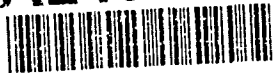AD-A243 905

Jan. 1992   Final Report September 1991

Quality Challenge: "To be ethical stewards of the government resources and to be perceived as such"

C-MDA903-91-M-5091

Survey Research Associates
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6 AUTHOR S'

Mary-jo Hall

7 PERFORM (...)

Defense Systems Management College
Ft. Belvoir, Virginia 22060

DTIC
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9 SPONSORING (...)

Program Executive Office
Fire Support
ATTN: SFAE-FS
Redstone Arsenal, AL 35898-8000

11. SUPPLEMENTARY NOTES

12a. DISTRIBUTION (...)

13 ABSTRACT (...)

The purpose of the research was to obtain a general baseline of the ethical perceptions of the employees (742) of the Program Executive Office-Fire Support as Phase I of a quality enhancement program. The survey consisted of 100 questions, 13 of which were demographic data.

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ethics, survey, quality

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SUBJECT: Publication of the PEO-FS Ethics Survey by the Defense
Technical Information Center (DTIC)

Program Executive Officer, Fire Support, ATTN: SFAE-FS-I,
    Redstone Arsenal, AL   35898-8000   0 6 DEC 1991

FOR Commandant, Defense Systems Management College, ATTN: FD-MD,
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2. Recommend Distribution Code A, "Approved for Public Release;
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GEORGE G. WILLIAMS
Program Executive Officer
Fire Support
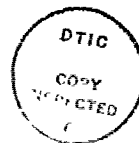
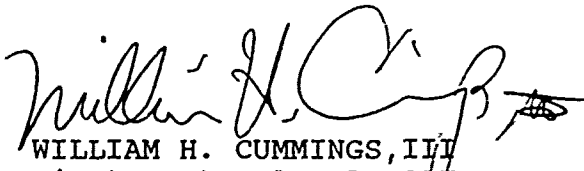| Accession For		
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Program Executive Office
Fire Support-Integration (SFAC-FS-I)
Attn: Mr. Bartlett or LTC Greer
Building 4488
Redstone Arsenal, AL 35898-8000

SUBJECT: Publication of the PEO-FS Ethics Survey by the Defense
Technical Information Center (DTIC).

1. I am in the process of submitting the ethics report,
"Quality Challenge: To be ethical stewards of the
government resources and to be perceived as such" to DTIC
for publication. DTIC is the primary source of publication
for government reports. It provides a vehicle for others to
gain from the research project.

2. Attached is the submission package. Please review. If you
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3. Please note that items 12a and 12b have been omitted on
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delineates the options available for selection. Please
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letter.

4. POC for this action is Dr. Mary-jo Hall, AV 354-6588 or
(703) 664-6588.

WILLIAM H. CUMMINGS,III
Lieutenant Colonel,USAF
Department Chair,
Management Development
Department

The Program Executive Office

Fire Support

Quality Challenge:

"To be ethical stewards of the government resources

and to be perceived as such."

A Report Prepared by

Dr. Mary-jo Hall

Professor of Management

Defense Systems Management College

Fort Belvoir, Virginia

September 1991

Table of Contents

EXECUTIVE SUMMARY

The purpose of this research was to obtain a general baseline of the ethical perceptions of the employees of the Program Executive Office-Fire Support (PEO-FS) as Phase I of a long term quality enhancement program which has as its goal: To be ethical stewards of government resources and to be perceived as such. The method for gathering the information was to administer a survey to all 742 employees. The survey was adapted from a survey previously administered by Texas Instruments. The survey consisted of 100 questions, thirteen of which asked for various demographics.

The 87 questions specific to ethics were grouped into 18 categories. The results of the survey were analyzed and the responses displayed by the percentage of positive responses by both category and individual item. The questions were analyzed for the entire group, for each subgroup within the organization and by seven demographic elements (gender, race, age, job classification, organizational structure, education level and years of government service.)

The overall responses indicate many positive aspects of the ethical climate within the PEO-FS. As expected, the responses to some of the items indicate a need for specific awareness activities during the follow-on phases of the quality challenge program.

The highlights of these results are:

* Almost everyone thinks their coworkers would rate them as having high ethical standards

* PEO-FS is seen as being more ethical than the rest of the Federal Government

* Individuals say they understand the DOD Standards of Conduct, feel they are appropriate, would support them as a personal code and feel their offices live up to the standards

* Coworkers in all job functions were rated as having above average ethical standards.

* One out of five has a poor understanding of their own office's standards

* More have a "poor" than a good understanding of the PEO-FS standards

* The functional group rated as having the lowest ethical standards were contractor personnel

* In four situational scenarios, a fairly large number of the employees indicated that the PEO/PM would deal with such situations fairly; however; many seemed to have little knowledge of the actual PEO/PMO policy regarding the particular situations.

* A number of people thought that they or their jobs would be hurt by using the "open door policy"

* Most respondents did not know the role of the Designated Agency Ethics Office

*   Responses to the questions on ethical decisions were

positive in terms of what others would do in various

situations. However, the questions with the most

negatives (i.e., participants answered either "D" or "E"

where "E" = "very frequently) were "bending rules when

hiring (28%), overstating facts on the SF-171 (22%) and

using PEO-FS equipment for personal use (21%)."

These results suggest a need for training in both the area of

rules, regulations and codes and in the area of moral ethical

development. Moreover, training is a vehicle to help make

employees aware of management's position on ethics.

Additionally, employees indicated a need for a forum to discuss

ethical issues with peers and managers.

When the survey questions were broken down by demographics,

17 of the 18 categories had more positive or "favorable"

responses by males (Category 18, which asked about activities to

enhance ethical awareness had more positive responses by

females); 15 had more positive responses by military, which

represent only 8% of the survey population; 11 had more positive

responses by whites, with no category having the most positive

responses by blacks; eight categories had the most positive

responses by older employees; and seven had more positive

responses by those with more work experience. What these results

indicate is that groups of employees have different perceptions

of the ethical climate in the organization. This could be a

·reflection of the amount of prior training in the area of ethics, i.e. military typically receive more training than civilians, or it could be based on other factors. Whatever the reasons behind the differences, there is not, in fact, one single ethical climate that permeates the organization.

Again, the purpose of Phase I was to get started in a long term quality program to emphasize ethics by getting a baseline on the perceptions of the employees. This has been accomplished. Now the goal is to take this description of the organization and make continual improvements in the area of ethical perceptions and ethical behaviors. A proposed outline for Phases II and III of the Quality Challenge program is attached and is detailed in Chapter IV. Also attached is a summary chart of the results.

PEO FIRE SUPPORT ETHICS SURVEY
CATEGORY SUMMARY REPORT
OVERALL RESULTS

CATEGORY	MEAN PERCENT FAVORABLE (10–100)	MEAN TOTAL FAV	MEAN VERY FAV	MEAN FAV	MEAN NEUT OR "?"	MEAN UNFAV	MEAN VERY UNFAV	MEAN NO.
CATEGORY 1: DOD/PEO SOC		65	28	37	20	5	11	545
CATEGORY 2: COMPARISONS - INTERNAL		40	11	29	53	4	3	538
CATEGORY 3: EXPOSURE TO ETHICS		28	10	18	29	16	27	541
CATEGORY 4: COWORKER DECISIONS		80	44	36	0	18	2	432
CATEGORY 5: ILLEGAL DRUGS		59	42	17	20	7	15	542
CATEGORY 6: MISREPRESENTATION OF TIME		66	48	18	17	6	11	545
CATEGORY 7: MISREPRESENTATION OF FUNDS		56	35	20	24	8	13	542
CATEGORY 8: CONFLICT OF INTEREST		66	45	22	18	6	10	543
CATEGORY 9: OPEN DOOR POLICY		47	28	20	25	12	17	544
CATEGORY 10: EMPLOYEE SITUATIONS		61	32	29	25	9	5	540
CATEGORY 11: DISCUSSING ETHICAL PROBLEMS		30	12	19	23	18	29	541
CATEGORY 12: DESIGNATED AGENCY ETHICS OFFICER		31	11	19	39	13	18	530
CATEGORY 13: COMPARISONS OF ORGANIZATIONS		52	16	38	45	2	1	538
CATEGORY 14: PEO-FS ACTIONS		60	22	37	31	6	4	541
CATEGORY 15: COWORKERS RATING		88	53	35	11	1	0	542
CATEGORY 16: ETHICS CLASSES		40	40	0	0	0	60	530
CATEGORY 17: ETHICAL DECISION MAKING SYSTEM		59	59	0	0	0	41	533
CATEGORY 18: ACTIVITIES TO ENHANCE AWARENESS		40	18	23	36	14	10	459

