



**U.S. Army Research Institute  
for the Behavioral and Social Sciences**

**Research Report 1938**

**Evaluating a Problem-Based Learning Strategy for  
Enhancing Ethical Awareness in Negotiation**

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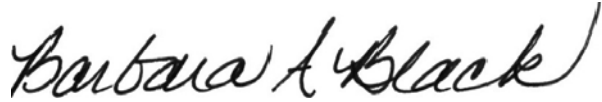
**January 2011**

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## REPORT DOCUMENTATION PAGE

|   |  |  |                         |  |               |  |                            |                     |                        |
|---|--|--|-------------------------|--|---------------|--|----------------------------|---------------------|------------------------|
| 1. REPORT DATE (dd-mm-yy)<br>January 2011   |  |  | 2. REPORT TYPE<br>Final |  |               | 3. DATES COVERED (from. . . to)<br>January 2010 - May 2010 |                            |                     |                        |
| 4. TITLE AND SUBTITLE<br>Evaluating a Problem-Based Learning Strategy for Enhancing Ethical Awareness in Negotiation  |  |  |                         |  |               | 5a. CONTRACT OR GRANT NUMBER                               |                            |                     |                        |
|   |  |  |                         |  |               | 5b. PROGRAM ELEMENT NUMBER<br>633007                       |                            |                     |                        |
| 6. AUTHOR(S)<br>Robert J. Pleban , Thomas Rhett Graves and Marisa L. Miller (U.S. Army Research Institute), Aram M. Donigian (U. S. Military Academy & West Point Negotiation Project), LTC Jack V. Branciforte (U.S. Army Research Institute & U.S. Army Reserve), Michael D. Matthews (U. S. Military Academy)  |  |  |                         |  |               | 5c. PROJECT NUMBER<br>A792                                 |                            |                     |                        |
|   |  |  |                         |  |               | 5d. TASK NUMBER<br>360                                     |                            |                     |                        |
|   |  |  |                         |  |               | 5e. WORK UNIT NUMBER                                       |                            |                     |                        |
| 7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)<br>U.S. Army Research Institute for the Behavioral and Social Sciences<br>ARI - Fort Benning Research Unit<br>PO Box 52086<br>Fort Benning, GA 31995-2086  |  |  |                         |  |               | 8. PERFORMING ORGANIZATION REPORT NUMBER                   |                            |                     |                        |
| 9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)<br>U. S. Army Research Institute for the Behavioral & Social Sciences<br>ATTN: DAPE-ARI-IJ<br>2511 Jefferson Davis Highway<br>Arlington, VA 22202-3926  |  |  |                         |  |               | 10. MONITOR ACRONYM<br>ARI                                 |                            |                     |                        |
|   |  |  |                         |  |               | 11. MONITOR REPORT NUMBER<br>Research Report 1938          |                            |                     |                        |
| 12. DISTRIBUTION/AVAILABILITY STATEMENT<br>Approved for public release; distribution is unlimited.  |  |  |                         |  |               |  |                            |                     |                        |
| 13. SUPPLEMENTARY NOTES<br>Subject Matter POC: Robert J. Pleban   |  |  |                         |  |               |  |                            |                     |                        |
| 14. ABSTRACT ( <i>Maximum 200 words</i> ):<br>A problem-based learning strategy (Bransford & Schwartz, 1998) was used to develop a training protocol to enhance U.S. Military Academy (USMA) Cadets' awareness of ethical issues and decision-making processes in negotiation situations. The training protocol was tested in an upper-level course on negotiations at USMA. Cadets were assigned to either an experimental (training) or a control (no training) group. The experimental group was exposed to four negotiation scenarios at one-month intervals, and were asked to evaluate the scenario for potential ethical issues, to role-play the scenario in class, and then to evaluate their own and others' negotiation and ethical decision-making performances. Role-plays were followed by an after action review in which the instructor encouraged Cadets to discuss their ethical evaluation and decision-making processes. Following the fourth scenario, the instructor presented a lecture describing a thematic model of ethical sense-making (cf. Graves, Pleban, Miller, Branciforte, Donigian, Johnson, & Matthews, 2010) and how the model could be applied to facilitate decision-making across different contexts. Pre-post training assessments indicated that the training strategy significantly improved the experimental group's sensitivity to themes related to ethical sense-making and decision making in military specific situations relative to scores obtained from the control group. Also, post exercise ethical awareness scores correlated significantly with Cadets' negotiation strategies. The Cadets' responses to the training were favorable. The training strategy may be used to support experiential and dialogue-based professional military ethics training for officer Cadets and newly commissioned junior officers (ROTC, OCS, and USMA). |  |  |                         |  |               |  |                            |                     |                        |
| 15. SUBJECT TERMS<br>professional military ethics training, assessment and training development, ethical decision making, active learning, decision-making experiences, ethical perceptions scale (EPS), thematic model, ill-defined domains  |  |  |                         |  |               |  |                            |                     |                        |
| 16. REPORT  |  |  | 17. ABSTRACT            |  | 18. THIS PAGE |  | 19. LIMITATION OF ABSTRACT | 20. NUMBER OF PAGES | 21. RESPONSIBLE PERSON |
| Unclassified  |  |  | Unclassified            |  | Unclassified  |  |                            |                     |                        |



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**January 2011**

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**Army Project Number  
633007A792**

**Personnel Performance  
and Training**

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## ACKNOWLEDGMENT

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The authors would like to thank the participating Cadets of the United States Military Academy for their assistance in evaluating the instructional strategy. Your feedback enabled us to test a training assessment tool and an instructional approach that we hope will prove useful to you, the U.S Military Academy, and the Army.

We appreciate the collegiality and hospitality of the faculty and staff of the U.S. Military Academy, Department of Behavioral Sciences and Leadership, for providing facilities and logistical support to our research team for our data collection and analysis activities.

We also thank the West Point Negotiation Project for their support in executing the data collection and experimental instructional strategy. In particular, we would like to thank Mr. Jeff Weiss, J. D., for his support of this project and for his recommendations concerning measurement and evaluation of negotiation processes and outcomes.

Three individuals helped us a great deal to get our bearings with respect to Professional Military Ethics training and research at the U.S. Military Academy and in the U.S. Army:

Dr. Dennis Kelly, a personnel research psychologist at the USMA, alerted us to specific research initiatives ongoing at the USMA and helped us to identify stakeholders who would have an interest in the progress of this research.

LTC Michael E. Turner, Ph.D., of the William E. Simon Center for the Professional Military Ethic was extremely helpful in providing insight and advice as the project progressed and in setting the context for our understanding of professional ethics training at the USMA.

COL Sean Hannah, Ph.D., of the Army Center of Excellence for the Professional Military Ethic also deserves thanks for providing key source materials and recommendations that early on helped to guide the planning and progress of our efforts related to Professional Military Ethics training.

# EVALUATING A PROBLEM-BASED LEARNING STRATEGY FOR ENHANCING ETHICAL AWARENESS IN NEGOTIATION

## EXECUTIVE SUMMARY

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### Research Requirement:

In 2006, the “Science of Learning” workshop brought together representatives of the U.S. Training and Doctrine Command (TRADOC) and the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) to identify “new pedagogical techniques, procedures, and technologies” that can be leveraged to meet the challenges facing Army institutional training, specifically, maintaining or increasing training capacity amid diminishing training resources, e.g. time, funds, and personnel (Quinkert, Morrison, Fletcher, Moses, & Roberts, 2007; Bickley, Pleban, Diedrich, Sidman, Semmens, & Geyer, 2010).

In partial response to the workshop, ARI-Fort Benning initiated a program of research in Army institutional training. A major focus of this program was to search for new pedagogical techniques and procedures which could be readily integrated, in a relatively cost effective and efficient fashion, into existing institutional training course modules. One of the objectives of this research effort was to identify possible high-payoff, ill-defined content domains and evaluate selected pedagogical techniques for enhancing learning and transfer in these domains relative to current training strategies being used.

When conducting research on training technologies and/or strategies, it is important to ensure that the experimental intervention fit the existing content, intent, structure, and context of the course. This becomes even more important when the training intervention targets a conceptual domain in which there are no clear-cut solutions to the key problems being presented, i.e., an ill-defined domain. One such domain that has received relatively little attention is that of ethical sense-making and the ethical decision-making process it supports.

In this effort, we developed and tested a problem-based learning strategy (cf. Schwartz & Bransford, 1998) for incorporating training related to ethical sense-making (a perceptual and interpretive skill) into an upper-level course on negotiations at the United States Military Academy (USMA). The goal of the training was to enhance Cadets’ abilities to make sense of ethical decision-making experiences arising during negotiations and to facilitate further their ability to make sound ethical decisions when faced with novel ethical decision-making situations. This research describes the development and evaluation of a prototype training protocol for enhancing ethical awareness of USMA Cadets in military specific decision-making situations. Although we focused on ethical decision making in this effort, a similar training protocol could be adapted and applied to address other ill-defined domains in Army research and training.

### Procedure:

Participants included 86 Cadets at the USMA currently enrolled in one of two courses taught in the Department of Behavioral Sciences and Leadership, negotiations (three sections)

and psychology (two sections). Due to the working arrangements established for this research, the three sections of the negotiation class served as the experimental condition ( $n = 42$ ) and the two upper level senior seminars in psychology served as the control condition ( $n = 44$ ). The majority of the participants (76 to 98 percent) were third and fourth year Cadets.

Prior to the start of classes, participants completed a modified version of the Ethical Perceptions Scale (EPS) to provide a baseline (pretest) measure of their preferences for emphasizing particular meanings related to how they perceived and interpreted two military specific ethical decision-making scenarios. Then, at each of four spaced intervals covering the duration of the negotiations course (16 weeks), the participants in the experimental condition were presented with a different negotiations scenario. The scenarios were selected for complexity and ability to elicit ethical dilemmas in accord with characteristics identified in an earlier research effort (i.e., Graves, Pleban, Miller, Branciforte, Donigian, Johnson, & Matthews, 2010). The participants first addressed each negotiation scenario individually, as part of an existing homework assignment, and were asked to provide a possible solution and a rationale for their response. After each scenario, the participants then responded to the EPS with respect to how they made sense of the assigned negotiation scenario.

During the class, the participants split into teams, each team taking a different perspective (role), in accordance with the instructions provided for each negotiation scenario. Each member of a role-playing scenario was not aware of the instructions provided to his or her partner(s). Teams worked to negotiate a resolution to the assigned scenario. Following the role-playing exercise, the participants completed a second measure designed to assess the teams' negotiation strategy (i.e., either positional bargaining or principled negotiation) employed during the role-played scenario, as well as their awareness of EPS themes. This was followed by an After Action Review (AAR) in which the instructor facilitated a small group discussion concerning the issues/decisions the teams identified and how they approached the negotiation and ethical decision-making process. The instructor also included several probes designed to highlight key ethical themes identified by the participants and the overall importance of ethical decision making in the negotiation process. This training technique was repeated for each of the four scenarios.

At the end of the final scenario, the instructor concluded his AAR by presenting an in-depth lecture designed to provide a description of how the various meanings associated with ethical sense making are interrelated. He then related these specific meanings to a thematic model of the experience of ethical decision-making described by Graves et al. (2010).

Following the final lecture, participants then completed the modified EPS. This served as the posttest. They then completed a post training questionnaire and were debriefed. Participants in the control condition also completed the modified EPS. The control condition did not receive the 16 week training protocol.

#### Findings:

The results showed that while the experimental and control groups' pretraining EPS scores were virtually identical, the training intervention significantly improved levels of ethical



awareness as measured by Cadets' posttraining EPS scores. Additional analyses also showed that individual EPS theme scores for the control group, with one exception, did not change from pre to post administrations. In contrast, the experimental group's level of awareness increased for all themes. Differences were significant for five of the six themes.

Analysis of changes in EPS scores across the four negotiation training scenarios showed a statistically significant trial effect with higher scores on scenario four than scores obtained in scenario one. Correlations computed between pre exercise EPS scores (collapsed over scenarios) with negotiation strategy were not significantly correlated. However, post exercise EPS scores were significantly correlated with negotiation strategy. Both EPS pre and post exercise scores correlated significantly with addressing ethical dilemmas (*confronted many ethical issues in the negotiation, acted decisively when faced with ethical issues, and demonstrated an awareness of the relevance of ethics to the military profession*). However, addressing ethical dilemmas in the training scenarios was not related to Cadets' negotiation strategy.

Finally, Cadets' responses to the training were favorable. Eighty-one percent felt that the training had improved their ability to make ethical decisions. Fifty-seven percent mostly or completely agreed that they had a better understanding of the importance of ethical issues in the negotiation process. Sixty-five percent of the Cadets mostly or completely agreed that they were better able to address personal and professional ethical issues and/or problems after completing the training.

#### Utilization and Dissemination of Findings:

The training strategy may be used to support experiential and dialogue-based professional military ethics training for officer Cadets and newly commissioned junior officers (ROTC, OCS, and USMA). Preliminary findings have been shared with the William E. Simon Center for the Professional Military Ethic at the United States Military Academy, course instructors in the Department of Behavioral Sciences and Leadership, and have been presented at the Association for Psychological Science Annual Conference in Boston, MA, 26-31 June 2010.



EVALUATING A PROBLEM-BASED LEARNING STRATEGY FOR ENHANCING  
ETHICAL PERCEPTION IN NEGOTIATION

CONTENTS

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|  | Page |
|--|------|
| INTRODUCTION .....   | 1    |
| Why Ethics? .....  | 2    |
| Moral and Character Education within the Army .....                        | 2    |
| Prototype Instructional Model .....  | 4    |
| METHOD .....   | 6    |
| Participants .....   | 6    |
| Measures .....   | 7    |
| Procedure .....  | 8    |
| RESULTS .....  | 11   |
| Pre-Post Training EPS Differences: Total Scores .....                      | 11   |
| Pre-Post Training EPS Differences: Themes .....                            | 11   |
| Changes in EPS Scores During Training .....                                | 12   |
| Training Evaluations .....   | 15   |
| DISCUSSION .....   | 15   |
| Changes in Ethical Awareness During Training .....                         | 16   |
| Training Impact and Implications .....                                     | 18   |
| REFERENCES .....   | 21   |
| ACRONYMS .....   | 25   |
| APPENDIX A. DEMOGRAPHIC QUESTIONNAIRE .....                                | A-1  |
| APPENDIX B. THEMATIC MODEL .....   | B-1  |
| APPENDIX C. ETHICAL PERCEPTIONS SCALE .....                                | C-1  |
| APPENDIX D. NEGOTIATION ETHICS AWARENESS AND REASONING<br>ASSESSMENT ..... | D-1  |
| APPENDIX E. NEGOTIATION SCENARIOS .....                                    | E-1  |
| APPENDIX F. POST-NEGOTIATION ROLE-PLAY EVALUATION .....                    | F-1  |
| APPENDIX G. POST TRAINING EVALUATION QUESTIONNAIRE .....                   | G-1  |
| APPENDIX H. INSTRUCTOR LECTURE .....                                       | H-1  |

LIST OF TABLES

TABLE 1. CADET DEMOGRAPHIC CHARACTERISTICS.....6

TABLE 2. PRE-POST TRAINING MEANS AND STANDARD DEVIATIONS (SD) FOR  
EPS SCORES BY GROUP.....11

TABLE 3. PRE-POST TRAINING MEANS AND STANDARD DEVIATIONS (SD) FOR  
EPS THEME SCORES BY GROUP.....12

TABLE 4. MEANS AND STANDARD DEVIATIONS (SD) FOR PRE EXERCISE EPS  
TOTAL SCORES ACROSS SCENARIOS.....12

TABLE 5. MEANS AND STANDARD DEVIATIONS (SD) FOR POST NEGOTIATION  
MEASURES ACROSS SCENARIOS .....13

TABLE 6. PERCENT (%) OF CADETS WHO MOSTLY TO COMPLETELY  
AGREED WITH THE EXTENT TO WHICH ETHICAL DILEMMAS  
WERE ADDRESSED IN THE NETGOTIATION SCENARIOS .....14

TABLE 7. PERCENT (%) AGREEMENT BY CADETS ACROSS ITEMS ON THE  
TRAINING EVALUATION QUESTIONNAIRE .....15

LIST OF FIGURES

FIGURE 1. PROCESS DIAGRAM OF THE ETHICAL AWARENESS TRAINING  
EXPERIMENT .....10

# EVALUATING A PROBLEM-BASED LEARNING STRATEGY FOR ENHANCING ETHICAL AWARENESS IN NEGOTIATION

## Introduction

In 2006, the “Science of Learning” workshop brought together representatives of the U.S. Training and Doctrine Command (TRADOC) and the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) to identify “new pedagogical techniques, procedures, and technologies” that can be leveraged to meet the challenges facing Army institutional training, specifically, maintaining or increasing training capacity amid diminishing training resources, e.g. time, funds, and personnel (Quinkert, Morrison, Fletcher, Moses, & Roberts, 2007; Bickley, Pleban, Diedrich, Sidman, Semmens, & Geyer, 2010).

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When conducting research on training technologies and/or strategies, it is important to ensure that the experimental intervention fit with the existing content, intent, structure, and context of the course. This requirement is even more salient when the training intervention has targeted a conceptual domain in which there are no clear-cut solutions to the key issues being presented, i.e., an ill-defined domain. One such domain is that of ethical decision making, and more particularly, the sense-making processes involved in how individuals recognize, perceive, and interpret ethically relevant situations and arrive at justifiable solutions.

