

Future of Business and Finance

Joan Marques
Satinder Dhiman *Editors*

Leading With Diversity, Equity and Inclusion

Approaches, Practices and Cases
for Integral Leadership Strategy

 Springer

Future of Business and Finance

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Joan Marques • Satinder Dhiman
Editors

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Organize Your Reality

Organize your reality, make it sustainable
Rearrange your priorities, make it equitable
Get grounded, create an environment
Anchored in clear communication and values
Natural and in alignment with your spirit
Immersed in morality and understanding

Zoning in on overall well being for
Everyone involved in your projects
Your reality is both the subject and object
Operating in the long term when you
Understand how its all connected

Respect guides the bigger perspective
Rearranging reality involves concentration and strategy
Evolving professionally centered in equality
Achieving a solid support system
Locked into the 21st century modern world
International cosmopolitan platforms
Tethered to enlightened principles for a reality
You can sustain to align your heart and mind

~ Mike Sonksen

Preface

This impressive, multi-angled work is a collective effort from 46 authors who live and work in 16 countries of the world, who are all concerned about the imbalances that keep our global home in a lingering, paralyzing stranglehold. This work, therefore, touches on myriad issues we have recently encountered and, in many ways, are still struggling with, influenced by history, augmented by a global pandemic, and nurturing concerning incongruences in equality. At the root of the problems, our human cohort is facing a range of anthropocentric actions that will first and foremost require awareness and understanding of how they were erected and how they remain intact before we will actually be able to understand the steps we have to take to resolve them.

So, how have the contributing authors decided to approach the many concern areas of our times?

Part I of this comprehensive work focuses on *Leading a Diverse Workforce*. It starts with Chap. 1, in which Joan Marques laments the ongoing challenges of discrimination, fueled by implicit biases. She subsequently discusses the qualities of awakened leaders as critical components toward establishing and nurturing a diverse, equitable and inclusive environment. In Chap. 2, Seval Gündemir and Teri Kirby emphasize diversity approaches, which are beliefs or organizational models for how to manage workplace diversity. They propose effective ways for leaders to utilize diverse approaches to attain a diverse and inclusive workplace, and discuss future directions for diversity and leadership scholars and practitioners. Then, in Chap. 3, Sevgi Emirza proposes a conceptual framework to address the potential of compassionate leadership components, which are integrity, accountability, presence, authenticity and dignity. She thereby states that compassionate leaders are more likely to notice distress, suffering and pain experienced by employees with diverse identities, feel an emphatic concern for removing such negative experiences and improving well-being of diverse employees and actually respond by taking positive actions that promote inclusion and affirm the value of diversity.

In Chap. 4, Peter Lewa, Martin Muriigi Mburu and Rachel Mwendu M. Muriigi call for inclusive leadership, in order to invoke transformational approaches in the management of organizations, countries and institutions in dynamic contexts where

change is rapid. They do caution that successful transformation will require the visible and sustained engagement of a wide range of followers within any context under consideration. In Chap. 5, Sylvia Burgess, Forrest Toms, William Munn and Daniel McKelvey bring decades of collective insights and experiences to the table to describe current flaws in advocacy for the Black community in the USA and to propose effective alternatives for future consideration. Robert Fleming considers, in Chap. 6, the roles and responsibilities of organizational leaders in anticipating, preparing for and responding to crisis events. He thereby discusses the role of responsible leadership that is informed, inclusive and transparent in preparing contemporary organizations to address the expectations of employees, customers and other organizational stakeholders as together we seek to understand, embrace, and engage in the “new normal” of our post-pandemic world. In Chap. 7, Debra Dean illustrates the development of a new leadership theory that will respect human dignity and encourage differences, not just tolerate them. At the core of respectful pluralism, she examines rhetoric to choose words that will lift others up instead of tearing them down.

Part II of this book, *Diversity, Equity and Inclusion in Organizations*, begins with Chap. 8, in which Mateo Cruz, Yaromil Fong-Olivares and Wiley Davi identify brave dialogues as one “concrete learning practice” that helps employees respond to perceptions of subtle bias or discrimination. The brave dialogue approach derives from our diversity, equity and inclusion (DEI) work with leaders and their teams. In Chap. 9, Pamela Caldwell proposes that we need to view diversity and inclusion in the workplace, as not a one size fits all, but a framework that will encompass all departments and all levels of an organization. Then, in Chap. 10, Duane Windsor presents a general social norm for increasing employee diversity in pluralistic societies like the USA and homogeneous societies such as Sweden. He discusses how best to improve diversity and inclusion in businesses, and posits that, whether based on moral obligation or civic duty conceptions, the general social norm should aim to improve diversity, equality and inclusion (DEI).

