Journal of the Scholarship of Teaching and Learning for Christians in Higher Education

Those who give heed to instruction prosper, and blessed are those who trust in the Lord. **Proverbs 16:20 (TNIV)**

Editorials

Reviews

Articles

Author Biographies

JOURNAL
OF THE SCHOLARSHIP OF TEACHING AND LEARNING FOR CHRISTIANS IN HIGHER EDUCATION

An online, peer-reviewed journal

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Why Teach?

by Ardith Baker, Editor

To enlighten … to challenge … to mentor … to encourage … to prepare … to share experiences and expertise … to convey knowledge …to witness … to provide opportunities for learning ….

Why do *you* teach? Recently, I took time to reassess and sincerely examine why I teach. I searched my soul and pondered why God had put me in this position. In doing so, I looked around at my colleagues and took a moment to observe them in action. What I witnessed was amazing and renewed my spirit. I saw compassion that went above and beyond normal care and concern as faculty reached out to help and genuinely get to know their students. I saw worry etched in the faces of my colleagues as they contemplated ways to ensure that every student reached his or her full potential. I saw dedication as professors worked through the nights and weekends grading papers and preparing lectures. I saw sacrifice as many of my colleagues gave up professional careers and large salaries just for the opportunity to touch lives in a meaningful way. I saw faculty who were willing to try new teaching methods in order to help their students learn. I saw professors promote their students above themselves by providing opportunities for their students to research, present, and publish papers. But most importantly, I saw dedicated and willing service to God. As Christian faculty in higher education, we are called by God to serve Him in this teaching capacity. When discouraged, overworked, overwhelmed, and worn out, we simply need to take a deep breath, look around, and observe our colleagues at their very best. We are a peculiar people set apart by God to serve Him by serving His students. What an amazing opportunity! By serving our Lord and Savior in this way, we will be blessed. That is why I teach—to serve and honor God.

Now that I know that I am right where God wants me to be, my next question is: How can I be the best possible teacher? This is a lifelong endeavor for any educator as teaching methods, technology, and even students change. It often requires trial and error to find the most effective ways to teach. Additionally, what works for one class, one subject area, one teacher, might not work for another. Even the best caring, compassionate, worried, and overworked faculty cannot be effective teachers without contemplating what teaching methods will help their students learn best. That is what teaching and learning is all about. In addition, as professional educators, we are called not only to be teachers but also scholars. When we research our teaching techniques and methods, objectively studying them and the resulting learning process, and ultimately documenting our findings, then we are engaging in the scholarship of teaching and learning. This is the process that we present here in the second issue of the *Journal of the Scholarship of Teaching and Learning for Christians in Higher Education* (*SoTL-CHEd*).

In this issue of *SoTL-CHEd*, you will find encouragement and resources to help you. For example, in his enlightening editorial, Dr. Dominic Halsmer shares his views of spiritual engineering and how we as Christian educators can and should express the spiritual side of our field of study. Dr. Jeffrey Barbeau presents a review of the book *I'm the Teacher, You're the Student: A Semester in the University Classroom*, which addresses the teaching excellence that we all strive to attain. Further encouragement can be obtained from the review by Dr. Timothy Norton of the book *Balancing Acts: The*

Scholarship of Teaching and Learning in Academic Careers, which provides insight into how four faculty members managed to balance teaching, scholarship, and career (something many of us are trying to do today). The humorous side of teaching is presented in the book _Teacher Man: A Memoir_, which is reviewed by Dr. Calvin Roso. Finally, inspiration may be found in the original works of Kenneth Jones, Jr., (_Teaching Ethical Use of Product-Specific Incentives to Marketing Students in a Christian Higher-Education Environment_) and Drs. Kenneth Preston and Dorothy Radin (_Dealing with Dual Anxieties_).

Yes, there will be times when as educators you will be discouraged. But if you simply take time to look around, you will discover that there are many resources available to help and encourage you. In addition, if you look deep inside yourself, you will uncover that ultimate and sufficient reason why you teach—God—and then you _will_ be encouraged.

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Teaching Spiritual Engineering

by Dominic M. Halsmer, Ph.D.

Being an engineering professor, perhaps I'm biased, but recently I've been profoundly impacted by findings from modern science that suggest God's preeminent roles as engineer and educator. The 20th century began with Albert Einstein's discovery of a beginning for the universe (Theories of Relativity along with confirming observational data) and ended with an abundance of evidence for the fine-tuning of the universe for intelligent life. Surely all generations think that they have made great progress compared to their ancestors, but those living and learning at the start of the 21st century have seen a huge increase in our understanding of the nature of the universe. This remarkable productivity of science and engineering is largely taken for granted. But Einstein (2002) recognized that this fruitfulness need not be the case when he said, "The most incomprehensible thing about the world is that it is comprehensible."

Not only do we see overwhelming evidence that the cosmos was engineered and deployed specifically to nurture human life, but we also discover features of our world that appear to give us especially good opportunities to learn about our privileged place in the universe. It seems as though God is trying to teach us something very important, without being heavy-handed about it. He still remains hidden to a large extent, and yet He instills wonder and awe through the magnificent beauty and functionality of His creation. What do we learn from such a marvelous masterpiece of engineering?

We learn that extraordinary provision has been established on our behalf. Somebody really cares about us, somebody with tremendous skill, wisdom, and resources. But the human condition teaches us of our need for a remedy that will allow us to be the kind of people we desire to be. The exquisite engineering prevalent throughout nature should instill confidence that the Creator is quite capable of perfecting what was started with the "big bang." We're in good hands with the Almighty Engineer if we are willing to submit to His designs. We learn that God loves us, or as my Dad used to say, "He has *designs* on us."

The challenge for educators at Christian institutions is to pass this kind of information along to students in such a way that they become inspired and motivated to learn more. I would argue that this is exactly the kind of information that is not only good for skeptics to hear but also good for believers to ponder. Our devotion to God will be strengthened as we continually attend to the evidence of God's faithfulness. His faithfulness is certainly expressed in supernatural deeds and the redemption of our souls, but it is also exquisitely expressed in his glorious provision for us revealed in the natural world.

Christian students of science and engineering see the creation as God's marvelous handiwork. The study of these subjects from a Christian worldview produces excitement and hope for the future as we anticipate the additional wonders God has in store for us. If our graduates leave campus filled with such hope, then they will stand out as an attractive light in this darkening world. As a result, people without hope will be drawn to them to ask them the reason for their hope. Of course, this is all part of God's plan; hence, the Scriptural exhortation for believers to be ready to answer such questions.

Among scientists and engineers, these discussions should highlight the findings of natural theology, which is currently experiencing resurgence in light of modern science. Our engineering graduates are taught that stewardship involves not just resources, but also knowledge and information. In this sense, being a good steward of knowledge means being ready to give a gentle and respectful answer to sincere seekers. In this way, the general revelation of God's faithfulness in the natural realm may open the door to considering God's special revelation in the person and work of Jesus.

It is good for students to practice such interactions with skeptics, but sometimes genuine skeptics are hard to come by on a Christian campus. In the Engineering and Physics Department at Oral Roberts University, we are investigating various ways that such interactions could take place. Last semester, students and faculty were invited to make science related presentations at a local public high school. We took advantage of this opportunity to present evidence from science that the world had been engineered for a purpose. After the presentation, we allowed time for students to ask questions regarding this purpose, and we did our best to provide honest answers.

Recently, we are trying out a new approach involving the Internet. Students have created personal blogging sites that invite skeptics to dialogue on the question of whether or not science "confirms" God. We're just getting started on this project, so I don't have any results to report yet, but I'm confident that God will not only use this dialogue to better equip our students to be effective apologists, but also to reach skeptics with the truth of the Gospel. I challenge other Christian educators to consider how they might transfer to students their excitement about what God is doing in their fields. God has intentionally spread His glory across all fields of study, and we would do well to regularly and creatively bring this to the attention of our students.

Dr. Dominic M. Halsmer is the Dean of the School of Science and Engineering at Oral Roberts University. He has been teaching engineering courses there for 15 years and is a registered professional engineer in the state of Oklahoma. He received B.S. and M.S. degrees in Aeronautical and Astronautical Engineering from Purdue University in 1985 and 1986, and a Ph.D. in Mechanical Engineering from UCLA in 1992. His current research interests involve contributions from the field of engineering to the current science/theology discussions and the preparation of scientists and engineers for missions work within technical communities. He may be reached at dhalsmer@oru.edu.

Reviewing *I'm the Teacher, You're the Student: A Semester in the University Classroom*

I'm the Teacher, You're the Student: A Semester in the University Classroom.
by Patrick Allitt.
University of Pennsylvania Press: Philadelphia, Copyright 2005. xi + 244 pages.
ISBN 0–8122–1887–6. $21.95 (paper).

by Jeffrey W. Barbeau, Ph.D.

What distinguishes teaching excellence in higher education today? Patrick Allitt's *I'm the Teacher, You're the Student: A Semester in the University Classroom* answers this question through insightful pedagogy and an upbeat narrative of his experience teaching American history to undergraduates at Emory University. Allitt, who holds the Arthur Blank Chair for Teaching Excellence, uses the title phrases "I'm the Teacher, You're the Student" to convey the central theme of the book: the distinction between faculty and students creates space for meaningful learning and teaching in higher education. "It's a great life being a professor," Allitt reminds his readers (*passim*), but the work of a faculty member encompasses a range of pleasures, challenges, and professional and ethical responsibilities. Allitt's book is a stimulating account of university life, pedagogy, and lessons drawn from American history; it describes the joyful labor of a professor shaping the lives of university students in North America during one semester.

Allitt's narrative style distinguishes his work from other texts on education. Each chapter tackles a major theme—technology, plagiarism, and grading, for example—while maintaining a continuous sequence of 42 class meetings with his students. The story begins with a description of how he prepares to teach the course "The Making of Modern America: 1877–2000." Allitt draws reader interest quickly by conveying in a lively style the mindset of the professor and sets the tone of the book early on by explaining how he establishes goals, prepares the syllabus, and engages student interest at the commencement of every course. He avoids assigning books by academic historians, for example, since excessive jargon and arduous prose send "most undergraduates into a deep sleep" (p. 10). He learns every student's name and wears a shirt, tie, and jacket as a visible sign of his authority—but the jacket appears only briefly:

> [i]t was new once, a long time ago, but now it's something close to a mere theatrical prop, always hanging on the back of my office door and just picked up a few times each term for moments like this. (p. 27)

Allitt's observations on university life extend to students and faculty alike, and he rarely withholds his opinions. Students are often "quirky about religion" (p. 22), are unable to locate nations and states on maps (pp. 45–46), and, almost universally, cannot write:

> They have not done enough writing to become good at it. They've been cursed with a lifetime of multiple-choice examinations instead, so even the highly intelligent ones come to writing as a strange and alien activity that is occasionally

forced upon them. But writing is an activity that needs constant practice if you're going to be good at it. (p. 83)

Although Allitt admits that he finds each new class "unattractive" (p. 18), he grows fonder of each one as the semester progresses by learning the students' names and learning styles, calling on them to draw diagrams on the board, dialoging with them in discussion periods, and challenging them to read aloud "with feeling." Allitt subjects university faculty to the same rigorous scrutiny with humor that will delight most anyone who has dared to teach others. New lecturers discover a host of awkward bodily gestures and verbal ticks that require conscious self-management:

> The first few times you try lecturing, you discover that your body does things over which you have no control. In the early days I used to have a rather acute sway, backward and forward and from side to side. The effect brought to onlookers' minds the old song "What shall we do with the drunken sailor?" Mrs. Allitt caught sight of it once and brought it to a hasty stop. . . . We've all got mannerisms and gestures, of course; the issue is to make reasonable ones and to know what you're doing. (pp. 18–19)

Allitt's pedagogy naturally won't appeal to everyone. He certainly recognizes the difficulties of both teaching and the experience of being a student, which he modestly exemplifies through an amusing account of his own cross-cultural learning experience in Spain:

> Sitting there in class, it all came back to me: being a student is difficult. . . . I practically wept with frustration sometimes at my inability to grasp a concept due to the teachers' determination not to explain it to us in a language that we could already speak. (p. 65)

Allitt's account of serving as a teacher for local senior citizens (an "unalloyed pleasure" [p. 106]) illustrates how every student audience brings something different to the table of learning. His title phrase "I'm the Teacher" exemplifies the awareness of distance, authority, and experience that he holds sacred in the profession. He refuses to allow his pupils to discuss their personal relationships with him, preferring, for example, to leave a weeping student to work through her difficulty in private while he sheepishly retreats to the hallway to assist a classmate. He isn't cold, but intentional. Yet the instance sheds light on the ambiguous relationship between teaching and learning, especially in the context of Christian colleges, universities, and seminaries where the line between mentoring and counseling, spiritual formation and enmeshment, can be especially difficult to distinguish. In some schools, professors may quite literally serve as pastors of the same students they teach. One wonders how Allitt would advise professors to approach these common educational contexts.

