# MANAGING INNOVATION AND CREATIVITY



MAN F385 – SUMMER 2010

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Course Web Page via Blackboard

# **Course Overview and Objectives**

In its December 2009 issue, the *Economist* stated that innovation "is now recognized as one of the most important contributors to economic growth." Earlier, in June 2006, *Business Week* observed that "making innovation work is the single most important business issue of our era." In fact, managing innovation has always been critical to the survival and growth of organizations, and an essential component of leadership. Innovation and creativity are just as important to established organizations as they are to start-up organizations that are typically referred to as innovative. Yet, as organizations get more established, they often lose their edge, finding their very existence to be threatened by their inability to manage for innovation and creativity. Obviously, some companies have done a much better job of stimulating innovation and creativity than others, and knowledge is rapidly accumulating regarding the effects of organizational policies, practices, structures, and cultures on innovation and creativity. This course will examine what we know about these topics.

Innovation depends on a complex set of variables reflecting individual, group, organizational, and contextual factors, and we will examine each of these levels of analysis. The course will draw on various theoretical foundations and business cases to develop an understanding of the factors that lead to successful innovation and creativity in organizations. The primary instructional method used in the course is case analysis, which is combined with lectures, exercises, and other pedagogical tools. This course will *not* focus on developing business plans, obtaining venture capital, starting new businesses from scratch, or identifying types of people who might start their own businesses. It *will* focus on the roles played by organizational processes, structures, systems, culture, and leadership in facilitating or hindering the creativity or innovativeness of individuals, groups, or organizations.

After completing this course, you should have a better appreciation and understanding of:

- The various types of innovations in organizations;
- The major organizational barriers to innovation and creativity;
- The roles played by leadership and organizational design in innovation and creativity;
- Steps in the innovation process, and mechanisms for directing and controlling the process;
- The components of individual and group creativity;
- Contextual influences on innovation and creativity within organizations;
- How organizations can improve their management of innovation and creativity.

#### **Materials**

Required: A course packet of articles and cases to be used in class is available from the University Co-Op. Additional readings may be handed out in class.

Please note that the schedule of classes below lists *optional* readings that are not included in the course packet. You may obtain those readings directly from their sources or from the library if you are interested in additional information on the respective topics.

## **Course Requirements and Grading**

In-class discussions are at the core of the learning in this course. The discussions will cover the readings and cases listed in the schedule of classes below, as well as any conceptual material that is presented in lectures in class. Please read all readings and cases in the order that they are presented in the syllabus. To help you prepare for class discussion of the cases, I have provided preparation questions for each case in the syllabus. In general, you should develop detailed knowledge of the content of the reading(s) and/or case(s) assigned for each class session as well as a reasoned perspective on the issues they raise. In addition, you should pay particular attention to how the issues apply to your own organization.

Your final grade for the course will be determined as a combination of the following:

Class participation – 20% (marked for each class session)
Midterm exam – 30% (in class on July 3, 2010)
Individual organizational analysis paper – 30% (due at the start of class on July 17, 2010)
Team innovation idea presentation – 20% (in class on July 17, 2010)

Plus/Minus grading applies to this course. Letter grades will be assigned in accordance with the grade distribution guidelines set for McCombs School of Business Executive MBA courses by the MBA Programs Committee, with a target mean of 3.5 out of 4.00 grade points.

The requirements for each graded component are outlined in greater detail below.

Class participation will be assessed based on your active contributions to in-class discussions. Students who find it difficult to speak in class should see me – we can schedule participation in discussions in advance so that you will know what points will be raised and can prepare your comments in advance. Since you cannot participate in class discussions if you miss all or part of a class, your participation grade will be negatively affected by absences and tardiness. The template used for grading participation is: absence = 0; missing part of a session plus minor contribution = 1; missing part of a session plus major contribution = 2; attending whole session plus minimal contribution = 3; attending whole session plus medium contribution = 4; attending whole session plus major contribution = 5. Also, disruptive actions such as comments that distract or disrupt the class rather than contribute to the conversation, or web surfing or e-mailing during class, take away from the class discussion and will negatively affect your class participation grade. If extenuating circumstances prevent you from attending a class session, you may make up your class participation points via a make-up assignment to be submitted prior to the class session (for up to two sessions), with prior permission from me. If you anticipate missing a class session, please get in touch with me at least one week in advance to request instructions for the make-up assignment.

The **midterm exam** will cover the assigned readings, any additional handouts, lectures, class discussions, and exercises. The exam will test your knowledge of theories and concepts as well as your understanding of how these theories and concepts apply to organizational situations. The exam is open-book/notes. Additional instructions for the exam will be provided in class.