Vartika brings the issue of gender quota in boardrooms to our attention in Chap. 11. She finds that homogeneity remains a major issue in boardrooms across the world with only 15 percent of women occupying the boardroom seats. Aikaterini Grimani and George Gotsis then zoom in on inclusive leadership in Chap. 12. They emphasize that inclusive leadership represents a conceptual shift to diversity leadership that is in a position to account for the basic needs for belongingness and uniqueness of all stakeholders involved in organizational processes. They stress that inclusive leadership is invested with a strong potential that promotes sustainable health outcomes and allows for more compassionate, humane and caring health care organizations in conformity to the emerging challenges for managing health care in a post-COVID-19 world. Continuing the view on constructive professions, Edyta Janus and Agnieszka Smrokowska-Reichmann further focus on inclusive leadership in helping professions in Chap. 13. They discuss findings from a study they conducted with a group of professionally active occupational therapists to analyze how the participants defined leadership and whether they intentionally used elements of leadership in their work.

In Chap. 14, Jody Worley places the term causal ambiguity on our radar, referring to ambiguity perceived by organizational decision-makers as to how organizational actions and results or inputs and outcomes are linked. He finds that causal ambiguity is prevalent and can function as a barrier for acting and implementing initiatives to advance DEI in workplace contexts. In Chap. 15, Peter Lewa, Jeremy Muna and Faith Muna remind us of the importance of change management in a world filled with unprecedented changes. They specifically focus on the theory of strategic change management under changing dynamics, presenting the argument that leading change requires consideration of “engagement” and “inclusion” and hence engaged leadership for better results. In Chap. 16, Wanda Krause wraps up part II of this book by encouraging organizational leaders and managers to create safe, equitable and inclusive work environments. She specifically underscores the challenge of knowing how to root DEI initiatives in the workplace in ways that are sustainable and impactful with this larger view.

Part III of this book, *Diversity, Equity and Inclusion in Education*, leads us to Chap. 17, where Mohammed Aboradam and Khalid Dahleez examine the diversity-induced challenges in higher education. They affirm that, in order to meet these challenges, management practices must address diversity among academic workforces. They specifically highlight the effects of inclusive leadership, including the encouragement of management-level innovation in academic units and establishment of a climate for creativity. In Chap. 18, Yulee Lee and Trevor Cox alert us that the current approach in higher education toward diversity, equity and inclusion (DEI) efforts can hinder genuine culture change without opportunities for dialogue and intentional efforts to decenter whiteness through critical reflection as a community of learners. They explore the current efforts around DEI within higher education, examine why lasting change is often difficult in higher education institutions and offer tangible practices for dialogic practices to decenter whiteness at various levels of the institution to promote sustainable DEI change.

In Chap. 19, Nicole Dillard and Julia Storberg-Walker further emphasize that effectively engaging diversity is a top priority in higher education. They affirm that the value of diversity in the classroom is particularly relevant for leadership studies programs due to the very explicit goal to prepare and develop workers to lead in diverse environments. To help fellow faculty members to integrate justice, equity, diversity and inclusion (JEDI) into their curriculum, they share valuable insights into the benefits of engaging DEI as an opportunity to foster a more inclusive approach to leadership education and radically shift educators’ personal mission for justice. Ofelia Huidor presents the community cultural wealth model in Chap. 20. This model places emphasis on the array of cultural knowledge, skills and abilities exhibited by students of color as they navigate the schooling process. She thereby underscores the importance of community cultural wealth as a culturally responsive teaching approach to inform pedagogical practices with a focus on diversity, equity and inclusion.

