's ideas, values, or opinions. This stage is characterized by competition for attention, recognition, and influence.

The fourth step is cooperative-- the Constructive stage. In this phase, group members are open-minded, listen actively, and accept the fact that others have a right to different value systems. This stage might also be referred to as the "team-action" stage.

The fifth and final step is one of unity, high spirits, mutual acceptance, and high cohesiveness. It is the Esprit stage.

1. POLITE

The initial item on every group's agenda is to get acquainted, whether or not the leader of the group allows time for it. Generally, a T-group will begin with members introducing themselves. Nametags are provided to members of other groups to aid in the process of "getting to know you". Polite conversation includes information-sharing, which helps group members anticipate each other's future responses to group activities.

During this phase, some group members rely on stereotyping to help categorize other members. A group establishes an emotional basis for future group structure. Cliques are formed which will become important in later phases. The items on the hidden agendas of group members stay hidden and do not usually affect behavior at this time. The need for group approval is strong. The need for group identity is low or completely absent. Group members participate actively, though unevenly, and usually agree that getting acquainted is important to the group. Conflict is usually absent in this phase.

Behavioral Rules

The rules of behavior seem to be to keep ideas simple; say acceptable things; avoid controversy; avoid serious topics; if sharing feelings, keep feedback to a minimum; avoid disclosure.

Nonverbal exercises are best to accelerate the Polite stage. By eliminating words, group members respond only to nonverbal behavior. Instead, when conversation and bodily gestures transmit conflicting signals, the Polite stage slows down because group members must spend time to sort out the signals from the noise.
2. WHY WE'RE HERE

When a group is ready to grow beyond the Polite stage, it usually enters the Why We're Here stage. Group members want to know the group's goals and objectives.

Some members demand a written agenda. A branch of managerial science (Management by Objectives) focuses on this step of group maturity. A task-oriented group needs to spend more time in this phase than a personal-growth group. For example, while T-groups will usually discuss establishing a purpose but will not agree on one, a team finds that agreement on goals is essential to group success.

Cliquets

In the second phase cliques start to wield influence. Cliquets grow and merge as clique members find a common purpose. Hidden agenda items begin to be sensed as group members try to verbalize group objectives most satisfying to themselves.

Identity as a group is still low. The need for group approval declines from what is was in the Polite stage as group members begin taking risks and displaying commitment. There is usually active participation from all members.

In a T-group, it not uncommon for participants to look to the trainer to supply a group goal. Structure appears to evolve in this phase.

The time spent in this phase varies widely. Some groups omit it completely, while a few groups will give it most of their allotted time. Much seems to depend on the task to be done. The easier it is to define objectives, the faster a group appears to agree on them. When purpose comes from outside the group, the members will still discuss it in order to gain understanding and to build commitment. The group also needs to know that the purpose agreed on is important.

3. BID FOR POWER

The third stage of the model, Bid for Power, is characterized by competition.

In this phase a group member tries to rationalize his own position and to convince the group to take the action he feels is appropriate. Other members are close minded and are accused of not listening. Conflict in the group rises to a higher level than in any other stage of group growth. A struggle for leadership occurs which involves active participation by all cliques, or sub-groups. Typical attempts to resolve this struggle include voting, compromise, and seeking arbitration from an outside group.

The group does not feel a strong team spirit during this phase. Rather, some members may feel very uncomfortable as latent hostility is expressed. Some group members, who contribute willingly in earlier phases, remain completely silent in the Bid for Power phase. Other members relish the opportunity to compete and attempt to dominate the group. In T-groups these members may be accused of "bulldozing."

Cliquets take on the greatest importance in this phase. Through cliques, the group members find they can wield more power.

Hidden agenda items cause a behavior change. Members who easily concealed their hidden agendas in earlier stages now find that other group members are becoming more aware of these hidden agendas.
In T-groups, feedback in this phase can be stinging. Disclosure is cautiously attempted. The need for group approval declines below the level it has in step 2. Group members are willing to go out on a limb and risk the censure of the group. In all groups, creative suggestions fall flat because the group feels that the author wants credit (power) for the suggestion.