4081 9/10/91-M2

RESPONDENTS: ■ PEO-FS OVERALL (N=556)

QUALITY CHALLENGE: ETHICS AWARENESS PLAN

PHASE I

PHASE II

PHASE III

PEO INITIATIVE

SURVEY

REVIEW

FORM PAT

DEVELOP PLAN

DEVELOP PROCESSES

EXECUTE TRAINING AWARENESS PROGRAMS

CONTINUED AWARENESS

RE-EVALUATION SURVEY

| JAN 91 | APR 91 | JUN 91 | SEP 91 | JAN 92 | APR 92 | JUL 92 | OCT 92 | JAN 93 | APR 93 |
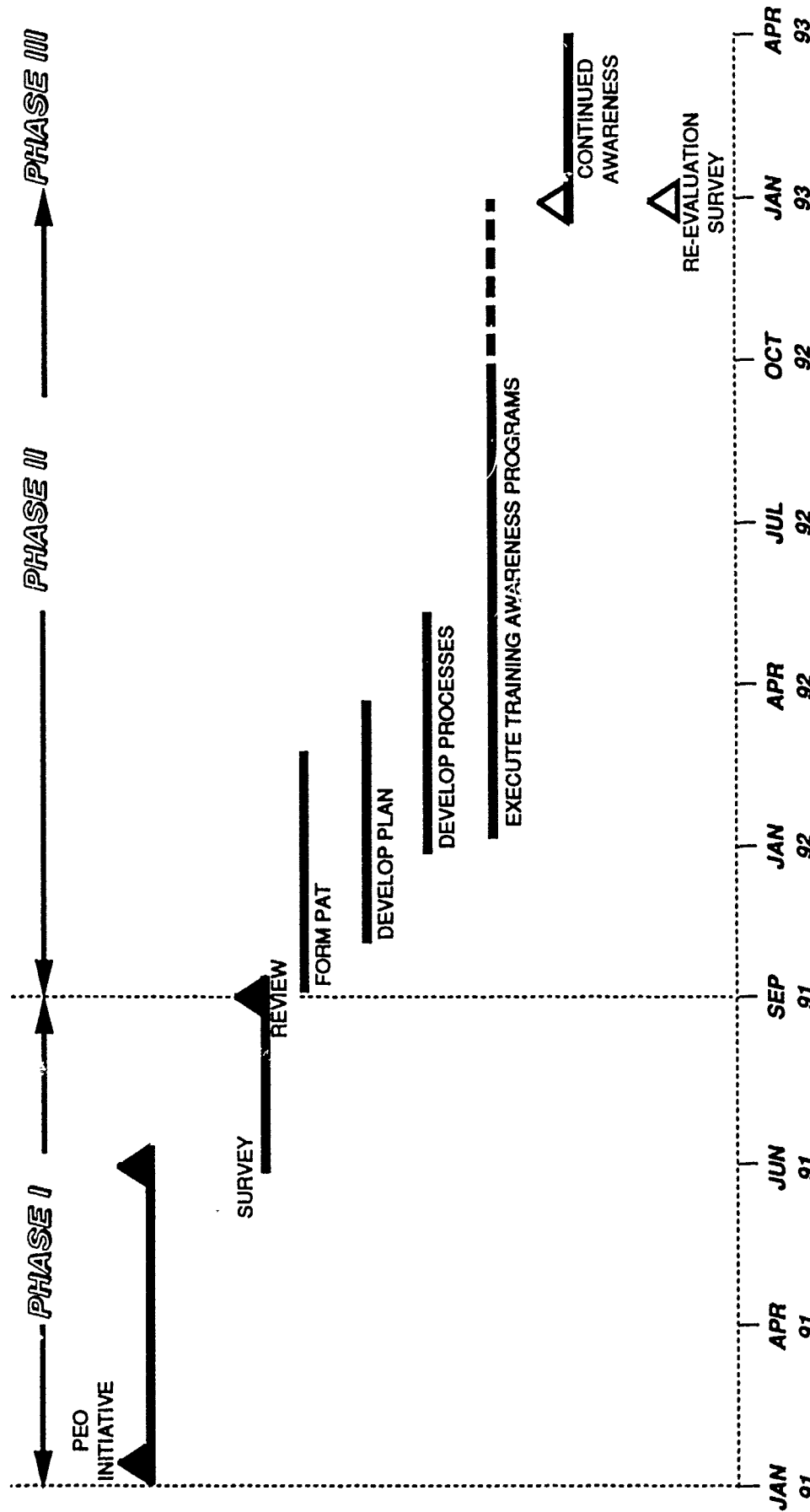
4085 9/10/91

CHAPTER I

Introduction

The purpose of this study is to obtain a general baseline
of the ethical perceptions of the employees of the Program
Executive Office - Fire Support (PEO-FS) located at Redstone
Arsenal in Huntsville, Alabama. The survey is Phase I of the
organization's long term quality enhancement program which has as
its goal: To be ethical and competent stewards of public
resources and to be perceived as such. This goal is an outgrowth
of an organization initiative established in a January 1991
meeting to move PEO-FS toward a quality focus. This philosophy
espoused by the PEO leadership reflects the view of the
literature that organizational ethics must have the "...absolute
leadership from the absolute top" (Sammet and Green, p.354).

The organizational leadership wanted to know the employees'
perceptions of ethics before deciding on a specific plan for
ethics activities such as training, establishing process action
teams or developing an organizational code. The survey was
designed to get baseline information from the employees before
the organization starts the journey to enhance quality through
establishing an ongoing ethics program.

Traditionally, the ethics in the Department of Defense (DoD)
have been steeped in the concept of public trust and guided by

the Military Officer's Commissioning Oath, the Armed Forces Code

of Conduct and the motto, "Duty, Honor, Country." Josephson

(1989) states:

> government is very special in the United States. As
> the world's leading democracy, it represents to many
> the hope and spirit of self-governance. Therefore,
> those who serve government, as elected or appointed
> officials, or as career civil servants, have special
> responsibilities to uphold the principles of
> representative democracy by treating their office as a
> public trust. (1990, p.i)

Executive Order (E.O.) 12731, Principles of Ethical Conduct

for Government Officers and Employees, 17 October 1990,

prescribes the principles of ethical conduct for all Government

officers and employees. The major points contained in the order

are based on the premise that Government employees are to avoid

any action which might result in or create the appearance of:

* Using public office for private gain

* Giving preferential treatment to any person

* Impeding Government efficiency or impartiality

* Making a Government decision outside official channels

* Affecting adversely the confidence of the public in the
  integrity of the Government.

DOD Directive 5500.7, (DoDD 5500.7) Standards of Conduct,

(SOC), contains specific guidance on standards of conduct for the

employees of the DoD. It is the DoD's summary of characteristic

ways and traits for behaving ethically. It addresses conflicts

of interest, gratuities, use of Government equipment,

contributions or presents to superiors, etc. It is "rule and

regulation" bound, and like E.O. 12731, focuses on "do's and

·don'ts." DoDD 5500.7 is a guide to use when making decisions.

Even with these laws, rules and regulations there are studies that indicate that the shift in ethical behaviors of DoD personnel has been downward (Pierce, 1991). Even though less than 1% of the procurement actions are deemed unethical (Sammet and Green, 1990), the publicity surrounding Operation Ill Wind and other scandals has surfaced the issue of ethics in the defense industry. Some literature (Pierce, 1991) indicates that ethics is "...one of the greatest problems facing the Department of Defense and the military managers of the 90s (p.9)."