In Chap. 21, Michaël Séguin discusses the changing diversity and inclusion landscape of Canadian universities, with specific focus on the Université de Montréal case. He thereby informs us about the Canada Research Chairs (CRC) program,

which required Canadian universities to address the underrepresentation of women, indigenous peoples, persons with disability and racialized persons in these prestigious positions. He thereby analyzes how this commitment may work as a transformative leadership strategy both locally and nationally. In Chap. 22, Gilbert Nyakundi Okebiro and Asenath Kerubo Nyakundi inform us of the challenge in Kenyan institutions of higher learning, where leadership focuses on promoting ethnicity, thereby ignoring diversity, equity and inclusivity. To solve this issue, they recommend progressive and transformative leadership with diversity and equity, qualifications and competence skills irrespective of ethnicity to transform and sustain quality and standard education in higher institutions in Kenya.

Part IV of this book, *Diversity, Equity and Inclusion: Interdisciplinary and Global Deliberations*, commences with a strong statement from Emerald Archer in Chap. 23, whereby she exposes the overlapping double discrimination of racism and sexism. She brings to our attention the inconvenient truth that violence against women often goes under-reported. She then explains how the #SayHerName campaign has worked to center Black women's experiences with police, making these women visible and including them in the larger conversation of racial injustice. In Chap. 24, Erla Kristjánsdóttir and Sigrún Gunnarsdóttir place the plight of the Covid-19 pandemic within the leadership scope and underscore the effects of anxiety and negative effects on well-being this has brought in professional environments. They specifically focus on

the Icelandic labor market and illustrate how inclusion, effective communication, trust, accountability, common purpose and solidarity enabled leaders and employees to cope effectively. Then, in Chap. 25, Claude-Hélène Mayer presents a psychobiographical account of Sheikh Zayed bin Sultan Al Nahyan (1918–2004), analyzing his life from a transformational leadership perspective, as well as from a cultural and intercultural competence perspective, with the aim to provide an outstanding example of a leader in the context of the Middle East who is honored for his leadership and intercultural ability to promote diversity, equity and inclusion in words and actions throughout his life.

In Chap. 26, Thora Christiansen and Ásta Dís Óladóttir shift our focus one more time to Iceland, this time in light of its reputation as a global leader in gender equality. These authors find, nonetheless, that women face apparent exclusion from senior executive positions, as men hold all CEO positions at listed companies. The study they conducted reveals deep dissatisfaction amongst women executives with the prevailing hiring practices, which they experience as a fast-paced and closed process, heavily reliant on board-members' networks and head hunters' lists. They voice the need for inclusion and call for disruptive tactics, more courage and gender quotas on the executive level. In Chap. 27, Mirella Baker Bommel and Howard Housen remind us of the need to recognize how critical the understanding of diversity, equity and inclusion is as part of the equation in business operations. They stress that, in order to make sustainable changes that go beyond benefits to the bottom line, there must be a grasp of the historical and contemporary components of diversity, equity, and inclusion. They emphasize that when employees transition from feeling marginalized to feeling safe, valued, respected and empowered,

businesses transform into innovative environments where mutual respect and authenticity yield financial profits and increased productivity. In the final chapter of this work, Chap.28, Elizabeth Gingerich confronts us again with the lingering reality of systematic injustice, which has extended to the provision of basic services – healthcare, education, transportation – as well as to occupational choices and workplace treatment. She thereby discusses strategic ways the corporate world is surveying to combat institutionalized racism while concomitantly tackling interrelated issues of global warming and devastating pandemics.

On behalf of the entire team of contributing authors to this work, who courageously addressed the most pressing challenges of our times and offered constructive suggestions toward sustainable resolutions, the editors of this book express the hope that this material will be considered useful, informative and educational in a multitude of professional and educational settings.

Burbank, CA, USA

Joan Marques
Satinder Dhiman

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About the Editors



Joan Marques has reinvented herself from a successful media and social entrepreneur in Suriname, South America, to an innovative “edupreneur” (educational entrepreneur) in California, USA. Her entrepreneurial career spans over four decades and includes the creation and successful management of companies in Public Relations and Advertising, Import and Export, Real Estate, Media Productions, and a Non-Profit, focused on women’s advancement. In the USA, she has been a co-founder of the *Business Renaissance Institute* and the *Academy of Spirituality and Professional Excellence (ASPEX)*.