Allitt also idealizes some teaching practices that would be difficult for professors at many teaching-oriented institutions to fully realize. His emphasis on rereading every assigned text in the course along with students is a daunting, if noble, recommendation, a nearly impossible expectation when paired with heavy course loads, administrative duties, and persistently-deferred research projects in many undergraduate institutions. Notably, his movement from the nuts-and-bolts of method to the practice of education risks allowing his story to turn to a series of lessons in modern U.S. history, but I found

these later sections on Vietnam, communism, and the Cold War to be helpful illustrations of the relationship between pedagogy and everyday classroom experiences.

In sum, Patrick Allitt's *I'm the Teacher, You're the Student* is a delightful book for current educators as well as students thinking about a career in higher education. Although Allitt claims that he is not a "great fan of educational innovations" (p. 84), readers will find in Allitt's reflections a range of innovative and thoughtfully-crafted techniques for bridging the gap between professors and students. The text includes a useful index as well as an appendix with a copy of the syllabus, research paper instructions, and the final exam (with answers). Allitt's *I'm the Teacher, You're the Student* contains witty writing and numerous practical applications, as well as successfully engages readers' attention from start to finish. As he notes in the preface, "One thing I always hope to show students is that what at first glance seems dry, technical, and dull is really absorbing, exciting, and entertaining" (p. x). Allitt's book exemplifies that crucial aim.

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Reviewing *Balancing Acts: The Scholarship of Teaching and Learning in Academic Careers*

Balancing Acts: The Scholarship of Teaching and Learning in Academic Careers
by Mary Taylor Huber
Stylus Publishing: Sterling, Virginia, Copyright 2004. 250 pages.
ISBN 1-56377-065-2. $22.00.

by Timothy D. Norton, Ed.D.

In *Balancing Acts*: *The Scholarship of Teaching and Learning*, Mary Taylor Huber examines four individual faculty members with respect to "the pathways they have traveled through the scholarship of teaching and learning, the issues with which they engage, the communities [their] work brings them in touch with, and the consequences (so far) for their careers" (p. 2). Her intent for this examination is to provide for the larger academic community substantiation for the recognition of excellence in the scholarship of teaching and learning and to remind it that scholarship will only be maintained only as the "work that matters also becomes work that counts" (p. 3). The scholars in her case studies are Dan Bernstein, a psychologist at the University of Kansas; Brian Coppola, a chemist at the University of Michigan; Sheri Sheppard, a mechanical engineer at Stanford University; and Randy Bass, a teacher of English and American studies at Georgetown University. Huber's book is an excellent study of how four professors dealt with the friction that often exists between teaching and traditional academic areas of study.

Through these scholars Huber gives her reader great insight as to the joys and traumas of walking the road less taken. Huber herself is familiar with the scholarship of teaching and learning; she is senior editor at the Carnegie Foundation for the Advancement of Teaching and works with the Carnegie Academy for the Scholarship of Teaching and Learning. This book is the third in a series of Carnegie Foundation publications. The first two, *Scholarship Reconsidered*, to which Huber contributed, and *Scholarship Assessed*, which she coauthored, brought to the forefront the concept of the scholarship of teaching and learning.

The recognition of teaching as a serious scholarly endeavor is a theme found throughout the careers of each of the professors examined. The visibility of teaching, its subjection to peer judgment, the issues of teaching and learning being debated and critiqued, and the concluding concepts being built upon by others are ideas through which each of Huber's scholars demonstrate that they are serious about the intellectualism of teaching and learning. In contrast to this ideal were the customary stepping stones to promotion and tenure that each department and university held as sacrosanct to the successful scholar's confirmation. How each aspirant dealt with the muck and mire of the promotion system and held true to the commitment to his or her idea of the scholarship of teaching and learning is the examination presented in *Balancing Acts*.

"Get tenure, then you can go back and do the things you think are important" (p. 34). Such were the words expressed to Dan Bernstein of the University of Nebraska-Lincoln by his chair as he began his course toward promotion. Huber begins her examination of these four professors with an all-too-familiar concept faced by those whose research in teaching is all encompassing and yet does not produce the traditional

academic idea of scholarship. Huber points out that one of the major reasons for this is that teaching has not been seen as part of the "community property" produced by the university (Schulman as cited in Huber, p. 45). This is partly because resources and broad reputations are more easily brought to individual faculty, departments, and institutions through the traditional research and publication tracts and partly because academics are not professionally prepared in the area of teaching. Strengthening the idea that teaching can advance scholarship is the reason Huber presents Dan Bernstein's story.

Peer review has become a theme since the mid-1990s with Bernstein and others leading the charge in their institutions. Through Bernstein's story, Huber effectively illustrates that the implementation of peer review will reward not only good teaching but that teaching itself will be enriched by such a collegial review. An evaluation focused on student learning and course review offers the best means of creating the needed intellectual community of scholars. It is in this renewed interest and commitment to the scholarship of teaching and learning that faculty can "design, implement, and modify courses in the light of inquiry into learning so that more students will learn more deeply" (p. 62).

Huber notes that in the latter 1980s and early 1990s Bernstein himself finally had to prove "himself by the rules of the modern research game" (p. 37). He was promoted to full professor and received tenure. Bernstein's renewed concentration on teaching and learning led to his commitment to Nebraska's participation in the American Association for Higher Education's (AAHE) Review of Teaching Project. In 2002, he joined the faculty at the University of Kansas and became the director of their Center for Teaching Excellence.

Huber moves on to the second professor's story and observes, "Because pedagogy is not widely seen as a legitimate focus for disciplinary scholarship, it can be a challenge to make the case that it is worthy of departmental and institutional support" (p. 95). This was the dilemma facing associate professor of chemistry Brian Coppola at the University of Michigan as he began to pursue his tenure track promotion. In traditional departments where the faculty "do" the subject and newer, lower ranked faculty "teach" the subject, the idea of tenure and promotion centered around the scholarship of teaching and learning is difficult to establish. Huber points out that part of the problem is that departments are not necessarily interested in establishing a teaching position within their departments. It is this challenge of presenting work that does not echo the traditional teaching, research, and service model that must be overcome by the academic centered on the idea that teaching can be a major and complete contributing part of scholarship. As such, teaching is not for those who can't "do" but is a legitimate specialization for any professor. With this perspective, Coppola had to establish a new way for his department to view what he does.

Rather than presenting himself in the "language of exception" (p. 106), Huber points out how Coppola became a professor of chemistry with a specialty in discipline-centered teaching and learning. This approach allows for the traditional steps in formulating one's promotion record through the avenues of teaching evaluations, grants and publications, and establishing a reputation in the field. To confirm these accomplishments, a model can be developed and would include descriptive categories highlighting the "day to day teaching practices…the structure of an educational program . . . [and] assessment and evaluation practices" (p. 107). Huber comments on how this

pattern can establish a new way for a department to view what faculty members concerned with the scholarship of teaching and learning actually do. This formula, along with the support of his colleagues, allowed Coppola to receive tenure.

Even though Sheri Sheppard, an associate professor at Stanford, had been a pioneer in engineering classroom teaching approaches, directing summer workshops on pedagogy for new engineering faculty, and exploring the process of teaching engineering, her colleagues agreed that her educational approach might hinder her tenure. Huber points out that the role one's instructional colleagues play as well as the respect garnered within the profession outside of one's institution lends credence to the acceptability of upward academic success. Considering the scholarship of teaching and learning as an academic endeavor when it does not align with one's colleagues' priorities and personal scholarship is to engage in a very risky business. Huber emphasizes that the scholarship of teaching and learning involves "exploring pedagogies, curricula, and assessments that will broaden and deepen student understanding" (p. 145). As such, it merits acceptance as an exacting exercise of academic rigor. The concern lies in how to assess this intellectual endeavor.

At issue is that the scholarship of teaching and learning may include unconventional pedagogical innovations. How then does one show evidence of the impact of a teaching innovation? How can the spread of this impact be demonstrated? How may the individual credit for the success of this impact be legitimized in the faculty reward system? Additional concerns surface as to the credibility of authorship:

> [The] central question to be resolved in the years ahead is the extent to which postsecondary teaching is an entrepreneurial activity carried out by individuals in search of personal gain, or a community activity carried out by people with shared commitments who are in conversation with one another. (Knight Higher Education Collaborative on "Who Owns Teaching" as cited in Huber, p. 160)

Huber concludes that this shared idea, which is very different from the traditional concept of academic authorship, must lead higher education to encourage faculty in their engagement of teaching and learning pedagogical and curricular innovations with their own unique systems of reward and recognition. Though Sheppard did receive tenure, her experience adds credence to the call by Huber and others for a new view on the legitimate value of the scholarship of teaching and learning.

Randy Bass sees technology as a means of fostering "learning cultures" (p.170), with faculty and students. He brought to the English department at Georgetown University the idea that technology could serve the humanities through the scholarship of teaching and learning.

> "Visibility" is a key value and challenge for the scholarship of teaching and learning. Somehow, teaching must be made visible to colleagues if it is to enter a community of scholars who can provide constructive critique and evaluation and build upon it in their own pedagogical work. (Schulman as cited in Huber, p. 189)

Huber uses the tenure case of Randy Bass to speak to technology and its contribution to teaching. Concerns are aired as to the limits found with the traditional avenues of academic expression. The rising cost of publication for journals and scholarly books has

provided a need for "other genres as outlets for research" (Phillips as cited in Huber, p. 189). She points out that the print medium is not always the best way to share or highlight the scholarship of teaching and learning. The use of portfolios, email, online communities, and international electronic connections are providing new venues for teaching and learning. All of these means of educating must be made visible to peers. At the same time, institutions must be willing to see the value of the new ways of teaching and learning.

Bass experienced a split view when his department was not opposed to his technological innovations but encouraged him to mix them with traditional scholarly publication. Instead of following this advice, Bass decided to redesign his courses, to make each component intentional, and to document his course in a portfolio. These innovations, along with his growing recognition as a pioneer in technology outside of Georgetown, aided in his attaining tenure.

These brief vignettes of the careers of four scholars on the road to recognition by their colleagues and institutions are but the tip of the iceberg as represented by Huber. Huber shows how these four individuals took the cause of teaching and learning and brought it forward as an acceptable indication of true scholarship and as a vital part of academic careers. Her book is well researched, well presented, and well worth the read.

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Reviewing *Teacher Man: A Memoir*

Teacher Man: A Memoir
by Frank McCourt
Scribner: New York, Copyright 2005. 272 pages.
ISBN: 10 0743243773. $25.00

by Calvin G. Roso, Ed.D.

"[My] miserable childhood deprived me. . . . How I became a teacher at all and remained one is a miracle and I have to give myself full marks for surviving all those years in the classrooms of New York" (p. 1). Thus begins the humorous and entertaining teaching memoirs of Pulitzer Prize-winning author Frank McCourt. Even for those who have not read McCourt's earlier autobiographies, *Angela's Ashes* (1996) and *'Tis* (1999), *Teacher Man* (2005) may prove interesting. For teachers and professors who are reading McCourt, this book may provide insight on how to improve pedagogy and andragogy. Following 30 years of McCourt's teaching experience is an eye-opening taste of classroom reality. McCourt does an exceptional job depicting the differences between his university pedagogy classes and "real-life" experience in the high school classroom while showing some of McCourt's strengths and weaknesses as a teacher. In addition, McCourt's *Teacher Man* offers readers insights on techniques for engaging students, teacher-centered instruction, and the growth-cycle of educators.

McCourt's crass language and lifestyle fit well in the classroom setting of New York public high schools and colleges in the 1960s and '70s; however, this type of teaching style would not be accepted in most colleges today. Although McCourt initially struggled as a teacher, he soon learned that in order to gain students' respect and attention he needed to do something other than merely regurgitate textbook information. McCourt grabbed students' interest through sharing several of his life stories from his "miserable childhood in Ireland" (p. 1) where he personally observed the negative side of education and where schoolmasters pushed, pulled, and "whalloped" him.

While McCourt's childhood enabled him to empathize with students' fears and boredom, it was McCourt's first days of teaching in both the high school and college setting that brought him face-to-face with the plight of the teacher.