The group still does not build an identity in this phase. The range of participation by group members is the widest of any phase. That is, there is a greater difference between the speaking time of the least and the most talkative member in this phase than in any other phase.

The need for structure is strong. In T-groups the content during this phase may well be whether to elect a rotating chairman, a recording secretary, or a group leader. This process is, in reality, a bid for power.

Roles are important in third-phase activity. The group-building and maintenance roles are most important. The harmonizer, the compromiser, the gatekeeper, and the follower try to maintain an acceptable balance between the needs of individual group members and the needs of the group. The harmonizer seeks to reduce the level of conflict to offset the tendency that the aggressor will raise the conflict levels.

Some groups never mature past this stage. Nevertheless, they can fulfill their task, even though the data indicate that solutions arising out of third-phase activity are not optimum solutions; they never satisfy all group members and at best, are products of compromise.

4. CONSTRUCTIVE

The transition from the third stage (Bid for Power) to the fourth stage (Constructive) is characterized by an attitude change. Group members give up their attempts to control and substitute an attitude of active listening.

In the Constructive stage, group members are willing to change their preconceived ideas or opinions on the basis of facts presented by other members. Individuals actively ask questions of each other. A team spirit starts to build. Cliques begin to dissolve. Real progress toward the group’s goals becomes evident. Leadership is shared. Group identity begins to be important to the group members. The range of participation by members narrows. When conflict arises it is dealt with as a mutual problem rather than a win-lose battle. At this point in a group’s growth, it may be difficult to bring in a new member.

Because of members’ willingness to listen and to change, a group in this phase will often use the talents of any individual who can contribute effectively. Practical creativity can be high because the group is willing to accept creative suggestions. Furthermore, creative suggestions are solicited by the group, listened to, questioned, responded to, and, if appropriate, acted on.

Depending on the talents of the group members and the problem to be solved, an optimum solution or decision—almost always better than any offered by a single group member—can result from fourth-phase interaction. For this reason some businesses are attempting to organize for “team” group activity.
Any group exercises which enhance the basic values of group cooperativeness are appropriate for groups in this phase, such as those based on sharing, helping, listening, anticipating group needs, questioning, and building. Competitive exercises at this point tend to disrupt group growth, as they apply gentle pressure to regress to phase 3 (Bid for Power).

Group leaders can be most effective in this phase by asking constructive questions, summarizing and clarifying the group's thinking, trusting the group to achieve its maximum potential, trying to blend in with the group as much as possible, and refraining from making any comments that tend to reward or to punish other group members. An effective group leader will also be tolerant of group members' widely varying abilities to contribute to the group's goals.

5. ESPRIT

The fifth and final phase of group growth is the Esprit phase. Here the group feels a high group morale and an intense group loyalty. Relationships between individuals are empathetic. The need for group approval is absent because each group member approves of all others and accepts them as individuals. Both individuality and creativity are high. The overall feeling is that "we don't always agree on everything but we do respect each other's views and agree to disagree." A nonpossessive warmth and a feeling of freedom result. Cliques are absent.

The group may create an identity symbol. The members participate as evenly as they ever will. The need for structure depends on whether the group is an action group or a learning group; learning groups have no need for structure if they have evolved to this phase.

At this stage, the group is strongly "closed." If a new member is introduced, the feelings of camaraderie and esprit will be destroyed, since the group must regress to an earlier stage and then grow again to the esprit stage, carrying the new member along in the process.

A group in this phase continues to be constructive and productive. In fact, such a group usually achieves more than is expected or than can be explained by the apparent talents of the group members.

Hidden Agendas

Although hidden agenda items are present in this phase, they do not seem to detract from the esprit and group loyalty. Perhaps group members have granted to themselves and to one another the right to have hidden agendas provided it is productive to do so--for the individual and for the group. Or, the trust level may have risen so high that the group trusts each member not to misuse the group loyalty. By this time, the group may be well aware of each member's hidden agenda and may recognize that it holds no threat.
INTERRELATIONSHIPS

Reasons prompting a group to move, or not to move, from phase to another vary. For example, the transition from phase 1 (Polite) to phase 2 (Why We're Here) seems to occur when any single group member desires it. He can simply say, "Well, What's on the agenda today?" and the group will usually move to phase 2.