In developing the training protocol for this research (detailed later in this report), we considered a variety of strategies that have been described in the training and education research literature. These strategies fell into two general categories: *direct instruction-guided experiential learning-DI/GEL* (e.g., Clarke, 2004; Mayer, 2004) and *problem-based learning-PBL (inquiry-based learning*, e.g., Hmelo-Silver, 2004; Hmelo-Silver, Duncan, & Chinn, 2007), and *contrasting cases/invention* (e.g., Schwartz & Bransford, 1998; Schwartz & Martin, 2004; Schwartz, Bransford, & Sears, 2005). We chose the contrasting cases/invention (PBL) approach. In this approach, trainees first try to solve novel problems without guidance then receive direct instruction explaining the concept/phenomena being trained. This is followed by additional practice and application of new skills to novel tasks or situations. It seemed likely that this approach would have the smallest impact on existing course structure, and would be suited to train skills related to an ill-defined conceptual domain.

This research describes the development and evaluation of a PBL training protocol for enhancing ethical awareness of Cadets enrolled in an upper-level course on negotiations at the United States Military Academy (USMA). In applying this training strategy, we were able to

complement the ethics related training already provided in the course, with activities and instruction designed around existing assignments.

The intent of the experimental intervention was to enhance Cadets' ethical perception and interpretation skills in tandem with their developing negotiation skills. Although we focused on ethical decision making in this effort, a similar training protocol could be adapted and applied to address other ill-defined domains (e.g., leadership, interpersonal skills) in Army research and training.

### **Why Ethics?**

Since the end of the Cold War, the U.S. military has shifted its focus away from conventional warfare to the less predictable and more diverse requirements of asymmetric warfare. Not only are Soldiers now required to be effective combatants, but they are also required to be peacekeepers, mediators, and negotiators, able both to close, engage, and destroy an enemy as well as provide humanitarian assistance and build lasting relationships with local nationals. Asymmetric warfare, with battlefields populated with both civilian noncombatants and enemy combatants, has added to the number of skills military personnel must possess.

Among the essential skills for this new warfighting context are those that increase flexibility and adaptability in the face of ill-defined problems, problems that have no standard solutions and that require of Soldiers and Officers a well-honed set of perceptual and interpretive abilities. One such ill-defined set of problems relate to ethical decision making. The contemporary operational environment (COE) complicates ethical decision making by presenting situations that tend to be ambiguous and novel. Soldiers and Officers must be adequately prepared to recognize and address the novel problems they will inevitably encounter.

A shift in roles for military personnel has increased their exposure to morally challenging situations. The ethical decisions made and actions taken, in both combat and peace-keeping operations, can have far reaching consequences to all parties involved and to the overall success of the mission (Seiler, Fischer, & Ooi, 2010; Patterson, & Phipps, 2002). The conflicts currently arising in the COE tend to be protracted, which can stress moral/ethical decision-making capabilities (Perry, 2009; Williams, 2010). As Seiler et al. point out, the problem of professional ethical misconduct is not limited to the military, but its consequences for the military tend to be severe and long-lasting. Moreover, the pace and stresses of combat can destabilize the decision-making abilities of even the most ethically grounded individuals. The need to train Officers and Soldiers to make the best decisions possible, even when they are experiencing intense stress, has led to an increased interest in trying to understand the various ethical challenges faced by these individuals, and the nature of the training programs designed to enhance their cultural perspective taking, relationship building, and ethical decision-making skills.

### **Moral and Character Education within the Army**

A variety of educational and training methods have been proposed and implemented in the Army's program of ethical education. These include classroom lectures, memorization, repetition, forms of conditioning and reinforcement (behavior modification), engagement in field training exercises, scenario-based classroom exercises, case studies with small group instruction, and self-reflection (Riccio, Sullivan, Klein, Salter, & Kinnison, 2004; Williams, 2010; Patterson,

& Phipps, 2002). Training methods that focus primarily on repetition, memorization, rules, behavior modification, and reinforcement have proven to be only marginally effective for developing moral character (Berkowitz & Bier, 2005; Williams, 2010). Character development requires methods that allow for dialogue, interaction, and personal involvement in decision-making. This usually comes in the form of training experiences that allow trainees to make ethical decisions in realistic situations, to see where they have been successful and/or mistaken, and then allowing for open discussions about the implications of the decisions that were made as well as exploration of other reasonable alternative solutions (Berkowitz, Battistich, & Bier, 2008).

**Ethical awareness.** In their interactional dual-process model of moral decision-making, Seiler et al. (2010) propose four criteria that should be observed when planning and executing moral development interventions in the military. Of the four criteria, the key criterion for this research is developing ethical perception or awareness. This is a critical component in the training process. Decision makers do not always recognize the ethical component of the situation they are in and how their decisions may have ethical implications. In these instances, an individual who fails to recognize a moral issue will fail to employ moral decision-making schemata and will make the decision in accordance with other schemata, likely with a narrower focus, e.g., a pure utilitarian cost/benefit analysis (Jones, 1991). Seiler et al. argue that because the moral decision-making process begins by detecting morally relevant stimuli, educational interventions in this area must first focus on developing the individual's ability to recognize the moral aspects of the situations they encounter. This is best accomplished by providing training experiences that are grounded in realistic scenarios that the Soldier and/or leader is likely to face in his or her (military) professional life.

**Developing effective scenario-based training.** Exposing individuals to scenarios based on professionally relevant conflict situations (with discussion) increases both ethical sensitivity (Clarkeburn, 2002) and intensity (Jones, 1991; Reynolds, 2006). The importance of selecting/constructing the appropriate scenarios for the Soldier or leader is underscored by research showing that variations on moral processing patterns that lead to different moral judgments are dependent on the types of dilemma utilized (Armon, 1995, Krebs & Denton, 2005).

In constructing scenario-based training programs for improving ethical decision-making skills, fine tuning the individual's awareness of the moral aspects of a situation, while critical, is only one part of the process. In reality, Soldiers and leaders must also fulfill their assigned task(s). They must strive not only to be successful (instrumental rationality) but task fulfillment must also be guided by the appropriate ethical framework (ethical rationality). The interdependence of instrumental and ethical aspects in moral decision-making in a professional context can only be analyzed and enhanced if work related moral conflicts are used in training programs (Seiler et al., 2010).

Scenario-based methods are the most widely used approaches for assessing ethics related constructs (O'Fallon & Butterfield, 2005). However, O'Fallon and Butterfield raise some interesting points with regard to how these scenarios are developed which may limit their training value from a long term (far transfer) perspective. First, they note that the scenarios typically present or identify the ethical dilemma to the individual. Therefore, it is unclear if the individual could have identified the dilemma on his/her own. Second, response options are often

closed-ended items. These options may not reflect the individual's actual response to the situation, as could be illustrated with open-ended items.

The development of ethical-based training scenarios, therefore, requires meticulous planning and thought. In addition to being professionally relevant to the individual, the scenarios must also be crafted so as not to identify the specific ethical dilemma and response options should be open-ended to stimulate self-reflection and deep understanding of the relevant ethical and behavioral issues and/or options (Graves et al., 2010).

### **Prototype Instructional Model**

For this research, a combination of design features mentioned earlier that have been shown to enhance moral development were utilized and sequenced in a fashion to promote deep understanding of the topic material and far transfer of learning. The instructional model was based on the work of Schwartz and his colleagues (e.g., Schwartz & Bransford, 1998; Schwartz & Martin, 2004) and is briefly described in the following sections.

**Contrasting cases/invention.** The model used was based on two design features, contrasting cases and invention, to enhance deep understanding of subject matter materials. The approach was developed to help people construct new knowledge for themselves and become more adaptive/effective problem solvers (Schwartz & Bransford, 1998; Schwartz & Martin, 2004). A key objective of this approach is to optimize the use of lectures/reading text materials to develop these skills. Schwartz and Bransford argue that the value of lectures can be enhanced if the trainee is able to map information from the lecture or text into the knowledge of the problem situation that they have already developed as a result of their prior experiences. A key assumption of this strategy is that the trainee can activate prior knowledge. (Activation of knowledge from previous experiences provides a context for acquiring new knowledge.)

Schwartz and Bransford propose a way for activating this prior knowledge through the use of contrasting cases/invention. Based on theories of perceptual learning that emphasize differentiation (e.g., Bransford, Franks, Vye, & Sherwood, 1989), providing trainees with opportunities to analyze sets of contrasting cases (e.g., analyzing the results from different experiments, various ethical dilemmas, key aspects of different theoretical models) can help them become sensitive to information that they might not otherwise notice. Contrasting cases help to attune people to specific features and dimensions that make the cases distinctive as well as to those consistent features that define the knowledge domain across the cases. The refined information provides the foundation for guiding other activities such as creating images, elaborating, and generating questions, which can enhance development of adaptive problem solving skills.

According to Schwartz and Martin (2004), contrasting cases can help people pick up or notice distinctive features; however, it is their actions that are critical for helping them discern the structures that organize those features. To make contrasting cases effective, learners need to undertake productive activities that lead them to notice and account for similarities and contrasts in the different cases. Schwartz and Martin use the term invention to describe this process. Invention involves production activities, like inventing solutions that can be particularly beneficial for developing early knowledge and facilitating learning. These solutions could, for example, be in the form of graphs, general formulas, mental models, or problem solving



strategies. Invention can help develop and/or clarify interpretations of the problem in question by forcing students to notice inconsistencies in their approach or mental model of a potential solution and work to reconcile the inconsistencies. This, in turn, provides the knowledge that will prepare them to learn from subsequent instruction (lectures) with deeper understanding (Schwartz, Sears, & Chang, 2008).

To optimize deep understanding of the subject matter material, Schwartz and colleagues advocate a particular sequencing of events. Students first try to solve novel problems without guidance/instruction. Then, they receive direct instruction and demonstrations regarding the tasks. Finally, they apply what they have learned to novel situations. For example, students might analyze data sets from classical experiments and attempt to graphically display the general phenomena from the data. Or, they might be asked to invent a model or formula that will accurately describe the concept (e.g., reliability or correlation). This would be followed by a lecture and (sometimes) class discussion. Finally, students would be presented with new problems and asked to make predictions concerning the outcomes of new experiments or apply a formula or model to solve another (novel) problem (Schwartz & Martin, 2004; Schwartz et al., 2005).

While contrasting cases/invention is a critical part of Schwartz' approach, the lecture component is equally valuable. It offers a higher level explanation of the concept/phenomena that would be quite difficult and time consuming for the student to discover on his or her own. The higher level explanation is important because it provides a generative framework that can extend one's understanding beyond the specific cases that have been analyzed and experienced (Schwartz & Black, 1996) and thus, enhances adaptive problem solving (transfer). By sequencing the lecture following invention/contrasting cases, a "time for telling" is created that increases the learning value of the lecture as students are now better prepared to grasp the deeper implications of the information presented as a result of their earlier discovery activities (Schwartz & Bransford, 1998). Schwartz et al. (2005) present evidence that the most effective design combination includes both opportunities for invention and analysis (contrasting cases) followed by opportunities for learning efficient solutions derived by experts (typically) presented in lecture format.

Due to specific constraints in the structure and format of the negotiations course that was targeted to receive the training intervention (outlined above), the application of specific design features (i.e., contrasting cases/invention) had to be modified, providing a further test of the robustness of Schwartz' approach. The design is fully described in the Procedures section.

## Method

### Participants

Participants included 86 Cadets at the USMA currently enrolled in one of two courses in the Department of Behavioral Sciences and Leadership, Negotiations (three sections) and a Senior Seminar in Psychology (two sections). Due to the working arrangements established for this research, the negotiation class served as the experimental condition ( $n = 42$ ) and the two upper level senior seminars in psychology served as the control condition ( $n = 44$ ). None of the cadets in the control condition had taken the Negotiations course. The majority of the participants (76 - 98 percent) were third or fourth year cadets. (Mean age - Experimental = 21.5 years,  $SD = 0.98$ ; Control = 21.8 years,  $SD = 0.97$ ). Complete demographics are presented in Table 1. See Appendix A for questionnaire.

Table 1  
*Cadet Demographic Characteristics*

| Demographic Characteristic         | Control |    | Experimental |    |
|------------------------------------|---------|----|--------------|----|
|                                    | N       | %  | N            | %  |
| <b>Total</b>                       | 44      | 51 | 42           | 49 |
| <b>Gender</b>                      |         |    |              |    |
| Males                              | 32      | 73 | 38           | 90 |
| Females                            | 12      | 17 | 4            | 10 |
| <b>Year in School</b>              |         |    |              |    |
| First (Plebes)                     | 0       | 0  | 1            | 2  |
| Second (Yearlings)                 | 1       | 2  | 9            | 21 |
| Third (Cows)                       | 24      | 55 | 18           | 43 |
| Fourth (Firsties)                  | 19      | 43 | 14           | 33 |
| <b>Family Background</b>           |         |    |              |    |
| Comes from Military Family         | 18      | 49 | 14           | 33 |
| Comes from Military Academy Family | 9       | 21 | 15           | 36 |
| <b>Personal Beliefs</b>            |         |    |              |    |
| Is Religious and/or Spiritual      | 36      | 81 | 29           | 69 |
| Has a Personal Moral Philosophy    | 33      | 77 | 34           | 81 |
| Grew Up Familiar with Army Values  | 15      | 34 | 22           | 52 |

## Measures

**Ethical Perceptions Scale (EPS).** The Ethical Perceptions Scale was developed to measure the ways in which Soldiers and Officers make sense of ethically salient military situations (cf. Graves et al., 2010, for discussion of the thematic model and scale development). The full EPS consists of four COE relevant ethical dilemmas/scenarios that are representative of what platoon leaders could encounter in their first unit of assignment. The scenarios were based on accounts provided in Thomson, Adams, & Sartori (2006) and the experiences of U.S. Army Officers and Noncommissioned Officers (NCOs) interviewed by the researchers.<sup>1</sup>

The dilemmas were designed to be evocative yet also ambiguous, and could not offer a clear and correct solution. The objective of the dilemmas was to elicit and challenge the participants' perceptual and sense-making skills.

Following each scenario are 17 items presented in a Likert-type scale format (1 = Not Relevant; 2 = Somewhat Relevant; 3 = Relevant, 4 = Very Relevant; 5 = Essential). Items are designed to assess participants' awareness of the situation (i.e., *Does the situation elicit concerns with right and wrong?*) and five themes (*Choosing to Act, Assessing the Seriousness of the Problem, Defining the Ethical Self; Evaluating Relationships with Others, Thinking Through Institutional Rules and Laws*). See Appendix B for a graphical depiction of the thematic model and Appendix C for the complete scale and individual items.

Initial analyses indicated that the EPS is both reliable and valid. The overall reliability (Cronbach's alpha) was .87, based on item means computed across the four dilemmas. Reliability estimates for each theme ranged from .69 to .87. A confirmatory factor analysis showed that the thematic/conceptual model was supported by the EPS measurement model. In addition, the EPS showed low to moderate correlations (.21 - .46) to conceptually related measures (Defining Issues Test-2 - Rest, Thoma, Narvaez, & Bebeau, 1997; and the Integrity Scale - Schlenker, 2008). (See Graves et al., 2010, for a complete discussion of the reliability assessment and validation of the EPS.)

For this experiment, a short form of the EPS was used. This shortened EPS consisted of two dilemmas/scenarios that were drawn from the full EPS. The overall reliability for the two scenario scale was  $\alpha=0.84$  (34 items) at the pre-test, and  $\alpha=.91$  (34 items) at the post-test.

Depending on whether a thematic or more in-depth subthematic level of measurement is needed, an experimenter may choose to use either the short form or the long form of the EPS. The long form, which includes four scenarios, provides higher reliability, particularly at the subtheme level. Since our focus was at the thematic level of the EPS, and time was limited, the short form was used.

**Negotiations Ethics Awareness and Reasoning Assessment.** The Negotiation Ethics Awareness and Reasoning Assessment tool consists of four negotiation scenarios that the course instructor currently used as part of the class. Four scenarios were selected that: 1) included

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<sup>1</sup>The EPS can be tailored to specific job domains by replacing the current military oriented scenarios with those that are more representative of the target population's professional area(s) of expertise. The significant aspect of the EPS is that it elicits an interpretive process and then asks respondents questions about their interpretive process using a metacognitive cueing technique.

various ethical issues that could impact the negotiation process and 2) were interspersed across the 16-week negotiation course. One scenario was presented approximately every four weeks. Participants read the assigned scenarios (initially as part of their homework assignment the night before the class role-play exercise) and then responded to three short answer questions: 1) *Briefly describe the most important ethical issue you expect to encounter while role playing this scenarios in class*; 2) *How would you respond if the ethical issue you identified comes up in tomorrow's role-play?* and; 3) *Why do you believe this is a good response?* and one multiple choice item (five-point Likert-type scale format, 1=Very Easy to 5=Very Difficult), *How easy/difficult it was for you to imagine yourself in this scenario?* Next, the participants completed the EPS with instructions to think about how they made sense of the preceding negotiation scenario and rate how relevant each of the following concerns (EPS themes/subthemes) were for them when they read the scenario. See Appendix D for the assessment items and Appendix E for summaries of the scenarios and one detailed example.<sup>2</sup>

**Post-Negotiation Role-Play Evaluation.** The Post-Negotiation Role-Play Evaluation instrument consists of 44 items in a Likert-type scale format (1=Completely Disagree to 6=Completely Agree) in which participants were asked to consider their own and their peers' performance during the role-play scenario and rate the extent of their agreement for each item. Items assessed the particular perspective participants took in the negotiation role-play scenario (***Positional Bargaining***, e.g., *Forced concessions from each other*; ***Principled Negotiation***, e.g., *Established objective standards*; their focus on various ***EPS themes and subthemes***, e.g., EPS True Right/Wrong - *Maintained focus on what is truly ethically right and wrong*; e.g., EPS Reputation - *Were concerned with what others may say and/or think about their decisions*), and whether they **addressed critical dilemmas during the role play exercise**, e.g., *Confronted many ethical issues in the negotiation*). See Appendix F for the items.