In the **organizational analysis paper** (Limit: 10 pages, 12 point Times New Roman font, double spaced, 1-inch margins; not including appendices or any other supporting material) you will apply the concepts covered in the course to an organization. The organization that you select for analysis can be your current organization or another organization with which you are very familiar (e.g., a former employer); please select an appropriate unit/level for the organization you analyze – for example, if you work for GE, you should focus on your business within GE rather than the entire corporation. For the chosen organization, you will conduct an analysis of innovation and innovation capabilities of the organization. The paper should consist of a short overview of the organization as well as the context in which it operates (its industry, its financial situation, etc.), an analysis portion, and a recommendations portion. In the analysis portion, please describe and assess/analyze the organization's capabilities and platforms for innovation, leadership framework for innovation, culture and its effects on innovation, innovation systems and processes, and mechanisms for directing and controlling innovation. In the recommendations portion, please discuss concrete steps that the organization can take in order to become more innovative, and discuss what associated changes will be necessary in order to implement your

recommendations (imagine that you are presenting your recommendations to someone with decision making authority over this organization – e.g., the board). Your paper is due in hard copy **at the start of the last class session.** Late submissions will incur a grade penalty of 25% of the possible total grade for the assignment per day or part thereof late.

For the **innovation idea presentation** (in the **last class session**), you will work in a team to make a 15-minute presentation of an innovation idea designed for an organization that one of the team members analyzed for his or her organizational analysis paper. If you wish to choose an organization that none of your team members has analyzed for the organizational analysis paper, that is fine, but please understand that it will entail additional work to understand the organizational context of the organization that you choose. The presentation should include a brief description of the organization and its context, then present the idea and its intended benefits to the organization, and then explain how it will be implemented, taking into account the structure, culture, and processes in the organization (i.e., you need to discuss how those factors will play a role as either supports or challenges to implementing the innovation idea, and how you will deal with them). Each presentation will be followed by 15 minutes of Q&A. Please turn in a hard copy of your presentation slides at the start of the presentations portion of class.

## NOTES ON TEAM WORK:

At the end of the course, you will be asked to assess the contributions of each team member to the team's work on the innovation idea presentation. Based on your feedback, individual grades for the presentation may be adjusted by an amount determined by the instructor, in order to ensure equity.

During your work on the assignment, if you feel that one or more of your team's members is/are not contributing sufficiently to the team's work, please provide this feedback to the team member(s), along with the changes that you would like to see. If the person's behavior does not change, please inform me.

# McCombs Classroom Professionalism Policy

The highest professional standards are expected of all members of the McCombs community. The collective class reputation and the value of the Texas MBA experience hinge on this.

Faculty are expected to be professional and prepared to deliver value for each and every class session. Students are expected to be professional in all respects.

The Texas MBA classroom experience is enhanced when:

- Students arrive on time. On time arrival ensures that classes are able to start and finish at the scheduled time. On time arrival shows respect for both fellow students and faculty and it enhances learning by reducing avoidable distractions.
- **Students display their name cards.** This permits fellow students and faculty to learn names, enhancing opportunities for community building and evaluation of in-class contributions.
- **Students minimize unscheduled personal breaks.** The learning environment improves when disruptions are limited.
- Students are fully prepared for each class. Much of the learning in the Texas MBA program takes place during classroom discussions. When students are not prepared they cannot contribute to the overall learning process. This affects not only the individual, but their peers who count on them, as well.
- Students respect the views and opinions of their colleagues. Disagreement and debate are encouraged. Intolerance for the views of others is unacceptable.
- Laptops are closed and put away. When students are surfing the web, responding to e-mail, instant messaging each other, and otherwise not devoting their full attention to the topic at hand they are doing themselves and their peers a major disservice. Those around them face additional distraction. Fellow students cannot benefit from the insights of the students who are not engaged. Faculty office hours are spent going over class material with students who chose not to pay attention, rather than truly adding value by helping students who want a better understanding of the material or want to explore the issues in more depth.

Students with real needs may not be able to obtain adequate help if faculty time is spent repeating what was said in class. There are often cases where learning is enhanced by the use of laptops in class. Faculty will let you know when it is appropriate to use them. In such cases, professional behavior is exhibited when misuse does not take place.

• Phones and wireless devices are turned off. We've all heard the annoying ringing in the middle of a meeting. Not only is it not professional, it cuts off the flow of discussion when the search for the offender begins. When a true need to communicate with someone outside of class exists (e.g., for some medical need) please inform the professor prior to class.

## **Academic Dishonesty**

I have no tolerance for acts of academic dishonesty. Such acts damage the reputation of the school and the degree and demean the honest efforts of the majority of students. The minimum penalty for an act of academic dishonesty will be a zero for that assignment or exam.

The responsibilities for both students and faculty with regard to the Honor System are described on <a href="http://mba.mccombs.utexas.edu/students/academics/honor/index.asp">http://mba.mccombs.utexas.edu/students/academics/honor/index.asp</a> and on the final pages of this syllabus. As the instructor for this course, I agree to observe all the faculty responsibilities described therein. During Orientation, you signed the Honor Code Pledge. In doing so, you agreed to observe all of the student responsibilities of the Honor Code. If the application of the Honor System to this class and its assignments is unclear in any way, it is your responsibility to ask me for clarification.