In high performance organizations that focus on quality leadership, the paradigm that establishes the cultural milieu makes ethics more than rules. It goes beyond a list of "do's and don'ts" to a moral spirit, an ethos. This paradigm is a move away from rules of right and wrong simply to stay out of trouble, to a process of looking at the ethics of every decision in terms of stakeholders, core values and moral obligations.

Ethics is generally thought to be the ability to distinguish right from wrong and the commitment to do what is right and proper. Ethics is defined by Dr. James Owens of American University as: "A set of standards, or code, or value system by which free human actions are determined as ultimately good or evil" (Pierce, 1991). Bellingham and Cohen define ethics as: "the discipline of dealing with what is good and bad, and with moral duty and obligation (1990, p.ix)." Pastin, in <u>The hard problems of management: Gaining the ethics edge</u> states that: At

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·its core, ethics involves the discipline of decency. And the essence of ethics is independent thinking and questioning (1986)."

To clarify the difference between a model which posits a compliance to rules and regulations and an model which focuses on ethical decision-making, 2x2 matrix model can be modified as follows:

Bellingham and Cohen (1990)

Decisions that fall into the good-good cell or the bad-bad cell are easy. Generally they are based on legal parameters which are codified in rules and regulations. It is the decisions that fall into the good-bad cells that are difficult. The Standards of

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Conduct, rules and regulations that abound in DoD contribute toward knowing right from wrong and provide consequences of not following the rules. However, these rules and regulations do not offer a guide to working in the twilight zone of the "good-bad" cells. It is these cells that separate the "ethical" behavior from a "compliance to rules and regulation" behavior. In the twilight cells, interests collide and choices must be made not only between ethical values and unethical values but between different ethical values.

CHAPTER II

Method

The PEO-FS organization enlisted the services of the Defense Systems Management College (DSMC) to manage the survey project. A survey was administered to the entire organization of 742 people. PEO-FS is divided into a headquarters organization and eight program management offices, each of which is responsible for a unique weapons system. The organizational structure is displayed in Appendix A.

Instrument

The 100-question instrument was based on a survey developed at Texas Instruments and modified to fit the needs of the PEO-FS [Appendix B]. Questions 1 through 87 were on ethical perceptions and generally asked about one's perceptions of others rather than one's own behavior in an ethical dilemma.

Questions 1 through 36 asked for the participant's perceptions on the DOD Standards of Conduct and on the ethical standards of various groups of people. Additionally there were questions asking the amount of exposure the participant has had to ethics training as well as personal involvement in ethical dilemmas.

Questions 36 through 47 were four situations involving

ethical scenarios, each with the following three questions:

1. How concerned should your office be about this issue?

2. How fairly do you think that the boss would deal with this situation?

3.What is the extent of knowledge of policies regarding the situation?

There were also questions on the open door policy for reporting unethical behaviors, the Designated Agency Ethics Officer and general perceptions of different groups.

Question 87 was an o n-ended question which asked for the participant to provide suggestions for methods or activities that would be effective in promoting ethical behavior in the organization. Questions 88 through 100 asked questions on demographic aspects of the population. Additionally, there was space at the end of the survey for participants to add general comments.

A summary of the general categories of the questions is as follows:

	Category	Questions
1.	DOD/PEO Standards of Conduct	1 - 6
2.	Comparisons - Internal	7 - 9
3.	Exposure to Ethics	10 - 19
4.	Coworkers Decisions	21 - 35
5.	Illegal Drugs	36 - 38
6.	Misrepresentation of Time	39 - 41
7.	Misrepresentation of Funds	42 - 44
8.	Conflict of Interest	45 - 47

Administration

A draft survey was administered to 28 members of the organization during May 1991. Additionally, these participants interacted with the DSMC representative in focus groups to make suggestions for changes and additions. For the most part, the changes were incorporated into the final survey.

The final survey was distributed to all of the employees on 21 June 1991. The package included a cover letter [Appendix C] from the PEO stating the purpose and the fact that the DSMC was administering the survey. Additionally, there was a Scantron answer sheet and envelope to return the survey to the point of contact (POC). The package included complete instructions for taking the survey.

A POC from each office was designated to distribute and

collect the surveys. Due to the high travel rate of the
organization, seven working days were allowed for the
administration. On the last two days, the DSMC representative
was on site to answer questions and collect forms. All
participants were given information on how to make contact with
the DSMC representative. There were 559 survey forms returned;
however, three of them were turned in after the data had been
sent to the contractor. Thus, the response rate was 74% based on
556 responses from a population of 742.

Analysis

Descriptions of each item were analyzed in terms of how
favorable the participant rated the response. Frequency, mean
and standard deviations were also produced for each question.
The written responses to question 87 were compiled. The general
comments were also compiled.

CHAPTER III

Results and Discussion

The purpose of this study was to assess the ethical climate within Fire Support to obtain a baseline of the perceptions of those who work in the organization. Because of the broad general nature of the survey, this study was more or less exploratory, therefore, there were no critical questions to be answered by the results. The survey was designed to gather data for Phase I of the Quality Challenge project; and, based, on a description of the collected data, to shed light on requirements and needs for Phase II.

Results

The participants' responses to the survey questions on ethics are presented under separate cover and divided into four sections. The first section presents overall results of the survey. The second section compares the overall results to the results of each of the nine groups that make up the organization. The third section describes the responses by demographics.

Additionally, the results include means and standard deviations for questions 1 thru 87; the breakdown of question 20, "How often do you face ethical dilemmas in your work related decisions?"; the breakdown of question 50 which could have multiple answers ("mark all of those that apply") and the

breakdown of question 49 by question 50; ("If you used an "Open Door" policy (i.e., a policy allowing access to higher level supervisor's/officer's) to try to resolve a problem, how confident are you that you would not be hurt in any way?, and 50 "Do you feel this way because of (mark all of those that apply): (A) A personal experience with the Open Door process, (B) Something you have heard about the Open Door process, (C) a general trust/distrust in the Open Door process, (D) Your own personal experience as a supervisor using an Open Door policy (E) Your personal belief that an Open Door policy is ineffective."

The data for all four sections is presented as it was prepared and formatted by the contractor, Survey Research Associates of Nyack, New York. The terms "favorable" and "favorableness" were used by the contractor as the generic terms to encompass positive responses for all of the questions since the particular terms varied for each question. The scale for these terms precedes each set of results.

Subjective Responses

Participants also made suggestions for activities which could enhance ethical awareness [Appendix D]. There were 27 individual comments to question 87, "In your opinion, how effective do you think the following activities would be to promote ethical behavior in PEO-FS: Other, please specify." These 27 responses were grouped into the following categories: religion and/or Bible references; upper management examples and

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role models; clarifying existing standards; training; enforcing present rules; having group discussions or support networks to discuss issues; and screening employees before hiring. Additionally, thirteen participants made general statements on a variety of topics in the area at the end of the survey labeled "Comments." These comments were provided to the PEO for personal review. A description of the demographics reported by the survey participants is at Appendix E.

Discussion

The first category of questions in the survey was SOC (questions 1-6). Respondents generally self-reported an understanding of the SOC, i.e., 69% responded favorably and 71% thought the standards were appropriate. However, only 34% understood PEO-FS's ethical standards and only 55% understood the ethical standards of their unique office. Moreover, 37% had a "very poor" understanding of the PEO-FS standards and 20% had a "very poor" understanding of their own office standards. The majority of the respondents (80%) stated that they would support the SOC if they were standards of personal ethical conduct. Of the respondents, 78% thought their office lived up to their standards.

When Category 1 was broken down by demographics, the responses were more favorable by males than females for all six questions; least favorable by blacks than either "other" race category or whites; more favorable by military than civilian;

those with a graduate degree had a more favorable response than those with less education; age was more favorable, as were those with more years of work experience.