**Post Training Evaluation Questionnaire.** The Post Training Evaluation Questionnaire consists of two Likert-type scale items (1=Completely Disagree to 6=Completely Agree) that assessed the quality of the ethical training received in the course, *The instruction gave me a much better understanding of the importance of ethical issues in the negotiations process*; *As a result of participation in this class, I feel better able to evaluate and act in response to professional and personal ethical problems*, and two short answer items that assessed the value of the current course format with regard to resolving ethical dilemmas arising in the negotiation process and the long term value of the training for approaching future ethical dilemmas. See Appendix G for items.

## Procedure

Because the training manipulation involved three sections of an intact class (Negotiations), participants (Cadets) could not be randomly assigned to the experimental or control groups. Specific course objectives precluded making significant changes in the structure of the course or course content. The instructional model had to be modified to fit within course guidelines and time constraints.

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<sup>2</sup> The four negotiation scenarios represent approximately one-half of the scenarios that are regularly taught as part of the USMA Negotiations course. Due to the proprietary nature of the materials, three of the four scenarios could not be reproduced in their entirety for this report.

**Experimental condition.** Prior to the start of the Negotiations course, experimental/training materials were prepared and integrated into the participants' electronic study-homework files for the course. Participants read and signed privacy and consent forms describing the objectives of the research. Next, they completed a modified version of the EPS which consisted of two of the four military scenarios: the first concerned protecting at risk children during a civil war; the second concerned a shoot/no shoot scenario involving an armed individual who could be intoxicated/mentally ill and who may/may not intend to block the squad's egress from a sniper. The participants brought hard copies of all experimental/research materials to the first class, and these materials were collected by the instructor. Participants' responses to this first EPS served as the pretest.

At each of four spaced intervals covering the duration of the course (16 weeks), the participants were presented with a different negotiations scenario. The scenarios were selected in part due to their level of complexity and their ability (based on the collective judgment of the researchers and the course instructor) to elicit ethical awareness of particular sets of themes identified and modeled in previous research at USMA (Graves et al., 2010, Table 4). The participants first addressed each negotiation scenario individually, as part of their homework assignment for the next day's class, and asked to provide a possible solution and a rationale for their response. After responding to the scenario, the participants then completed the 17 item EPS (Negotiation Ethics Awareness and Reasoning Assessment tool). The students returned the completed version of the EPS to the instructor the next day.

During the class, the participants split into teams, each team taking a different perspective (role), in accordance from the instructions provided with each negotiation scenario. Teams attempted to arrive at a mutually satisfactory solution. Following the role-playing exercise, the participants completed the Post-Negotiation Role-Play Evaluation instrument. This was followed by an After Action Review (AAR) where the instructor facilitated a small group discussion concerning the issues/decisions the teams identified and how they approached the negotiation process. The instructor also included several probes, in the form of questions, designed to highlight key ethical themes identified by the participants and their overall importance in the negotiation process.

The invention feature of this instructional strategy consisted of the participants' written homework responses to the negotiations scenarios (identify possible ethical issue, solution, and rationale for the response). The contrasting case design feature was sequential in nature and built on the earlier negotiation scenarios, homework assignments, in class role play, and AAR small group discussion. For example, following the first negotiation scenario the participants would have an opportunity to conduct multiple contrasts from different perspectives, i.e., between individual (homework) responses on how they would approach the negotiation and how the team(s) approached the scenario, between individual team members' perspectives (within and between teams) as facilitated by the small group instructor. The process continued for each subsequent scenario. With each scenario, the participants would be presented with another set of contrasting cases which could be used to further develop the distinctive knowledge needed to identify key differences between the various ethical dilemmas raised in each scenario. The lecture component was provided by the instructor who asked key questions concerning the ethical themes that emerged from the small group discussions and discussed the importance of these themes for each scenario. At the end of the final scenario, the instructor concluded his

AAR by presenting an in-depth lecture (see Appendix H) designed to provide a higher level explanation of how the various ethical themes that emerged interrelate and then tied these themes to the model described in Graves et al. (2010). The objective of the training was to develop a greater awareness of these themes that underlie many decision-making situations (in differing degrees) and would allow participants to approach future dilemmas from a more holistic interpretive perspective (as reflected in the type of decisions made for each of the negotiation scenarios).

Following the final lecture, participants then completed the modified two military scenario EPS. This served as the posttest. They then completed the Post-training Evaluation Questionnaire and were debriefed.

**Control condition.** During the first week of class, participants in the control condition were provided copies of the consent and privacy forms. After reading and then signing the forms, one of the investigators provided the class with a general overview of the research. After answering any questions, the modified EPS was administered to the class (pretest). Approximately 16 weeks later (last week of the semester) the modified EPS was administered to the class (posttest).

Figure 1 presents a process diagram of the ethical awareness training experiment. Each of the blocks in the diagram represents a particular task that was accomplished as part of the experimental design. Also presented are the approximate times at which each task was accomplished.

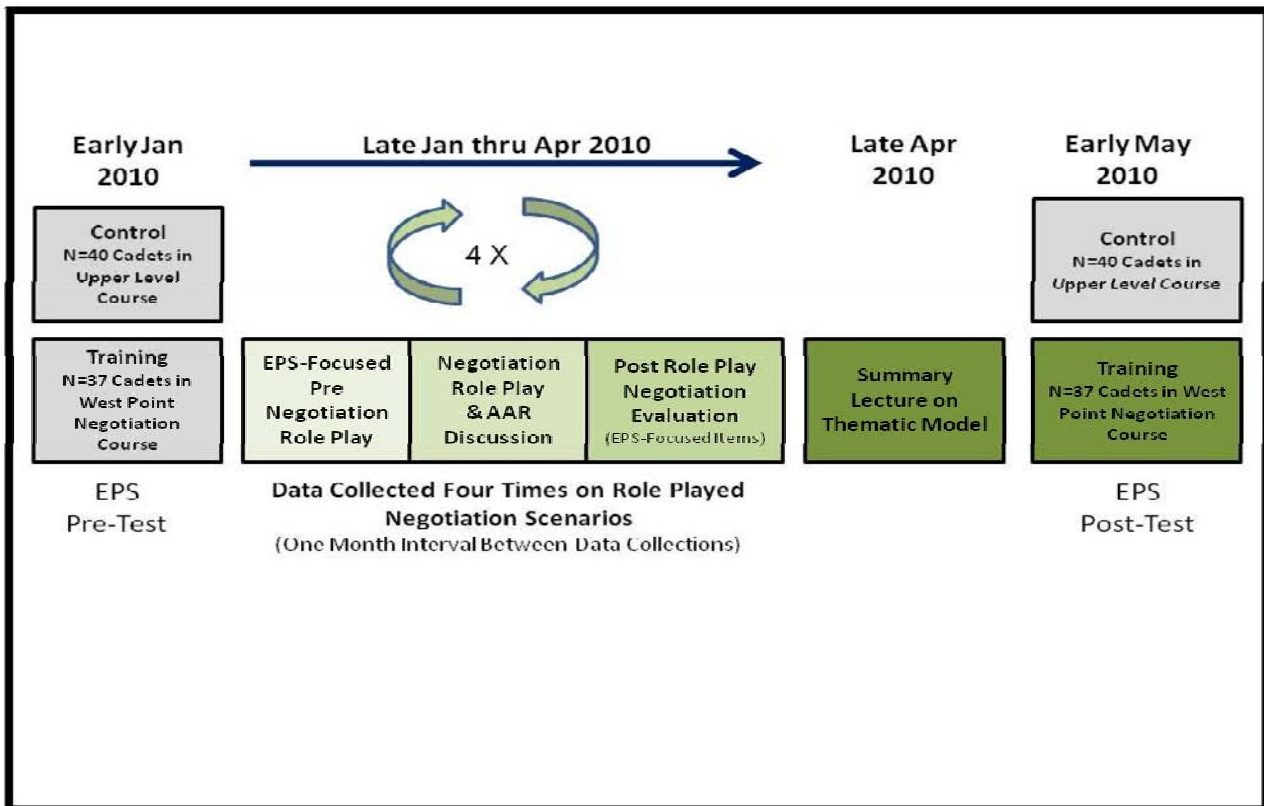


Figure 1. Process diagram of the ethical awareness training experiment.

## Results

### Pre-Post Training EPS Differences: Total Scores

Pre-post training means and standard deviations were computed for the EPS total scores (collapsed and summed across themes and subthemes) for both the experimental and control groups (see Table 2). A mixed factor repeated measures ANOVA was conducted with pre-post training EPS administrations serving as the within group factor. Significant group  $F(1, 75) = 17.41$ ,  $MSE=87.93$ ,  $p = .000$ , partial  $\eta^2 = .19$ , trial  $F(1, 75) = 13.47$ ,  $MSE= 30.20$ ,  $p = .000$ , partial  $\eta^2 = .15$ , and group by trial interaction effects  $F(1, 75) = 11.38$ ,  $MSE = 30.20$ , partial  $\eta^2 = .13$  were obtained.<sup>3</sup>

The significant interaction effect indicates that while the experimental and control groups pre EPS scores were virtually identical, the training intervention clearly improved levels of ethical awareness as measured by the post (training) EPS scores of the cadets.

Table 2

*Pre - Post Training Means and Standard Deviations (SD) For EPS Scores by Group*

| Group                     | Pre Mean (SD) | Post Mean (SD) |
|---------------------------|---------------|----------------|
| Control <sup>a</sup>      | 56.8 (9.4)    | 60.1 (7.5)     |
| Experimental <sup>b</sup> | 57.0 (7.0)    | 66.3 (6.4)     |

*Note.* Total scores could range from 17 (low relevance) to 85 (high relevance).

<sup>a</sup>n=40. <sup>b</sup>n=37.

### Pre-Post Training EPS Differences: Themes

Pre-post training means and standard deviations were computed for the EPS by themes and by group (see Table 3). Paired sample t-tests were performed for each theme by group. The results showed that with the exception of theme 3 (significant decrease in ratings of seriousness of the problem), the control group EPS theme scores did not differ, statistically, between the two administrations. For the experimental group, theme scores increased significantly for five of the six themes (*Assessing the seriousness of the problem* was marginally significant, .051).

<sup>3</sup> Partial  $\eta^2$ s were computed to provide a more accurate assessment of the strength of association between the main effects/interaction and EPS scores by (partialing out) excluding other factors from the total nonerror variation.

Table 3

*Pre - Post Training Means and Standard Deviations (SD) for EPS Theme Scores by Group*

| Themes   | Control <sup>a</sup> |               |          | Experimental <sup>b</sup> |               |          |
|--|----------------------|---------------|----------|---------------------------|---------------|----------|
|  | Pre                  | Post          | <i>p</i> | Pre                       | Post          | <i>p</i> |
| <b>Ground—Concern with Right/Wrong</b>               | 3.74<br>(.96)        | 3.68<br>(.75) | .688     | 3.93<br>(.73)             | 4.18<br>(.51) | .033     |
| <b>Choosing to Act</b>                               | 3.67<br>(.45)        | 3.72<br>(.43) | .519     | 3.67<br>(.44)             | 4.01<br>(.44) | .000     |
| <b>Assessing the Seriousness of the Problem</b>      | 3.41<br>(.49)        | 3.23<br>(.52) | .035     | 3.46<br>(.55)             | 3.69<br>(.50) | .051     |
| <b>Defining the Ethical Self</b>                     | 3.05<br>(.64)        | 3.06<br>(.59) | .920     | 3.43<br>(.61)             | 3.85<br>(.55) | .000     |
| <b>Evaluating Relationships with Others</b>          | 3.39<br>(.76)        | 3.46<br>(.70) | .538     | 3.55<br>(.53)             | 3.90<br>(.65) | .006     |
| <b>Thinking Through Institutional Rules and Laws</b> | 2.96<br>(1.11)       | 2.97<br>(.97) | .964     | 3.17<br>(.84)             | 3.83<br>(.74) | .000     |

*Note.* Mean scores could range from 1 (low relevance) to 5 (high relevance).

<sup>a</sup>n=40. <sup>b</sup>n=37.

### Changes in EPS Scores During Training

**EPS scores: Pre exercise (scenario).** As part of their homework assignments, each Cadet in the experimental group was to prepare for the next class's role play exercise by reading the assigned negotiation scenario and then completing the 17 item EPS. Mean pre exercise EPS total scores and standard deviations were computed (see Table 4). Table 4 shows that mean total EPS scores increased over the course.

Table 4

*Means and Standard Deviations (SD) For Pre Exercise EPS Total Scores Across Scenarios*

| EPS Total Score | Negotiation Scenario |       |       |       |
|-----------------|----------------------|-------|-------|-------|
|                 | 1                    | 2     | 3     | 4     |
| <b>M</b>        | 57.28                | 58.00 | 59.03 | 61.83 |
| <b>SD</b>       | 6.77                 | 7.14  | 7.06  | 9.75  |

*Note.* n = 29 for the experimental group.

A repeated measures ANOVA was performed and yielded a significant trial effect,  $F(3, 84) = 3.26$ ,  $MSE = 35.5$ ,  $p = .026$ , partial  $\eta^2 = .104$ . Post-hoc pair wise comparisons were computed for each combination of trials. Only the comparison between scenarios 1 and 4 were (marginally) significant,  $p = .055$  (adjusted for multiple comparisons using the Bonferroni correction where the alpha value for each comparison is set at  $\alpha$  divided by the number of total comparisons).

The cadets' total EPS scores were broken down by theme over the course. Repeated measures ANOVAs were performed for each of the six themes. The results from the ANOVAs



revealed a significant trial effect for two themes: *Defining the Ethical Self*,  $F(3, 84) = 3.42$ ,  $MSE = .219$ ,  $p = .021$ , partial  $\eta^2 = .109$ ; and *Evaluating Relationships with Others*,  $F(3, 84) = 2.80$ ,  $MSE = .384$ ,  $p = .045$ , partial  $\eta^2 = .091$ . Post-hoc pair wise comparisons showed only the means between scenario 1 and scenario 4 were statistically significant ( $p = .015$ ) for *Defining the Ethical Self*.

**Post exercise impact on training measures.** Following each in-class negotiation exercise, cadets completed the Post-Negotiation Role-Play Evaluation instrument. Mean total scores and standard deviations were computed for the four key training measures: evaluation of negotiation processes and outcomes, EPS post evaluation, and ethical dilemmas addressed in the negotiation scenarios (see Table 5).

Table 5  
*Means and Standard Deviations (SD) For Post Negotiation Evaluation Measures Across Scenarios*

|                                       | Negotiation Scenario |       |       |       |
|---------------------------------------|----------------------|-------|-------|-------|
|                                       | 1                    | 2     | 3     | 4     |
| <b>Process Oriented<sup>a</sup></b>   |                      |       |       |       |
| <b>M</b>                              | 58.05                | 56.54 | 57.48 | 54.82 |
| <b>SD</b>                             | 7.26                 | 8.16  | 6.85  | 7.18  |
| <b>Outcome Oriented<sup>b</sup></b>   |                      |       |       |       |
| <b>M</b>                              | 43.83                | 41.85 | 43.55 | 39.95 |
| <b>SD</b>                             | 6.24                 | 7.09  | 6.07  | 6.49  |
| <b>EPS Post Negotiation</b>           |                      |       |       |       |
| <b>M</b>                              | 68.21                | 70.54 | 71.37 | 71.55 |
| <b>SD</b>                             | 7.99                 | 9.74  | 9.53  | 9.89  |
| <b>Dilemmas Addressed<sup>c</sup></b> |                      |       |       |       |
| <b>M</b>                              | 11.49                | 12.97 | 12.30 | 12.97 |
| <b>SD</b>                             | 2.43                 | 2.24  | 2.53  | 2.12  |

*Note.* Cell entries reflect mean total scores. <sup>a</sup>No. of process items = 14. <sup>b</sup>No. outcome items = 10. <sup>c</sup> Degree dilemmas addressed.  $n = 41$  (Scenario 1), 39 (Scenario 2), 40 (Scenario3), and 38 (Scenario 4). A higher score for the negotiation process and outcome orientation indicated that principled negotiation items were emphasized; a lower score indicated positional bargaining items were emphasized.

Comparison of the pre and post negotiation exercise EPS total scores showed a slight increase for both pre and post scores across scenarios. The higher post EPS scores were most likely inflated since a six point scale was used in the Post-Negotiation Role-Play Evaluation Instrument. While the pattern of responses was similar, it is difficult to make direct comparisons between the pre and post exercise EPS scores since the scale anchors were different. This was done to provide a better fit of the EPS to negotiation course objectives. (Pre exercise EPS scale instructions and anchors focused on the relevance of the EPS themes/subthemes to the specific scenario from the Cadets' perspective. Post exercise EPS scale instructions and anchors focused on the extent the Cadets, as negotiators, acted in accordance with specific EPS themes /subthemes in the scenarios.) A repeated measures ANOVA was performed and yielded a non-significant trial effect,  $p = .512$ .