#### Students with Disabilities

Upon request, the University of Texas at Austin provides appropriate academic accommodations for qualified students with disabilities. Services for Students with Disabilities (SSD) is housed in the Office of the Dean of Students, located on the fourth floor of the Student Services Building. Information on how to register, downloadable forms, including guidelines for documentation, accommodation request letters, and releases of information are available online at http://deanofstudents.utexas.edu/ssd/index.php. Please do not hesitate to contact SSD at (512) 471-6259, VP: (512) 232-2937 or via e-mail if you have any questions.

#### Schedule

## PART 1: THE ORGANIZATIONAL CONTEXT FOR INNOVATION AND CREATIVITY

This part of the course focuses on the effects of organizational design variables such as organizational structure, culture, and capabilities as well as leadership and innovation process management, on innovation and creativity in organizations.

## **SESSION 1. JUNE 4, 1:00 PM – 5:00 PM**

## What is innovation and how does it happen?

• The 12 different ways for companies to innovate. HBSP Product #: SMR207.

## The challenge of innovating within established organizations

- Disruptive technologies: Catching the wave. HBSP Product #: 95103.
- Case: Boston.com. HBSP Product #: 9-800-165.
  - In what ways are the operations of Boston.com different from those of print newspapers such as the Boston Globe?
  - Does the Web represent an opportunity or threat for the Boston Globe?
  - In what ways is the Web a disruptive v/s sustaining technology for the Boston Globe?
  - Evaluate Boston.com's current role in the Boston Globe organization.
  - What if anything should the Boston Globe do differently with Boston.com?
  - Given the threats and opportunities facing Boston.com and its parent company, should Boston.com pursue a "Get Big Fast" strategy?

- The ambidextrous organization. HBSP Product #: R0404D. (This article was part of the EMBA Strategy course in Fall 2009)
- The World Bank's innovation market. HBSP Product #: R0211H.

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#### **SESSION 2. JUNE 5, 8:00 AM – 2:00 PM**

# Developing capabilities to innovate within existing organizations

- Case: GE's growth strategy: The Immelt initiative. HBSP Product #: 9-306-087.
  - How difficult was the task facing Immelt as he assumed the CEO role in 2001? What were the imperatives for change? What were the incentives to maintain the past?
  - What do you think of the broad objectives Immelt has set for GE? Can a giant global conglomerate hope to outperform the overall market growth? Can size and diversity be made an asset rather than a liability?
  - What are the core elements of the growth strategy Immelt has articulated? What do you think of his strategy? Is he betting on the right things to drive growth?
  - After 4½ years, is Immelt succeeding in his objectives? How well is he implementing his strategy? What are his greatest achievements? What is most worrying to you?
  - What advice would you offer to Immelt as he faces the next stage of his leadership of GE?
- Case: GE's Imagination Breakthroughs: The Evo Project. HBSP Product #: 9-907-048.
  - What is your evaluation of Immelt's new organic growth strategy? Why change GE's existing successful strategy? Is it reasonable to expect that a \$125 billion global giant can significantly and consistently outperform the underlying economic growth rate?
  - Is Immelt betting on the right things to drive growth in GE? Can he hope to change a company whose growth was driven by acquisitions and productivity improvement into an organic growth company dependent on innovation, entrepreneurship, and risk-taking -- particularly in such a large, complex, performance-driven corporation?
  - How have the Locomotive IBs been able to survive in the wake of the failure of the AC 6000, the initial difficulty in obtaining orders for Evo, the continual redefinition of the global Evo product, and the failure to make Hybrid commercially viable?
  - What action should the Transportation business take regarding the Hybrid locomotive?

# Designing an innovative culture

- Case: 3M: Profile of an innovating company. HBSP Product #: 9-395-016.
  - What are the key elements of 3M's vaunted innovation culture?
  - What are the core values underlying the 3M culture?
  - How did this culture come about? How is it maintained?
  - When McNerney took over as the CEO of 3M, he sought to impose discipline on innovation at 3M. This included implementing Six Sigma at the company. What do you think of this drive for discipline in the innovation process?
- Case: Keeping Google Googley. HBSP Product #: 9-409-039.
  - What are the distinctive characteristics of Google's organizational and management practices?
  - How do these characteristics affect its ability to innovate?
  - What are the biggest challenges that Google faces? What makes you optimistic or pessimistic about Google's ability to handle them?

- Building breakthrough businesses within established organizations. HBSP Product #: R0505C. (This article was part of the EMBA Strategy course in Fall 2009)
- Bringing Silicon Valley inside. HBSP Product #: 99504.
- 3M + GE = ? *Fortune*, August 12, 2002
- At 3M, a struggle between efficiency and creativity. Business Week, June 11, 2007.