> This morning I have to make decisions. In a minute the bell will ring. They'll [the students] swarm in and what will they say if they see me at the desk? Hey look. He's hiding out. They are experts on teachers. Sitting at the desk means you're scared or lazy. You're using the desk as a barrier. Best thing is to get out there and stand. Face the music. Be a man. Make one mistake your first day and it takes months to recover. (pp. 16-17)

Like many first-year teachers, McCourt felt ill-equipped to handle classroom management. For example, McCourt stated that his university education had not prepared him for the potential food fight on his first day of teaching. In time, McCourt learned that a great way to engage his students was by teaching to their interests. In his classroom, literature and composition were studied by discussing current music, movies, and even

recipe books. McCourt was willing to change his agenda for the day in order to entice student interest. He seemed to master the ability to "think on his feet" in classroom situations. For some readers, McCourt's approach to teaching might seem too far-fetched; even McCourt had times when he doubted his effectiveness:

> I'm twenty-seven years old, a new teacher, dipping into my past to satisfy these American teenagers, to keep them quiet and in their seats. I never thought my past would be so useful. . . . I argue with myself, You're telling stories and you're supposed to be teaching. . . . You're a fraud. You're cheating our children. . . I'm a teacher in an American school telling stories of my school days in Ireland. It's a routine that softens them up in the unlikely event I might teach something solid from the curriculum. (pp. 38-39)

Eventually, McCourt became cynical about the feasibility of using lesson plans or adhering to any formal pedagogy: "You're required to follow a lesson plan. First you are to state your aim. Then you are to motivate the class … motivate … by telling about my aunt's husband who was gassed in World War I" (p. 78). Ultimately, he seems to have given up on meeting State educational requirements and of following his superiors' rules.

Perhaps one reason why McCourt was so focused on engaging students was because deep within him was a desire to belong—to be accepted. The book is filled with examples of ego-centric/teacher-centered pedagogy. Although classroom discussions were often based on his students' interests, McCourt still led the discussions back to his own life history and personal interests. Deep within, he was motivated by a desire to be liked, sometimes determining success according to students' accolades, not student learning.

In his latter years of teaching in both high school and college settings, McCourt again attempted to follow the curriculum but often found himself moving back to his own style of engagement. According to today's instructional theory, McCourt's teaching style had some degree of effectiveness in enabling students to learn. McCourt is a master at "teaching responsively" as outlined by Tomlinson and McTighe (2006) because McCourt worked to develop relationships with his students and developed a "safe" learning environment. In addition, McCourt "attend[ed] to students' backgrounds and needs" (2006, p. 19) and helped students see the importance of what they were learning. The problem with McCourt's style, however, was that he seemed to have little, if any, focus toward clear instructional goals or outcomes. This approach to instruction negates any research on the effectiveness of goals and standards in education (McTighe & Wiggins, 2005; Reeves, 2002).

To a degree, McCourt's *Teacher Man* presents a case study of the life cycle of maturing teachers. According to Glickman, Gordon, and Ross-Gordon (2001), as teachers grow in their profession, they have various concerns that are aligned with their professional experiences. New teachers are often focused on the "survival stage" where concerns deal with self-adequacy, acceptance, and respect. Maturing teachers move their focus toward developing teaching tasks such as instructional issues and student discipline. Superior teachers are, in contrast, most concerned with instructional impact on student learning—having a greater concern for all students. Was McCourt a superior teacher, or was he more concerned with personal acceptance and respect? Although

entertaining, this book reveals that while McCourt's humanity enabled him to reach students, his insecurities often kept students from embracing deeper content that would have opened new levels of learning for them and their teacher. This book can be recommended for "light reading" for high school and college instructors who enjoy learning through real-life examples.

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Dealing with Dual Anxieties

by Kenneth Preston and Dorothy Radin

Abstract

Focusing on time as an issue, research was done to examine the concept of timed examinations as a possible reason for low scores in mathematics classes. This paper details the research and its results. In this study, the time allotted for a statistics examination was increased in order to determine if test scores improved. Mean scores from ten 90-minute introductory statistics exams were compared to mean scores from 50-minute exams given in prior introductory statistics classes to test for improvement. An Analysis of Variance (ANOVA) using an alpha (α) of 0.05 was used to make the determination. The results indicate that there was a significant difference (with a *p*-value of 0.009) between the classes' mathematical test scores—50 minutes versus 90 minutes. Expanding the time allotted for an examination while keeping the content of the examination constant did improve the students' overall grades.

Introduction

"Tests and evaluations are a nearly unavoidable part of our world" (Goonan, 2003, p. 257). Of major concern, then, is the elimination of test anxiety. Test anxiety not only produces low test scores but also causes students to be less motivated (Hancock, 2001). Because of this, educators need to choose ways to assess students' knowledge that will give valid evaluations while minimizing test anxiety. According to Cross (1996), a major cause of failure in the classroom is test anxiety brought on by timed tests. Beasley, Long, and Natali (2001) reported that placing individuals under time constraints tended to reduce performance. In addition, work by Tobias (1978) linked test anxiety directly to the amount of time a student had to complete the evaluation. The subject of mathematics can also cause anxiety for today's student. Coupled with test anxiety, there is potential for lower-than-deserved grades based on the student's knowledge (Chapell et. al., 2005).

Spielberger and Vagg (as cited in DiBattista & Gosse, 2006) indicated that students who had anxiety traits tended to view examinations as more stressful because of their evaluative nature and so they tended to feel a higher level of anxiety when taking a test. According to Nolting (1997), there are two primary types of anxieties that students can experience: "somatic" and "cognitive." Somatic anxiety is the loss of body control and is characterized by sweating with pain in the neck and stomach. During tests, somatic anxiety can cause students to have actual physical symptoms such as sweating and light headedness (Gall, 1996). Cognitive anxiety manifests itself in loss of concentration, such as during an examination. Students experiencing cognitive anxiety tend to have feelings of doubt and low self-worth. Since these symptoms may be present in all cases of anxiety, determination requires physiological measurement. This research uses an accepted social research assumption that these physical characteristics may have been present but not measured directly.

There are two primary subject area anxieties exemplified in this study: test anxiety and mathematics anxiety. A third type of anxiety that may have presented itself in

this research is statistics anxiety. There is a lack of empirical literature distinguishing between these two types of anxieties—general and mathematical (Baloglu, 1999). Because this study is concerned with the improvement of test scores among mathematics students, no distinction will be referenced or implied between mathematics or statistics anxiety. In this paper, both terms are used interchangeably.

Students' perceptions about a course tend to influence their grades in statistics. Zanakis and Valenzi (1997) stated that "preconceived notions about statistics, feelings of weak mathematical background, and limited computer exposure may increase student anxiety and fear in undergraduate courses in statistics" (p. 11). Some researchers indicate that much of this anxiety may be due to poor preparation by the students. For example, Pan and Tang (2005) believed that "statistics anxiety is not only due to the lack of training or to insufficient skills, but it is also due to misperception about statistics and negative experiences in previous statistics classes" (p. 205).

Test and mathematics anxieties each have their own characteristics. Separately they can adversely impact an individual and together they can be devastating. The difference between the two is that test anxiety is a learned behavior that can be unlearned (Nolting, 1997). Mathematics anxiety can be extreme; this anxiety is often caused by having a negative attitude due to a previous bad experience (Nolting, 1997). Combining these two components creates an environment that has been defined as "the set of phenomenological, physiological, and behavioral responses that accompany concern about possible negative consequences of failure on an exam or similar evaluative situations" (Zeidner, 1998, p.17).

Test Anxiety

"Almost any student will agree that examinations are one of the most stressful parts of college life" (Weber & Bizer, 2006, p. 283). Measuring a student's progress through examinations helps schools with needs assessments to improve instruction, strengthen courses, or completely change teaching techniques (U.S. Department of Education, 1993). Testing is therefore a necessary ingredient in higher education. Because of this, test anxiety becomes a real phenomenon of concern in education that should be eliminated.

Harris and Coy (2003) indicate that test anxiety is composed of three major components: "cognitive," "affective," and "behavioral." Students who experience test anxiety from the cognitive perspective lack self-confidence. They are worriers who doubt themselves and their activities. The affective perspective of test anxiety can cause students physical distress, such as nausea, perspiration, or spasms. Strong emotions such as worry may also be present. From the behavioral perspective, students often have poor study skills, are unprepared, and physically exhausted during the test.

The exact cause of test anxiety is still unknown, but most experts indicate that it is probably a fear of a poor evaluation. "Student achievement is an important learning outcome" (Hancock, 2001, p. 284), and the examination is a demonstration of his or her performance. Poor test evaluations not only affect student performance in that particular course, it also affects overall grade point average (GPA) (Chapell et al., 2005). Thus, the student has a lot to lose if he or she performs poorly on tests due to anxiety. One reason for test anxiety might be due to the practice of timed exams. Research indicates that a major cause of failure in the classroom is test anxiety brought on by timed tests. In a

report on statistics anxiety, Onwuegbuzie and Seaman (1995) showed that "both low and high anxious students performed better on the . . . examination under the untimed condition than under the timed condition" (p. 115).

Mathematics Anxiety

Mathematics anxiety goes beyond the testing. It is concerned with the act of numerical manipulation. The National Council of Teachers of Mathematics defined mathematics anxiety as "an inconceivable dread that interferes with manipulating numbers and solving mathematical problems in a variety of everyday life and academic situations" (as cited in Black, 2005, p. 43). Mathematics anxiety causes apprehension and arousal concerns because it involves the manipulation of numbers in academic, private, and social environments (Hopko, 2003; Richardson & Suinn, 1972).

Kazelskis et al. (2000) supported the concept that there was no clear distinction between measures of mathematics anxiety and test anxiety. That research found that the intercorrelation between the major measures of mathematics anxiety and test anxiety was 0.51. In addition, Baloglu (1999) indicated that the lack of empirical literature did not help researchers in distinguishing between the different anxieties. As a result, this correlation prevents researchers from separating the two types of anxieties and thereby confounds it. An evaluation of test anxiety by Zeidner and Matthews (2005) demonstrated that there may be different forms that "are distinguished by the antecedent conditions and context invoking anxieties . . . . They have important structural similarities" (p.141). This lack of evidence in distinguishing between anxieties along with the structural similarities indicates that "anxiety is heterogeneous with respect to its cause and consequence" (Zeidner & Mathews, 2005, p.160) allowing researchers to combine the different anxieties into a single study.

Tobias (1978) stated that students' math anxiety is not a failure of intellect but a failure of nerve. This anxiety can be overcome. Tobias linked math anxiety directly to the amount of time a student had to complete an examination. "People remember math as being taught in an atmosphere of tension created by . . .the demands of timed tests" (p. 31).

Math phobia is often extrapolated to statistics, and the "fear of math spills over into fear of data" (Tobias, 1978, p. 28). Statistics anxiety may be a critical factor in influencing and attaining a student's academic and vocational goals. As a result of the emphasis on statistical techniques in today's society, many "mathphobes" could be excluded from a number of career fields.

Summary

The concept of dual anxieties involves two fields where anxiety is present: test anxiety and mathematics anxiety. These two anxieties are normally separated by the academic area but to a mathematics student they can both be present. The purpose of this study was not to identify, analyze, or separate these anxieties but to try to ease their previously established impact on the student during timed math tests. This study tested the hypothesis that increasing the time a student has to complete an examination would improve his or her performance on that examination.

Materials and Methods

Cohort

      The subjects under study were college students over a period of several years. The issue of cohort is defined as follows: A cohort group can be defined as any group of individuals who have the same experiences at the same time or a group of similar individuals who have a similar experience but at different times (Microsoft, 2007). Because of the uniqueness of this research, the definition of cohort is defined as a similar group of individuals (e.g., undergraduate college students) who had a similar experience (e.g., taking an introductory statistics course from the same instructor over an extended period of time).

Testing Process

      At most colleges and universities, math examinations are confined to the time continuum of a class period, normally 50 minutes. Within this 50-minute time period a student must enter the classroom, organize his or her papers, get the calculator ready, take a deep breath, prepare the necessary forms for scoring the test, and then take the examination. Coupling these preparatory activities with a student's math anxiety places him or her at an inherent disadvantage on the examination, possibly increasing the student's chances for failure, thereby perpetuating the phobia. Therefore, this study began with the theory that if the time allotted for the statistics examination were increased, the students' performance would improve, resulting in better grades. The situation involved allotting more time on each of the individual examinations while maintaining the integrity of the examination process. A second goal was to ensure that any change in the testing schedule was not in any way punitive.