The extent to which ethical dilemmas were addressed within each negotiation scenario remained relatively constant across scenarios. Cadets tended to slightly to mostly agree (*Ms* of 3.83 and 4.32) that they confronted many ethical issues in the negotiation, acted decisively when faced with ethical issues, and exhibited an awareness of the relevance of ethics to the military profession. Table 6 shows the percentage of Cadets who mostly-completely agreed with each items across scenarios.

Table 6

*Percent (%) of Cadets who Mostly to Completely Agreed With the Extent to Which Ethical Dilemmas Were Addressed in the Negotiation Scenarios*

| Item<br>Rating own and peer's performance (%)          | Role Played Negotiation Scenario |               |               |               |
|--|----------------------------------|---------------|---------------|---------------|
|  | Scenario<br>1                    | Scenario<br>2 | Scenario<br>3 | Scenario<br>4 |
| Confronted Many Issues in Negotiation                  | 20                               | 27            | 25            | 47            |
| Acted Decisively When Faced with Ethical Issues        | 42                               | 51            | 58            | 34            |
| Exhibited Awareness of Relevance of Ethics to Military | 27                               | 49            | 42            | 54            |

*Note.* *ns* ranged from 37-41 for the experimental group.

For assessing performance in the negotiation process, items were classified based on whether their focus was process or outcome and whether they reflected a positional bargaining or principled negotiation strategy. All positional bargaining items were reversed scored with lower scores representing a greater preference for positional bargaining. High scores on the principled negotiation items represented greater preference for this using this approach when engaged in the negotiating process or when evaluating an outcome.

Table 5 shows that the Cadets' preferences for a particular negotiation strategy shifted slightly depending on the nature of the scenario encountered. This shift was in accord with the course instructor's goals to enhance the flexibility of Cadets in using a variety of techniques when they are engaged in negotiations. Inspection of the Cadets' strategies over scenarios showed their strongest preference for using principled negotiation was in scenario 1 and their strongest preference for using positional bargaining was in scenario 4. The variation in preferences is notable since one of the major objectives of the negotiations course was to make Cadets aware of both strategies and be able to employ the appropriate strategy to fit the particular situation. In contrast, the more scenarios the Cadets were exposed to as the training progressed, the higher their EPS scores (both pre and post exercise).

**EPS and negotiation strategy.** EPS pre and post exercise scores were averaged across the four negotiation scenarios along with ethical dilemmas (addressed), negotiation process and outcome scores. Correlations were then computed. The results showed that EPS pre exercise scores did not correlate significantly with either negotiation process [ $r(46) = .11$ ] or outcome [ $r(46) = .13$ ] scores. However, EPS post exercise scores correlated significantly with both negotiation process [ $r(46) = .60, p < .001$ ] and outcome scores [ $r(46) = .55, p < .001$ ]. The positive correlations between EPS post exercise scores and the process/outcome scores indicate

that increasing awareness of ethical themes, as presented in the EPS, were associated with greater preferences to engage in principled negotiation. The data also seem to suggest that although pre and post exercise EPS scores increased over scenarios, the linkage between EPS and negotiation scores was clearly impacted by the role-plays, the post negotiation small group discussions, and the AARs provided by the instructor.

Finally, both EPS pre [ $r(46) = .60, p < .001$ ] and post [ $r(46) = .73, p < .001$ ] exercise scores correlated significantly with addressing ethical dilemmas. However, addressing ethical dilemmas in the training scenarios was not related to either Cadets' negotiation process or outcome scores.

### Training Evaluations

Cadets' responses to the Training Evaluation Questionnaires indicated that 81% felt that the training had improved their ability to make ethical decisions. Fifty-seven percent mostly or completely agreed that they had a better understanding of the importance of ethical issues in the negotiation process. Sixty-five percent of the Cadets mostly or completely agreed that they are better able to address personal and professional ethical issues and/or problems (See Table 7).

Table 7

*Percent (%) Agreement by Cadets Across Items on the Training Evaluation Questionnaire*

| Item  | Mostly Disagree | Slightly Disagree | Slightly Agree | Mostly Agree | Completely Agree |
|---|-----------------|-------------------|----------------|--------------|------------------|
| The instruction gave me a much better understanding of the importance of ethical issues in the negotiations process.                          | 2               | 7                 | 33             | 38           | 19               |
| As a result of participation in this class, I feel better able to evaluate and act in response to professional and personal ethical problems. | 2               | 7                 | 26             | 41           | 24               |

*Note.*  $n = 42$  for the experimental group.

### Discussion

Moral/ethical and character education and training have been conducted in the military and in the private sector to varying degrees of success. This is due, in part, to the nature of the domain (ill-defined, with no clear cut right or wrong solutions), the educational/training approach used, and the amount of time available for training. In some instances the theoretical model guiding the training was sound but the time allotted for training was inadequate, ninety minutes, (e.g., Linstrum, 2009). In other instances, the time allotted for training was ample, 19 weeks, but the approach was inappropriate (e.g., Williams, 2010).

This research addressed some of the shortcomings of previous research by incorporating learning strategies/design features that have been shown to be effective for training in ill-defined content areas such as ethical decision making (i.e., presentation of ethical dilemmas grounded in real life scenarios, active involvement by the student to identify solutions, small group

discussion, and lecture). These activities were sequenced in a particular order to enhance deep understanding of the material and were repeated over a sixteen week period. The objective of the research, as applied to the negotiations course, was to enhance Cadets' awareness of ethical dilemmas in various negotiation scenarios. The heightened awareness should increase the Cadets' sensitivity to the appropriate negotiations strategy to pursue based on the situation (see Table 5).

The results showed that the training strategy significantly improved the experimental group's awareness of ethical dilemmas in decision-making/negotiation scenarios relative to the control group. Cadets' level of awareness on all EPS themes increased from pre to post assessment periods.

### **Changes in Ethical Awareness During Training**

**EPS pre exercise scores.** Cadets' pre negotiation EPS total scores increased significantly from the first negotiation exercise (scenario 1) to the fourth negotiation exercise (scenario 4). The increase in EPS total scores appeared to be due primarily to changes across two themes, *Defining the Ethical Self* and *Evaluating Relationships with Others*. Of these two themes, changes in the theme *Defining the Ethical Self* was most clear cut (statistically). Components (subthemes) of this theme include personal integrity, consistency and conviction, learning and change, and reputation. Considering the context in which the Cadets were asked to complete the EPS, this finding may not be surprising. For each of the negotiation scenarios, it was clear, for example, they would have to take some sort of action (*Choosing to Act*), and that the problems presented in the scenarios were serious (*Assessing the Seriousness of the Problem*). For some themes, awareness may have already been cued. On the other hand, issues related to personal integrity, consistency and conviction, and reputation may not have been clearly triggered by the scenarios. This is where the value of the post negotiation exercise small group discussion and AAR provided by the instructor may have helped in alerting the Cadets to the importance of this particular ethical theme.

**EPS post exercise scores.** Cadets' post negotiation EPS total scores also increased across scenarios but to a lesser degree when compared to the scores obtained prior to engaging in each negotiation role play exercise. Changes in post negotiation EPS scores across scenarios were non-significant. This could be due to several factors including the different mindset created by the instructions and the different labels attached to the anchors. For the pre exercise EPS, scale anchors addressed the relevance of EPS themes and subthemes as they applied to each scenario. In contrast, for the post exercise EPS, cadets were asked to indicate their agreement that these themes were addressed by team members in the negotiation role play exercise. Changes in the anchor labels were required to reflect more accurately the assessment of Cadet performance during these negotiation exercises. Taken as a whole, EPS scores did increase over the scenarios which suggest that the combination of design activities, i.e., invention, contrasting cases, small group discussion, instructor-led AAR and lecture contributed in varying degrees to enhancing the Cadets' awareness of ethical dilemmas (themes) over the course of instruction.

**Addressing ethical dilemmas.** Cadets tended to slightly-mostly agree with statements that assessed the extent to which they addressed ethical dilemmas encountered within the negotiation scenarios, i.e., they *confronted many ethical issues in the negotiation, acted decisively when faced with ethical issues, and demonstrated an awareness of the relevance of*

*ethics to the military profession*. Interestingly, while high levels of agreement on these items was significantly correlated with higher pre and post EPS scores, whether the Cadets addressed ethical dilemmas in the training scenarios was not related to their negotiation strategy (positional bargaining versus principled negotiation). Of the three dilemma items, *acted decisively when faced with ethical issues* was the only item that clearly implied some type of action was taken by the Cadet. It's possible that the action taken, while addressing an ethical dilemma, may not have involved using a specific negotiation strategy (positional bargaining or principled negotiation). It is reasonable to conclude on this basis that Cadets may have, in fact, acted in an ethical manner, but that it was not reflected in the measures used in this research.

**Performance in the negotiation process.** One of the major objectives of the negotiations course was to familiarize Cadets with different negotiation strategies (positional bargaining and principled negotiation) and refine their abilities to know when to apply the appropriate strategy to address a specific situation.<sup>4</sup> The data from Table 5 show that Cadets, as a whole, did not prefer one bargaining strategy over another. Rather they appeared to shift their strategy based on the particular situation (scenario) they encountered. The Cadets demonstrated flexibility in the negotiation strategy they chose to use. From this standpoint, the course was successful.

We were also interested in the extent to which enhanced ethical awareness impacted performance in the course. This was assessed by relating Cadets' negotiation process and outcome scores to EPS scores. While EPS pre exercise scores did not correlate with negotiation process and outcome scores, EPS post exercise scores were significantly related (positively) to the process and outcome scores. The positive correlations suggested that increasing awareness of ethical themes and dilemmas was associated with a greater preference to engage in principled negotiation.

One possible explanation for the pattern of results observed could be that Cadets may not have been fully aware of other view points, ethical issues, etc., as they worked through the negotiations scenario on their own as part of their homework assignment, while preparing for the next days' role play exercise. However, the Cadets may have become more aware of some of these ethical issues following the exercise and in the ensuing small group discussion and instructor-led AAR. This, in turn, may have impacted EPS post exercise scores. Another contributing factor to the pattern of results may have been the instructional mindset and different anchor labels used with the EPS items for pre and post exercise administrations.

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<sup>4</sup> In positional bargaining parties open with their position on an issue, then bargain from their separate opening position to agree on one position. The process of principled negotiation involves four principles: 1) separate the people from the problem; 2) focus on interest rather than positions; 3) generate a variety of options before settling on an agreement; and 4) insist on agreement based on objective criteria (Fisher & Ury, 1983).

One additional point to note regarding Cadet performance is the possible moderating impact of the ethical awareness training in the course on negotiating preferences. Although the data in Table 5 showed shifts in preference in negotiation strategy based on the scenario, the findings also indicated greater preference for principled negotiation with higher EPS scores. It is interesting to speculate what the pattern of process-outcome scores would look like across scenarios for Cadets that did not receive the ethical awareness training. Would there be a stronger preference for the positional bargaining strategy across scenarios? Should more time be set aside to discuss the ethical ramifications involved in the negotiation process?

### **Training Impact and Implications**

A clear majority (81 percent) of the cadets felt the training had improved their ability to make ethical decisions. Most agreed (57-65 percent) that the training gave them a better understanding of the importance of ethical issues in the negotiation process and that they are better prepared to address both personal and professional ethical issues and/or problems.

To the extent ethical perception and interpretation can be regarded as representative of ill-defined content domains, several general design principles were identified from this research and related work which course developers may find beneficial in developing training in these areas. These design elements are briefly described in the following sections.

**Duration of training.** Cadets' changes in ethical awareness increased significantly with training compared to the control group who did not receive the training. From an absolute standpoint, however, the changes were modest. These findings suggest that training in these ill defined domains must be of sufficient duration to realistically have a chance of succeeding. Linstrum (2009) reports measurable changes in moral judgment ability with ethics educational-training programs lasting at least three weeks. Williams (2010), reported studies that have shown significant change in moral judgment with interventions of twelve weeks in duration. The precise duration may vary depending on the objectives of the research and the training approach adopted.

**Perceived utility of training.** This factor is closely linked to motivation and content relevance. Learners must perceive that the new knowledge and skills, provided in the course of instruction, will improve a relevant aspect of their work performance (Baldwin & Ford, 1988). Increased utility will impact motivation to learn which should impact both learning and transfer. Careful planning and preparation by the instructor to ensure the course is addressing the professional needs of the student is a critical factor in maximizing performance, particularly, in ill-defined domains. In the present research, the negotiations course addressed a subject domain that the Cadets would most likely encounter as military leaders based on recent accounts of situations faced by U.S. forces in Operation Iraqi Freedom (OIF) and Operation Enduring Freedom (OEF).

**Instructor preparation.** As noted earlier by Williams (2010), successful moral and character education involves the use of methods that allow for dialogue, interaction, personal involvement, practice, and application. This was accomplished in the present research by providing multiple scenarios for the Cadets to first reflect on individually and, as part of a team, when negotiating with another team during the in-class role play exercise. Orchestrating all of these events was the instructor who also guided the small group instruction following each

exercise and provided the final lecture, which explained the thematic model of ethical perception/interpretation and how to approach future negotiation situations from a systematic/evaluative ethical perspective.

To be effective in this type of environment requires that the instructor be knowledgeable in how people learn, skilled in leading/conducting small group discussions, and clearly understands course objectives/content. With regard to ethics education, some (Patterson & Phipps, 2002), recommend the development of an ethics instructor course, that gives those who are tasked with teaching ethics the appropriate skills and knowledge to effectively teach. The key point, though, is that regardless of the domain (e.g., leadership, interpersonal behavior), time must be allotted to prepare instructors to succeed in these training environments.

**Training environment.** Conducting effective and efficient training in ill-defined content domains requires careful management of the training environment. Instead of the traditional tightly structured learning environment which limits trainee's control by providing step-by-step instruction on the complete task, its concepts, rules, and strategies, training designers frequently opt for a more learner-centered approach in these domains. This approach provides individuals with greater control over their own learning but incorporates formal design elements (e.g., invention, contrasting cases, lecture) to shape the learning process and support self-regulated learning. This active approach also promotes an inductive learning process, in which individuals must explore and experiment with a task to infer the rules, principles, and strategies for effective performance. These last points are critical, since research has shown that a tightly structured learning environment, while effective in developing routine expertise for a current job often makes it more difficult for trainees to adapt their knowledge and skills when the problem domain changes (Bell & Kozlowski, 2008).

In addition to advocating that learners become more involved in the learning process through exploration (invention and contrasting cases in the present research), Bell and Kozlowski (2008) address two other design elements that should be considered in designing active learning interventions. These include creating specific training frames and emotion control. One example of training frames is error framing, in which training instructions encourage trainees to make errors. Errors can provide useful feedback when individuals are engaged in learning complex, novel (ill-defined) tasks, and how they interpret their errors can significantly impact the motivational orientation they take to solve these types of problems. When, for example, errors are framed as a natural, instructive part of the learning process and performance evaluation is deemphasized, individuals are more likely to adopt a mastery orientation which has a positive impact on self-efficacy, effort expended (during training), persistence, and training performance (e.g., Kozlowski, Gully, et al., 2001; Payne, Youngcourt, & Beaubien, 2007).

The final design element identified by Bell and Kozlowski (2008) is emotion control. Imposing an active learning approach in a training environment can be quite stressful for some individuals, particularly for the task domain addressed in this research. If uncontrolled, poor performance can increase anxiety and worry, lower individual motivation and feelings of self-efficacy as well as divert attentional resources from on-task activities. Strategies adopted to specifically address emotion control in active learning environments have been shown to be effective at curbing negative emotions which in turn resulted in greater adaptive transfer (Keith & Frese, 2005).

While the present research focused primarily on creating and enhancing an active (problem-based) learning orientation, aspects of these other (training frame/error framing and emotion control) design elements were apparent in the USMA classroom environment. With regard to error framing, Cadet participation in the classroom is a key component of the educational process where the Cadets are encouraged to articulate their positions on topic areas in a supportive environment that cultivates independent thinking and self-confidence. This type of environment (it appeared) helped moderate negative emotions and increase focus and effort on more relevant task activities.

The instructional strategy that was applied involved combining and sequencing a number of design features in a specific way to optimize learning. No attempt was made to address the individual contributions of any one feature. The main objective of the research was determine if the combination of design features would have a significant impact in increasing ethical awareness in military decision-making (negotiation) situations. From a training efficiency standpoint, it may be useful for future research to address the impact of individual design factors (e.g., sequencing of activities, increasing or decreasing the number of invention opportunities, duration of training). Clearly, this research indicated that successful training in ill-defined content domains requires careful application of multiple design features to include the factors impacting active learning that were systematically addressed. It is also likely that those factors not specifically addressed, e.g., training frame and emotion control, may have impacted the learning process. These factors should also be addressed in future research, particularly in learning environments or situations where these elements are likely to receive little emphasis (direct or indirect) by course/training designers.



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## ACRONYMS

AAR - After Action Review

ARI - Army Research Institute

COE - Contemporary operational environment

EPS - Ethical Perceptions Scale

NCO - Noncommissioned officer

OEF - Operation Enduring Freedom

OIF - Operation Iraqi Freedom

TRADOC - Training and Doctrine Command

USMA - United States Military Academy

## **DATA COLLECTION INSTRUMENTS**

## APPENDIX A

### Demographic Questionnaire

Cadet X Number: \_\_\_\_\_

Date: \_\_\_\_\_

**INSTRUCTIONS: To help us better understand you and your life experiences before attending USMA, please respond to the following questions.**

(1) What is your age?

(2) What is your year in school at USMA?

(3) What is your gender? Male Female

(4) When growing up, were any members of your immediate family in the military? **Yes / No**

(6a) If yes, please briefly describe which member(s) served, how many years he/she served, when did he/she serve and what was the branch of the service in which he/she served.