Category 2 (questions 7 - 9) was comparisons of internal organizations. Fifty-two percent of the respondents thought that PEO-FS compared favorably with other offices where they have worked. Thirty-two percent thought that PEO-FS was more ethical in its actions in the last 2 years and 36% thought that there own offices were more ethical in their actions during the last two years.

In Category 2 the most favorable responses were by males; "other" race category; military, employees with a high school education or less, the older employees and employees with the most experience in the organization.

Category 3 (questions 10-19) was exposure to ethics. The questions stem was "In your present office how much exposure to ethics have you received from each of the following sources." The question with the most positive responses was "exposure to ethics in terms of learning by doing." On first glance, this response conjures up other questions such as "what does learning by doing really mean?" and "how does this happen?" The order for the responses as reported by the survey participants is as follows;

* Learning by doing   50%

* Supervisors   42%

* Division manager   35%

* Coworkers/colleagues   29%

*	Department meetings	26%
*	New employee orientation	25%
*	Sources outside of PEO-FS	24%
*	PEO-FS management	21%
*	Posters	14%
*	Videos	11%

The responses by the participants indicate that the majority of employees are not being exposed to ethics. Besides the fact that this entire area, except for one question, is rated by the majority as less than favorable indicates a need for more visibility on the part of management toward ethics. Additionally, the literature (Etzoni, 1988) emphasizes that if an ethical environment permeates the organization, it must come from the top, thereby placing responsibility for ethics awareness, education and climate on management.

Category 3 had the most favorable responses by males, the race category "other", military, matrix, employees from age 31 to 40, employees with under ten years in the organization and employees with over 15 years.

Question 20, "How often do you face ethical dilemmas in your work-related discussion had no "favorableness" answers but rather had options from "rarely" to "very frequently". The responses were as follows: A (Rarely)= 24.4%; B=20.4%; C=29.0%; D=16.2% and E (very frequently) = 9.9%. Putting D and E together indicates that 26.1%, over one fourth of the PEO-FS employees,

frequently face situations involving ethical dilemmas.

Category 4 (questions 21-35) asks questions about coworker's decisions. The stem for the questions is "Thinking about your coworkers in the following job functions, how would you rate the decisions they generally make on the job in terms of ethical standards?" The lowest rating for any functional area was 73%, which indicates above average ethical standards. However, the question with the highest percentage of negatives was contractor personnel, where 5% of the survey participants rated contractor personnel as having "Low Ethical Standards." Overall, the most favorable ratings were from males, whites, military, matrix, older employees and those with more work experience.

Categories 5,6,7, and 8 (questions 36-47) were scenarios or illegal drugs, misrepresentation of time, misrepresentation of funds and conflict of interest. Respondents felt all four topics needed attention from top management (78% to 93%); however, the ratings were lower in terms of how fairly the management would deal with the situations (64% to 73%). On all four scenarios, the respondents seemed to have little knowledge of the PEO/PM policy regarding the situations (21% to 43% knew the policies). It is interesting that the trends were the same across the scenarios. The most favorable responses were generally from males, whites, military and those with 15 or more years of service. Other demographics were similar in the degree of favorableness.

Category 9 concerned the open door policy (questions 48 and 49). A sizeable number of respondents felt they or their careers would be hurt if they used the Open Door policy to report an unethical situation. This is reinforced by the responses to question 63 when 30% of the respondents reported that if they discovered a serious ethical problem they would almost never discuss it with a PEO-FS official. Category 9 had the most favorable responses by males, whites, military, and older employees. Ratings by years of experience were similar except for the employees with 10 to 15 years of service who gave less favorable ratings.

Category 10 (questions 51-60) presented employees with situations and asked the employees whether they thought coworkers would do certain things. The responses were fairly positive across all behaviors, which indicates that employees feel that coworkers make fairly high ethical decisions. The highest negative responses were on "bending the rules when hiring people" (28%), "overstating facts on an SF-171" (22%) and "using equipment for personal benefit" (21%). Category 10 had the most favorable responses by males, whites, older employees and matrix employees. The other demographics were similar.

Category 11 (questions 61-64) asked respondents who they would discuss the situation with if they knew that a coworker committed a serious ethical problem. The most positive response was "a PEO-FS official", but less than 50% of all survey participants would even discuss it. Forty-seven percent stated

that they would not discuss it with someone outside of PEO-FS. Category 11 had the most favorable responses by males, the race category "other", military, and employees with a graduate education.

Category 12 (questions 65-71) asked questions about the Designated Agency Ethics Officer. As expected, most survey respondents (80%) were not familiar with the DAEO. Category 12 had a low favorable response overall, but the groups that did know about the DAEO and responded most favorably were males, military, and older employees.

Category 13 (questions 72-74) was the comparison of organizations. As previous literature suggests (Josephson, 1986), almost everyone thinks their coworkers would rate them as having high ethical standards. PEO-FS is seen as being more ethical than the rest of the federal government, the rest of DOD and especially more ethical than the contractors. This is in contrast to a recent reader survey by Working Women magazine where 66% said the government was the most unethical place to work (1990). Other research indicates a decline in the ethical fiber of the military due to procedures and systems imposed on the government (Pierce, 1991). Category 13 had the most favorable responses from males, military, matrix, and older employees. Blacks responded least favorably.

Category 14 (questions 75-79) asked questions concerning PEO-FS actions in terms of emphasis on ethics. For example, one question asked about the use of an ethics coordinator for the

PEO-FS organization. Forty-nine percent thought that an ethics coordinator should be established and 64% thought the PEO-FS emphasis on ethics was justified. Seventy percent thought that contractors would perceive the behavior of PEO-FS as ethical. Yet, 59% thought that PEO-FS was more ethical than the contractors that work with PEO-FS. Category 14 had the most favorable ratings by males, whites, military, those with graduate school, older employees and those with greater than 5 years of service but less than 10.

Category 15 (questions 79 and 80) asked questions on perceptions of co-workers. The responses reiterated the belief that the survey participants think they are perceived by others as ethical. Not one respondent stated that coworkers would think of them as "very unethical." Eighty-eight percent thought they would be perceived as ethical. Category 15 had the most favorable responses from males, whites and military employees.

Category 16 (question 81) indicated that 60% of the respondents have never attended a class on ethics awareness. This is not a surprising response, since the organization is relatively new and this survey is the first outward sign of an ethics program. Moreover, recent research found that less than 5% of college graduates ever take a course in ethics (Cavanagh and Chmielewski, 1987). Category 16 had the most favorable responses from males, whites, military, older employees, those with graduate degrees and core employees.

Category 17 was a question (82) on using a standard

methodology for making ethical decisions. Fifty-nine percent have such a system. This response generates questions about the methodologies and procedures that are used to make decisions. Category 17 had the most favorable responses by males, whites, core employees, older employees and those with graduate degrees.

Category 18 (questions 83-87) were activities to enhance awareness of ethics. The order of the responses from most favorable was a class on ethical decision-making (49%), a code of ethics (40%), a class on SOC (39%) and a discussion with other employees on values (34%). Category 18 had the most favorable responses by males and those with under five years of service.

When administering the pilot survey and when collecting the responses for the survey, there seemed to be an undue concern on the part of some employees that the demographics would provide a way to trace individual responses. In order to determine if, in fact, there was a significant difference between the groups that were concerned and those that did not express concern, the responses for those who marked their office codes (N=491) was compared to the responses of those that chose nct to include that information (N = 65). Generally, there was little difference between the groups in the responses to the 18 categories. In 12 of the categories those with their office marked were more favorable but never by more than seven percent. One category, 16, had the same percent of favorable responses for both groups.

Thirteen survey participants included general comments at the end of the survey [Appendix D]. There were a variety of

responses, some were positive and some negative. One comment questioned the validity (and the ethics) of the survey. Analyzing all of the comments, there seemed to be several themes that ran through the comments. For example, it was mentioned that training and education are needed. One comment refers to the need for managers "to walk their talk" and several comments indicate that the employees do not think the managers know what is going on in terms of some unethical behaviors. Several survey participants made excellent recommendations for implementing ethics within the organization. Also of importance was a recommendation to review the rules, regulations and codes that presently exist to question their reasonableness, particularly in the case of rules which seem unfair and those which seem to tie the hands of managers.