      Two testing times were selected when all the statistics students could meet and take the examination as a group, regardless of their section or instructor. All of the examinations were given on the same day with a morning and an afternoon session provided. Students were then allowed to attend either of the two testing times. The examination time was extended from the 50 minutes previously allotted to 90-minutes. Approximately 200 statistics students were enrolled in the introductory statistics courses each semester.

      The previous practice for statistics classes was for each instructor to give the same examination in all sections. This allowed for uniformity in scoring and kept competition between instructors to a minimum. This also allowed instructors to compare test results to insure continuity. Selecting a common time for all students to take the exam had a secondary benefit of reducing the temptation to share exam information among students. Before this change, the examination was given to several different sections at different times throughout the week causing some concern for cheating. This factor is not part of the study but needs to be mentioned because of the potential side effect of inflated grades prior to this single-day testing process. During the semester, three individual examinations were given. These were the examinations that were used in the analysis. The final examination times of one hour and forty-five minutes were set as a matter of school policy, and this time could not be adjusted.

Hypotheses

The research hypothesis is that increasing test time will increase the mean test scores of college students in an introductory statistics course.

Research Criteria

During the past several years a number of different instructors have taught multiple sections of an undergraduate introductory statistics course. To eliminate teaching methodology and teacher characteristics as confounding variables, only one instructor's classes were chosen for this study. This instructor was chosen because she taught the same course before and after the exam time change. Thus, the course content, syllabus, and delivery did not change during the study although the text did change. Computations for this research used only test scores for this instructor's students. The examinations remained consistent during the study period and utilized a five-response, multiple choice format, thereby eliminating any grading bias.

Data

Three examinations were given during the course of the semester—plus a final. Only the three examinations were used for this study since the final examination time period was administratively set at 105 minutes and could not be altered. Data were collected over a five-year period. In four semesters, ten classes of students took the examinations during the traditional 50-minute period. In the next five semesters, 10 different classes of students took the examinations in the expanded 90-minute time frame.

Class sizes in the earlier 50-minute classes ranged from a high of 49 to a low of 24. In later semesters, class sizes ranged from 40 to 23. Since a single instructor taught each of the statistics classes under study, all of the individual class examinations were combined as a single component for evaluation purposes. The sample sizes met the minimum requirement for population validity in all instances, and the analysis used the combined mean scores for each of the different examinations. The examinations were grouped based on their position in the course to ensure that there was no variation of difficulty exhibited from one examination to another.

Results

The N values are the number of examinations used in the study, not the number of participants. The number of students on each examination exceeded 30, and the mean test scores from each semester class were used from the groups before and after the time extension. These sample sizes and mean test scores per semester are given in Tables 1 and 2 below.

Table 1
Test Means and Samples Sizes for Classes Taught Before Consolidated Exams and Extended Exam Times

Year	Semester	Exam 1		Exam 2		Exam 3	
		Mean	n	Mean	n	Mean	n
First	Fall	58.4	49	57.6	46	57.8	46
		64.0	45	62.4	36	64.7	36
	Spring			57.1	27	63.4	27
				61.4	26	62.2	27
Second	Spring	72.6	30	67.0	28	75.4	29
		76.6	33	69.6	35	73.8	35
Third	Fall	79.5	30	65.9	32	70.7	31
		74.0	26	65.0	26	66.2	24
		77.2	33	60.3	31	63.8	32
		77.4	33	63.8	34	70.3	32

Table 2
Test Means and Samples Sizes for Classes Taught After Consolidated Exams and Extended Exam Times

Year	Semester	Exam 1		Exam 2		Exam 3	
		Mean	n	Mean	n	Mean	n
Third	Spring	70.3	28	66.2	24	65.4	23
		77.6	37	72.3	39	64.3	38
		76.3	35	66.4	39	64.3	38
Fourth	Fall	79.0	35	74.9	35	74.5	34
		76.5	35	72.8	34	70.8	36
		72.2	30	71.8	28	73.7	23
	Spring	75.1	40	72.5	35	63.5	35
		70.6	31	59.9	31	58.6	28
Fifth	Fall	77.2	36	75.5	36	71.0	37
	Spring	76.9	40	74.2	38	69.1	38

The research statistical package used was Minitab[©]. The research methodology used the one-way ANOVA test as a means to determine significance. The significance level alpha (α) was selected to be .05. The results of the analysis are given in Table 3 below.

Table 3
Time Test Difference ANOVA

Source	DF	SS	MS	F	P
Factor	1	263.9	263.9	7.41	0.009
Error	56	1992.9	35.6		
Total	57	2256.7			

Level	N	Mean	St.Dev.
50 minute exam	28	67.075	6.689
90 minute exam	30	71.343	5.203
Pooled St. Dev. = 5.966			

The results indicate that there is a significant difference between the mathematical test scores (*p*-value=0.009) with the 90-minute exams giving greater (e.g., better) test scores than the 50-minute exam (71.3 vs. 67.0, respectively).

Conclusion

One form of assessment in a learning environment is the written test. This measures student achievement and gives teachers feedback on instruction. Yet anxieties can often cause students to perform poorly and give teachers a false evaluation of student progress. This is particularly true in an introductory statistics classroom where both test anxiety and mathematics anxiety can occur.

While this study only dealt with the connection between timed exams and improving the mean scores of those exams, the underlying concern was to relieve the anxiety level of the students by increasing the amount of time to take the test. In this limited study, it would not be responsible to claim that the results indicated that anxiety was lowered, only that test scores were raised by increasing the exam time. However, this increase in performance does support the results of Beasley, Long, and Natali (2001) and Ouwuebuzie and Seaman (1995) that address both anxiety and timed exams.

Since this current study was conducted over a five-year period at a small southwestern private Christian university where class sizes ranged from 23 to 49, these research results can be generalized to a similar population, but may not apply to universities with dissimilar student bodies. Future research should be conducted directly on test and statistical anxieties in the context of timed tests. Finally, math instructors should make every effort to increase the amount of test time in order to provide students an opportunity to perform at their best level.

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Teaching Ethical Use of Product-Specific Incentives to Marketing Students in a Christian Higher-Education Environment

by Kenneth E. Jones, Jr.

Ethical Model Question: Is it ethical for a marketing enterprise to propose product-specific incentives (PSIs) exclusively to personal selling employees?

Abstract

With the growing popularity of retail sales as a job opportunity for Christian college graduates and students, the dilemma of incentive pay can cause many to face a sudden reality check on their ethical system. This article provides insight into the dilemma of product-specific incentives (PSIs or spiffs), which are so popular in the marketing environment where multiple brands exist in the same showroom. The model contained in this work is designed to allow the Christian retail sales professional with a plan of action, or a means of providing the information needed to create ethically sound incentive practices for all stakeholders in the sales environment. The key is to focus on the customer as the stakeholder with the most to lose when PSIs are employed to move product without due consideration of consumer information necessary for intelligent choices in the marketplace. An ethical filter is offered to the reader to screen the use of PSIs in hopes that individuals in sales and marketing leadership will prepare and deploy sound value-added information in the use of incentive programs.

Introduction

In the 2006 Bureau of Labor Statistics report on job growth from 2004 through 2014, the fastest growing occupation was retail sales, which is expected to increase by 736,000 jobs in the ten-year period in question (a 17.3% increase from the 2004 estimate of over 4.25 million, according to the United States Department of Labor, 2007). College students and graduates stand to be greatly impacted by this occupational growth, since this type of occupation requires little educational background to obtain. The sales profession, in general, is a very lucrative occupation that calls many college graduates to its growing ranks (United States Department of Labor, 2007).

One of the more popular forms of compensation in the sales arena is incentives (Stolovitch, Clark, & Condly, 2002). The sales industry uses incentives because they work. The importance of this is noted below. Some forms of sales incentives may be legal while others are not. Certain incentives (like those considered here) fall into the realm of ethical issues because they create a dilemma in that the practice of such behavior falls without the legal bounds, but within strong questions of moral and ethical interpretation (i.e., right, fair, and/or just). What makes this type of ethical discussion most helpful is the presentation of a model for decision-making.

"Product-specific incentives" (PSIs) refer to the "special promotional incentive funds" (SPIFF) offered to focus on a particular product for movement. When the incentive is offered to the customer, as a savings, the customer has the obligation to

decide whether to accept the offer and move certain products from the shelf. When the customer is not aware of the PSI and the incentive is kept as a secret between the manufacturer and chosen market intermediaries sharing the incentive as sales compensation—especially the sales professional placed within the purchase environment to assist the customer—buyers may feel different as with whom the obligation for the decision resides (Narayanan & Raman, 2004). The student/buyer/salesperson should be made aware that the product-specific incentive does not require the keeping of secrets, but when such marketing incentives are hidden, it changes things. When marketing entities fail to divulge information to intermediaries in the distribution process, a loss of control and lack of trust are developed in the supply chain of that enterprise (Narayanan & Raman, 2004). Trust is a much-needed component of the modern marketing enterprise, and when that loss of communication or lack of disclosure is spread to the final consumer, it could have an impact on the effectiveness of the total distribution cycle (Murphy, Laczniak, Bowie, & Klein, 2005).

Students should take from this presentation, and the activities that follow, that people—not companies—make decisions. Someone with the decision-making responsibility has an obligation to use incentives Biblically and ethically. University students will likely be in a position (either currently or in the near future) at some point in the supply chain of a specific product to decide how they, individually, will determine the proper use of PSIs. These are important concepts that Christian business students need to understand.

Please consider the following illustration. Within a new automobile dealership, often a consumer has the opportunity to shop multiple brands and models by comparing similar type vehicles at the same dealership (e.g., Jeep Cherokee, Dodge Durango, and Ford Explorer). When the sales representative (referred to as simply "sales rep") is asked to give her advice and diffuse the confusion about options and payment plans, she may give advice that is based on the incentive offered at the sales meeting that morning on Jeep products (e.g., $500 SPIFF from Daimler-Chrysler to anyone who sells a new Jeep Cherokee during that weekend). Yet, she is not legally required to tell the customer about the SPIFF or PSI. She is not obligated to know or tell that there are three other vehicles that may have a higher consumer rating and resale value or that two of these vehicles may have better loan rates that could save the customer thousands of dollars over the life of the loan.

Based on this illustration, certain ethical questions come to mind that could be used to challenge students: Would this knowledge that the sales professional has been provided (but chosen not to share with the customer or other manufacturers in the same setting) make a difference in the choice the buyer makes? Would Ford Motor Company feel slighted by the possible choice the customer makes while relying on the advice of the biased sales rep? Both the customer and the other manufacturers represented at the automobile dealership that day, have certain expectations or beliefs about the buying process. What would happen if the customer found out that the decision they made was directly related to the sales agent's desire to earn the incentive pay offered legally for selling the Jeep? How might Ford choose to protect its interest if they knew about the sales rep's compensation for a selling Jeep that day?

This paper describes the environment and elements of this dilemma (Figure 1), offers an Ethical Filtering process designed specifically for this dilemma, and then

determines the best method for achieving positive stakeholder impact (Figure 2). Ultimately, the goal of this effort is to encourage the student to reason in order to determine if it is ethical for a marketing enterprise to propose product-specific incentives (PSIs) exclusively to personal selling employees.

A definition of terms is first presented as the environment in which product-specific incentives are used is explained. The financial impact of incentives is a powerful tool for marketing entities, the legal environment in which PSIs operate remains aloof, and an Ethical Filter is offered to provide the student of current marketing practices an answer to the question: Is it ethical for a marketing enterprise to propose product-specific incentives exclusively to personal selling employees?

Environment

Understanding the terms of PSI practices is essential for students trying to clarify the question. Three key terms need to be defined to clarify the environment: enterprise, PSIs, and exclusively. The term "enterprise" has come to describe the operation of most businesses where relationships abound. The enterprise entails the core business and the partners it utilizes in supplying the core business (O'Brien, 2003). As previously described, "product-specific incentives" (PSIs) refer to the SPIFF (Special Promotional Incentive Funds) offered to "push" or favor a specific product or brand name often found in a multiple-brand environment (Radin & Predmore, 2002). This is different from the use of advertising (a heavily regulated industry), which is implemented to "pull" shoppers into the marketplace (Kotler, 2006).

The term "exclusively" in the ethical question points to the fact that the consumer (or, in some cases, the personal selling rep's employer) has no knowledge of the PSI that may or may not affect the sales rep's motivation in advising the customer to purchase a specific product (Radin & Predmore, 2002). Laczniak and Murphy (1993) describe this situation as a classic conflict of interest, since the sales rep has the advantage of knowledge, to wield as he or she wishes; including the knowledge of the advantages it brings to them at the expense of the customer. In reality, it is the sales rep that has control of the situation while having the greatest potential for increase. The real estate industry operates within this conflict of interest environment. Consider the agent offering solicited advice to interested and trusting buyers, while this agent is likely the beneficiary of the commission paid by the seller (Laczniak & Murphy, 1993). Yet, this industry, too, is heavily regulated, legally.