#### **SESSION 3. JUNE 18, 1:00 PM – 5:00 PM**

# Leading innovation

- Case: Applied Research Technologies, Inc.: Global Innovation's Challenges. HBSP Product No.: 4168.
  - As Peter Vyas, how would you handle the expenditure request for the re-launch of the mini water oxidation system?
  - As Cynthia Jackson, would you approve the expenditure request if Vyas sends it up to you?
  - What is Vyas's role as a front-line manager at ART? How effective has he been?
  - What is Jackson's role as a division vice-president at ART? How effective has she been?
  - What is CEO David Hall's role in fostering innovation at ART?

## Organizing for innovation

- Case: Emerging Business Opportunities at IBM (A). HBSP Product #: 9-304-075.
  - What were the primary barriers to innovation at IBM?
  - What do you think of the "horizons of growth" model?
  - How did the EBO management system evolve over time?
  - What are the key elements of the current EBO management system? What is your assessment of the system?
  - How should Harreld deal with those businesses now reading H2 status?
  - How should Harreld increase the number of EBOs?
- Case: BP's Office of the Chief Technology Officer: Driving open innovation through an advocate team. HBSP Product #: KEL366.
  - Should the CTO office be expanded so that it can take on more projects in areas in which it may not have technical coverage or business unit knowledge?
  - Should the CTO office request a larger budget so that it can perform more detailed "due diligence" and experimentation, as opposed to having to abandon a concept if a business unit cannot be found that is willing or able to fund even an initial small-scale pilot project?
  - Considering the changes in the IT world since the dot-com crash of 2000, would the CTO office benefit from developing new capabilities for finding, evaluating, and transitioning technologies? Would you recommend any particular areas for future Blue Chalk? Should the CTO office pursue technologies beyond digital and IT-related technologies?
  - How might engagement with business units and top BP executives be improved, and to what ends?
  - How can BP improve on its leveraging of outside partners in technology seeking and application experimentation?

- Leading Clever People. HBSP Product #: R0703D.
- Dawn of the idea czar. *Business Week*, April 10, 2006.
- Connect and Develop: Inside Procter & Gamble's New Model for Innovation. HBSP Product #: R0603C.

#### **SESSION 4. JUNE 19, 8:00 AM – 2:00 PM**

# **Directing and controlling the innovation process**

- Case: Managing Innovation at Nypro, Inc. (A). HBSP Product #: 9-696-061.
  - How would you characterize Lankton's "mental model" of his business, and how does his model contrast with the mental models that other managers have demonstrated in the cases that we have discussed in this course? Note: "Mental models are deeply ingrained assumptions, generalizations, or even pictures or images that influence how we understand the world and how we take action" (*The Fifth Discipline* by Peter Senge, Doubleday, 1990, p. 8).
  - What is the process employed at Nypro to identify and standardize upon important innovations?
  - Can you make any generalizations about what sorts of innovations are likely to thrive within Nypro's "internal marketplace" for technologies? What sorts of innovations are likely to languish?
  - How should Lankton roll out the Novaplast technology?
- Case: We've got rhythm! Medtronic Corporation's cardiac pacemaker business. HBSP Product #: 9-698-004.
  - Review the history of how Medtronic nearly lost its position as market leader in the 1970s and 1980s. Chart on a piece of paper what the root causes of those outcomes were.
  - Which of the improvements in the new product development process that the Medtronic management team implemented strike you as having been particularly critical to turning the company around?
  - What do the concepts of product line architecture and train schedule mean in the pacemaker business? What are the costs and benefits of having implemented these concepts as the Medtronic management team has done? What elements of Medtronic's approach could be applied in other business settings?
  - Evaluate the nature of senior management involvement in Medtronic's implementation of its product development system. Which elements of the system does senior management need to be intimately involved in, and which can it delegate or pay less attention to?
- Case: Best Buy Co. Inc. (A): An innovator's journey. HBSP Product #: 9-604-043.
  - What are the stages of the innovation process employed at Best Buy?
  - Who were involved in each stage of the innovation process and what were their roles?
  - What mechanisms were developed to foster innovation at Best Buy?
  - What aspects of the I-journey would you recommend that Best Buy transfer to other parts of its operations?
- Case: What's the BIG idea? (A). HBSP Product #: 9-602-105.
  - Why does BIG seem better able to identify and bring to market innovative toy concepts, whereas the major toy companies feel they are in a period of a "lack of innovation" (p. 3)?
  - How proprietary or defensible is BIG's system? Could one of the major toy companies replicate it? Why or why not?
  - Can BIG replicate its system in other industries, such as home and garden?

- The Innovation Value Chain. HBSP Product #: R0706J.
- Innovation processes. HBSP Product #: 1579BC.

#### PART 2: APPROACHES TO GENERATING INNOVATION AND CREATIVITY

This part of the course focuses on specific methodologies and approaches which individuals, groups, and organizations can use to stimulate innovation and creativity. Through a variety of hands-on experiences and exercises, students will develop an enhanced appreciation for their own creative capacity and will learn a set of tools and approaches that can be used to stimulate creativity and innovation by others in their organizations.