(5) Are any members of your family graduates of USMA or other military academies? **Yes / No**

(5a) If yes, please briefly describe.

(6) Do you consider yourself to be religious and/or spiritual? **Yes / No**

(6a) If yes, please briefly describe.

(7) Do you have a personal philosophy or belief system that influences how you evaluate your own and others' actions as being moral and/or ethical? **Yes / No**

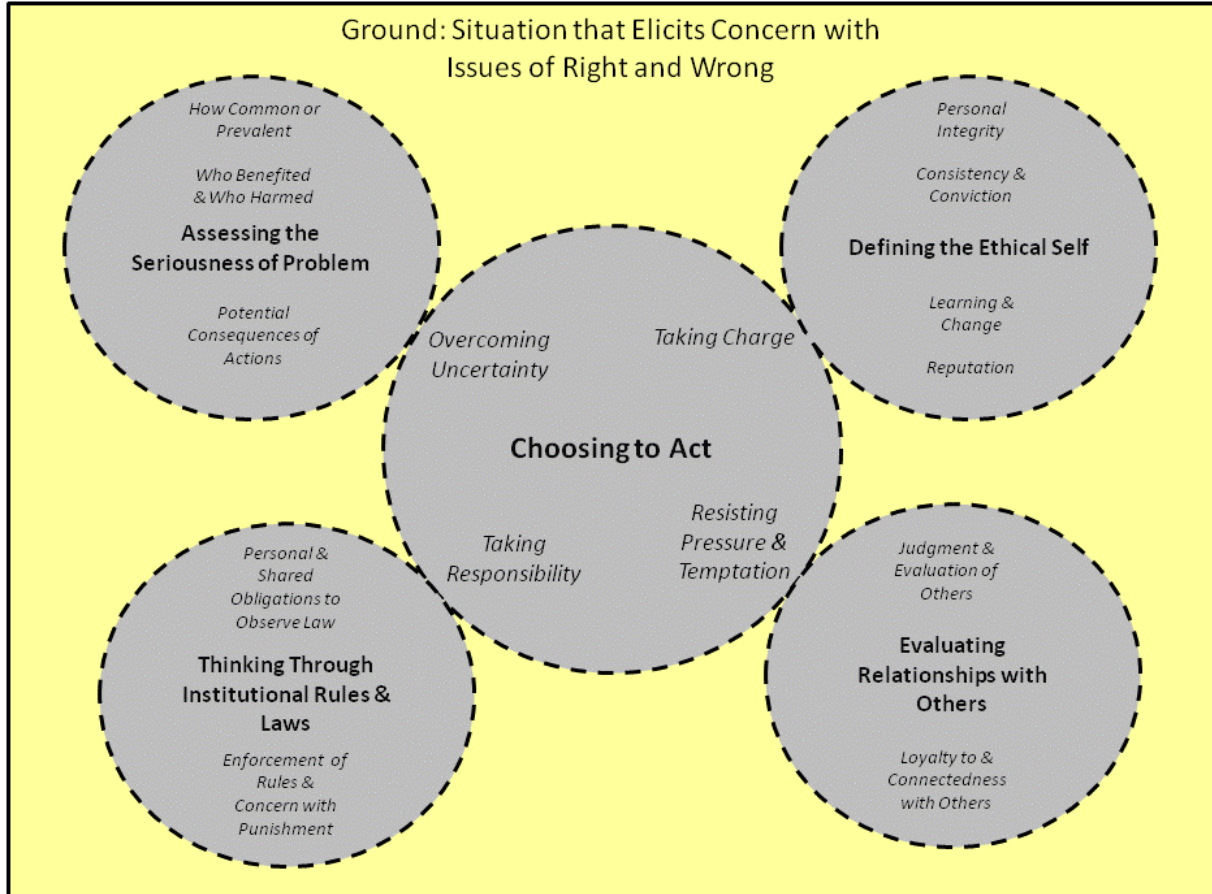
(7a) If yes, please briefly describe.

(8) When you were growing up, were Army Values and/or Army Professional Ethics, etc., familiar concepts to you? **Yes / No**

(8a) If yes, please briefly describe how you became familiar with these concepts.

## APPENDIX B

Thematic Model of the Central Meanings Expressed in Cadets' Ethical Decision-making Experiences  
(from Graves et al., 2010)





**APPENDIX C**  
**ETHICAL PERCEPTIONS SCALE**  
(Version: 3 DEC 09)

**Participant Identifier:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**INSTRUCTIONS:** Please read the following four scenarios and respond to the questions following each scenario. When you read each scenario, do your best to imagine yourself in the situation described.

**SCENARIO 1**

You lead a training team that works with local national Soldiers; you and your team have developed strong relationships with them over time. They trust you and depend on you for equipment, money, and supplies. One day, a serious call comes in from an American trainer working with the civilian police. A European civilian security group, contracted to escort convoys, had been travelling through your area at high speed with loaded weapons. They were travelling from a very hostile into a less hostile area, but had not called ahead to coordinate their movements with the local authorities. Some national Army officers attempted to approach the contractors' vehicle and were fired on by the contractors. A LTC in the national Army was hit and is in critical condition. The national Army officers contacted the civilian police who took the contractors into custody and moved them to a police training compound. When your team arrives at the compound, approximately 300 local citizens and Soldiers are outside demanding "justice," many of whom are friends and family of the LTC who was shot. You know some of them and they know you. Inside, a group of Soldiers from the national Army is pressuring the police to turn over the contractors. The police are resisting their demands, and insist that they first need detailed statements from everyone involved before making any decisions regarding custody. Emotions are running high all around and you know the contractors will probably be executed if they are turned over.

**(1) Please rate how easy/difficult it was for you to imagine yourself in this scenario:**

| Very Easy | Somewhat Easy | Average | Somewhat Difficult | Very Difficult |
|-----------|---------------|---------|--------------------|----------------|
| 1         | 2             | 3       | 4                  | 5              |

**(2) Briefly describe the most important ethical dilemma you see in this scenario (in 1 to 3 sentences).**

**(3) Briefly describe how you would respond to this dilemma (in 1 to 3 sentences).**

**(4) Briefly explain why you believe your response is the correct one (in 1 to 3 sentences).**

**PLEASE CONTINUE ON FOLLOWING PAGE**

**INSTRUCTIONS:** Please rate how relevant each of the following concerns was for you when you read and responded to Scenario 1.

|    |  | Not Relevant | Somewhat Relevant | Relevant | Very Relevant | Essential |
|----|--|--------------|-------------------|----------|---------------|-----------|
| 1  | Feeling confused and/or unsure of what I should do   | 1            | 2                 | 3        | 4             | 5         |
| 2  | Taking control and/or handling effectively my limited power and resources                                | 1            | 2                 | 3        | 4             | 5         |
| 3  | Evaluating how bad or good the possible consequences could be  | 1            | 2                 | 3        | 4             | 5         |
| 4  | Incorporating lessons learned from experiences I have had and/or cases I know about                      | 1            | 2                 | 3        | 4             | 5         |
| 5  | Feeling a sense of connection and loyalty to my colleagues, friends, and peers                           | 1            | 2                 | 3        | 4             | 5         |
| 6  | Maintaining focus on what is truly ethically right and wrong   | 1            | 2                 | 3        | 4             | 5         |
| 7  | Needing to respond quickly because pressure was building and/or emotions were escalating                 | 1            | 2                 | 3        | 4             | 5         |
| 8  | Wondering how often this type of situation may happen  | 1            | 2                 | 3        | 4             | 5         |
| 9  | Considering how my decision(s) may affect my integrity   | 1            | 2                 | 3        | 4             | 5         |
| 10 | Concern about what others may say and/or think about what I do   | 1            | 2                 | 3        | 4             | 5         |
| 11 | Being obligated by rules and laws to resolve this situation appropriately                                | 1            | 2                 | 3        | 4             | 5         |
| 12 | Determining the best ethical idea of <i>right</i> to address what is happening                           | 1            | 2                 | 3        | 4             | 5         |
| 13 | Being personally responsible for my decision and what happens as a result of it                          | 1            | 2                 | 3        | 4             | 5         |
| 14 | Recognizing that this situation is full of trade-offs and pitfalls for everyone involved                 | 1            | 2                 | 3        | 4             | 5         |
| 15 | Sticking to my beliefs and being consistent in my actions  | 1            | 2                 | 3        | 4             | 5         |
| 16 | Evaluating and/or judging the behavior of others   | 1            | 2                 | 3        | 4             | 5         |
| 17 | Not making myself and my team subject to legal consequences and/or punishments as a result of what we do | 1            | 2                 | 3        | 4             | 5         |

**PLEASE CONTINUE ON FOLLOWING PAGE**

**SCENARIO 2**

It is the first days of a civil war. You are rescuing and protecting displaced noncombatants at risk of being slaughtered by roving militias. ROE states that you may use deadly force only if you are being directly attacked. Due to communications problems and blocked resupply routes, you are effectively cut off from HQ. They had promised you support in 7 to 10 days, but it may take longer. You set up an area behind your camp to protect noncombatants, especially families with children, and can maintain a good defensive perimeter around that area. However, as the number of individuals you rescue grows, food and water supplies run short, and sanitation is poor. At 72 hours, the camp has become crowded and cholera breaks out. The medical specialists are equipped only to handle acute traumatic injuries, such as broken bones or gunshot wounds. While planning your next rescue mission, a medical specialist warns you: "Sir/Ma'am, the children, particularly the infants, are dying from dehydration faster than the adults. They are only able to survive about 36 hours under these conditions. Five have died in the past hour." The news is chilling. The specialist continues "...so that they do not die of cholera, we may need to consider hiding the healthy children outside the protected area."

**(1) Please rate how easy/difficult it was for you to imagine yourself in this scenario:**

|           |               |         |                    |                |
|-----------|---------------|---------|--------------------|----------------|
| Very Easy | Somewhat Easy | Average | Somewhat Difficult | Very Difficult |
| 1         | 2             | 3       | 4                  | 5              |

**(2) Briefly describe the most important ethical dilemma you see in this scenario (in 1 to 3 sentences).**

**(3) Briefly describe how you would respond to this dilemma (in 1 to 3 sentences).**

**(4) Briefly explain why you believe your response is the correct one (in 1 to 3 sentences).**

**PLEASE CONTINUE ON FOLLOWING PAGE**

**INSTRUCTIONS:** Please rate how relevant each of the following concerns was for you when you read and responded to Scenario 2.

|    |  | Not Relevant | Somewhat Relevant | Relevant | Very Relevant | Essential |
|----|--|--------------|-------------------|----------|---------------|-----------|
| 1  | Being personally responsible for my decision and what happens as a result of it                          | 1            | 2                 | 3        | 4             | 5         |
| 2  | Concern about what others may say and/or think about what I do   | 1            | 2                 | 3        | 4             | 5         |
| 3  | Needing to respond quickly because pressure was building and/or emotions were escalating                 | 1            | 2                 | 3        | 4             | 5         |
| 4  | Taking control and/or handling effectively my limited power and resources                                | 1            | 2                 | 3        | 4             | 5         |
| 5  | Incorporating lessons learned from experiences I have had and/or cases I know about                      | 1            | 2                 | 3        | 4             | 5         |
| 6  | Evaluating and/or judging the behavior of others   | 1            | 2                 | 3        | 4             | 5         |
| 7  | Feeling confused and/or unsure of what I should do   | 1            | 2                 | 3        | 4             | 5         |
| 8  | Wondering how often this type of situation may happen  | 1            | 2                 | 3        | 4             | 5         |
| 9  | Sticking to my beliefs and being consistent in my actions  | 1            | 2                 | 3        | 4             | 5         |
| 10 | Feeling a sense of connection and loyalty to my colleagues, friends, and peers                           | 1            | 2                 | 3        | 4             | 5         |
| 11 | Not making myself and my team subject to legal consequences and/or punishments as a result of what we do | 1            | 2                 | 3        | 4             | 5         |
| 12 | Determining the best ethical idea of <i>right</i> to address what is happening                           | 1            | 2                 | 3        | 4             | 5         |
| 13 | Recognizing that this situation is full of trade-offs and pitfalls for everyone involved                 | 1            | 2                 | 3        | 4             | 5         |
| 14 | Considering how my decision(s) may affect my integrity   | 1            | 2                 | 3        | 4             | 5         |
| 15 | Being obligated by rules and laws to resolve this situation appropriately                                | 1            | 2                 | 3        | 4             | 5         |
| 16 | Understanding the ways in which this scenario is similar to and different from the previous one          | 1            | 2                 | 3        | 4             | 5         |
| 17 | Maintaining focus on what is truly ethically right and wrong   | 1            | 2                 | 3        | 4             | 5         |
| 18 | Evaluating how bad or good the possible consequences could be  | 1            | 2                 | 3        | 4             | 5         |

**PLEASE CONTINUE ON FOLLOWING PAGE**

**SCENARIO 3**

You are on a peace-keeping mission, setting up a demilitarized zone in accord with a ceasefire and disarmament agreement signed between combatant groups. You are to enforce the ceasefire and to remain neutral. ROE for the mission allows deadly force, but only in self-defense. Your job is to look for anyone with a weapon and seize the weapon. You begin a cordon and search of a small village. A Soldier radios in and reports that he has observed 10 possible combatants all armed with AK-47s and three of whom also have very advanced Russian RPG-29s. You do not have enough Soldiers in the perimeter to fend off a coordinated attack, especially if the combatant group gets any larger. The village leader follows alongside you, pleading that you not take the weapons until you can assure their security. You call in for authorization to defend the villagers in case something happens. The authorization is given, but HQ insists that you to continue with the disarmament mission.

**(1) Please rate how easy/difficult it was for you to imagine yourself in this scenario:**

|                |                    |              |                         |                     |
|----------------|--------------------|--------------|-------------------------|---------------------|
| Very Easy<br>1 | Somewhat Easy<br>2 | Average<br>3 | Somewhat Difficult<br>4 | Very Difficult<br>5 |
|----------------|--------------------|--------------|-------------------------|---------------------|

**(2) Briefly describe the most important ethical dilemma you see in this scenario (in 1 to 3 sentences).**

**(3) Briefly describe how you would respond to this dilemma (in 1 to 3 sentences).**

**(4) Briefly explain why you believe your response is the correct one (in 1 to 3 sentences).**

**PLEASE CONTINUE ON FOLLOWING PAGE**

**INSTRUCTIONS:** Please rate how relevant each of the following concerns was for you when you read and responded to Scenario 3.

|    |  | Not Relevant | Somewhat Relevant | Relevant | Very Relevant | Essential |
|----|--|--------------|-------------------|----------|---------------|-----------|
| 1  | Evaluating how bad or good the possible consequences could be  | 1            | 2                 | 3        | 4             | 5         |
| 2  | Considering how my decision(s) may affect my integrity   | 1            | 2                 | 3        | 4             | 5         |
| 3  | Recognizing that this situation is full of trade-offs and pitfalls for everyone involved                 | 1            | 2                 | 3        | 4             | 5         |
| 4  | Sticking to my beliefs and being consistent in my actions  | 1            | 2                 | 3        | 4             | 5         |
| 5  | Wondering how often this type of situation may happen  | 1            | 2                 | 3        | 4             | 5         |
| 6  | Incorporating lessons learned from experiences I have had and/or cases I know about                      | 1            | 2                 | 3        | 4             | 5         |
| 7  | Taking control and/or handling effectively my limited power and resources                                | 1            | 2                 | 3        | 4             | 5         |
| 8  | Concern about what others may say and/or think about what I do   | 1            | 2                 | 3        | 4             | 5         |
| 9  | Understanding the ways in which this scenario is similar to and different from the previous two          | 1            | 2                 | 3        | 4             | 5         |
| 10 | Maintaining focus on what is truly ethically right and wrong   | 1            | 2                 | 3        | 4             | 5         |
| 11 | Being personally responsible for my decision and what happens as a result of it                          | 1            | 2                 | 3        | 4             | 5         |
| 12 | Evaluating and/or judging the behavior of others   | 1            | 2                 | 3        | 4             | 5         |
| 13 | Determining the best ethical idea of <i>right</i> to address what is happening                           | 1            | 2                 | 3        | 4             | 5         |
| 14 | Needing to respond quickly because pressure was building and/or emotions were escalating                 | 1            | 2                 | 3        | 4             | 5         |
| 15 | Feeling a sense of connection and loyalty to my colleagues, friends, and peers                           | 1            | 2                 | 3        | 4             | 5         |
| 16 | Feeling confused and/or unsure of what I should do   | 1            | 2                 | 3        | 4             | 5         |
| 17 | Being obligated by rules and laws to resolve this situation appropriately                                | 1            | 2                 | 3        | 4             | 5         |
| 18 | Not making myself and my team subject to legal consequences and/or punishments as a result of what we do | 1            | 2                 | 3        | 4             | 5         |

**PLEASE CONTINUE ON FOLLOWING PAGE**

**SCENARIO 4**

You and four Soldiers are manning a checkpoint, surrounded on two sides by high-rise apartment buildings. A man comes into your area and he is staggering and seems lost, which strikes you as very odd. He is carrying a semi-automatic rifle. After a few minutes of chatting with other civilians in the area, the locals clear out and he begins waving his weapon in the air and yelling. He is not flagging you, but he is being reckless and you feel threatened. You order him to stop and to lay down his weapon. He yells something at you, and continues with his antics. Just as you are preparing to fire a warning shot, you begin taking fire from the left and two of your Soldiers are hit. "GET DOWN! STAY DOWN!" you order. You are having trouble locating where the fire is coming from, and you do not want to return fire randomly into a civilian apartment building. Your only egress route to safety is being blocked by the man, who, seeming too drunk or crazy to understand that you are in fact taking fire and have been hit, begins firing his own weapon into the air. ROE has authorized you to kill in self-defense only, but the man who blocks your way to safety may or may not be intending to do you harm. He is putting your life in danger by being in the wrong place at the wrong time. He may just be drunk or mentally ill; yet it seems strange that he is not taking fire as well. If you and your men charge him, he will have a direct, close-range shot on any one of you. The Soldiers that were hit were being administered buddy aid; the reality is that you won't be able to move very fast once you get going. You yell at the man that he will be shot if he does not get out of the way and you take aim. He doesn't seem to notice or to care, and you are still taking fire.