This dilemma is enveloped by a competitive marketing environment in which the constant effort to earn the loyalty of consumers is stated as being a vital goal of the entire supply chain, yet marketers fail to consider that these same incentives may encourage sales employees to ignore customer needs (Settel & Kurland, 1998). No matter how many links are in the supply chain, the ultimate success of the entire enterprise depends on the satisfaction of the end-user of the product—the consumer (Narayanan & Raman, 2004). This competitive environment is often recreated on the same showroom or retail establishment as multiple models are on sale a few feet apart from one another. It is a shopping maze for customers; a product knowledge nightmare for sales reps, and a quiet battleground where marketing entities offer PSIs to differentiate their product (Radin & Predmore, 2002).

Financial Impact and Growth of Incentives

Incentives do work! Research on the popularity and growth of the use of incentives in this competitive environment dispel any doubt as to the reason for the use of incentives, in general. Consider these statistics from the marketplace (Stolovitch et al, 2002):

- Sales incentives represent a $127 billion-plus industry.
- Sales contests account for nearly $9 billion in annual expenditures.
- Salespeople account for roughly 12% of the full-time workforce.
- Firms spend more than a trillion dollars annually on sales force expenditures—more than they spend on any other promotional tactic.
- Sales of the "incentivized" product nearly doubled during the program, resulting in a 10% re turn on investment. The incremental margin of sales was $180,000, offset by the incentive program's cost of about $164,000.
- Incentives appear to generate delayed sales effects. Not only was there a declining trend prior to the incentive period, possibly indicating a holding back of sales until the incentive period (sandbagging), but also sales remained at a level higher than baseline sales during the post-contest phase (sales carryover).
- Though a positive impact on sales of the incentivized product was clearly established, there was no evidence to support or refute cross-product effects, (i.e., the incentives did not cannibalize sales of other products).

Legal Environment

This competitive atmosphere has few legal considerations. Though the Consumer Union regards the use of PSIs as bribery and fraud, there has been no law banning the practice since the Federal Trade Commission (FTC) did so in 1921, considering such practices "deceptive" (Radin & Predmore, 2002). The ban was later overturned (when the courts ruled the FTC had no jurisdiction), and the practice has become a widely used competitive tool by retailers and manufacturers (Radin & Predmore, 2002). Some companies have publicly protested the use of PSIs (e.g., Honeywell and Xerox), and some have publicly blasted the practice used by other vendors via letters to potential customers (Radin & Predmore, 2002). Yet, the practice continues to grow.

It appears the FTC seeks to regulate only tangible activity that affects the interaction between competitors, though the current trend in the marketplace is toward faster and faster transfers of intangible products in the form of information. For example, the FTC already prohibits deceptive statements about a competitor's product; advertising used or remanufactured products, as new; industrial espionage; false claims concerning services offered; and requiring kickbacks from buyers who wish to acquire critical components solely offered by a single, unique provider (Laczniak & Murphy, 1993). All of these regulations seem focused on making sure the marketplace is fair and competitive while the final consumer may not be protected from a lack of information made readily available to the sales person guiding consumer decisions.

Ethical Filtering Process

Though the PSI practice is widely accepted, does it succeed in meeting ethical standards within its operational environment? A three-part Ethical Filtering process (Societal Marketing Concept, Supply-Chain Impact, and Servant Reflection) can evaluate the elements of this practice. The four elements of the PSI process (Expectations, Efficiency, Effectiveness, and Exclusivity) are tested independently via the Ethical Filter. If any element fails to pass through the filter's ethical components, it can be considered evidence that the PSI practice in question is unethical. To practice PSIs in any form determined to be unethical is to bypass the scrutiny of the Ethical Filter altogether as pictured in Figure 1 below. Note that in this illustration the Ethical Filter is being bypassed. The process is directly related to the Shareholder Impact column (see the right side of Figure 1 below). The column expresses the Manufacturer (producer) as the highest-valued stakeholder. The Intermediary and Personal Selling Representative are rated lower in descending order. Finally, the customer (represented as the least valuable in this stakeholder supply chain) is recognized.
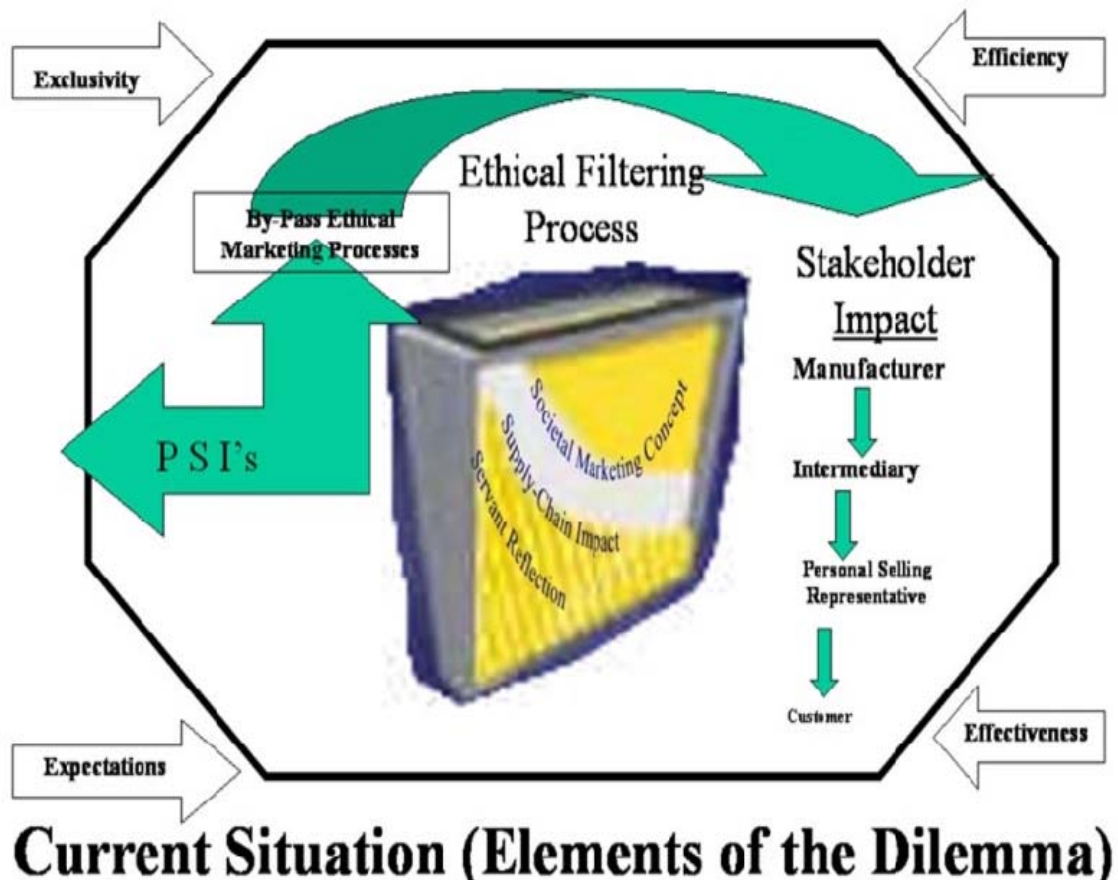

Figure 1. Ethical filter used to evaluate the Expectations, Efficiency, Effectiveness, and Exclusivity of the PSI process.

Societal Marketing Concept

This concept reveals the true focus of marketing as creating customer satisfaction by seeking the needs of the customer first and, secondly, the long-term interest of society. Kotler (2006) explained the effect of Societal Marketing as beginning with the marketing concept (knowing the needs and wants of a target market and delivering satisfaction better than a competitor), then going beyond this by "delivering value to customers in a way that maintains or improves both the consumer's and the society's well-being" (p. 22). This is a long-term approach to marketing, focused on the logic of providing customer satisfaction before profit or revenue in order to gain customer loyalty.

This concept has much ethical support in the concept of universal rules, a Kantian ideal that stands for the net social benefit of society in all situations and against actions or decisions based on self-interest (Hosmer, 2003). The social contract theory (a derivative of universal rules) provides for the unique relationship of buyers who may be vulnerable in a competitive environment due to their dependence on the marketer (Murphy et al., 2005).

Supply-Chain Impact

The impact that PSIs can have on the supply chain must be considered in its ethical and economic relevance. Though the sales person in this dilemma makes the decision whether to let instantaneous gratification override the long-term goal of meeting the needs of the customer, her decision can directly affect the supply chain in which she operates, for good or ill (i.e., future profit, loss, or loyalty), depending on the decision (Narayanan & Raman, 2004). The economic impact to the supply chain must be considered in light of the illustrations that abound of the failure of PSIs to consistently, positively serve the supply chain. Stories are told of suppliers not knowing of PSIs that were made available to their employees or intermediaries and how this practice caused inventory bottlenecks and supply-chain failures (Narayanan & Raman, 2004).

Ethically, the utilitarian aspect of the PSI is unchallenged as far as the greatest good being created for most of the parties involved, as illustrated by the Stakeholder Impact displayed in Figure 1 (Velasquez, 1992). That is, vertically from the manufacturer down to the intermediary to the personal selling professional, PSIs are of great service. Yet, when the customer is added to the stakeholder mix, effective application of the utilitarian concept can be challenged if information about the PSI is not shared openly with all stakeholders. Figure 1 illustrates that the current use of PSIs (where information is not shared equally) places a greater emphasis on the manufacturer and intermediaries (as stakeholders) and deemphasizes the need for information to the customer (as a stakeholder) who must make a decision based on all necessary information. Without the information available to the stakeholders at the top of the Stakeholder Impact (manufacturer and intermediaries), the customer may not be able to make the best possible buying decision.

The distributive justice principle relies on the concept of justice and advancement of the good of all (Hosmer, 2003). The first three levels of stakeholders in Figure 1 could claim that this principle is sound rationale for PSIs. Yet, the principle is flawed when all are not benefited based on inequality of information. In one sense, the enterprise's rationale is that the principle of contributive liberty is valued in the use of PSIs. For the enterprise does not seek to interfere with the opportunity of the consumer to know as

much about the purchase before signing on the dotted line. This "negative rights" rationale, though, does not answer the "positive rights" of the consumer to receive the benefits of knowledge enjoyed by the other stakeholders in the PSI dilemma (Hosmer, 2003).

Servant Reflection

The ultimate reflection the sales professional must have when he or she looks in the mirror is that of the servant. This Ethical Filter is based on the duty of the salesperson to care for the good of those they are called to serve everyday in the line of duty. Ethically, this could relate to the almost forgotten paternalism (i.e., concern or responsibility for the good of those who have entrusted their business) that sellers used to accept when serving customers (Radin & Predmore, 2002). The fact that the sales professional has more access to the information about the sales process requires that he or she exercise due care when guiding the customer's decision (Velasquez, 1992).

More critically, though, this Ethical Filter is expressed in the "mind" of Christ in Philippians 2:5-8, as He "made himself of no reputation, taking the form of a servant" (New King James Version). The benchmark of Christ as a servant is illustrated in the life of Christ, as noted in John 13:13ff, as Christ takes off His garment and wraps a towel around His waist to wash the feet of His apostles the night of His betrayal. If Jesus, rightly considered equal with God, saw the benefit of lowering Himself to serve mankind, how can the human race see itself as any better, or less responsible? Jesus, earlier in His teachings in Luke 17:10, explained that one's attitude toward all that one does in this life is to be referenced in the phrase "I am an unprofitable servant, and I have done that which was my duty to do." Can one do any less or think any more of the opportunity to serve customers with this mentality?

The New Testament also teaches by the writings of those impacted personally by the example of Christ's service (the apostles) of the intent to put the good of others over oneself. In Galatians 6:2 and 10, the apostle Paul writes "Bear one another's burdens and so fulfill the law of Christ…as we have opportunity, let us do good to all." The apostle John, in his first letter, John 3:17, relates this caring for another in need as evidence of the love of God inside of the one seeing the need. What if that need is the information to make the best decision for one's family? This Servant Reflection should be that of Christ in one's life and should not be limited to specific areas of one's life. Indeed, it is Jesus who must be reflected toward everyone with whom one has the opportunity to serve, professionally or otherwise.