The ability to listen has been found to be the most important human trait in helping groups move from phase 3 (Bid for Power) to phase 4 (Constructive). In some cases, where the group as a whole desired to relate in the fourth phase while several members stayed rooted in the third phase, groups have been observed to reject these members.

On the other hand, the transition from phase 3 to phase 4 can be permanently blocked by a strong, competitive group member or by his clique.

The transition from phase 4 (Constructive) to phase 5 (Esprit), however, seems to require unanimous agreement among group members.

Group cohesiveness seems to depend on how well the group members can relate in the same phase at the same time. A group will proceed through these five stages only as far as its members are willing to grow. Each member must be prepared to give up something at each step in order to make the move to the next stage.

To grow from stage 1 (Polite) to stage 2 (Why We're Here) for example, each member must relinquish the comfort of nonthreatening topics and risk the possibility of conflict.

In the move from stage 2 to stage 3 (Bid for Power), he must put aside a continued discussion of the group's purpose and commit himself to a purpose with which he may not completely agree. Further, he must risk personal attacks, which he knows occur in phase 3.

Growing from phase 3 to phase 4 (Constructive) requires individuals to stop defending their own views and to risk the possibility of being wrong. Phase 4 demands some humility.

The step from phase 4 to phase 5 (Esprit) demands that a member trust himself and other group members. And to trust is to risk a breach of trust.

George O. Charrier

This lecturette is based on an article which previously appeared in ADVANCED MANAGEMENT JOURNAL, Vol. 37, No. 1 (January, 1972) pp. 30-37.

REFERENCES


Culbert, S.A. The interpersonal process of self-disclosure: It takes two to see one. NTL Institute of Applied Behavioural Science, 1968.


ALTERNATE “WIN AS MUCH AS YOU CAN” EXERCISE

INSTRUCTIONS FOR COMPLETING EXERCISE

STEP 1: Divide and separate your class into three or four (3 or 4) person groups.

STEP 2: Provide each student with a game sheet.

STEP 3: Provide each group with an "X" and "Y" Voting Card.

STEP 4: Read the following instructions aloud. Re-reading the rules is permitted; don't provide additional information or clarification.

The title of this exercise is "Win As Much As You Can".

- You are not to confer verbally or nonverbally with other members of the seminar unless authorized to do so.

- Each group must agree upon a single choice for each round.

- You are to ensure that the other members of the seminar do not know your group's choice until you are instructed to reveal it.

- As indicated on the tally sheet, there are ten rounds to this exercise. The time allotted for you to form your strategy between rounds is also on the sheet.

STEP 5: After the conference time has expired, call for a vote. Ensure each group votes simultaneously.

STEP 6: Post and compute the results of each round (utilize overhead slide).

STEP 7: During bonus rounds, allow a student (same/different) from each group to confer with the other group representatives.

AI NOTE: YOU MAY WANT TO STIMULATE THE COMPETITION BETWEEN THE GROUPS BY HAVING EACH GROUP SELECT A NAME FOR THEMSELVES, COVERTLY SHORTENING THE TIME ALLOWED FOR EACH ROUND, AND PROVIDING SOME FRIENDLY BADGERING DURING THE EXERCISE. THESE ACTIONS SHOULD ASSIST YOU IN BRINGING OUT THOSE UNDESIRABLE ATTITUDES AND BEHAVIORS WE TOO OFTEN SEE RESULTING FROM COMPETITION.
(OVERHEAD SLIDE VA OV-3)

WIN AS MUCH AS YOU CAN

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4 Xs: Lose $1.00 each
2 Xs: Win $2.00 each
2 Ys: Lose $2.00 each
1 X: Win $3.00 each
3 Ys: Lose $1.00 each
3 Xs: Win $1.00 each
1 Y: Lose $3.00 each
4 Ys: Win $1.00 each
STEP 8: Compute the total score for the class.