#### **SESSION 5. JULY 2, 1:00 PM - 5:00 PM**

# **Design-Driven Product and Process Innovation**

- Innovation as a learning process: Embedding design thinking. HBSP Product #: CMR377.
- Case: IDEO product development. HBSP Product #: 9-600-143.
  - How would you characterize IDEO's innovation process, organization, culture, and leadership?
  - Should IDEO accept the Visor project as is (on a dramatically reduced schedule)? Should they
    try to persuade Handspring's management to change its aggressive launch schedule? Or should
    they simply decline the project? As you think about these questions, please consider the IDEO
    and Handspring perspectives.
- Toolkit: The customer-centered innovation map. HBSP Product #: R0805H.
  - Using the job mapping template described in the article, create a job map of a customer job of your choice.

- Design thinking. HBSP Product #: R0806E.
- The ten faces of innovation. HBSP Product #: ROT022.
- The science of desire. *Business Week*, June 5, 2006.

#### SESSION 6. JULY 3, 8:00 AM – 2:00 PM

# Service innovation through experimentation

- Case: Bank of America (A). HBSP Product #: 9-603-022.
  - What should Brady and Butler do? Should they accept or decline the 10 additional branches? Why do you say so?
  - How would you characterize BoA's innovation development system? What are your observations on process, organization, management, and culture?
  - What constitutes an experiment at the bank? What does it mean to test a service?
  - What are the strengths and weakness of BoA's innovation system?

## **Management innovation**

• The Why, What, and How of Management Innovation. HBSP Product #: R0602C.

# Optional readings (not included in the course packet):

- Creating new markets through service innovation. HBSP Product #: SMR195.
- Deep Change: How Operational Innovation Can Transform Your Company. HBSP Product #: R0404E.
- How management innovation happens. HBSP Product #: SMR217.

#### MIDTERM EXAM

Two-hour in-class open book/notes exam.

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## **SESSION 7. JULY 16, 1:00 PM – 5:00 PM**

# Stimulating individual and group creativity

- The Innovator's DNA. HBSP Product #: R0912E.
- Case: What's stifling the creativity at Coolburst? HBSP Product #: 97511X.
  - What about the company (structural features, policies, practices, reward systems, culture, management style, employees) is stifling the creativity of individuals and groups at CoolBurst?
  - What changes are needed to make CoolBurst an innovative organization?
  - What will Luisa Reboredo need to do in order to implement these changes successfully?
- Case: Medisys Corp. HBSP Product #: 4059.
  - How well is this team performing, and why? What factors are posing challenges to the team?
  - What should Merz do?
  - What does the case illustrate about tasks in managing the innovation process?

- How to kill creativity. HBSP Product #: 98501.
- The role of tacit knowledge in group innovation. HBSP Product #: CMR111.
- Creativity overflowing. *Business Week*, May 8, 2006.

# **SESSION 8. JULY 17, 8:00 AM - 2:00 PM**

## Contextual Influences on Innovation - Innovation in a Global Context

- How GE is disrupting itself. HBSP Product #: R0910D.
- Innovation at the base of the pyramid. HBSP Product #: SMR267.

# INDIVIDUAL ORGANIZATIONAL ANALYSIS PAPER Due at the start of class

# TEAM INNOVATION IDEA PRESENTATIONS

Presentations: 15 minutes each; Q&A: 15 minutes each

Hard copy of presentation slides due at the start of the presentations portion of class

#### **Honor Code Purpose**

Academic honor, trust and integrity are fundamental to The University of Texas at Austin McCombs School of Business community. They contribute directly to the quality of your education and reach far beyond the campus to your overall standing within the business community. The University of Texas at Austin McCombs School of Business Honor System promotes academic honor, trust and integrity throughout the Graduate School of Business. The Honor System relies upon The University of Texas Student Standards of Conduct (Chapter 11 of the Institutional Rules on Student Service and Activities) for enforcement, but promotes ideals that are higher than merely enforceable standards. Every student is responsible for understanding and abiding by the provisions of the Honor System and the University of Texas Student Standards of Conduct. The University expects all students to obey the law, show respect for other members of the university community, perform contractual obligations, maintain absolute integrity and the highest standard of individual honor in scholastic work, and observe the highest standards of conduct. Ignorance of the Honor System or The University of Texas Student Standards of Conduct is not an acceptable excuse for violations under any circumstances.

The effectiveness of the Honor System results solely from the wholehearted and uncompromising support of each member of the Graduate School of Business community. Each member must abide by the Honor System and must be intolerant of any violations. The system is only as effective as you make it.

#### **Faculty Involvement in the Honor System**

The University of Texas at Austin McCombs School of Business Faculty's commitment to the Honor System is critical to its success. It is imperative that faculty make their expectations clear to all students. They must also respond to accusations of cheating or other misconduct by students in a timely, discrete and fair manner. We urge faculty members to promote awareness of the importance of integrity through in-class discussions and assignments throughout the semester.