The Four Elements

Though this article is theoretical in nature, the specific topic of PSIs has been researched as an ethical issue in business, but only rarely. The seminal work on this issue was completed by Drs. Radin and Predmore and published in 2002. Their work is cited repeatedly in the following discussion of the four elements involved in this topic (Expectations, Efficiency, Effectiveness, and Exclusivity), and termed by this author in the form of four E's for assistance in memory and meaning. It is the testing of the four elements in the Ethical Filter that will determine if the PSI practice is ethical or not.

Expectations

Marketing enterprises expect that customers will take full advantage of the abundance of information about the different products through online and catalogue resources while customers still expect the personal sales professional to be their key to the "inside track" when making a decision (Radin & Predmore, 2002). Marketers often see little need to train the sales rep with product knowledge available to the customer directly. The sales force is often more informed on the PSIs available than the different product attributes of multiple models and brands being offered to the customer (Radin & Predmore, 2002).

Does this lack of training based on the abundant supply of information from a number of third party sources alleviate the right of the consumer to know what offers are changing hands behind the scenes with the other stakeholders in the sales process? This element fails to pass through the Societal Marketing and Servant Reflection components of the Ethical Filter (see Figure 1), thus making PSIs unethical if the customer is not treated as an equal stakeholder whose satisfaction is the measure of the marketing entity's success and whose well-being is superior to that of the servant sales professional.

Efficiency

The economic justification for PSIs is the efficiency they bring to moving inventory. They allow the enterprise to function more efficiently in three general ways. First, they allow the marketing firm to key on and move one brand or model as needed off the shelf or showroom. Second, PSIs allow the manufacturer to create competitive price advantages through incentives offered to the intermediaries, though the intermediaries are not legally required to pass the savings on (Radin & Predmore, 2002). Often selling reps receive the PSI to motivate them to encourage buyers to key on certain products during the decision. Finally, the retailer or consumer contact is aided in enhancing the salary of the sales rep by using PSIs to offset payroll cost (Laczniak & Murphy, 1993). When passed through the Ethical Filter (see Figure 1), this element has no resistance and should be considered ethical. As far as the element of Efficiency is involved, PSIs are considered ethical.

Effectiveness

The PSI practice has been rampant throughout retail environments including everything from furniture to software and cameras to cosmetics for the last half of the twentieth century (*Consumer Reports*, 1971; Radin & Predmore, 2002). They are popular because they have been proven extremely efficient. They serve as a great benefit in moving product and motivating sales personnel. The problem arises when they create bias in the minds of the sales force that is expected to provide helpful advice to the customer (Radin & Predmore, 2002). Perhaps, the marketing entity hoping for the sales person to create a long-term relationship and eventual customer loyalty is rewarding the wrong behavior (Kerr, 1995). Companies that want consumer loyalty and relationship should avoid rewarding short-term revenue increases if customer needs are sacrificed (Dushka, 2000). The result of the loss of customer trust and the onset of customer apathy has been directly related to the practice of PSIs (Radin & Predmore, 2002). When customers are later informed of the SPIFF, trust is lost no matter what the price of the item in question (Lewis, 2001). Therefore, the element of Effectiveness fails to pass

through the Ethical Filter (see Figure 1) in the areas of Societal Marketing Concept and the Supply-Chain Impact.

Exclusivity

If the environment in which the purchase took place were completely self-service, then exclusivity of knowledge would not be an issue because the consumer would be entirely responsible for finding as many sources of product information as possible before buying anything. Yet, when a sales rep is the intermediary introduced into the buying environment by other stakeholders and acts as a gateway through which the customer must pass, then the advice that the sales professional may give has been shown to have an expected impact on the purchase decision (Dushka, 2000). The concealment of a PSI that could potentially bias the seller in the advice given will impact the sale in most cases (Radin & Predmore, 2002). Is this information necessary to disclose?

Three criteria, given by Alexander Hill (1997), are helpful in successfully deciding this issue. First is the "right to know," which is a concept practiced in the medical field when patients are making decisions on medical care procedures (i.e., informed consent) and the real estate profession when all relevant data about the property must be disclosed.

Second, the "Golden Rule" (Matthew 7:12) requires that the ultimate ethical goals of holiness, justice, and love be maintained by exercising purity of communication, respect for others, and concern for the impact of the concealed information on others. The concept was a standard that Jesus mentioned, relating it the personal evaluation of fairness based on "whatever you want men to do unto you." Yet, the respect many have toward others via the Golden Rule given by Christ is actually superseded by Christ's commanding (by comparison) the "Titanium Rule" in John 13:34 (referenced earlier) in which He states, "A new commandment I give to you, that you love one another; *as I have loved you* [italics added], that you also love one another." In reality, the standard of the Golden Rule, to which Jesus referred, He replaced with a benchmark of excellence.

Third, the concept of prevention of significant harm is pertinent in this environment as the customer may be the only stakeholder here that stands to suffer fiscal harm if the purchase is made with known bias on the part of the sales professional. In this case, the element of Exclusivity fails to pass through the Ethical Filter based on the Societal Marketing Concept, Supply-Chain Impact, and Servant Reflection. The practice of PSIs are therefore unethical when the customer is restricted from access to all pertinent information about the purchase and is forced to consummate the purchase with the service of a biased personal selling employee.

Stakeholder Impact of Utilizing the Ethical Filtering System

Customer

Radin and Predmore's (2002) results led them to conclude that consumers actually expect acts of deceit by marketing/sales professionals. If an ethical approach to this practice could be implemented as suggested in Figure 2 (see below), then customers would no longer be getting what they expect. In contrast, customers are delighted by receiving what they didn't expect—a customer-focused enterprise, with the customer at the top of the stakeholder hierarchy (Kotler & Armstrong, 2006).
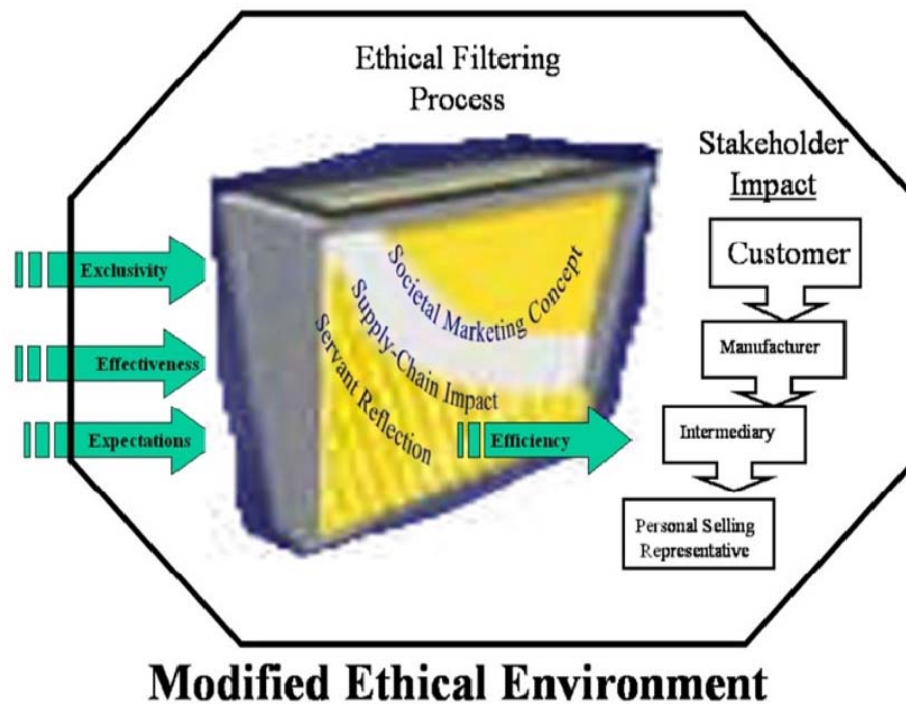
Figure 2. A modified ethical environment for PSI testing where the customer is the focus of Stakeholder Impact.

Manufacturer

When the manufacturer/producer employs a true societal-marketing concept, the focus on customer needs will lead to better attainment of target market share through marketing intelligence and meeting of market demand (i.e., needs backed by buying power; Kotler & Armstrong, 2006). The focus is on rewarding long-term customer loyalty in the behavior of the intermediaries. Training is ongoing to meet this objective.

Intermediary

All necessary intermediaries are required to meet customer needs and attain high levels of customer satisfaction. Only intermediaries that support the supply-chain goals of the enterprise are utilized. Company-wide ethics systems are required and PSIs (shared openly) are used to help customers in making choices that lead to long-term relationships with the enterprise.

Personal Selling Representative

Loyalty to the customer (i.e., Societal Marketing Concept in action) is the focus of all consumer contact by the personal selling rep. Personal ethics system for sales reps and societal marketing training are essential to long-term customer satisfaction and employee retention. A key determinant of success in the marketplace is the reflection of Christ-like service to a growing constituency.

In conclusion, the goal to implement the Ethical Filtering process requires the reversal in the order of the Stakeholder Impact (valuation) in Figure 1 to that described in Figure 2. The customer should be seen as more than a means to an end. The Ethical Filter has tested the PSI practice and proven PSIs that are not revealed openly to all stakeholders are unethical. The goal of the marketing enterprise is to seek the long-term good of the customer, the company, and society. This creates a marketing enterprise that rewards the ethical, economical, legal, moral, and Christ-like service to customers.

Application

Appendix A contains four application components (discussion questions, research, exercises, and role play) to engage students in a discussion on the ethical use of PSIs. Within each of these components are between one and five practical activities that will encourage the students to make the PSIs more real and more personal. Appendix B contains suggested answers for the discussion questions and exercises components. The answers are selected and edited responses from students involved in a graduate marketing course. Other answers may be deemed correct, but these should serve as a springboard for into a more detailed in-class interaction of students. It is the author's hope that these suggested activities will stimulate an informed dialogue in the class. The ultimate desired effect is to create more informed consumers and/or sales and marketing professionals.

Conclusion

The purpose of this model is to assist Christian educators in preparing their student populations for the marketplace that needs a filtering process. Many filters are available for the student's use. Preparation for the PSI dilemma can create a more positive experience if one seeks a lifestyle of service. It is possible that the student will have had no experience with this ethically charged dilemma until reading this study. Then the good taken from the professor's effort will be that of planting a seed of awareness. From this preparation the student will likely begin to see the use of other questionable promotional strategies.

As has been noted, the likelihood of students serving as personal selling agents is very high, and the decision to use PSIs could have a direct bearing on their income potential. The likelihood of the student being affected by the use of PSIs as a consumer is higher. Perhaps, students will be influenced on how and from whom they will engage in business by this study. It is expectations that seem to lead to the greatest disappointment or lethargy when sales personnel and consumers meet to make exchange. By being prepared with valid expectations, the student of this PSI model might directly impact the outcome of this exchange, whether buying or selling. It could be suggested that the preparation process could generate a greater understanding of the how the sales professional makes money, without leading to feelings of apathy on the part of the buying public. As Radin and Predmore (2002) deduced from their findings, the central reason that buyers were not surprised or shocked to find the questionable employment of PSIs on recent purchases was that they fully judged the sales person quite ready to participate in behavior accepted as unethical. How might this mindset influence the decision of Christians to enter into the sales profession? Could this mindset be altered by the action

of even one Christian selling professional who is ready (as a steward of their clientele) to provide their customer with the necessary information for a free and honest trade?

Christian servants could make a profound impression as they have the opportunity to direct such marketing campaigns that require efficient and effective movement of product with the information needed to give the customer the choice that is rightfully theirs. High ethical standards are not a dream of times past. PSIs can have a place in today's dynamic market, which prides itself on the flow of information, when the consumer is allowed access to all information that might help them determine the best choice. It is the consumer spending both money and time in the exchange. The servant-minded sales professionals will focus on building a business, one customer at a time, instead of making a quick exchange in their own favor, then hoping they never meet that person again. The former should be the most effective means of selling with or without PSIs.

This topic is quite open to further research in at least three areas. First, the type and timing of information in the decision process would be very helpful to determine. This would aid the marketing entity in meeting the customer's needs without creating an overwhelming exchange environment. In-store surveys could provide revealing insight into the mind of the real-time shopper. Second, the operational transparency of the marketing firm could be a great asset to the promotional process. In this day of growing collaboration and open sourcing, the transparent firm could be of interest, even highly prized. How much information can be fairly shared or strategically placed for customer access? E-commerce sites could be an ideal place to gather or share customer perceptions in this regard, via web logs. Let the customer speak, and the marketer listen and provide. Finally, the need to displace the customer's apathy in the personal expectations of the selling professional is quite acute. Firms may choose to establish valuable consumer protection practices in the selling environment, and make it clear to the customer how their purchase is being monitored for a delightful experience. Post purchase experiences could be gathered by follow-up contact emphasizing the firm's interest in the comfort and security of the shopping experience. PSIs should not, necessarily, be a negative element if the marketing entity sought such information before, during, and after the decision process by the end user.