- Example: Group A  +18
  Group B   -21
  Group C   + 6
  Group D   + 2
  Seminar Total + 5

INSTRUCTOR NOTE: IF ALL GROUPS HAD SELECTED "Y" EVERY ROUND, EVERYONE WOULD HAVE SCORED +25 -- FOR A SEMINAR TOTAL OF +100.

REFER BACK TO LESSON PLAN (MAIN POINT b) FOR DISCUSSION OF HOW COMPETITION IMPACTS GOAL ACCOMPLISHMENT.
(OVERHEAD SLIDE VA OV-2)

TEAM 1 = RED  TEAM 2 = BLUE  TEAM 3 = BLACK

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<th>C</th>
<th>D</th>
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6 in a row - $100.00
5 in a row - $80.00
4 in a row - $60.00
Lost at Sea Exercise
Individual Worksheet

Name:
Group:

INSTRUCTIONS:

You are adrift on a private yacht in the South Pacific. As a consequence of a fire of unknown origin, much of the yacht and its contents have been destroyed. The yacht is now slowly sinking. Your location is unclear because of the destruction of critical navigational equipment and because you and the crew were distracted trying to bring the fire under control. Your best estimate is that you are approximately one thousand miles south-southwest of the nearest land.

Below is a list of fifteen items that are intact and undamaged after the fire. In addition to these articles, you have a serviceable, rubber life raft with oars large enough to carry yourself, the crew, and all the items listed below. The total contents of all survivors’ pockets are cigarettes, several books of matches, and five one-dollar bills.

Your task is to rank the fifteen items below in terms of their importance to your survival. Place the number 1 by the most important item, the number 2 by the second most important, and so on through number 15, the least important.

Sextant
Shaving mirror
Five-gallon can of water
Mosquito netting
One case of U.S. Army C rations
Maps of the Pacific Ocean
Seat cushion (flotation device approved by the Coast Guard)
Two-gallon can of oil-gas mixture
Small transistor radio
Shark repellent
Twenty square feet of opaque plastic
One quart of 160-proof Puerto Rican rum
Fifteen feet of nylon rope
Two boxes of chocolate bars
Fishing kit
Lost at Sea Exercise
Instruction Sheet

This is an exercise in group decision-making. The task for your group is to use the group consensus method in reaching a decision as to how the items should be ranked. This means that the rank of each of the fifteen items must be agreed upon by each group member before it becomes a part of the final group decision. As consensus is difficult to reach, not every ranking will meet with everyone’s complete approval. However, try, as a group, to make each ranking one with which all group members can at least partially agree — one which each member can accept on the basis of logic, whatever his level of satisfaction.

Below are some guidelines to assist you to achieve consensus. Please read these guidelines before beginning the discussion.

1. **Do not argue** for your own rankings, but **do explain** your position and your logic.

2. **Do not change** your mind just to reach agreement, or avoid conflict. When an impasse occurs, **do try** to find the next most acceptable alternative for both parties and support only those solutions with which you are able to somewhat agree.

3. **Do not use** techniques such as majority vote, averaging, trade-offs or coin flipping. Differences of opinion occur when there is a lack of information sharing. When differences occur, **do promote** an increased sharing of data.

4. **Do adopt** the attitude that differences in opinion are natural and, if handled properly, can be helpful and not hindering.

5. When one or more members agree with your ranking of a particular item, **Do not feel you have** to reciprocate by agreeing with him, her, or them at some later point.

6. **Do not adopt** the attitude that this is a win-lose discussion. Each member can contribute and should be looked upon as a potential resource of valuable information that is important to the group.

7. **Do think positive.** Adopt the attitude that your group can excel in this discussion decision exercise.
Lost at Sea Exercise
Group Discussion Worksheet

It may be helpful to begin your group discussion by writing each individual’s ranking on the chart provided.