## **Expectations Under the Honor System**

#### Standards

If a student is uncertain about the standards of conduct in a particular setting, he or she should ask the relevant faculty member for clarification to ensure his or her conduct falls within the expected scope of honor, trust and integrity as promoted by the Honor System. This applies to all tests, papers and group and individual work. Questions about appropriate behavior during the job search should be addressed to a professional member of the Career Services Office. Below are some of the specific examples of violations of the Honor System.

# Lying

Lying is any deliberate attempt to deceive another by stating an untruth, or by any direct form of communication to include the telling of a partial truth. Lying includes the use or omission of any information with the intent to deceive or mislead. Examples of lying include, but are not limited to, providing a false excuse for why a test was missed or presenting false information to a recruiter.

#### **Stealing**

Stealing is wrongfully taking, obtaining, withholding, defacing or destroying any person's money, personal property, article or service, under any circumstances. Examples of stealing include, but are not limited to, removing course material from the library or hiding it from others, removing material from another person's mail folder, securing for one's self unattended items such as calculators, books, book bags or other personal property. Another form of stealing is the duplication of copyrighted material beyond the reasonable bounds of "fair use." Defacing (e.g., "marking up" or highlighting) library books is also considered stealing, because, through a willful act, the value of another's property is decreased. (See the appendix for a detailed explanation of "fair use.")

## Cheating

Cheating is wrongfully and unfairly acting out of self-interest for personal gain by seeking or accepting an unauthorized advantage over one's peers. Examples include, but are not limited to, obtaining questions or answers to tests or quizzes, and getting assistance on case write-ups or other projects beyond what is authorized by the assigning instructor. It is also cheating to accept the benefit(s) of another person's theft(s) even if not actively sought. For instance, if one continues to be attentive to an overhead conversation about a test or case write-up even if initial exposure to such information was accidental and beyond the control of the student in question, one is also cheating. If a student overhears a conversation or any information that any faculty member might reasonably wish to withhold from the student, the student should inform the faculty member(s) of the information and circumstance under which it was overheard.

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#### Actions Required for Responding to Suspected and Known Violations

As stated, everyone must abide by the Honor System and be intolerant of violations. If you suspect a violation has occurred, you should first speak to the suspected violator in an attempt to determine if an infraction has taken place. If, after doing so, you still believe that a violation has occurred, you must tell the suspected violator that he or she must report himself or herself to the course professor or Associate Dean of the Graduate School of Business. If the individual fails to report himself or herself within 48 hours, it then becomes your obligation to report the infraction to the course professor or the Associate Dean of the Graduate School of Business. Remember that although you are not required by regulation to take any action, our Honor System is only as effective as you make it. If you remain silent when you suspect or know of a violation, you are approving of such dishonorable conduct as the community standard. You are thereby precipitating a repetition of such violations.

## The Honor Pledge

The University of Texas at Austin McCombs School of Business requires each enrolled student to adopt the Honor System. The Honor Pledge best describes the conduct promoted by the Honor System. It is as follows:

"I affirm that I belong to the honorable community of The University of Texas at Austin Graduate School of Business. I will not lie, cheat or steal, nor will I tolerate those who do."

"I pledge my full support to the Honor System. I agree to be bound at all times by the Honor System and understand that any violation may result in my dismissal from the Graduate School of Business."

The following pages provide specific guidance about the Standard of Academic Integrity at the University of Texas at Austin. Please read it carefully and feel free to ask me any questions you might have.

# Excerpts from the University of Texas at Austin Office of the Dean of Students website

(http://deanofstudents.utexas.edu/sjs/acint\_student.php)

## The Standard of Academic Integrity

A fundamental principle for any educational institution, academic integrity is highly valued and seriously regarded at The University of Texas at Austin, as emphasized in the standards of conduct. More specifically, you and other students are expected to "maintain absolute integrity and a high standard of individual honor in scholastic work" undertaken at the University (Sec. 11-801, Institutional Rules on Student Services and Activities). This is a very basic expectation that is further reinforced by the University's Honor Code. At a minimum, you should complete any assignments, exams, and other scholastic endeavors with the utmost honesty, which requires you to:

- acknowledge the contributions of other sources to your scholastic efforts;
- complete your assignments independently unless expressly authorized to seek or obtain assistance in preparing them;
- follow instructions for assignments and exams, and observe the standards of your academic discipline; and
- avoid engaging in any form of academic dishonesty on behalf of yourself or another student.

For the official policies on academic integrity and scholastic dishonesty, please refer to <a href="Chapter 11">Chapter 11</a> of the Institutional Rules on Student Services and Activities.

#### What is Scholastic Dishonesty?

In promoting a high standard of academic integrity, the University broadly defines scholastic dishonesty—basically, all conduct that violates this standard, including *any act designed to give an unfair or undeserved academic advantage*, such as:

- Cheating
- Plagiarism
- Unauthorized Collaboration
- Collusion
- Falsifying Academic Records
- Misrepresenting Facts (e.g., providing false information to postpone an exam, obtain an extended deadline for an assignment, or even gain an unearned financial benefit)
- Any other acts (or attempted acts) that violate the basic standard of academic integrity (e.g., multiple submissions—submitting essentially the same written assignment for two courses without authorization to do so)

Several types of scholastic dishonesty—<u>unauthorized collaboration</u>, <u>plagiarism</u>, and <u>multiple submissions</u>—are discussed in more detail on this Web site to correct common misperceptions about these particular offenses and suggest ways to avoid committing them.