Chapter IV

Recommendations and

Summary

The general baseline perceptions of the PEO-FS employees on ethics described in this project are valuable in establishing the foundation for follow-on interventions. It is recognized that a survey of this type channels the responses to a certain extent (Morgan, 1983). Even without this particular survey, however, data from previous research supports the need for a higher level of awareness and knowledge of ethics not only in terms of decision-making behaviors but also in terms of facts related to laws, rules and regulations. By administering a survey to PEO-FS, the baseline description provides substantial evidence to support an ethics program within the organization. Additionally, the survey, in and of itself, is a sign that upper management is concerned with the ethical climate of the organization.

As with any set of new data, there are implications for further action and research. This survey provides a benchmark of the perceptions of ethics for this organization. Further information can be gleaned by comparing results both between different groups and between the same group at different times. A follow-up survey administered to this organization after 18 to 24 months would be effective in measuring the effects of training interventions. Administering the survey to another organization and comparing results between the groups could provide additional

·interesting information.

There are implications for myriad interventions for Phase II including training, worker involvement in discussion groups for improved awareness of an ethical decision-making model, developing an ethics POC, developing an organizational Code of Ethics, etc. Additional training and development in the area of communication skills and trust building are also indicated by some of the subjective comments. Even though training cannot be considered the panacea for all ethics learning, it is considered a traditional method and used by many organizations. A 1990 survey found that 36.9% of organizations with more than 100 employees provide some type of ethics training (Thompson, 1990). This is an increase from 26.6% in 1989 and 19.7% in 1988. Other research indicates that 44% of American companies have ethics training (Harrington, 1991). Moreover, this same research indicates that ethics training is primarily aimed at managers. Training provides a strong message to the people within an organization and to the external stakeholders that ethical decision-making is important. Research has indicated that ethics training provides benefits in terms of improved worker morale as well as integrating an awareness of ethical decision-making into the organizational culture.

However, training modalities vary tremendously in content and process. The results of the survey indicate that there is a need to provide training on both ethics as defined in Chapter I and on the SOC, rules and regulations that affect government

workers. The modality for exposing employees to rules,
regulations and laws is typically a didactic process. This is a
methodology for helping employees learn facts. Working with the
employees to facilitate interpersonal behavioral actions based on
trust, an understanding of choices in a situation and the
consequences of their choice, involves a different technique.
The modality for this process involves getting employees involved
in discussions centered around the "twilight" cells of bad/good
and good/bad where core values surface. A training program on
this level would provide a model for ethical decision-making
similar to the one proposed by the Government Ethics Center at
the Josephson Institute (Josephson, 1986), which is also the
Quality Ethics Model recommended by Gale (1991). The guiding
principles for this model are founded on the core consensus
ethical values of honesty, integrity, promise keeping, loyalty,
fairness, concern for others, respect for others, responsible
citizenship, pursuit of excellence and personal accountability.
The principles include the following tenets:

- All discussions must take into account and reflect a
  concern for the interests and well being of others; ie
  identify all stakeholders and define each stakeholder
  interest.
- Ethical values and principles always take precedence
  over non ethical ones
- It is ethically proper to violate ethical principles

only when it is clearly necessary to advance another

principle which; according to the decision makers

conscience, will produce the greatest balance of good.

(Josephson, 1989, pp. 13-14)

In terms of employee involvement, it is recommended that the

subjective comments from the survey be legitimized in formulating

Phase II actions. For example, the comments on "clarifying

standards we already have" and the need for "training" fall under

the rubric of presenting known information in a traditional

didactic forum. It is clear that the rules, regulations and laws

need to be common knowledge in the organization. The comments on

ethics being related to Bible study also indicate a desire for

the process of "tell me what is right and wrong and I will

comply." This is a valid desire and further indicates a need for

training. The comments on "upper management examples, role

models and enforce the present rules" reflect a desire on the

part of the employees for the leadership to know the codes, rules

and regulations and for them to "walk their talk". As Peter

Drucker states:

> What executives do, what they believe and value, what
> they reward and whom, are watched, seen, and minutely
> interpreted throughout the whole organization. And
> nothing is noticed more quickly -- and considered more
> significant-- than a discrepancy between what
> executives preach and what they expect their associates
> to practice.

Additionally, the leadership of an organization typically is responsible for the ethical culture of the organization. Bellingham and Cohen state the following as ingredients of an ethical culture:

* A tradition of strong values and ethics

* A belief at the top in the strategic importance of integrity.

* Leadership modeling and commitment.

* Explicit statements of values and beliefs, such as codes of ethics, and standards of business conduct.

* Active solicitation of support from managers and employees.

* A common view that ethics is a cultural issue.

* Procedures and systems which ensure that ethics is a central part of selection and performance management.

* Tailored education and training programs.

* Multiple upward and downward communications channels.

* Broad monitoring of ethics goals. (1990, p. 104)

"Screening employees before hiring" is another suggestion from the survey participates that lends itself to a legalistic treatment. It is thought that the process for obtaining security clearances in this organization would be one avenue for this process to be actualized.

The recommendation "Have group discussions or support networks to discuss the issues" is the survey participant

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suggestion that points toward the new paradigm of ethical decision-making involving choices. This intervention modality has the potential to influence behavioral changes, to reinforce the constancy of purpose and consistency of behavior aspects of ethical decision-making. Weiss (1991) affirms that one reason to examine ethics in the workplace is that "The traditional and primary conveyor of ethical values has diminished in availability and importance (p.69)" He further points out the impact of family or group discussions in sorting out ethical dilemmas and issues. Yet unfortunately, in today's society, the gathering of the family is generally not the norm. Therefore, it becomes more important that the workplace provide this forum to allow the employees an opportunity to discuss ethical issues and exchange ideas on the interpretation of gray areas. The training in ethical decision-making can also utilize the discussion technique in the formal training process. So rather than having a didactic lecture on the rules, regulations and laws, training can be in terms of a facilitator presenting concepts and models for the participants to use in their discussions with co-workers. Again, this model focuses on continually improving the ethical decision-making process of the individual by empowering employees to legitimately wrestle with their own value structure.

A milestone chart for the Quality Challenge program is at Appendix F. It summarizes Phase I and proposes a skeleton for Phases II and III which incorporates various interventions discussed previously. Based on the responses from the survey,

there seems to be a need for more awareness training in both rules, laws and regulations as well as in a higher level of moral development involving discussing ethical choices and consequences. Training for rules and regulations can be as simple as passing out written information or a lecture. Training for quality decision-making is a more difficult and time consuming process. Generally it consists of a facilitator presenting ideas and models and having the employees discuss and debate the concepts in a manner that promotes ethical growth and behavior. There are also indications from the survey data that group forums for discussing values and ethical dilemmas would be appropriate. Group forums could also be the source of ideas for filling in the Phase II and III of the PEO-FS quality effort. The ethical climate is set at the top in every organization, but it is the employees' responsibility to exhibit behaviors which reflect an ethical climate. According to the literature, the more involved the employees are in all aspects of the organization, the more committed they are to taking action. A Process Action Team (PAT) could be responsible for completing the specifics for the implementation of the plan for Phases II and III. The team(s) could literally be the planners of the Quality Challenge program and determine the specific training requirements, consider the desire for a code, study the concept of implementing forums for discussions, etc. A list of generic options for an ethics program is at Appendix G.

In summary, this survey answered the question, "What are the

·baseline perceptions of the ethical climate at PEO-FS." Now the challenge for the organization is to have the core values defined, articulated throughout the organization and lived everyday at all levels. Living the values has the potential to create a high performance, quality organization where every member is an exemplary steward of the government's resources and will be perceived as such by all of the organization's customers.