<table>
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<tr>
<th>ITEMS</th>
<th>Individual Member Predictions</th>
<th>Consensus</th>
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<tr>
<td>Shaving Mirror</td>
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<tr>
<td>Five-gallon can of water</td>
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<td>Mosquito Netting</td>
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<td>One Case of US Army C Rations</td>
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<td>Maps of Pacific Ocean</td>
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<tr>
<td><strong>Seat Cushion</strong> <em>(Floatation Device)</em></td>
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<td>Two-gallon can of Oil-gas mixture</td>
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<td>Small Transistor Radio</td>
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<td>Shark repellent</td>
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<tr>
<td>Twenty square feet of opaque plastic</td>
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<tr>
<td>One quart of 160-proof rum</td>
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<td>Fifteen feet of nylon rope</td>
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<td>Two boxes of chocolate bars</td>
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Lost At Sea Exercise
Effectiveness of Individual VS.
Group Decision Making

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Synergism:
Cooperative action of discrete agencies such that the total effect is greater than the sum of the effects taken independently
According to the “experts”, the basic supplies needed when a person is stranded in mid-ocean are articles to attract attention and articles to aid survival until rescuers arrive. Articles for navigation are of little importance: Even if a small life raft were capable of reaching land, it would be impossible to store enough food and water to subsist during that period of time. Therefore, of primary importance are the shaving mirror and the two-gallon can of oil-gas mixture. These items could be used for signaling air-sea rescue. Of secondary importance are items such as water and food, e.g., the case of Army C rations.

A brief rationale is provided for the ranking of each item. These brief explanations obviously do not represent all of the potential uses for the specified items but, rather, the primary importance of each.

1. **Shaving mirror**
   Critical for signaling air-sea rescue.

2. **Two-gallon can of oil-gas mixture**
   Critical for signaling — the oil-gas mixture will float on the water and could be ignited with a dollar bill and a match (obviously, outside the raft).

3. **Five-gallon can of water**
   Necessary to replenish loss of perspiring, etc.

4. **One case of U.S. Army C rations**
   Provides basic food intake.

5. **Twenty square feet of opaque plastic**
   Utilized to collect rain water, provide shelter from the elements.

6. **Two boxes of chocolate bars**
   A reserve food supply.

7. **Fishing kit**
   Ranked lower than the candy bars because “one bird in the hand is worth two in the bush”. There is no assurance that you will catch any fish.

8. **Fifteen feet of nylon rope**
   May be used to lash equipment together to prevent it from falling overboard.

9. **Floating seat cushion**
   If someone fell overboard, it could function as a life preserver.

Of the United State Merchant Marines ranked the fifteen items and provided the “correct” solution to the task.

Lost at Sea Answer and Rationale Sheet¹
10. **Shark Repellent**  
   Obvious

11. One quart of 160-proof Puerto Rican rum  
   Contains 80 percent alcohol — enough to use as a potential antiseptic for any injuries incurred; of little value otherwise; will cause dehydration if ingested.

12. **Small transistor radio**  
   Of little value since there is no transmitter (unfortunately, you are out of range of your favorite AM radio stations).

13. **Maps of the Pacific Ocean**  
   Worthless without additional navigational equipment — it does not really matter where you are, but where the rescuers are.

14. **Mosquito netting**  
   There are no mosquitoes in the mid-Pacific.

15. **Sextant**  
   Without tables and a chronometer, relatively useless.

The basic rationale for ranking signaling devices above life-sustaining items (food and water) is that without signaling devices there is almost no chance of being spotted and rescued. Furthermore, most rescues occur during the first thirty-six hours, and one can survive without food and water during this period.

Alternate Collaboration Exercise

I. Q. TEST #1
Here are some real puzzlers for you!
Decipher the hidden meaning of each set of words.

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After the groups have completed this phase of the exercise, pass out the answer sheets. Instruct the students to score their individual and group worksheets by totaling the number of correct answers.