For the University's official definition of scholastic dishonesty, see <u>Section 11-802</u>, *Institutional Rules on Student Services and Activities*.

#### **Unauthorized Collaboration**

If you work with another person on an assignment for credit without the instructor's permission to do so, you are engaging in unauthorized collaboration.

- This common form of academic dishonesty can occur with all types of scholastic work—papers, homework, tests
  (take-home or in-class), lab reports, computer programming projects, or any other assignments to be submitted for
  credit.
- For the University's official definitions of unauthorized collaboration and the related offense of collusion, see Sections 11-802(c)(6) & 11-802(e), Institutional Rules on Student Services and Activities.

Some students mistakenly assume that they can work together on an assignment as long as the instructor has not expressly prohibited collaborative efforts.

Actually, students are expected to complete assignments independently unless the course instructor indicates
otherwise. So working together on assignments is not permitted unless the instructor specifically approves of any
such collaboration.

Unfortunately, students who engage in unauthorized collaboration tend to justify doing so through various rationalizations. For example, some argue that they contributed to the work, and others maintain that working together on an assignment "helped them learn better."

- The instructor—not the student—determines the purpose of a particular assignment and the acceptable method for
  completing it. Unless working together on an assignment has been specifically authorized, always assume it is not
  allowed.
- Many educators do value group assignments and other collaborative efforts, recognizing their potential for
  developing and enhancing specific learning skills. And course requirements in some classes do consist primarily of
  group assignments. But the expectation of individual work is the prevailing norm in many classes, consistent with the
  presumption of original work that remains a fundamental tenet of scholarship in the American educational system.

## Some students incorrectly assume that the degree of any permissible collaboration is basically the same for all classes.

- The extent of any permissible collaboration can vary widely from one class to the next, even from one project to the next within the same class.
- Be sure to distinguish between collaboration that is authorized for a particular assignment *and* unauthorized collaboration that is undertaken for the sake of expedience or convenience to benefit you and/or another student. By failing to make this key distinction, you are much more likely to engage in unauthorized collaboration. To avoid any such outcome, always seek clarification from the instructor.

## Unauthorized collaboration can also occur in conjunction with group projects.

• How so? If the degree or type of collaboration exceeds the parameters expressly approved by the instructor. An instructor may allow (or even expect) students to work together on one stage of a group project but require independent work on other phases. Any such distinctions should be strictly observed.

Providing another student unauthorized assistance on an assignment is also a violation, even without the prospect of benefiting yourself.

- If an instructor did not authorize students to work together on a particular assignment *and* you help a student complete that assignment, you are providing unauthorized assistance and, in effect, facilitating an act of academic dishonesty. Equally important, you can be held accountable for doing so.
- For similar reasons, you should not allow another student access to your drafted or completed assignments unless the instructor has permitted those materials to be shared in that manner.

#### **Plagiarism**

Plagiarism is another serious violation of academic integrity. In simplest terms, this occurs if you represent as your own work any material that was obtained from another source, regardless how or where you acquired it.

- Plagiarism can occur with *all* types of media—scholarly or non-academic, published or unpublished—written publications, Internet sources, oral presentations, illustrations, computer code, scientific data or analyses, music, art, and other forms of expression. (See Section 11-802(d) of the *Institutional Rules on Student Services and Activities* for the University's official definition of plagiarism.)
- Borrowed material from written works can include entire papers, one or more paragraphs, single phrases, or any
  other excerpts from a variety of sources such as books, journal articles, magazines, downloaded Internet documents,
  purchased papers from commercial writing services, papers obtained from other students (including homework
  assignments), etc.
- As a general rule, the use of any borrowed material results in plagiarism if the original source is not properly acknowledged. So you can be held accountable for plagiarizing material in either a final submission of an assignment *or* a draft that is being submitted to an instructor for review, comments, and/or approval.

Using *verbatim* material (e.g., exact words) without proper attribution (or credit) constitutes the most blatant form of plagiarism. However, other types of material can be plagiarized as well, such as *ideas* drawn from an original source or even its *structure* (e.g., sentence construction or line of argument).

• Improper or insufficient paraphrasing often accounts for this type of plagiarism. (See additional information on paraphrasing.)