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Appendix A

Classroom Activities for Ethical Model of Product-Specific Incentives

Discussion Questions

The following questions can be used to initiate classroom discussion concerning the ethical use of PSIs and SPIFFs. Note that suggested answers are given in Appendix B.

1.   What action can you take to be a more effective consumer in a PSI-friendly environment?
      a.   Tactically (short-term)?
      b.   Strategically (long-term)?

2.   What action can you take to be a more effective intermediary in a PSI-friendly environment?
      a.   Tactically (short-term; e.g., training)?
      b.   Strategically (long-term; e.g., determining the value of performance)?

3.   As a consumer, what would be your reaction to a sticker on the window of a new Jeep Cherokee stating, "Daimler-Chrysler wants you to know that your sales representative may receive a $500 bonus during the month of June if you purchase a new Jeep Cherokee?" But, none of the other manufacturers at a multiple-brand auto dealership provided such information.

4.   "Money to share?" In your opinion, what might be done with a manufacturer's SPIFF money that would create Efficiency in the showroom (retailer—intermediary), and fairness in the decision process (consumer)?

Research

The following areas of interest can be used to initiate research assignments concerning the ethical use of PSIs and SPIFFs.

1.   Conflict of Interest: Research the regulations in the real estate industry and discuss the likenesses and differences between the conflict of interest in this popular field and in the use of PSIs in other sales industries.

2.   In Rae and Wong's (1996) text, *Beyond Integrity: A Judeo-Christian approach to business* ethics, pp. 70-75, the authors suggest that trust can be replaced with power or knowledge in an ethical decision-making process. Can you think of a situation where you might have experienced this phenomenon?

3.   In the financial services industry, "churning" is frowned upon and has some regulatory issues recently applied to the practice. Define "churning" and what financial service companies are doing to protect the consumer from this incentive-driven issue.

4.   In the pharmaceutical industry, the manufacturers send their representatives directly to the physician's office with samples, meals, and other incentives to encourage doctors to write prescriptions of their products. How are these pharmaceutical representatives compensated? What is their pay based upon, or how do they keep their jobs? What regulations have recently been passed (or threatened) to curtail unethical use of product-specific incentives in this industry?

5.   Acquire a copy of the Xerox Selling Code and discuss the ethical repercussions of a proper sales proposal and the use of the term "knowingly" in relation to "gain at the expense of others." Reference: (Lazcniak & Murphy, 1993, pp. 205-206).

Exercises
        The following exercises can be used to further emphasize the effects and ethical use of PSIs and SPIFFs.

1.   Develop an ethical PSI Plan for efficiently moving home and electronic appliances from your OEM (Original Equipment Manufacturer) showroom floor.

2.   Write a mission statement or motto that would represent the ethical standards of your independent insurance office, which is constantly receiving PSIs from the multiple underwriters represented by your firm.

Role Play or Scenarios
        The following scenarios can be used to further develop the student's ability to determine the ethical use of PSIs and SPIFFs.

1.   *Lights:* Divide the participants into management (5 people), ownership (3 people), and sales professionals (12 people). Take the related sides and exchange your feelings on the scenario presented below (i.e., Camera and Action):

        Camera: Your family owns a 35-year old multiple-OEM appliance dealership, at which three family members are actively employed. You have just returned from

a two-week vacation to the Bahamas (paid for by the Whirlpool Corporation in gratitude for your previous year's sales figures) just in time for the annual sales "blowout" during the last weeks of winter. You just find out from your three managers that the General Electric (GE) factory representatives visited last week and offered your 12 sales personnel a direct $50-150 bonus (SPIFF) for every GE appliance sold during this blowout sale. You just got off of the phone with Frigidaire, from whom you just accepted a $5,000 bonus, contingent on your store selling 35-units of Frigidaire refrigerators or freezers—a store record.

Action: Take 10 minutes and disperse into the three groups assigned, and prepare your reasoning and argumentation. Come back together for a 30-minute discussion.

Appendix B

Suggested Answers for Classroom Activities for
Ethical Model of Product-Specific Incentives

The first nine activities suggested in this list were offered to graduate students after reading the article and taking a marketing course. Summarized below are some of the insights and determinations gleaned from these students. Although certainly not comprehensive, these answers are provided simply to assist the instructor in creating discussion with undergraduate students and/or guiding them to further research.

Discussion
1.   What action can you take to be a more effective consumer in a PSI-friendly environment?

As a consumer, I should make every effort to learn about the product I am interested in purchasing. I have an obligation to myself to research all facts about the product and its advantages and disadvantages as well. With the availability of consumer reports and numerous consumer information studies ignorance as a consumer is no excuse. The actions we take as consumers will allow us to be better shoppers. However, any additional information from the sales person is a plus. You may often find you know more about the product than the sales person does, but sometimes the sales representatives are very helpful in recommending a certain brand. Is this when we as consumers should ask if they are receiving incentives or bonuses for selling certain product brands? If we are educated to make responsible decisions when purchasing products, we have protected ourselves from the ethical issues of PSIs.

a. Tactically (short-term)? Short-term we are often at the mercy of the sales representatives. Therefore, we must be cognizant of the fact that the sales representatives may be earning incentives or bonuses and we have a right to know this prior to making a purchase. Often, short-term purchases are not going to consist of major purchases; however, circumstances can occur where we must rely

on the information that is readily available. Therefore, we as consumers must be well-informed shoppers even when we have not had the opportunity to plan for the purchase. Being able to effectively communicate with the sales representatives about the advantages and disadvantages of the various product choices will allow us as consumers to make good decisions based on product value and our satisfaction as a customer regardless of the incentive earned by the sales representative.

b. Strategically (long-term)? In regards to long-term strategy we should allow ample time to research our purchase since often these are major purchases. This is even more reason why we should be doing our homework. After all research and verbal communication with others who have owned the product is complete, we as consumers are prepared to go shopping. Additional information and expertise from sales representatives should be weighed based on our previous research. Often times as consumers, we are looking for a specific brand and will not care if the sales representative receives a commission or incentive for selling us that particular brand. In addition, because of brand loyalty we may still choose a particular brand even when we know that another product offers us a rebate or the sales representative an incentive. When major purchases are being made, often the consumer knows what product brand, model, style, etc. that they want regardless if the sales rep gets a bonus or incentive. It should raise a flag if the sale rep attempts to change our minds on the product we were initially looking to purchase. Again, I believe we as consumers have an obligation to be more knowledgeable when it comes to strategic purchases.

2. What action can you take to be a more effective intermediary in a PSI-friendly environment?

One way to be a more effective intermediary in a PSI-friendly environment would be to properly train employees on ethical sales techniques. In addition, I think that recruiting the right kinds of employees would be equally important. I would think that the most effective and ethically sound employees would be those that have a strong desire to determine what each customer needs and match that customer up with the product that your company offers that would meet those needs. It would also be very important that the employee be a team player. This would make certain that everyone was looking out for the betterment of the company—not just themselves. The best way to show the employees what is important to the company is to evaluate and reward them based on the behavior they exhibit towards customers and co-workers and how this fits with the company's objectives. For example, if it were most important to be a company with a strong marketing concept, you would want to base a larger portion of the evaluation on customer satisfaction.

a. Tactically (short-term; e.g., training)? As an intermediary, my role would be to act as a conduit between the consumer and the enterprise or between the buyer and the supplier. As an intermediary, I would be providing added value for the

transaction, by educating the consumer as well as training the sales reps to focus on the consumer's needs and wants first and foremost. My purpose is to meet the needs of the customers and to attain customer satisfaction. I would make known to all, the sales promotions/incentives available to the sales reps as well as any rebates for consumers. Producing this information upfront to the consumer will build a sense of trust in the beginning and the result could very well be a customer for life. This added trust enhances the relationship with the customer and acts as an ethical filter component. This is the PSI-friendly environment all enterprises should be looking for, where the company is open and honest with all product-specific incentives.

b. Strategically (long-term; e.g., determining the value of performance)? An intermediary in the long-term should be similar as in the short-term in that I would be adding value to the transaction between the sales rep and the consumer. With a focus on creating customer satisfaction and building a long-term relationship, I would focus on implementing a company-wide ethics system. A system that meets customer expectations is efficient in its manner of moving inventory, and effective in providing not only a benefit to the consumer but also motivating sales reps. The use of the Golden Rule says that ultimate ethical goals of holiness, justice, and love be maintained by exercising purity of communication, respect for others, and concern for the impact of the concealed information on others.

Have a well-developed PSI policy that is understood by all personnel. Have a system in place that measures various aspects of PSI implementation; effectiveness, churning levels, consumer feedback, etc.

Be honest and forthright with answers to questions. Focus training in methods that engender trust by taking time to listen to the needs and wants of the customer, and making them feel comfortable and confident in their selection, and not by intimidation or coercion through guilt, because a delighted customer will become a loyal customer.

3. As a consumer, what would be your reaction to a sticker on the window of a new Jeep Cherokee stating: "Daimler-Chrysler wants you to know that your sales representative may receive a $500 bonus during the month of June if you purchase a new Jeep Cherokee." But, none of the other manufacturers at a multiple-brand auto dealership provided such information?

My first reaction would be that Daimler-Chrysler is the only auto dealer with an incentive program at this time. However, that is an assumption and it may be that other manufacturers just did not want their promotional program information disclosed as such. As a consumer, my question would be is there additional promotions going on and if so, what are they? It would appear the auto dealership has implemented an ethics system. This allows customers to make choices that will lead to building long-term relationships with the company.

I don't believe it would be right to require someone who sold a car with a SPIFF to have to share their bonus. I believe in individual achievement and competition. I don't believe that a salesperson should sell someone an inferior product just because he is getting a bonus on that product, but who is to say if someone bought an item because they were sold or because it was what they really wanted. Who is to make that judgment call? Also, most people are aware of the levels of quality available in most products and are not that easily influenced, in my experience.

4. "Money to share?" In your opinion, what might be done with a manufacturer's SPIFF money that would create efficiency in the showroom (retailer—intermediary), and fairness in the decision process (consumer)?

I'm sure that this concept would not go over well with car salesmen, but I think it would be a great idea if SPIFF money went to charity. If the car manufacturer publicized this, it would be free advertisement for themselves, the charity, and the car dealership. This would decrease the likelihood of salespersons focusing on selling one vehicle over another, and the customer would be aware that part of the money they are spending would go to a worthy cause.

Although, the SPIFF money could be passed on to the consumer it is rarely done. Efficiency in the showroom consists of moving one brand or model from showroom floor. It also helps move the inventory and aids in enhancing sales rep's salaries by the incentive offered. One way to remain efficient, maintain good inventory turnover percentages, keep sales reps motivated and build long-term customer relationships is to offer a portion of the incentive to the consumer. This additional savings to the consumer, incentive to the sales rep and the moving of merchandise off the showroom floor maintains the efficiency as well as meeting the customers' needs, building a form of trust and a long-term relationship with customers. Customers will be delighted to find out they will get to share in the bonus from the manufacturer. In essence, they have been rewarded to buy the product and have exceeded their expectations when purchasing the product.

Research
1. Conflict of Interest: Research the regulations in the real estate industry and discuss the likenesses and differences between the conflict of interest in this popular field and in the use of PSIs in other sales industries.

The National Association of Realtors provides realtors with a code of ethics and standards of practice. It states that realtors pledge themselves to protect and promote the interest of their client. Realtors are not to mislead the owner as to market value and shall not mislead buyers as to the savings or benefits that might be realized through the realtors' services. Realtors are to avoid exaggeration, misrepresentation, or concealment of pertinent facts relating to the property or the transaction. Realtors are not allowed to accept any commission, rebate, or profit on expenditures made for their client without the client's knowledge or consent.

The term Realtor according to the National Association of Realtors represents competency, fairness, and high integrity resulting from adherence to a lofty ideal of moral conduct in business relations.

The Arkansas Real Estate Commission has available for quick reference a real estate guide on Sections 8 & 10 of the Arkansas Real Estate License Law of the Arkansas Real Estate Commission Regulations. Section 8.5 Fidelity and Honest Dealing says, "A licensee pledges to protect and promote the interests of the client. This obligation of absolute fidelity to the interest of the client is primary." Similar to PSI in other sales industries, the customer is their first obligation and their primary concern. However, in regards to commissions, not all commissions, rebates, or profit can be accepted without the client's knowledge or consent in the real estate business.