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Program Executive Office - Fire Support (PEO-FS)

The PEO-FS is organized as follows:

Name	Acronym in Survey
Program Executive Office	PEO
Advanced, Antitank Weapon Systems Project Office	AAWS
Army Tactical Missile System Project Office	ATACMS
Air to Ground Missile Systems Project Office	Hellfire
Joint Ground Launched Tacit Rainbow Project Office	Tacit Rainbow
Tube-Launched, Optically-Tracked, Wire-Guided, Anti-Armor Missile Project Office	TOW
BAT Brilliant Anti-Armor Submunition Project Office	BAT
Special Management Office	SMO
Multiple Launch Rocket System Project Office	MLRS

As of 3 July 1990, the following were reported employed by each office:

Name	Civilian	Military	Total
PEO	35	5	40
AAWS	69	6	75
ATACMS	85	6	91
Hellfire	83	9	92
Tacit Rainbow	62	8	70
MLRS	120	14	134
TOW	122	13	135
Special Projects 1 (BAT)	34	4	38
Special Projects 2 (SMO)	63	4	67
TOTALS	673	69	742

APPENDIX A

Program Executive Office - Fire Support (PEO-FS)

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TOTALS	673	69	742

APPENDIX B

FIRE SUPPORT PEO ETHICS SURVEY

(#1) In general, how good is your understanding of the DOD Standards of Conduct?

Very Poor   **Very Good**
A   B   C   D   E

(#2) The DOD Standards of Conduct can be simply expressed by the following: "All DOD business must be conducted in an honest manner using integrity and fairness." As you understand this statement, how appropriate do you think DOD Standards of Conduct are?

       Extremely
Extremely   **Inappropriate**
Appropriate
     A   B   C   D   E

(#3) In general, how good is your understanding of the Fire Support-Program Executive Office ethical standards? (If you do not know what the ethical standards are, mark "A" which indicates very poor).

Very Poor   **Very Good**
A   B   C   D   E

(#4) In general, how good is your understanding of your office's ethical standards? (If you do not know what the ethical standards of your office are, mark "A" which indicates very poor).

Very Poor   **Very Good**
A   B   C   D   E

(#5) If the DOD Standards of Conduct were standards of personal ethical conduct, rather than organizational ethical standards, to what extent would you support them?

Not at all   **Totally**
A   B   C   D   E

(#6) To the extent that you are able to determine, how well do you think that your office lives up to these ethical standards on a daily basis?

Not at all   **Totally**
A   B   C   D   E

(#7) In terms of adherence to high ethical and moral standards, how do you think your office compares with other similar management offices where you have worked or of which you have knowledge?

Much less ethical		No difference		Much more ethical
A	B	C	D	E

(#8) In the last 2 years, in which direction do you think that the FS-PEO staff's organizational ethical behavior has gone?

Much less ethical		No difference		Much more ethical
A	B	C	D	E

(#9) In the last 2 years, in which direction do you think your office's organizational ethical behavior has gone?

Much less ethical		No difference		Much more ethical
A	B	C	D	E

(#10-19) In your present office how much exposure to ethics have you received from each of the following sources? Use the following scale:

None				A Great Deal
A	B	C	D	E

(#10)	New employee orientation	A	B	C	D	E
(#11)	Department meetings	A	B	C	D	E
(#12)	Your supervisor	A	B	C	D	E
(#13)	Your division manager	A	B	C	D	E
(#14)	FS-PEO management	A	B	C	D	E
(#15)	Posters about ethics	A	B	C	D	E
(#16)	Videos about ethics	A	B	C	D	E
(#17)	Coworkers/colleagues	A	B	C	D	E
(#18)	Sources outside FS-PEO	A	B	C	D	E
(#19)	Learning by doing	A	B	C	D	E

(#20) How often do you face ethical dilemmas in your work-related decisions?

Rarely				Very Frequently
A	B	C	D	E

(#21-35) Thinking about your coworkers in the following job functions, how would you rate the decisions they generally make on the job in terms of ethical standards? Use the following scale:

A	B	C	D	E
Low Ethical Standards	Average Ethical Standards	Above Average Ethical Standards	High Ethical Standards	Not Observed

(#21) Engineering	A	B	C	D	E
(#22) Financial Management	A	B	C	D	E
(#23) Contracting Management	A	B	C	D	E
(#24) Logistics Management	A	B	C	D	E
(#25) Clerical	A	B	C	D	E
(#26) Contractor Personnel	A	B	C	D	E
(#27) Quality Assurance	A	B	C	D	E
(#28) Security	A	B	C	D	E
(#29) Test Management	A	B	C	D	E
(#30) ADP	A	B	C	D	E
(#31) Supervisor	A	B	C	D	E
(#32) Configuration Manager	A	B	C	D	E
(#33) DPEO/DPM	A	B	C	D	E
(#34) PEO/PM	A	B	C	D	E
(#35) Other employees not listed in 21-34	A	B	C	D	E

The following questions are intended to determine if certain situations should be of concern to FS-PEO as an organization. For each situation, there are a series of three questions to be answered. Please mark one letter for each of the three questions in each situation.

(#36-38) **Situation 1:** A co-worker uses illegal drugs at home.

(#36) How concerned should your office management be about this issue?

Not At All   **Very**
Concerned
Concerned
    A   B   C   D   E

(#37) How fairly do you think that the PEO/PMO would deal with situations like this ?

Unfairly   **Fairly**
    A   B   C   D   E

(#38) What is the extent of your knowledge of PEO/PMO policy regarding situations like this?

No Knowledge   **Very Knowledgeable**
    A   B   C   D   E

(#39-41) **Situation 2:** A co-worker inputs more hours into the attendance system than he or she actually has worked.

(#39) How concerned should your office management be about this issue?

Not At All   **Very**
Concerned   **Concerned**
    A   B   C   D   E

(#40) How fairly do you think that the PEO/PMO would deal with situations like this?

Unfairly   **Fairly**
    A   B   C   D   E

(#41) What is the extent of your knowledge of PEO/PMO policies regarding situations like this?

Little Knowledge   **Very Knowledgeable**
    A   B   C   D   E

(#42-44) **Situation 3:** An co-worker works on a project that is unfunded but charges his or her time to another project that is fully funded.

(#42) How concerned should your office management be about this issue?

Not At All
Concerned   **Very**
                                                 Concerned
   A   B   C   D   E

(#43) How fairly do you think that the PEO/PMO would deal with situations like this ?

Unfairly   **Fairly**
   A   B   C   D   E

(#44) What is the extent of your knowledge of PEO/PMO policies regarding situations like this?

Little Knowledge   **Very Knowledgeable**
   A   B   C   D   E

(#45-47) **Situation 4:** A co-worker is frequently entertained by a person from a company that has a contract with your organization:

(#45) How concerned should your office management be about this issue?

Not At All
Concerned   **Very**
                                                 Concerned
   A   B   C   D   E

(#46) How fairly do you think that the PEO/PMO would deal with situations like this fairly?

Unfairly   **Fairly**
   A   B   C   D   E

(#47) What is the extent of your knowledge of PEO/PMO policies regarding situations like this?

Little Knowledge   **Very Knowledgeable**
   A   B   C   D   E

(#48) If your supervisor had an open door policy (i.e. a policy
providing access to all employees) and you used it to report an
unethical situation, how confident are you that your career would
not be hurt in any way? (mark one)

Not At All Confident				Very Confident
A	B	C	D	E

(#49) If you used an "Open Door" policy (i.e. a policy allowing
access to higher level supervisor's/officer's) to try to resolve
a problem, how confident are you that you would not be hurt in any
way?

Not At All Confident				Very Confident
A	B	C	D	E

(#50) Do you feel this way because of (mark all of those that
apply):

    (A) A personal experience with the Open Door process

    (B) Something you have heard about the Open Door process

    (C) A general trust/distrust in the Open Door process

    (D) Your own personal experience as a supervisor using an open
        door policy

    (E) Your personal belief that an open door policy is
ineffective

(#51-60) Listed below are some situations that involve ethical
decisions.   We are interested in what you think FS-PEO/PMO
employees would do. Mark the number that most closely corresponds
to how often you believe that the typical FS-PEO/PMO employee would
exhibit the stated behavior.