**(1) Please rate how easy/difficult it was for you to imagine yourself in this scenario:**

| Very Easy | Somewhat Easy | Average | Somewhat Difficult | Very Difficult |
|-----------|---------------|---------|--------------------|----------------|
| 1         | 2             | 3       | 4                  | 5              |

**(2) Briefly describe the most important ethical dilemma you see in this scenario (in 1 to 3 sentences).**

**(3) Briefly describe how you would respond to this dilemma (in 1 to 3 sentences).**

**(4) Briefly explain why you believe your response is the correct one (in 1 to 3 sentences).**

**PLEASE CONTINUE ON FOLLOWING PAGE**

**INSTRUCTIONS:** Please rate how relevant each of the following concerns was for you when you read and responded to Scenario 4.

|    |  | Not Relevant | Somewhat Relevant | Relevant | Very Relevant | Essential |
|----|--|--------------|-------------------|----------|---------------|-----------|
| 1  | Needing to respond quickly because pressure was building and/or emotions were escalating                 | 1            | 2                 | 3        | 4             | 5         |
| 2  | Evaluating and/or judging the behavior of others   | 1            | 2                 | 3        | 4             | 5         |
| 3  | Feeling confused and/or unsure of what I should do   | 1            | 2                 | 3        | 4             | 5         |
| 4  | Being personally responsible for my decision and what happens as a result of it                          | 1            | 2                 | 3        | 4             | 5         |
| 5  | Concern about what others may say and/or think about what I do   | 1            | 2                 | 3        | 4             | 5         |
| 6  | Feeling a sense of connection and loyalty to my colleagues, friends, and peers                           | 1            | 2                 | 3        | 4             | 5         |
| 7  | Determining the best ethical idea of <i>right</i> to address what is happening                           | 1            | 2                 | 3        | 4             | 5         |
| 8  | Taking control and/or handling effectively my limited power and resources                                | 1            | 2                 | 3        | 4             | 5         |
| 9  | Incorporating lessons learned from experiences I have had and/or cases I know about                      | 1            | 2                 | 3        | 4             | 5         |
| 10 | Being obligated by rules and laws to resolve this situation appropriately                                | 1            | 2                 | 3        | 4             | 5         |
| 11 | Maintaining focus on what is truly ethically right and wrong   | 1            | 2                 | 3        | 4             | 5         |
| 12 | Wondering how often this type of situation may happen  | 1            | 2                 | 3        | 4             | 5         |
| 13 | Sticking to my beliefs and being consistent in my actions  | 1            | 2                 | 3        | 4             | 5         |
| 14 | Not making myself and my team subject to legal consequences and/or punishments as a result of what we do | 1            | 2                 | 3        | 4             | 5         |
| 15 | Recognizing that this situation is full of trade-offs and pitfalls for everyone involved                 | 1            | 2                 | 3        | 4             | 5         |
| 16 | Considering how my decision(s) may affect my integrity   | 1            | 2                 | 3        | 4             | 5         |
| 17 | Understanding the ways in which this scenario is similar to and different from the previous three        | 1            | 2                 | 3        | 4             | 5         |
| 18 | Evaluating how bad or good the possible consequences of this situation could be                          | 1            | 2                 | 3        | 4             | 5         |

**THANK YOU FOR YOUR PARTICIPATION**



**APPENDIX D**

**HOMEWORK ASSIGNMENT**

**NEGOTIATION ETHICS AWARENESS AND REASONING ASSESSMENT**

**(v. 4 SEP 09)**

**Cadet X Number:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**INSTRUCTIONS:** Please read the negotiation scenario for our next class. When you are reading the scenario, please think about what sorts of ethical issues that may come up when role-playing the scenario tomorrow. Once you have read through the scenario, and thought about possible ethical issues, please write a brief (1 to 3 sentences) response to questions 1 through 3, and then answer the remaining questions.

(1) Briefly describe the most important ethical issue you expect to encounter while role-playing this scenario tomorrow in class.

SPACE FOR CADET'S BRIEF WRITTEN RESPONSE

(2) How would you respond if the ethical issue you identified comes up in tomorrow's role-play?

SPACE FOR CADET'S BRIEF WRITTEN RESPONSE

(3) Why do you believe this response is a good response?

SPACE FOR CADET'S BRIEF WRITTEN RESPONSE

PLEASE CONTINUE ON THE BACK OF THIS PAGE

**INSTRUCTIONS: Think about how you made sense of this negotiation scenario. Please rate how relevant each of the following concerns were for you when you read and thought about the scenario.**

|    |  | Not Relevant | Somewhat Relevant | Relevant | Very Relevant | Essential |
|----|--|--------------|-------------------|----------|---------------|-----------|
| 1  | Feeling uncertain I had all the information needed to make a good decision                               | 1            | 2                 | 3        | 4             | 5         |
| 2  | Taking control and/or handling effectively my limited power and resources                                | 1            | 2                 | 3        | 4             | 5         |
| 3  | Evaluating how bad or good the possible consequences could be  | 1            | 2                 | 3        | 4             | 5         |
| 4  | Incorporating lessons learned from experiences I have had and/or cases I know about                      | 1            | 2                 | 3        | 4             | 5         |
| 5  | Feeling a sense of connection and loyalty to my colleagues, friends, and peers                           | 1            | 2                 | 3        | 4             | 5         |
| 6  | Maintaining focus on what is truly ethically right and wrong   | 1            | 2                 | 3        | 4             | 5         |
| 7  | Needing to respond quickly because pressure was building and/or emotions were escalating                 | 1            | 2                 | 3        | 4             | 5         |
| 8  | Wondering how often this type of situation may happen in the military profession                         | 1            | 2                 | 3        | 4             | 5         |
| 9  | Considering how my decision(s) may affect my integrity   | 1            | 2                 | 3        | 4             | 5         |
| 10 | Concern about what others may say and/or think about what I do   | 1            | 2                 | 3        | 4             | 5         |
| 11 | Being obligated by rules and laws to resolve this situation appropriately                                | 1            | 2                 | 3        | 4             | 5         |
| 12 | Determining the best ethical idea of <i>right</i> to address what is happening                           | 1            | 2                 | 3        | 4             | 5         |
| 13 | Being personally responsible for my decision and what happens as a result of it                          | 1            | 2                 | 3        | 4             | 5         |
| 14 | Recognizing that this situation is full of trade-offs and pitfalls for everyone involved                 | 1            | 2                 | 3        | 4             | 5         |
| 15 | Sticking to my beliefs and being consistent in my actions  | 1            | 2                 | 3        | 4             | 5         |
| 16 | Wondering what motivates people to do things that seem so strange, unethical, and/or immoral to me       | 1            | 2                 | 3        | 4             | 5         |
| 17 | Not making myself and my team subject to legal consequences and/or punishments as a result of what we do | 1            | 2                 | 3        | 4             | 5         |

## APPENDIX E

### NEGOTIATION SCENARIOS

Four negotiations scenarios will provide the stimulus materials for Cadet's responses to the Negotiation Ethical Awareness and Reasoning Assessment (Homework). These scenarios are similar in scope and challenge to the one provided as an example here, except cannot be appended to this IRB due to the proprietary nature of the materials. The four negotiations-related scenarios being used for this research are regularly taught as part of the USMA negotiations course and do not represent an original contribution of the authors of this investigation. Our data collection materials, which are described in this IRB request, will be presented in tandem with these already developed and commonly used scenarios. Below are summaries of the first three scenarios and as a detailed example, the fourth and final scenario we will use for this investigation is presented in total.

#### **Chestnut Village - Version A:**

A construction company began work on a condominium complex in a section of a quiet neighborhood. Residents of the neighborhood were surprised and angered by this development, but the construction company properly (though quietly) had obtained all necessary permits.

Recent developments have the neighbors fuming. Among them are noise, speeding trucks, lack of a fence around the site, foul language and habits among the construction workers, and damage to windows and at least one foundation allegedly caused by blasting. The neighbors have arranged a meeting with the construction company in an attempt to correct the situation. The neighbors and construction company representatives will hold separate preparation meetings prior to the external negotiation. Two main parties, but might break into subgroups during external negotiations. Preparation is a primary focus of this exercise.

#### **The Power Screen Problem:**

A software program was developed under ambiguous circumstances regarding ownership. Two main parties- the developer and the financier- argue over whether the company or the designer owns the rights to a program developed off company time but on company equipment. The two parties have a history of a good personal relationship and a reasonable working relationship. The meeting is between the two lawyers. The developer originally proposed the project to the financier who declined to invest resources into the project, but changed his tune once the developer approached other financial backers.

## **Afghanistan Gas Station:**

Two parties. One is local owner of gas station that has lost business due to American air strip construction that eliminates traffic to his gas station. He pursued appropriate official avenues for compensation, but has not received notification or compensation. The new CPT was not a party to the original problem of the airstrip, but is trying to resolve the problem, albeit in a way that is insulting to the local. The local increased his requested compensation. Determine an appropriate compensation package.

## SCENARIO 4 EXAMPLE

### **Site A (German Officer):**

#### Instructions to the Lieutenant:

Not far from your Forward Operating Base (FOB) in Baghdad there is an Iraqi governmental facility that is guarded by a NATO force. The commander of that NATO force is a German captain whom you have not met before.

You have heard that there have been a few attacks against that particular facility, but not nearly as many as some of the other facilities in your zone. Most of these facilities are guarded either by Iraqi Police, Iraqi Army, or U.S. Army Soldiers, but this one is unique in its NATO presence. You have heard that this was a relatively unimportant facility, so that is why the “higher ups” decided to put the NATO forces there—provide a little success for our NATO allies without them really having to risk their Soldiers lives too much.

You hate to think too poorly of this German, after all he is a captain, but your predecessor warned you that the German could be a bit of a complainer. He was whining about the lack of electricity and water at his facility while she lived in relative comfort back at the FOB. “Well,” she told you, “if the Germans would sink \$87 Billion into reconstructing Iraq, maybe they could have a hot shower or two as well.”

This is just one of the many facilities scattered throughout your very large platoon zone. You never thought that as a 22-year old second lieutenant, you would be responsible for a zone with 250,000 people in it. You have only been on the ground a few weeks, but the OPTEMPO is already killing you. Your platoon is stretched absolutely to the limit trying to find enough Soldiers to man the patrols that you need to accomplish on a daily basis after the first sergeant takes a third of your Soldiers for FOB security and “housekeeping” details like cleaning the ammunition left in the amnesty boxes. You are going to have to have a talk with your commander soon to see if you can get relief from either some of these details or some of your patrolling requirements. As it stands now, you and your platoon are absolutely smoked, and you’ve been in country for less than a month. Only eleven and a butt more to go...

The German Liaison Officer has asked for a meeting to discuss getting more protection and/or patrols from the US forces in the areas, but you are not exactly sure what this means. It appears as though this might be a negotiation over resources.

Hopefully this meeting with the German won't take too long. You have to be across your zone to meet with an Imam who is complaining about some insurgent that you shot your first week in country. You caught the guy red-handed, so you can't really figure out what the Imam is complaining about anyway. Oh well, you'll deal with that one when you come to it. At least the German is supposed to be your friend. That should make the meeting easy, right?

### **Scenario A (German NATO Officer):**

#### Instructions to the "German Officer" Role Player:

You are a German military officer in the rank of Captain that is working as a part of the NATO force protecting a key Iraqi governmental facility in the heart of Baghdad. Like most Iraqi governmental facilities, the one you are responsible for has been under attack many times during the last several months. Unfortunately, you simply do not have the manpower at your disposal to do anything other than guard the gates and occupy the guard towers surrounding your facility. However, you know that the American military unit operating in your area has plenty of Soldiers. The Forward Operating Base (or FOB) less than two kilometers from your compound has over 5000 Soldiers inside.

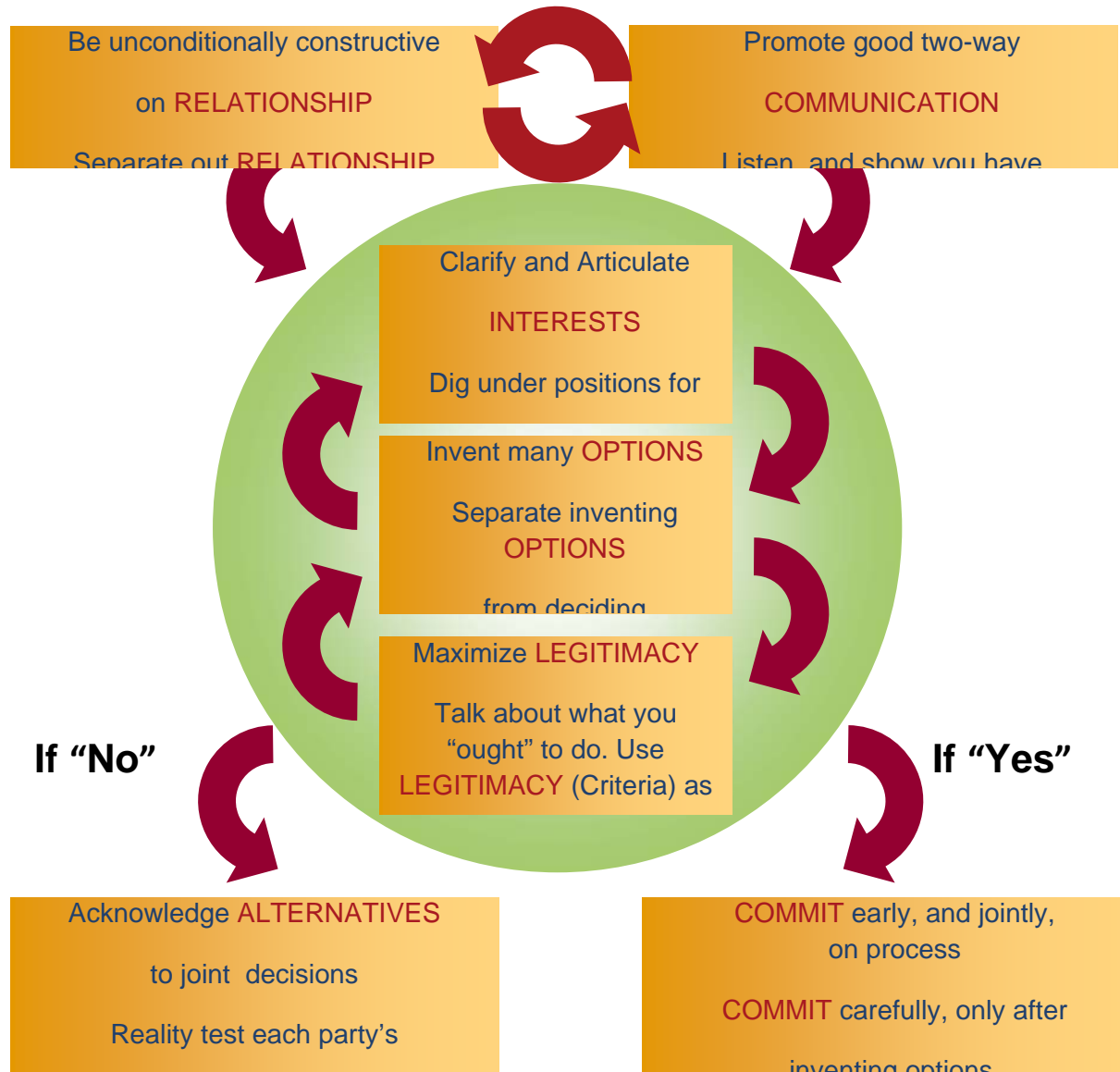
You are very concerned that recently the attacks against your facility have incorporated both suicide truck bombers coordinated with rifle and machine gun attacks from anti-Iraqi government forces in your area. You think that more active patrolling outside the compound or even better an additional checkpoint manned by another force would significantly reduce the likelihood of killing large numbers of your Soldiers or the Iraqi officials that you are protecting.

You also know that it would be possible to get an Iraqi police unit or an Iraqi Army unit to help you out, but you have some deep concerns regarding the loyalty and professionalism of the Iraqis. You don't want to let the Americans know that these other forces are available.

If need be, you can use the political power of the office you protect to legitimize the need for American assistance in protecting your facility. After all, it is the stated position of the American government that they are trying to help protect and rebuild the capacity for Iraqis to govern themselves. Wouldn't it only make sense that the Americans should help guard this facility?

A young American lieutenant is scheduled to meet with you shortly. He/she is new to Baghdad, and you would like to take this opportunity to introduce yourself and this security problem to him/her. You truly hope that they will see your challenge as you do and provide support for your mission.

There focus should be linked to the diagram below; Are they considering relationships and how are they communicating? Do they clarify and articulate interests?; create innovative options?; and use standards to establish legitimacy? If they can't get in the circle do they go to their best alternative? Do they use something substantial to get you to commit? See below.