ANSWERS

1. Hitting below the belt
2. Out on a limb
3. More often then not
4. Fly by night
5. A splitting headache
6. A man for all seasons
7. All in a day’s work
8. Westside story
9. Forgive and forget
10. Short of breath
11. Accident prone
12. Horseback riding
13. Men out of work
14. Just under the wire
15. Dirty dozen
16. A foot in the door


STEP 4: Post all the individual scores of each team member in the individual score block of Overhead Slide OV-2 under the appropriate Group column.
- Have someone from each team calculate the average of the individual scores and post that in the average block for each team.
- Post the score for the group consensus for each of the teams.
Alternate Collaboration Exercise
I. Q. TEST #2
Here are some real puzzlers for you!
Decipher the hidden meaning of each set of words.

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Answers to Alternate Collaborative Exercise #2

1. Cry over spilled milk
2. Big man on campus
3. Six of one; half dozen of another
4. Unfinished business
5. Canceled check
6. Moving in the right circles
7. Cross roads
8. Sitting on top of the world
9. Three square meals a day
10. Vitamin “A” deficiency
11. High seas
12. Back seat driver
13. Right under your nose
14. First person singular
15. Tee totaler
16. The good, the bad and the ugly
TEAM MEMBER
TRAINING
E.O. (C) EFFECTIVE TEAM MEMBER PRACTICES ENHANCE GOAL ACOMPLISHMENT.

MP1 - Group collaboration enhances goal accomplishment.

MP2 - Competition impacts goal accomplishment.

MP3 - Healthy team spirit leads to goal accomplishment.

MP4 - Consideration of a team's development stage enhances goal accomplishment.
GROUP COLLABORATION ENHANCES GOAL ACCOMPLISHMENT
<table>
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COMPETITION IMPACTS UPON GOAL ACCOMPLISHMENT

I WIN! I WIN!
WHERE'D EVERYONE GO?
## Win As Much As You Can

**TEAM 1 = RED  TEAM 2 = BLUE  TEAM 3 = BLACK**

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HEALTHY TEAM SPIRIT leads to goal accomplishment
SPIRIT - HEALTHY??

ETHICAL BEHAVIOR
SPIRIT - HEALTHY??

ETHICAL BEHAVIOR

SHARING
SPIRIT - HEALTHY??

- SHARING
- ETHICAL BEHAVIOR
- TRUST
SPIRIT - HEALTHY??

SHARING

TRUST

ETHICAL BEHAVIOR

CRITICAL JUDGMENT
SPIRIT - HEALTHY??

- Ethical Behavior
- Sharing
- Trust
- Critical Judgement
- Cooperation
HEALTHY TEAM SPIRIT

ETHICAL BEHAVIOR

SHARING

TRUST

CRITICAL JUDGEMENT

COOPERATION
COG'S LADDER

CONSIDERATION OF A TEAM'S DEVELOPMENT STAGE ENHANCES GOAL ACCOMPLISHMENT.

ESPRIT
CONSTRUCTIVE
BID FOR POWER
WHY WE'RE HERE
POLITE
COG'S LADDER

POLITE

(FORMING)
Why We're Here

(Cog's Ladder)

(Storming)

(Polite)

(Forming)
COG'S LADDER

WHY WE'RE HERE

BID FOR POWER

POLITE

(.forming)

(Storming)

(Forming)
COG’S LADDER

CONSTRUCTIVE

WHY WE’RE HERE

(NORMING)

(STORMING)

(STORMING)

(FORMING)

BID FOR POWER

POLITE
COG'S LADDER

CONSTRUCTIVE

WHY WE'RE HERE

BID FOR POWER

POLITE

(performing)

(norming)

(storming)

(storming)

(forming)

ESPRIT
CONSIDERATION OF A TEAM'S DEVELOPMENT STAGE ENHANCES GOAL ACCOMPLISHMENT.

HOW?
WHAT?
RESULTS?

COG'S LADDER
SUMMARY

* Group collaboration enhances goal accomplishment

* Competition impacts goal accomplishment

* Healthy Team Spirit leads to goal accomplishment

* Consideration of a team's development stage enhances goal accomplishment