	Almost Never				Very Frequently
(#51) Overstate facts on a SF-171	A	B	C	D	E
(#52) Conceal a cost overrun that makes him/her look bad	A	B	C	D	E
(#53) Consider ethical impact when making a decision	A	B	C	D	E
(#54) Use FS-PEO/PMO equipment for personal benefit.	A	B	C	D	E
(#55) Attempt to be fair and honest in all endeavors	A	B	C	D	E

(#56) Use work time for personal   A   B   C   D   E
      activities
(#57) Quiz a job applicant   A   B   C   D   E
      about a sensitive technology
      or classified program he or
      she worked on in a previous
      position
(#55) Overstate expenses on a   A   B   C   D   E
      travel voucher
(#59) Use integrity when dealing   A   B   C   D   E
      with all customers
(#60) Bend the rules when   A   B   C   D   E
      hiring people

(#61-64) If you should happen to discover a serious ethical problem
(for example, a violation of DoD Standards of Conduct) by someone
else at work, how likely are you to discuss it with:

Almost Never				Always
A	B	C	D	E

(#61) A friend at work   A   B   C   D   E
(#62) Someone outside FS-PEO   A   B   C   D   E
(#63) An FS-PEO Official?   A   B   C   D   E
      (your supervisor, Personnel
      Administrator, a higher
      manager in your division,
      Legal, etc.)
(#64) The person involved?   A   B   C   D   E

(#65) How familiar are you with the role of the Designated Agency
Ethics Officer (DAEO) or his or her representative in the post
legal office?

Not At All Familiar				Very Familiar
A	B	C	D	E

.(#66-71) How confident are you that the Designated Agency Ethics
Official   or   the   post   legal   office   (which is   the   DAEO's
representative). Use the following scale:

Not At All Confident				Extremely Confident
A	B	C	D	E

(#66)	Provides useful ethics information?	A	B	C	D	E
(#67)	Will act as a result of a a report of violations of ethical standards?	A	B	C	D	E
(#68)	Gives clear guidance about a particular ethical question?	A	B	C	D	E
(#69)	Takes serious action as a result of a report of violations of ethical standards?	A	B	C	D	E
(#70)	Protects an individual who reports a violation of ethical standards?	A	B	C	D	E
(#71)	Would get back to you with an answer to your question?	A	B	C	D	E

(#72) As far as you can determine, how ethical is FS-PEO/PMO in
comparison with the rest of the federal government?

Much Less Ethical				Much More Ethical
A	B	C	D	E

(#73) As far as you can determine, how ethical is FS-PEO/PMO in
comparison with the rest of DOD?

Much Less Ethical				Much More Ethical
A	B	C	D	E

(#74) As far as you can determine, how ethical is FS-PEO/PMO in
comparison with its contractors?

Much Less Ethical				Much More Ethical
A	B	C	D	E

(#75) In your opinion, how important is it for FS-PEO/PMO to establish and maintain an Ethics Coordinator?

Unimportant				**Very Important**
A	B	C	D	E

(#76) In your opinion, is the FS-PEO/PMO emphasis on ethics justified?

Not Justified				**Fully Justified**
A	B	C	D	E

(#77) How do you think other government employees perceive the behavior of FS-PEO/PMO employees in terms of ethical behavior?

Unethical		**Ethical some of the time**		**Ethical all of the time**
A	B	C	D	E

(#78) How do you think contractors perceive the behavior of FS-PEO/PMO employees in term of ethical behavior?

Unethical		**Ethical some of the time**		**Ethical all of the time**
A	B	C	D	E

(#79) How do you think the local Huntsville community perceives the behavior of government employees in terms of ethical behavior?

Unethical		**Ethical Some of the time**		**Ethical All of the time**
A	B	C	D	E

(#80) How do you think your co-workers would rate your decisions/behaviors in terms of ethical standards.

Low Ethical Standards				**High Ethical Standards**
A	B	C	D	E

(#81) Have you ever attended any classes on Ethics Awareness?

(A) **YES**   (B) **NO**

(#82) Do you have a standard decision making technique that you use when faced with an ethical dilemma?

(A) **YES**   (B) **NO**

(#83-86) In your opinion, how effective do you think the following activities would be to promote ethical behavior in PEO FS:

Very Ineffective				**Extremely Effective**
A	B	C	D	E

(#83) An organizational Code of Ethics		A	B	C	D	E
(#84) A class on ethical decision making		A	B	C	D	E
(#85) A discussion with other employees on values and ethics		A	B	C	D	E
(#86) A class on DOD Standards of Conduct		A	B	C	D	E

(#87) Other please specify _____

_____

_____

****

(#88-100) Demographic Information.
Please circle the most correct response for each question.

(#88) Your Age: (A)18-30   (B)31-40   (C)41-50   (D)51-60   (E)61+

(#89) Gender: (A)Male   (B)Female

(#90) What is your ethnic origin?
   A.   Hispanic
   B.   Asian/Pacific Islander
   C.   Black, not of Hispanic origin
   D.   White, not of Hispanic origin
   E.   Other

(#91) Education: Circle the response of the highest level
(A)Less than   (B)10th Grade   (C)Post High   (D)Bachelor's
    9th grade   to High School   School   Degree

(E)Graduate   School

(#92) Years of Service at Fire Support-PEO/PMO

            (A)   Less than 1 year

            (B)   greater than 1
                  but less than 3

            (C)   greater than 3
                  but less than 7

            (D)   greater than 7
                  but less than 10

            (E)   greater than 12

(#93) Years of Government Service

            (A) Under 2

            (B) greater than 2
                but less than 5

            (C) greater than 5
                but less than 10

            (D) greater than 10
                but less than 15

            (E) greater than 15

(#94) Job Classification

(A)GS-9   (B)GS-10   (C)Military   (D)Military   (E)Contractor
and below   and above   Officer   Enlisted

.(#95-96) Office/Symbol
Please indicate your office by marking one circle between #95 and #96.

#95-A	PM/AAWS
#95-B	PM/ATACMS
#95-C	PM/HELLFIRE
#95-D	PM/TACIT RAINBOW
#95-E	PM/MLRS
#96-A	PM/TOW
#96-B	PEO
#96-C	P-1/other selected group
#96-D	P-2/other selected group
#96-E	P-3/other selected group

(#97-99) Functional Area
Mark the one category below that most closely describes the organizational function to which you are assigned.

#97-A	Engineering
#97-B	Financial Management
#97-C	Contracting Management
#97-D	Logistics Management
#97-E	Clerical
#98-A	Contractor Personnel
#98-B	Quality Assurance
#98-C	Security
#98-D	Test Management
#98-E	ADP
#99-A	Supervisor
#99-B	Configuration Manager
#99-C	Program Management
#99-D	Staff support
#99-E	Other than the areas in 91-94.

(#100)   Are you
(A)   Core   (B) Matrix

Comments: Please put any comments on the attached blank sheet.

APPENDIX C

SFAE-FS-I

Memorandum for PEO-Fire Support Personnel

Subject: Ethics Survey

1. One of the long range goals of PEO-Fire Support is "To be ethical and competent stewards of public resources and be perceived as such."

2. As the first step in Phase I of this goal, we want to assess the ethical climate within Fire Support. To do this, we have enlisted the services of the Defense Systems Management College (DSMC) to administer a survey to get a baseline on ethical perceptions before we decide on future programs.

3. The attached survey is being given to every Fire Support member during 24 June - 2 July. It can be taken during duty time. After completing the survey, place the survey and the scantron answer sheet in the envelope, seal the envelope and give to your Ethics Survey Coordinator, as designated in your office. All responses must be turned in no later than 1500, 2 July 1991.

4. In order to ensure anonymity, neither names nor social security numbers will be used on the survey. Answers will be recorded on the scantron answer sheet. Please use a #2 pencil.

5. Dr. M.J. Hall, the DSMC representative will be available to answer questions per the following schedule:

> 0830-1600   1-2 July 1991
> Building 4488, Room #A-314
> Phone: 842-0358

6. DSMC will analyze the results of the survey and present the information to this office. The results will be available to all Fire Support members.