## **Site B (Iraqi Imam and Parishioner):**

### Instructions to the Lieutenant:

As part of your orientation to this part of Baghdad, you have scheduled meetings with some of the clerics that help run the various mosques and churches in your zone. Today, you are meeting with Imam Ali Bakr Hussein, the Imam at one of the more troublesome mosques in your zone. As part of the weekly mosque monitoring missions you inevitably end up doing each Friday, this particular mosque has been spouting an especially vitriolic message aimed at the American Soldiers serving in Iraq. While the Imam has not been so bold as to call for direct attacks against American Soldiers, he has been pushing the edge and you have considered raiding his mosque.

You are almost certain that insurgents have been using his mosque as a meeting place to plan attacks against not only Americans, but also the Iraqi Army and Police Forces working in your part of Baghdad. You hope that you can form some kind of working relationship with the Imam—enough to get him to cut down on the violent undertones in his Friday sermons. If not, you at least hope that you can scare him enough to get him to stop. While killing him outright would cause far too great of an outcry from the Iraqis (and probably the media as well), you think that you could probably detain him if you needed to.

In fact, one of the followers of this Imam tried to attack one of your predecessor's checkpoints just last month. Some young insurgent, Ishmael Ali Sumarri, from the ID card that was later pulled off of his body, tried to drive a vehicle rigged to explode into a group of her Soldiers manning checkpoint 55C, just north of the Diala River Bridge on Canal Road. The Soldiers were pretty lucky in this case, they fired upon the car when it didn't slow down for the checkpoint. When they looked inside they found several propane cylinders and what looked like a triggering device connected to the steering wheel on the vehicle. If they hadn't pulled the trigger, there was enough explosive power in that car to kill everyone in that guard tower and the Soldiers that were down on the ground checking the cars.

In fact, when you get to the mosque to talk with the Imam, you plan to bring up how his parishioners have been sighted doing several anti-coalition activities. You want to convince him that because you are new in town, you will give him a chance to turn over a new leaf. In essence, you plan to negotiate for the support of the Imam and his parishioners. You want him to agree to not allow the insurgents to use the Mosque as a terrorist planning bay and providing intelligence on insurgent activities.

## **Scenario B (Iraqi Mother & Imam):**

### Instructions to the “Iraqi Mother & Imam” Role Player:

Your name is Yael Ali Sumarri. You worked through your local Imam to gain a meeting with the infidel that has invaded your country and slaughtered innocent Iraqis by the thousands. The latest attack against your people has occurred far too close to your heart.

Your son, Ishmael, was cut down by the Americans while he was on his way to work last month. The rage that you felt at this atrocity was compounded because his body had been desecrated by the infidels before it was returned to you. When you finally received his body, nearly a week after the attack, it had been stripped of all clothing and was stinking from decay. It is very important to your religious beliefs to bury your dead as quickly as possible. Not allowing you to practice your beliefs is just one more sign that the infidel is really here just to oppress Muslims, and not to let you practice your beliefs as the Prophet Mohammed (peace be upon him) decreed.

Your son was a good boy, just going about his daily life trying to deliver propane to Iraqis who needed fuel to heat their homes since the electricity rarely works in this part of town, when he was shot and killed at one of the occupier’s checkpoints on Canal Road. No doubt, your son was simply killed for sport or because he would not denigrate himself and bow to some humiliating demand from the Soldier on duty.

You look forward to meeting with the Americans that killed your son so that you can spit in their face and strike them with the heel of your sandal. You do not fear them because you know that if they were to kill you, you will be rewarded in the next life. Anyhow, you have lived a rich life and now your son has been taken. Now you want to make them pay—or at least understand the pain and anguish that they have caused you.

Besides, once you know the face and the vehicle number (printed on the bumper of all of the American trucks) of your son’s killer, you know some people who might be able to make that truck disappear in a cloud of fire, just as your son’s life was made to disappear.

The American does not know that you are going to be at this meeting, he/she thinks that he/she is really meeting with your Imam, Ali Bakr Hussein. However, Ali has arranged for you to be in his office when the American enters. He does not plan to talk with the American but will be present. You hope to use this element of surprise against the American who would otherwise never spend the time to meet with you.

### **Special Instructions:**

- They believe that they are coming to speak with the Imam and don’t know that the mother will be there. The Imam has little if any play in this scenario



- You should begin by being very angry with the American officer when you meet him/her
- If the American gets angry or threatens you, you should lock into your position of wanting to do them harm
- If the American tries to understand your position and helps to unwind the chain of events that led to your son's death, you should calm slightly and react somewhat positively.

### **Site C (Iraqi Police Captain):**

#### Instructions to the Lieutenant:

As you continue to get oriented to your zone, one of the critical potential allies you have is the Iraqi Police (IP) working in the same area as you. In your zone, you have an Iraqi police captain, CPT Safir, who is in charge of the various precincts that exist throughout your Area of Operations (AO). However, as you learned from your predecessor, sometimes you're supposed allies are anything but. In this particular instance, your predecessor had some deep suspicions that the IPs were either a) complicit in aiding the terrorists in attacking U.S. Army Soldiers in your AO, or b) utterly incompetent and thereby letting the terrorists get through and strike American Soldiers.

Part of what she used to base her information on was that in the last five IED attacks that killed Americans, four of them occurred within 200m of an Iraqi Police checkpoint. Your buddy over in the MP battalion swears that the IPs are great. He has been working with IPs for over seven months and has witnessed their progression in professional competence and in loyalty to the Iraqi government. He doesn't think that it is likely that the IPs are directly involved in the attacks, but admits that "there are still a few bad apples out there".

To make matters more complicated, you recently met with CPT Safir to try and convince him to stop all red Peugots. You had some intelligence that there was a red Peugeot pickup truck that was linked to an IED manufacturer in your area.

When you approached CPT Safir with a simple request to stop any red Peugeot pickup trucks and inspect the vehicle, he responded by saying, "No way - no how - if you want to do this have your own men stop them." When you tried to get a word in edgewise he said, "We have no precedence anywhere of stopping cars with just a general description - we have never done this before."

"Hey", you said, "I am only asking you to do a little extra work and actually DO YOUR JOB and run these checkpoints to look for weapons."

CPT Safir then said "Don't tell me how to do my job, lieutenant. I have over 20 years of experience in police work. If you appreciated our partnership and cared about my men you would go and get more information or drop your silly requests."

When you tried to push him further on the issue he said “if you try to push me on this issue I will approach your company commander” at which point he banged his fist on the table and stared you down.

At that point you decided that this negotiation should take place at some other time.

That time is now.

### **Scenario C (Iraqi Police Captain):**

#### Instructions to the Police Captain:

Your name is CPT Safir. You are preparing to meet with the latest American lieutenant to rotate through your district. The lieutenants that work for you in the various precincts have been progressing well in both their leadership and in their tactical abilities over the last several months. In your expert opinion (you have been a cop for over 20 years), the district you command is one of the best disciplined districts in all of Baghdad. Your police officers are out on the streets day after day, night after night, being hit with attacks on all sides and still show up to don their blue and white uniforms every morning. It makes your heart swell with pride that there is a line of recruits out the door to your office every day from young and old Iraqis that want to sign up to make their city a better place to live.

In fact, even though you are a veteran officer, even you have learned a few new tricks from your American counterparts. The American Military Police lieutenant that visits you from time to time have shared some great techniques that have augmented your “street skills” and helped you to train your men on some of the paramilitary techniques that you have unfortunately had to use during the instability of the last few years.

One unfortunate fact of the last year of your command has been that you have had a terrible relationship with the American lieutenant that “owns” the area that coincides with your district. No matter how hard you and your police worked, it was never good enough for that lieutenant. More than once, you felt like putting that young lieutenant across your knee and spanking her for her insolence and lack of respect for your experience as a cop. No matter how many insurgents you would capture, how many prisoners you would interrogate for information, it was never enough. She would always complain to you when she was unable to protect her own Soldiers in your city. As a result of this poor relationship, you have not been able to get the Americans to pay for new guard towers, concrete barriers, and tents to help make your checkpoints more effective. You have been in other parts of Baghdad where the IPs have checkpoints that look like one of Saddam’s palaces compared to the concertina wire and palm-log checkpoints that your policemen work at.

Fortunately, that lieutenant is nearly out of the picture now. Her successor is on the ground and is making the rounds visiting with various important people in his/her AO. He/she has already met with several of your lieutenants and is now coming to see you. You hope to set him/her straight and let her know how good of a job you have been doing and get her to spring for some of the materials you need to help make your district a better place. Hopefully this American won't be as illogically demanding as his/her predecessor.

### **Special Instructions**

This negotiation is about changing the game. The Cadets should understand how to deal with a positional bargainer. You should start out by repeating the phrases over and over and stick to them

(1) Say “no” to stopping any red Peugeot pickup trucks

(1a) “If you want to do this have your own men stop them.”

(1b) “We have no precedence anywhere of stopping cars with just a general description – we have never done this before.”

(4) “Don't tell me how to do my job, lieutenant. I have over 20 years of experience in police work.

(5) “If you appreciated our partnership and cared about my men you would go and get more information or drop your silly requests.”

(6) “If you try to push me on this issue I will approach your company commander”

(7) Push the LT to give you as much barrier material (concertina, palm logs, tents, etc...) as possible.

### **Instructions for MG390 Final Exercise Part II – Site D:**

#### **Background Information for the Lieutenant:**

It is now three months after the initial encounters that you had with the German NATO officer, Captain Safir, and the rather memorable Yussef Ali Sumarri, Ishmael's mother. You still cannot believe that she convinced the Imam to let her ambush you in the Imam's office.

At any rate, things have been going reasonably well, despite some of your early missteps here in Baghdad. Despite what you said during your initial encounter with Captain Safir, you were able to obtain only some of the concrete barriers he requested and three guard towers. With over 20 checkpoints under his control and 50 barriers required for each, your command estimated that it would cost \$500,000 for the barricades, an extra \$100,000 for the towers and \$200,000 for the

tentage. Your commander stated that he could not accommodate you on all of your requests, but he had procured 20 tents (1 per check point) 5 barriers for each check point, 20 rolls of concertina per check point, 20 sheets of plywood and (20) 2x4x10s for tower maintenance. With money moving increasingly towards the Iraqi government's hands it is just getting harder and harder to come up with cash even for worthwhile security projects such as these. He cautioned you to use these resources wisely because you would probably not be seeing any more resource support for your IPs for a while. As you sit and reflect on what you were actually able to provide, you struggle a bit to remember exactly what you promised him to begin with...

To make matters worse, your favorite parishioner, Mrs. Sumarri, has just been elected to the Neighborhood Advisory Council (NAC). Not only has she not forgiven you for the death of her son (although you did find money to compensate her so her son could have a proper burial) and the fact that you could not deliver all of her requests, she has rallied a number of influential Iraqis to her cause and is calling for the withdrawal of all U.S. forces from Iraq. Now you will now have to see her on a weekly basis at the NAC meetings.

The major projects that you have been working for the NAC include working to connect the rudimentary sewer system to the new sewage treatment plant that just came online a few kilometers away. Unfortunately, the current sewer systems in the neighborhoods you patrol consist primarily of pipes leading out of each house and pouring into an open ditch on the side of the road. Getting this system connected into the ultramodern sewage treatment facility has proven to be quite a struggle for both American and Iraqi engineers.

The second major concern that the NAC members continue to bug you about is the lack of electricity. You are up to about two out of every eight hours for electricity now. Not bad considering both the attacks on the transformer hubs in the electrical system and the spike in demand now that every Iraqi has a satellite dish and a cell phone. However, you still hear complaints from many of the women in the streets that they cannot wash and dry a load of laundry before the electrical power cuts out on them.

Finally, security concerns continue to dominate the topic of discussion at these NAC meetings. Of special interest to many of the members in the NAC Hall have been a series of attacks on the front gates of schools in other areas of Baghdad. They are very concerned that these attacks will spread to your area and have been bothering you for several weeks to "do something about it".

First of all, you think that protecting the schools should be an issue for the Iraqi Police. Second, and more important, you are absolutely stretched to the breaking point on manpower. The "sustainment" operations, as your First Sergeant has taken to calling all of the tasks on the FOB, suck up far too much manpower in your mind. After all, how can it possibly take nearly a third of your Brigade's combat power to man the gates, checkpoints, mess hall, guard towers, and protect the FOB's ice cream shop from attack? You secretly wish that you could just take your platoon out to an empty field out in the city and set up shop. You might stand more of a chance

of getting blown up, but at least you wouldn't have to guard an empty patch of dirt while you sent your entire platoon out on missions for a change.

With regard to the schools, the latest round of discussion focused once again on the concrete barriers that it seems everyone in Iraq wants to have. For the four schools that are in your Area of Operations (which the Army fortunately aligned with the neighborhood boundaries after mistakenly not doing that during the early phases of the war), you will probably need a total of about 200 barriers. These will have a total cost of about \$100,000. At your last meeting, a few different options were generated: having the police give up the barricades that you just delivered, having the U.S. Army pay for new barricades, having the NATO force give up the barricades around their compound, having a local Mosque raise/donate money for the barricades, or not providing any protection for the schools.

### **Scenario D: Supplemental Instructions for the German NATO Commander (CPT Gebauer)**

It is now three months after your initial meeting with the American Lieutenant. CPT Safir of the Iraqi police was injured during an attack on the Police Headquarters yesterday. He was hit with shrapnel in the face, shoulder, and arm and his arm is in a sling.

You are somewhat upset the Americans were not able to deliver on all of their promises to:

1. Help you with additional manpower at the Iraqi Government building
2. Get you additional equipment
3. Anything else they promised (they were only able to provide the minimal items described below).

However, they were able to:

1. Provide you with additional patrols near your compound (if offered).
2. Share intelligence with you (if offered).

All of the above promises were made by various Cadet groups on Monday. The Americans were not able to follow through on all of their promises.

In this situation, you:

- Prefer to keep the barricades that you have to protect your Soldiers
- Want to protect the Iraqi children somehow
- Think that it would be better to get the barricades from the U.S. Army or the Iraqi Police unit
- You still look at the Iraqi police with disdain – in your opinion they are not very good Soldiers and they are certainly not very professional.

- If it looks as if the barricades are going to come from the mosque, you would be willing to give up 50 barricades to keep this from happening. Otherwise, there is no way that you would give up any barricades.
- Don't know if you even have the authority to give up anything since this is an Iraqi government facility.

You look forward to your meeting tomorrow with the American lieutenant and CPT Safir, the Iraqi Police commander in the area.

### **Scenario D: Supplemental Instructions for the Iraqi Police Captain (CPT Safir)**

It is now three months after your initial meeting with the American lieutenant. You were injured during an attack on the Police Headquarters yesterday. You were hit with shrapnel in the face, shoulder, and arm and your arm is in a sling.

You are somewhat upset the Americans were not able to deliver on their promises to:

4. Attempt to get you all of the concrete barricades, guard towers, and tents that they promised.
5. Get you all of the same.
6. Immediately order the same.

All of the above promises were made by various Cadet groups on Monday. The Americans were only able to deliver some of the barricades to you and you know that some groups promised you more. If the Americans overpromised, you are upset that they are not keeping their word and protecting the Iraqi Police.

In this situation, you really:

- Prefer to keep the barricades that you have to protect your Soldiers
- Want to protect the Iraqi children somehow
- Think that it would be better to get the barricades from the U.S. Army or the NATO unit
- Don't really have a problem with the barricades coming from the mosque donations
- Might be willing, if the American lieutenant were particularly persuasive, to give up **SOME** of your barricades, but no more than 100 (depending upon how well they fulfilled the earlier promises they made)

You look forward to your meeting tomorrow with the American lieutenant and CPT Gebauer, the commander of the NATO forces at the Iraqi Government facility in your district. Additionally, because you were a bit frustrated with the Americans, you decide to honor Yussef Ali Samarri's request to attend the meeting. However, he said that he may be a bit late arriving.

## **Scenario D: Supplemental Instructions for the Angry Parishioner (Yussef Ali Samarri)**

It is now three months after your initial meeting with the American Lieutenant. Since then, you have been elevated to the position of Neighborhood Advisory Council (NAC) member, and have been given the power to help make decisions in your neighborhood. You have seen the American lieutenant at a few of your meetings, and still have not resolved the issue surrounding the death of your son. You still carry bitterness about this. CPT Safir of the Iraqi police was injured during an attack on the Police Headquarters yesterday. He was hit with shrapnel in the face, shoulder, and arm and his arm is in a sling. But, he said that he would like to have you attend the meeting with the Americans tomorrow at his IP station to represent the local community.

Evidently the Americans have scheduled this meeting with CPT Safir and CPT Gebauer (the NATO commander the Iraqi government facility nearby) to discuss security for schools in the local area.

Many of the people in this neighborhood have been very upset by the increasingly sectarian attacks on schools in this neighborhood. While this part of Baghdad has been historically mixed Sunni and Shia, the neighborhoods are becoming increasingly polarized. This has not been helped lately because other schools in Baghdad have been attacked. Most people agree that it is the Shia militias attacking the Sunni schools and the Sunni terrorist groups attacking the Shia schools. So far, the mixed schools in your area have not been attacked, but most of your fellow citizens feel that it is only a matter of time.

You know that the Americans are looking forward to an opportunity to show that they are the “big man” in the area and will protect the schools. You are somewhat torn because you would like to see the schools protected, but would really prefer to not let the Americans achieve this “victory”.