2.   In Rae and Wong's (1996) text, *Beyond Integrity: A Judeo-Christian approach to business ethics*, pp. 70-75, the authors suggest that trust can be replaced with power or knowledge in an ethical decision-making process. Can you think of a situation where you have experienced this phenomenon?

I recently purchased a new vehicle and had done quite a bit of research into the vehicles that I was interested in. After doing all the research, I narrowed it down to one particular automobile. Though I had very little trust in the salespeople at the local dealership, I was armed with the information I needed to make a good decision. I knew what my trade-in was worth, what monthly payment I was willing to make, and what I should expect to give for the new vehicle I was about to purchase. In my case, I started out with knowledge and the power to make an ethical decision—and be treated in an ethical manner—and I ended up almost trusting the salesperson I chose. I don't think that he was working necessarily to gain my trust, but rather to make sure I was given all the knowledge possible about my vehicle and the specifics of the transaction. However, because I already had so much information going into the transaction, the little steps my salesperson took to make sure I was getting my needs met showed me that he genuinely cared about his reputation, the dealership's name and the reputation of the automobile manufacturer. I still appreciate the ethical way in which I was treated and refer others to him as often as possible. I believe that serving people well is the best way to gain and maintain a business. One thing my salesperson told me is that one-time customers don't profit anyone as much as repeat customers and referrals—and those are the people he works to do business with. He has learned that by taking care of each one-time customer, he is working to gain a customer in the future.

Sure, every time I make a major purpose or decision in a service I choose I am relying on either the seller or provider (trusting them) or I am using my expertise and knowledge (power) to make the decision. I will say that when I was younger, I relied more on the sales rep or service provider to decide what was best for me. I had to trust in their decision, or so I thought because they were the experts., That

is not to say these individuals were not thinking in my best interest, however I did have to trust what they recommend was the best deal or solution for me.

As I have grown up, become more educated, mature and have unlimited access to information, I feel I am more knowledgeable and I have more power in making solid decisions. This is not without saying, I should listen to the advice of the sales reps or service providers because they may have additional information, rebates available, sales promotions, or additional discounts if I choose certain features on a product or buy a bundle service. However, I should have the opportunity to do research prior to all major purchases or contracting with service providers and be knowledgeable in these offers.

I recently began researching the benefits and disadvantages between a Plasma TV and a LCD TV. I spoke to several businesses and got varying opinions, and most often, the sales reps could not tell me the facts, only their personal preferences. However, I researched the internet and found specific advantages and disadvantages of both the Plasma and LCD TVs in regards to picture, differences in viewing the TV from different angles of the room, to the expected life of the TV, etc. I feel I am more knowledgeable and powerful in making a sound decision without relying on a sales rep.

3.   In the financial services industry, "churning" is frowned upon and has some regulatory issues recently applied to the practice. Define "churning" and what financial services companies are doing to protect the consumer from this incentive-driven issue.

Churning is an unethical practice employed by some financial advisors/brokers to increase their commissions by excessively trading in a client's account. It is the practice of executing trades for an investment account by a sales rep or broker in order to generate commission from the account. Churning is a "breach of securities law" in many jurisdictions, and it is generally actionable by the account holder for the return of the commission paid, and any losses occasioned by the broker's choice of stocks. In churning cases, the entire assets of the investor are often traded once a month, or even more frequently.

Churning violates the National Association of Securities Dealings (NASD) Fair Practice Rules, the New York Stock Exchange (NYSE), and Securities Exchange Commission (SEC) rules. The NASD has a specific rule that prohibits churning. It is Rule 2310-2(b)(2) and the NYSE's churning rule, Rule 408(c). All of the above listed entities and rules or laws are used to govern churning. For churning to occur, the broker must exercise control over the investment decisions in the client's account, thereby having fiduciary duties. Then the broker/advisor must engage in excessive trading in light of the financial resources and character of the account, risk profile, and investment goals, for the purpose of generating higher commissions. Accounts that reflect churning show some of the following characteristics: excessive and/or frequent trades, high commissions generated by

the trading activity, short-term trading, without any significant gain or loss on the transactions, and control of account by broker.

An analysis ratio called "turnover ratio" is used to determine whether trading is excessive. The total amount of purchases made in the account is divided by the average monthly equity in the account. That ration is then annualized by dividing the result by the number of months involved to get a per-month ratio, and multiplying that result by 12 to determine the turnover ratio. Turnover ratios can be an indication of excessive trading relative to the investment objectives in the account.

To determine if excessive commissions have been generated a review of the investor's portfolio and the fees associated with the trades, including short term trading without any significant gains or losses, is necessary. The difficult part of he churning analysis is to determine if the broker had control over the account, unless there is written documentation stating such. Control is the key fundamental element of a churning claim. Brokers who engage in the practice of churning may be liable to a client for the extra fess and/or commissions earned in that account.

High rates of turnover is one of the most incapacitating factors in financial services. Given that employee loyalty correlates with customer loyalty, constant churning of talent leads to churning of clients, a very costly outcome. The lack of training frequently promotes this turnover.

Securities professionals must know their customers' financial situation and refrain from making recommendations of securities that they have reason to believe are unsuitable. Every investor is different, and so are their investments. What may be right for one investor may not be for another. Great harm can be done to individual investors when securities professionals fail to live up to ethical standards.

On the other hand, the investor should exercise due care by regularly checking his/her financial statements to see what his/her portfolio is earning, what commissions are being paid, and what changes there have in the account holdings.

In the past, low or no tech solutions were used to detect problem broker behavior in which a broker engages in churning or excessive trading in a client's account in order to generate commission income. Although investors who have been cheated can resort to arbitration to recover some or all of their losses, some investors cannot recover their money for a variety of reasons and even when restitution is made, the process proves to be extremely embarrassing for the parties involved. Even if the conduct is entirely the fault of just one or a small group of individuals, it is the broker-dealer that suffers in terms of negative media coverage.

In response to fear of a backlash from regulators, financial and watchdog groups are coming up with guidelines regarding such conduct. Financial services industry

lately has moved to replace current commission structures with fees for services or levelized commissions. Also under scrutiny and serious reconsideration is the use of trips and vacations as bonuses for increased sales, since these are seen to foment tension between the brokers or agents and their clients. In 1995, the Securities and Exchange Commission recommended that brokerages on their own abandon contests or base them on meeting broad goals-such as increasing total sales. Similarly, the National Association of Securities Dealers, a self-regulatory group, has proposed barring most contests keyed to the sale of a particular product. State governments are also initiating gubernatorial executive orders to govern such practices, but ultimately it is up to the Securities and Exchange Commission and federal authorities to govern these activities and to investigate allegations of wrong doing.

4.   In the pharmaceutical industry, the manufacturer sends their representatives directly to the physician's office with samples, meals, and other incentives to encourage the doctor to write prescriptions of their products. How are these pharmaceutical representatives compensated? What is their pay based upon, or how do they keep their jobs? What regulations have recently been passed (or threatened) to curtail unethical use of product-specific incentives?

AMA guidelines state physicians should accept only gifts that entail a benefit to patients and that are of modest value. Individual gifts related to the physician's work, such as pens and notepads are also acceptable. In addition, no gifts should be accepted with strings attached.

In the early 1990s the AMA guidelines were designed to help curb inappropriate practices. By the late 1990s, these guidelines were not being followed. AMA task forces recommended an educational effort be initiated to raise awareness of the guidelines among physicians. In 2000, the AMA assembled the Working Group for the Communication of Ethical Guidelines on Gifts to Physicians from Industry. This group has continued to meet several times since the mid 2000 to address the need to raise awareness of ethical guidelines on gift giving. This group insists the ethical guidelines developed in 1990 provide a sound framework to minimize conflicts of interest and to prevent the integrity and trust in the patient-physician relationship from being compromised by promotional or marketing activities.

The initiative by AMA is not trying to limit promotion of products, however it is seeking greater adherence to ethical standards. Industry cares about its reputation with physicians and the public and that means adhering to high ethical standards is good business. They recognize that following ethical standards is the right thing to do. Every pharmaceutical company has their own internal guidelines on how relationships should evolve, including the issue of ethics. Any additional training for pharmaceutical sales reps is up to the individual pharmaceutical company.

Reps draw a base salary plus bonuses. All companies expect their reps to reach 100% of their goals. Anything over 100% can earn very large bonuses. Some companies track the number of *new* prescriptions and some go by the *total* number of prescriptions. Some may use a combination of both.

Most reps sell only two to four drugs, but they may be weighted differently by the company. Every company offers trips and other incentives to their top salespeople. There are also numerous sales contests that can offer substantial cash and other prizes. High performers also receive lots of recognition.

The following are efforts by physicians' organizations to regulate themselves from accepting gifts from pharmaceutical companies:

The American College of Physicians created a simple set of questions to guide doctor-representative interactions. In their Ethics Manual, they urge doctors to apply the following questions to a gift in order to determine if it is ethically appropriate:
a.   What would my patients and the public think of this arrangement? How would I feel if the media reported about the gift?
b.   What is the purpose of the industry offer?
c.   What would my colleagues think about this arrangement? What would I think if my own physician accepted this offer?

5.   Acquire a copy of the Xerox Selling Code and discuss the ethical repercussions of a proper sales proposal and the use of the term "knowingly" in relation to "gain at the expense of others." Reference: (Lazcniak and Murphy, 1993, pp. 205-206).

In Xerox's selling code, it states the sales reps must present a sales proposal with the customer's best interest in mind. It sounds as if Xerox is saying do not over sell to your customer, do not sell the customer something they will not use or does not need. Xerox's code all addresses to never knowingly misrepresent any Xerox product or service or price, and never knowingly misrepresent any competitor's product, service, or price. Sales reps are expected to be truthful and honest in every way with their customers in order to gain and retain the customers' trust thereby obtaining their loyalty to them, the company, and the products and services Xerox offers. The ethical repercussions of a proper sales proposal are Xerox's livelihood. It is critical sales reps understand that providing only the products needed by the customer will provide future sales for the company. The trusting relationships, quality of service, and honesty demonstrated by sales reps will establish more in terms of value and gains to the company than any "additional unnecessary products sold to the customer could ever produce. Xerox knows this by stating sales reps are not to knowingly or intentionally" mislead, misinform, or misguide a customer in any way simply to make a sale. Xerox is truly a customer market-driven company with the customer's interest its top priority.

The term "knowingly" is often used in legal documents and is defined as a person, with respect to information, has actual knowledge of the information or acts in deliberate ignorance or reckless disregard of the truth or falsity of the information, with knowledge; in a knowing manner; intelligently; consciously; deliberately. The terms "at the expense of others" is referring to Xerox's customers. The sales reps should not act in anyway that intentionally results in additional sales to the customer if the customer's best interest is not being considered. The ethical behavior of sales reps consists of being forthcoming, honest, and helpful to the customer. All the while, providing the customer the necessary information needed for the customer to decide the products and services needed. When customers are completely dependent on sales rep for information, the sales reps have a moral and ethical responsibility to recommend the products and services that best meet their needs. Xerox recognizes the importance of gaining the customer's trust and establishing a degree of loyalty that will build a life-long relationship. In order for this to take place, sales reps of Xerox must be trustworthy and honest with customers at all times, therefore not ever knowingly misguiding, misrepresenting, or misleading a customer.

One negative aspect to the Xerox selling code is that it also states that its employees should never knowingly do something for personal gain that is at the expense of others. While this is true and ethical, there needs to be an understanding that the employees are kept informed of ethical matters so that they cannot say that deception was unknowingly performed. In order to ethically meet the needs of customers, the sales reps must stay informed of the latest products and services Xerox and its competitors offer. In addition, they must be in constant contact with their customers in order to know what products will best meet their needs. In this way, they can better follow the code of conduct laid forth by the company.

The foundation of the Xerox Selling Code is two-fold: a person wants the product and the person trusts the sales rep. It recognizes the value of trust for the success of the firm. It is based upon establishing a relationship with the customer.

It places the responsibility of the "fundamental integrity of the entire corporation in the eyes of the public" upon the salesperson, claiming that they are also the custodians of the company's reputation. They are the point of contact with the company; they are the company.

It also establishes that management has responsibilities/obligations to the salesperson. Those responsibilities include keeping them informed, and encouraging communication between sales reps and sales managers, determining quickly and fairly the validity of any seeming infractions, acting promptly and decisively when deviations from the code occur, and making the code work and helping the salesperson make it work.

It states the belief that what is in the best interest of the customer is in the best interest of the company, not only in the long run, but in the short run also.

It states that there is clear understanding of the contractual obligations between the buyer and the seller.

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