7. The goal of the survey is to capture a candid picture of the ethical perceptions of the people in this organization. Individual data will not be used, only compiled data. Confidentiality will be strictly upheld.

8. Your support of this project will be greatly appreciated.

Encl

GEORGE G. WILLIAMS
Program Executive Officer
Fire Support

ETHICS SURVEY
Program Executive Office
Fire Support

A. <u>Purpose</u>

The purpose of this survey is to assist this organization in developing a baseline for our long range goal "To be ethical and competent stewards of public resources and be perceived as such."

This survey asks for your opinions about how ethical standards are perceived and applied in PEO Fire Support.

B. <u>Confidentiality</u>

Your responses will be analyzed together with those of everyone else in the organization to generate a report of how the entire group feels about ethical opinions. No individual responses will be identified. Demographic questions are asked in order to describe the population.

C. <u>Directions</u>

Most of the questions in this survey can be answered by using a 5-letter scale. The end points of the scale have written labels that describe what the numbers mean, i.e. in #1, A = Very Poor and E = Very Good. The letters are on a continuum. Answer each question by filling in the appropriate letter on the scantron sheet that corresponds most closely to your response to the question. Any question that does not follow this format will have separate instructions. Blanks can cause errors in processing, therefore, please answer each question as best you can.

Please use a #2 pencil. Do not fold, bend or in any way crease the scantron sheet. After you have completed the entire survey, place <u>the survey</u> and the <u>scantron answer</u> sheet in the envelope, seal the envelope and give to your Ethics Survey Coordinator, as designated in your office. All responses must be turned in no later than 1500, 2 July 1991.

If leave or TDY preclude answering the survey during the 24 June - 2 July time frame, please take the survey as soon as you return to work, using the above instructions.

Please proof your scantron answer sheet to ensure that all questions have been answered.

APPENDIX D

87. In your opinion, how effective do you think the following activities would be to promote ethical behavior in PEO-FS:

Other, please specify:

a. Bible study
b. No classes - No new codes. Just implement, and pass written copies of current higher HQ guidance.
c. Exemplary upper management
d. Screening individuals before they are hired
e. Experience being born again
f. Outstanding manager/supervisor examples
g. Collect and route articles from real life scenarios
h. Provide a pain English translation (brief and concise) of DOD/Army Ethics Standards
i. Managerial code of Ethics Training
j. Penalize employees for unethical behavior
k. Base promotion upon work, not sex
l. Penalties for ethics violations
m. Fire some of the high ranking officials that conduct contract off-loading activities (i.e. releasing funds through the backdoor, 1095 voucher process). It is equivalent to "Pork Barrel" programs. Millions of dollars are involved.
n. Group support
o. Enforce rules equally for all employees
p. State general goal of organization and individuals and put trust in individuals to do what is right.
q. Briefings on top management decisions involving ethics.
r. No class or organization can improve your ethics by [sic] only your relation to God and discipline family. The supreme courts have destroyed the old system.
s. Management must set examples not give lip service
t. Group discussions with all levels of employees and management in a group of thirty. Publish minutes to PEO.
u. Stringent enforcement of ethical standards to include fines and other punishment.
v. Basic operating/management procedures for supervisors and staff.
w. Understanding DOD Standards are all that should be required. Lower level or organizational codes of ethics just adds a confusion factor and introduces interpretations of the DOD Standards.
x. Lower level supervisors talking with their people. Push the responsibility down in the organization.
y. Lead by example
z. Punishment for overt violation of ethical standards

APPENDIX E

Survey Demographics

The participants in the survey reported the following demographics:

Age	N	%
18-30	66	13.0
31-40	163	32.1
41-50	140	27.6
51-60	132	26.0
61 +	7	1.4
Missing	48	

Gender

	N	%
Male	291	57.1
Female	215	42.2
Missing	50	

Ethnic Origin[1]

	N	%
Hispanic	9	1.8
Asian	3	.6
Black	42	8.2
White	442	86.5
Other	15	2.9
Missing	45	

Education[2]

	N	%
Less than 9th grade	2	.4
10th grade to high school	33	6.4
Post high school	140	27.2
Bachelor's degree	204	39.7
Graduate school	135	26.3
Missing	42	

Years of Service at PEO-FS

	N	%
Less than 1 year	104	20.3
Greater than 1 but less than 3	149	29.1
Greater than 3 but less than 7	186	36.3
Greater than 7 but less than 10	36	7.0
Greater than 12	37	7.2
Missing	44	

Years of Government Service[3]

Under 2	9	1.8
Greater than 2 but less than 5	56	10.9
Greater than 5 but less than 10	106	20.7
Greater than 10 but less than 15	100	19.5
Greater than 15	242	47.2
Missing	43	

Job Classification

GS-9 and below	120	23.3
GS-10 and above	355	68.8
Military Officer	40	7.8
Military Enlisted	1	.2
Contractor	0	
Missing	40	

Office

AAWS	52
ATACMS	79
Hellfire	53
Tacit Rainbow	37
MLRS	88
TOW	89
PEO	53
SPO	39
SMO	43
Other	5
Missing	65

Functional Area4

Engineering	90
Financial Management	34
Contracting Management	34
Logistics Management	53
Clerical	66
Contractor Personnel	6
Quality Assurance	31
Security	5
Test Management	29
ADP	8
Supervisor	30
Configuration Management	32
Program Management	89
Staff Support	27
Other	17

Organizational Structure

Core	222	48.2
Matrix	237	51.4
Other	2	.4
Missing	95	

NOTES

[1] For statistical purposes during analysis, Hispanic, Asian and "Other" were grouped together. In the paper this is collectively referred to as "Other" and includes 27 people.

[2] For analysis, "less than 9th grade" and "10th grade to high school" were grouped together due to the small sample.

[3] For analysis, "under 2" was grouped with "greater than 2 but less than 5 due to the small sample.

[4] There were incidences where respondents answered twice; i.e. Engineering and Clerical.

APPENDIX F

Organizational Activities for Enhancing
Ethical Decision-Making

1. Training/Education

   a. Rules, Regulations, Standards of Conduct

   b. Moral Development, Ethical decision-making methodology

   c. General awareness:

   Customer Ethical Principles   Ethics

   Government Ethical Principles Office

   d. Train-the-trainer for facilitation of discussion groups

   e. Communication Skills

   f. Trust-building

      - Expectations of leaders and followers

      - Empowerment of employees

2. Process Action Teams Within The Organization

   a. For developing PEO-FS Ethics Programs

   b. For managing training

   c. For facilitating discussion groups

   d. For being the focal point for question, concerns, etc.

(like representatives to other programs)

3. Guest Speakers At "Off-sites"

   - Mr. Forrest Gale, DSMC

   - Dr. Anthony Scafatti, DSMC

   - Mr. Michael Josephson, Josephson Institute

4. Code Of Ethics

   - Have group develop with input from all employees

5. Literature

   - Subscribe to journals

   - Make materials available to employees (discuss at staff meetings with open-ended questions).

6. Integration of Ethical Decision-Making in all aspects of business, i.e., Staff Meetings, Off-sites

7. Build A Network For Idea Sharing And Trust Building

   - With other PEO's

   - With other government agencies

   - With Defense Contractors

8. Survey

   - Repeat at PEO-FS in 18-24 months

   - Have other offices take survey and compare results

9. Publicity

   - Submit articles on the ethics program to various publications, Redstone paper, Army Times, etc

10. Feedback From Employees

   - Create a mechanism at many levels within the organization for getting feedback from employees at all levels. for example monthly or quarterly luncheon with 6 employee picked at random.

   - Ask the following questions:

     (a) What three things are going on in this office that are exciting and positive?

     (b) What three things would you change if you were running the organization?

     (c) What can I do to make your job better?

- Listen to what employees say by <u>probing</u> with open-ended questions; paraphrasing to insure that you interpret what is being said the way it was meant and at the end <u>summarize</u> what you heard.