Because of this, you have been feeling out the parishioners in your mosque to see if they would help you raise the \$500,000 needed to purchase and emplace the barricades. This idea has not been warmly received.

One of the main problems is that the members of your mosque don't feel that it is appropriate to spend their money protecting the “infidel” Iraqis who are not Shia.

Still, you think you might be able to raise enough money if the Imam agrees to help you. But, this might turn out to be a disaster that would cause you to lose face. Because of this, you don't want to spend your newly-found political power on a lost cause and told the Americans that you would only take your proposal to emplace the barricades to the Imam if they could not come up with an agreement between NATO, the IPs, and the Americans to provide security for the schools.

All of this being said, you have a strong interest in ensuring that the Americans are not providing security forces near the schools. Not only do you not want an American face to be put on this project, but you also fear that their presence may invite an attack by martyrs trying to kill the infidel and kill other children like your blessed Ishmael (peace be upon him).

In this situation, you:

- Prefer to allow NATO, or the IPs to provide the barricades
- Want to protect the Iraqi children somehow
- Could accept barricades coming from the Americans, as long as they don't want to take credit for it
- If it looks as if the other parties cannot come to an agreement, you will offer to provide additional barricades that will be painted to say "Donated by the Muqtada Martr's Mosque".
- Plan to make the American's uncomfortable with your newfound powers as a Neighborhood Advisory Council (NAC) member
- Are running late and will not be able to make the meeting until approximately five to ten minutes after it starts.

You look forward to your meeting tomorrow with the American lieutenant, CPT Safir, and CPT Gebauer. Furthermore, you will use the lack of the American's ability to tell you who killed your son against them if they make any promises to anyone in the room (assuming that they promised to "look into" the death of Ishmael).



## APPENDIX F

### POST-NEGOTIATION ROLE-PLAY EVALUATION

Cadet X Number: \_\_\_\_\_

Date: \_\_\_\_\_

**INSTRUCTIONS:** Please rate the extent to which you agree with the following statements.

|    | <b>The negotiators:</b>  | Completely Disagree | Mostly Disagree | Slightly Disagree | Slightly Agree | Mostly Agree | Completely Agree |
|----|--|---------------------|-----------------|-------------------|----------------|--------------|------------------|
| 1  | Forced concessions from each other   | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 2  | Established objective standards for the outcome  | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 3  | Compromised  | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 4  | Reached a fair and lasting agreement   | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 5  | Controlled negative emotions (such as fear or anger)                                   | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 6  | <b>Exhibited a concern for loyalty and connection to colleagues, friends and peers</b> | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 7  | <b>Were concerned with how decisions may affect personal integrity</b>                 | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 8  | <b>Confronted many ethical issues in the negotiation</b>                               | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 9  | Had carefully thought out how to initiate the negotiation                              | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 10 | Worked together to generate many possible solutions                                    | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 11 | Left someone feeling taken as a result of the agreement                                | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 12 | Controlled the interaction to best serve their own interests                           | 1                   | 2               | 3                 | 4              | 5            | 6                |
| 13 | Avoided power plays or other disruptive interactions                                   | 1                   | 2               | 3                 | 4              | 5            | 6                |

|    |   |   |   |   |   |   |   |
|----|---|---|---|---|---|---|---|
| 14 | <b>Acted decisively when faced with ethical issues</b>                            | 1 | 2 | 3 | 4 | 5 | 6 |
| 15 | <b>Maintained focus on what is truly ethically right and wrong</b>                | 1 | 2 | 3 | 4 | 5 | 6 |
| 16 | <b>Were concerned with what others may say and/or think about their decisions</b> | 1 | 2 | 3 | 4 | 5 | 6 |
| 17 | <b>Recognized the pit-falls and trade-offs presented by the ethical issue</b>     | 1 | 2 | 3 | 4 | 5 | 6 |
| 18 | Made concessions  | 1 | 2 | 3 | 4 | 5 | 6 |
| 19 | Defined a fair outcome as part of the negotiation                                 | 1 | 2 | 3 | 4 | 5 | 6 |
| 20 | Created maximum value during the process  | 1 | 2 | 3 | 4 | 5 | 6 |
| 21 | Achieved a solid commitment from the other party                                  | 1 | 2 | 3 | 4 | 5 | 6 |
| 22 | Hid their true interests  | 1 | 2 | 3 | 4 | 5 | 6 |
| 23 | <b>Handled issues of power and control effectively</b>                            | 1 | 2 | 3 | 4 | 5 | 6 |
| 24 | <b>Overreacted to emotional stress when confronted with ethical issues</b>        | 1 | 2 | 3 | 4 | 5 | 6 |
| 25 | <b>Appropriately observed laws and rules pertaining to ethical behavior</b>       | 1 | 2 | 3 | 4 | 5 | 6 |
| 26 | <b>Were able to be consistent in ethical beliefs and/or actions</b>               | 1 | 2 | 3 | 4 | 5 | 6 |
| 27 | Acknowledged a clear winner/loser for the negotiation                             | 1 | 2 | 3 | 4 | 5 | 6 |
| 28 | Learned about each others' respective interests and goals                         | 1 | 2 | 3 | 4 | 5 | 6 |
| 29 | Were able to meet both sides' interests   | 1 | 2 | 3 | 4 | 5 | 6 |
| 30 | Created value, rather than divided up a finite resource                           | 1 | 2 | 3 | 4 | 5 | 6 |
| 31 | Were confused about mutual goals, interests and/or objectives                     | 1 | 2 | 3 | 4 | 5 | 6 |
| 32 | <b>Evaluated good/bad consequences for ethical decisions</b>                      | 1 | 2 | 3 | 4 | 5 | 6 |
| 33 | <b>Accurately assessed the prevalence of ethical issues</b>                       | 1 | 2 | 3 | 4 | 5 | 6 |

|    |   |   |   |   |   |   |   |
|----|---|---|---|---|---|---|---|
| 34 | <b>Discussed various ethical ideas of what is right</b>                                   | 1 | 2 | 3 | 4 | 5 | 6 |
| 35 | <b>Discussed motivations for immoral or unethical behavior</b>                            | 1 | 2 | 3 | 4 | 5 | 6 |
| 36 | Had a bottom line for the negotiation   | 1 | 2 | 3 | 4 | 5 | 6 |
| 37 | Explored goals/aims for the agreement   | 1 | 2 | 3 | 4 | 5 | 6 |
| 38 | Encouraged each other to be creative  | 1 | 2 | 3 | 4 | 5 | 6 |
| 39 | Addressed each others' interests as well as possible                                      | 1 | 2 | 3 | 4 | 5 | 6 |
| 40 | Developed a more effective partnership/relationship                                       | 1 | 2 | 3 | 4 | 5 | 6 |
| 41 | <b>Made use of past experiences and knowledge to approach ethical issues</b>              | 1 | 2 | 3 | 4 | 5 | 6 |
| 42 | <b>Exhibited an awareness of the relevance of ethics to the military profession</b>       | 1 | 2 | 3 | 4 | 5 | 6 |
| 43 | <b>Accepted personal responsibility for their decisions and what happened as a result</b> | 1 | 2 | 3 | 4 | 5 | 6 |
| 44 | <b>Indicated concern about punishment and/or potential legal consequences of</b>          | 1 | 2 | 3 | 4 | 5 | 6 |

## APPENDIX G

### Post Training Evaluation Questionnaire

Cadet X Number: \_\_\_\_\_

Date: \_\_\_\_\_

**INSTRUCTIONS: Please fill in the blank (print) or fill in the bubble completely to indicate your response for each question.**

|  | Completely Disagree   | Mostly Disagree       | Slightly Disagree     | Slightly Agree        | Mostly Agree          | Completely Agree      |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. The instruction gave me a much better understanding of the importance of ethical issues in the negotiations process.                          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 2. As a result of participation in this class, I feel better able to evaluate and act in response to professional and personal ethical problems. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

3. What did you learn through interactions and team work with your small group (team) and the class as a whole with regard to resolving ethical dilemmas that may arise in the negotiations process?

4. Do you think this training will influence how you approach ethical dilemmas in the future?  
\_\_\_\_Yes \_\_\_\_No. Please explain your answer.

**APPENDIX H**

**Instructor Lecture Presented by MAJ Donigian in the Negotiation Course**



**Perceiving and Interpreting  
Ethical Dilemmas in the USMA  
Negotiation Course**

**Instructor: MAJ Aram Donigian, MBA  
United States Military Academy  
APR 2010**

ARI-USMA Research Team: Dr. Rhett Graves, Dr. Robert J. Pleban, Dr. Marisa L. Miller,  
MAJ Aram Donigian, LTC Jack V. Branciforte, Dr. Michael Matthews

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# Project Overview



- Goal: Identify, assess, and train Cadets' perceptual and interpretive skills for ethical decision making in military contexts.
- This briefing:
  - Describes a four factor model and themes relevant to the ethical decision making process
  - Reviews some key findings
  - Provides a reference for cuing when making ethical decisions

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## Summary of Research Findings



- Analyzed Cadets' accounts of life experiences of making ethical decisions; found 17 key "themes" used to make sense of the experience
- Using the 17 themes, developed the Ethical Perceptions Scale (EPS) around four military ethical dilemmas
- Showed EPS to reliably measure preferences/biases in how Cadets made sense of the dilemmas
- Based on EPS data, developed a four category model that organizes themes describing the sense-making process
- Currently, researching an assessment and training protocol in the USMA Negotiation Course to train Cadets how to use this model when making ethical decisions

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## Four Part Model of Ethical Interpretation



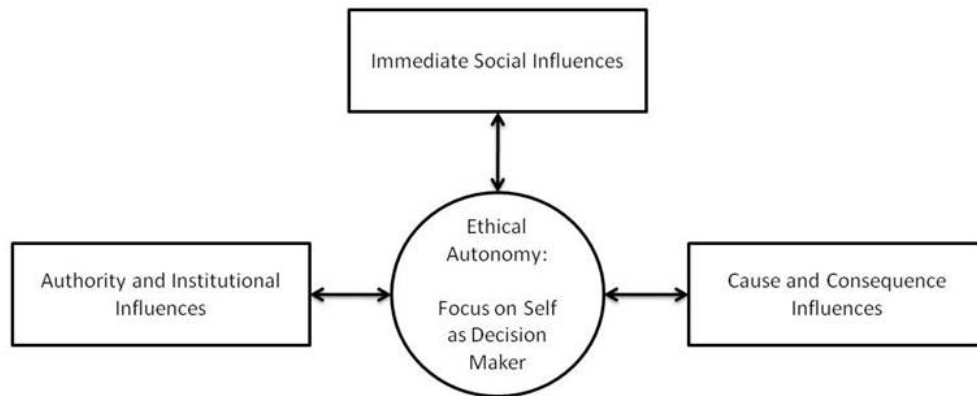
- Ethical Autonomy
  - Focus: Self as decision maker in the situation
- Immediate Social Influences
  - Focus: Specific people in the social context
- Authority and Institutional Influences
  - Focus: Cultural norms, laws, rules, etc.
- Cause and Consequence Influences
  - Focus: Anticipated outcomes given possible actions

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## Diagram of the Interpretive Process



The model centers on the decision maker's perspective. Identifiable people, events, requirements, and ideas influence the ethical decision making process.

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## Factor 1: Ethical Autonomy



- **Right/Wrong**
  - Reflecting on beliefs about right and wrong; at times those beliefs tend to be “for all time True Right/Wrong,” and at other times, specific to the situation
- **Responsibility**
  - Accepting personal responsibility for what may happen as a result of decisions and actions in the situation
- **Control**
  - Having power, control, and an ability to act within the situation (given acknowledged limitations)
- **Integrity**
  - Reflecting on how decisions and actions will affect one’s moral/ethical self; Integrity is often described in terms of being “maintained” or “lost”
- **Consistency**
  - Needing to demonstrate consistency in beliefs by behaving in ways that do not contradict those beliefs; being aware of missteps and mistakes

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## Factor 2: Influence of Immediate Social Context



- **Connection**
  - Feeling connected to others as part of a group, a family, or an organization
- **Judgment**
  - Being aware of other peoples' behaviors and beliefs as they may affect the situation
- **Reputation**
  - Acknowledging what others may think about the decision maker given his/her decisions and actions
- **Learning**
  - Having learned from past experiences with others, or from experiences others have described
- **Pressure**
  - Feeling pressure to react to the situation without fully considering the decision; the temptation to take the easy way out; taking steps to maximize time available to reach a good decision

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## Factor 3: Influence of Authorities and Institutional Context



- **Obligation**
  - Feeling an obligation to conform to external standards, laws, rules, cultural norms, and other authorities in the situation
- **Enforcement**
  - Being aware of legal and other consequences from institutions and authorities that may result from deciding and acting in the situation
  - Determining how the rules, etc., are being enforced

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## Factor 4: Influence of Evaluations of Cause and Consequence



- **Prevalence**
  - Determining how common the problem is; how widespread
- **Benefit/Harm**
  - Identifying who is benefiting and/or being harmed by what is happening
- **Magnitude**
  - Considering the degree to which people are being harmed, or may be harmed, by the potential consequences of decisions, actions, or lack of action

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## Comparison of EPS Scores Between Sample Groups



| Factor                        | Sample                      | Mean* | SD  | N  |
|-------------------------------|-----------------------------|-------|-----|----|
| Ethical Autonomy              | Plebes                      | 3.82  | .59 | 94 |
|                               | Negotiation Course Pre-Test | 3.71  | .49 | 44 |
| Immediate Social Influences** | Plebes                      | 2.82  | .57 | 94 |
|                               | Negotiation Course Pre-Test | 3.24  | .45 | 44 |
| Authority/Institutional Infl. | Plebes                      | 3.13  | .91 | 96 |
|                               | Negotiation Course Pre-Test | 3.16  | .81 | 44 |
| Cause/Consequence Influences  | Plebes                      | 3.89  | .67 | 97 |
|                               | Negotiation Course Pre-Test | 4.07  | .54 | 44 |

\* Mean of ratings on 5 point scale for relevance on EPS themes: 1= "not relevant"; 2="somewhat relevant"; 3="relevant"; 4="very relevant"; 5="essential."

\*\* Difference is statistically significant at  $p < .01$ .

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## Top Six Ranked Themes by Sample Group



| Sample             | Rank Position | Theme                 | Mean | SD  |
|--------------------|---------------|-----------------------|------|-----|
| Plebes             | 1             | Responsibility (EA)   | 4.24 | .62 |
|                    | 2             | Magnitude (CC)        | 4.14 | .65 |
|                    | 3             | True Right/Wrong (EA) | 3.91 | .83 |
|                    | 4             | Control (EA)          | 3.89 | .69 |
|                    | 5             | Pressure (IS)         | 3.86 | .77 |
|                    | 6             | Consistency (EA)      | 3.86 | .78 |
| Negotiation Course | 1             | Responsibility (EA)   | 4.21 | .76 |
|                    | 2             | Magnitude (CC)        | 4.12 | .62 |
|                    | 3             | Control (EA)          | 4.06 | .74 |
|                    | 4             | Benefit/Harm (CC)     | 4.02 | .69 |
|                    | 5             | Pressure (IS)         | 3.96 | .79 |
|                    | 6             | Best Right (EA)       | 3.94 | .68 |

**Note:** EA=Ethical Autonomy;  
IS=Immediate Social  
Influences; AI=Authority and  
Institutional Influences;  
CC=Cause and Consequence  
Influences.

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## Overall Similarities/Differences in Thematic Pattern by Rank



| No Differences Between Groups | Significant Differences Between Groups |
|-------------------------------|--|
| Responsibility (EA)           | Benefit/Harm (CC) + Negotiation        |
| Magnitude (CC)                | Connection (IS) + Negotiation          |
| Control (EA)                  | Integrity (EA) + Negotiation           |
| True Right/Wrong (EA)         | Learning (IS) + Negotiation            |
| Pressure (IS)                 | Uncertainty/Confusion (EXCLUDED)       |
| Best Right (EA)               | Prevalence of Issue (EXCLUDED)         |
| Consistency (EA)              | Reputation (IS) + Negotiation          |
| Obligation (AI)               | Judging Others (IS) + Negotiation      |
| Enforcement (AI)              |  |

Note: Differences are significant at  $p < .05$  or smaller. Where differences were noted, the result was due to Negotiation Course group indicating item was more relevant to their decision making process.

**EA=Ethical Autonomy; IS=Immediate Social Influences; AI=Authority and Institutional Influences; CC=Cause and Consequence Influences.**

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## Conclusions



- Common themes for the ethical decision making process were identified, and include personal responsibility, magnitude of potential harm, control/limitations, issues of right/wrong, pressure to act, consistency in belief and action, obligation to norms/laws, and enforcement of norms/laws.
- Themes that differed between the groups concern assessments of benefit/harm, connection to others, integrity, lessons learned, personal reputation, and judging others' beliefs and behaviors.
- The difference between groups concerning ranked themes may indicate a shift from abstract applications of universal principles among Plebes to a situation specific approach indicated by the Negotiation Course Cadets.
- Negotiation Course Cadets also indicated greater sensitivity to themes associated with the Immediate Social Influences than did Plebe Cadets.

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## Application of the Approach



- The thematic model may be used as a device for systematically exploring ethically salient situations when making decisions.
- The decision maker's experience of the situation can be analyzed by way of a step-by-step process, addressing each of the themes.
- Decision makers can monitor the level of detail they are able to provide for each theme as they work through the analysis, making them more sensitive to key aspects of ethical dilemmas.
- Through this iterative process, they can revisit themes addressed earlier to add depth during the analysis when necessary and to develop their ethical situational awareness.

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