#### Plagiarism can be committed intentionally or unintentionally.

- Strictly speaking, any use of material from another source without proper attribution constitutes plagiarism, regardless why that occurred, and any such conduct violates accepted standards of academic integrity.
- Some students deliberately plagiarize, often rationalizing this misconduct with a variety of excuses: falling behind
  and succumbing to the pressures of meeting deadlines; feeling overworked and wishing to reduce their workloads;
  compensating for actual (or perceived) academic or language deficiencies; and/or justifying plagiarism on other
  grounds.
- But some students commit plagiarism without intending to do so, often stumbling into negligent plagiarism as a result of sloppy notetaking, insufficient paraphrasing, and/or ineffective proofreading. Those problems, however, neither justify nor excuse this breach of academic standards. By misunderstanding the meaning of plagiarism and/or failing to cite sources accurately, you are much more likely to commit this violation. Avoiding that outcome requires, at a minimum, a clear understanding of plagiarism and the appropriate techniques for scholarly attribution. (See related information on paraphrasing; notetaking and proofreading; and acknowledging and citing sources.)

By merely changing a few words or rearranging several words or sentences, you are *not* paraphrasing. Making minor revisions to borrowed text amounts to plagiarism.

• Even if properly cited, a "paraphrase" that is too similar to the original source's wording and/or structure is, in fact, plagiarized. (See additional information on <u>paraphrasing</u>.)

Remember, your instructors should be able to clearly identify which materials (e.g., words and ideas) are your own and which originated with other sources.

• That cannot be accomplished without proper attribution. You must give credit where it is due, acknowledging the sources of any borrowed passages, ideas, or other types of materials, and enclosing any verbatim excerpts with quotation marks (using block indentation for longer passages).

#### Plagiarism & Unauthorized Collaboration

<u>Plagiarism</u> and <u>unauthorized collaboration</u> are often committed jointly.

By submitting *as your own work* any unattributed material that you obtained from other sources (including the contributions of another student who assisted you in preparing a homework assignment), you have committed plagiarism. And if the instructor did not authorize students to work together on the assignment, you have also engaged in unauthorized collaboration. Both violations contribute to the same fundamental deception—representing material obtained from another source as your own work.

Group efforts that extend beyond the limits approved by an instructor frequently involve plagiarism in addition to unauthorized collaboration. For example, an instructor may allow students to work together while researching a subject, but require each student to write a separate report. If the students collaborate while writing their reports *and* then submit the products of those joint efforts as individual works, they are guilty of unauthorized collaboration as well as plagiarism. In other words, the students collaborated on the written assignment without authorization to do so, and also failed to acknowledge the other students' contributions to their own individual reports.

## **Multiple Submissions**

Submitting the same paper (or other type of assignment) for two courses without prior approval represents another form of academic dishonesty.

You may not submit a substantially similar paper or project for credit in two (or more) courses unless expressly authorized to do so by your instructor(s). (See Section 11-802(b) of the *Institutional Rules on Student Services and Activities* for the University's official definition of scholastic dishonesty.)

You may, however, re-work or supplement previous work on a topic with the instructor's approval.

Some students mistakenly assume that they are entitled to submit the same paper (or other assignment) for two (or more) classes simply because they authored the original work.

Unfortunately, students with this viewpoint tend to overlook the relevant ethical and academic issues, focusing instead on their own "authorship" of the original material and personal interest in receiving essentially double credit for a single effort.

Unauthorized multiple submissions are inherently deceptive. After all, an instructor reasonably assumes that any completed assignments being submitted for credit were actually prepared for that course. Mindful of that assumption, students who "recycle" their own papers from one course to another make an effort to convey that impression. For instance, a student may revise the original title page or imply through some other means that he or she wrote the paper for that particular course, sometimes to the extent of discussing a "proposed" paper topic with the instructor or presenting a "draft" of the paper before submitting the "recycled" work for credit.

The issue of plagiarism is also relevant. If, for example, you previously prepared a paper for one course and then submit it for credit in another course without citing the initial work, you are committing plagiarism—essentially "self-plagiarism"—the term used by some institutions. Recall the broad scope of <u>plagiarism</u>: all types of materials can be plagiarized, including unpublished works, even papers you previously wrote.

Another problem concerns the resulting "unfair academic advantage" that is specifically referenced in the University's definition of scholastic dishonesty. If you submit a paper for one course that you prepared and submitted for another class, you are simply better situated to devote more time and energy toward fulfilling other requirements for the subsequent course than would be available to classmates who are completing all course requirements during that semester. In effect, you would be gaining an unfair academic advantage, which constitutes academic dishonesty as it is defined on this campus.

Some students, of course, do recognize one or more of these ethical issues, but still refrain from citing their authorship of prior papers to avoid earning reduced (or zero) credit for the same works in other classes. That underlying motivation further illustrates the deceptive nature of unauthorized multiple submissions.

An additional issue concerns the problematic minimal efforts involved in "recycling" papers (or other prepared assignments). Exerting minimal effort basically undercuts the curricular objectives associated with a particular assignment and the course itself. Likewise, the practice of "recycling" papers subverts important learning goals for individual degree programs and higher education in general, such as the mastery of specific skills that students should acquire and develop in preparing written assignments. This demanding but necessary process is somewhat analogous to the required regimen of athletes, like the numerous laps and other repetitive training exercises that runners must successfully complete to prepare adequately for a marathon.