Based on her impressive career and ongoing influence, she was awarded the highest state decoration of her home country, Suriname: *Commander (Commandeur) in the Honorary Order of the Yellow Star*, in 2015. That same year, she was also awarded the *Dr. Nelle Becker-Slaton Pathfinder Award* from the Association of Pan-African Doctoral Scholars in Los Angeles, for her exemplary and groundbreaking professional performance. In 2019, she was awarded the *Kankantrie Life Time Achievement Award* for her accomplishments in Education from the Suriname American Network Inc. in Miami, FL. In 2016, she was granted the *Faculty Scholarly-Creative Award* as well as the *Faculty Ambassador Award*, both awarded by Woodbury University’s Faculty Association.

She is a frequent speaker and presenter at academic and professional venues. In 2016, she gave a TEDx-Talk at College of the Canyons in California, titled *An Ancient Path Towards a Better Future*, in which she analyzed the Noble Eightfold Path, one of the foundational Buddhist practices, within the realm of contemporary business performance. In recent years she has conducted presentations and workshops on multiple forums, such as at the Management, Spirituality and Religion research colloquia at the Academy of Management Annual Meetings in 2018 and

2019 on *Phenomenology as a Qualitative Research Method*; a keynote address titled *Ethical Leadership: How Morals Influence Your Communication* at the Center for Communication and Public Relations, in Paramaribo, Suriname, and an interactive workshop with thought leaders and development coaches at the Knowledge and Expertise Center Suriname, titled *On Leadership, Ethics and Social Responsibility*. In 2019 and 2020, she also represented her home country Suriname on the annual CALIFEST literary festival in Los Angeles, where she conducted workshops on successful publishing. In 2016, she presented at the Kravis Leadership Institute at Claremont McKenna College, on female leadership during the annual *Women and Leadership Alliance (WLA)* conference, resulting in the collective work, “Women’s Leadership Journeys: Stories, Research and Novel Perspectives” (Routledge, 2019) in which she contributed the chapter, *Courage: Mapping the Leadership Journey*. Dr. Marques further conducts regular presentations at the Academy of Management, and at business venues in Los Angeles as well as for professional audiences in Miami and Suriname.

Joan’s research interests pertain to awakened leadership, Buddhist psychology in management and workplace spirituality. Her works have been widely published and cited in both academic and popular venues. She has written more than 150 scholarly articles, which were published in prestigious scholarly journals such as *The Journal of Business Ethics*, *Business and Society*, *International Journal of Organizational Analysis*, *Leadership & Organization Development Journal*, *The International Journal of Management Education*, *Journal of Communication Management*, *Journal of Management Development*, *Organization Development Journal*, and *Human Resource Development Quarterly*. Dr. Marques has (co-)authored and (co-)edited more than 34 books, among which, *The Routledge Companion to Happiness at Work* (2020); *Exploring Gender at Work: Multiple Perspectives* (Palgrave, 2021); *Innovative Leadership for Bound-less Work Environments: Strategies and Tools for Change* (Springer, 2021); *The Routledge Research Companion to Business with a Conscience* (2021); *New Horizons in Positive Leadership and Change* (Springer, 2020); *Social Entrepreneurship and Corporate Social Responsibility* (Springer, 2020); *The Routledge Companion to Inclusive Leadership* (2020), *Lead with Heart in Mind* (Springer, 2019); *The Routledge Companion to Management and Workplace Spirituality*, *Engaged Leadership: Transforming through Future-Oriented Design* (with Satinder Dhiman – Springer, 2018); *Ethical Leadership, Progress with a Moral Compass* (Routledge, 2017); *Leadership, Finding Balance Between Acceptance and Ambition* (Routledge, 2016); *Leadership Today: Practices for Personal and Professional Performance* (with Satinder Dhiman – Springer, 2016); *Business and Buddhism* (Routledge, 2015); and *Leadership and Mindful Behavior: Action, Wakefulness, and Business* (Palgrave MacMillan, 2014).

Joan currently serves as Dean at Woodbury University’s School of Business, in Burbank, California, where she works on infusing and nurturing the concept of “Business with a Conscience” into internal and external stakeholders. She is also a Full Professor of Management and teaches business courses related to leadership, ethics, creativity, social entrepreneurship and organizational behavior in graduate and undergraduate programs.

Joan holds a PhD in Social Sciences (focus: *Buddhist Psychology in Management*) from Tilburg University's Oldendorff Graduate School; and an EdD in Organizational Leadership (focus: *Workplace Spirituality*) from Pepperdine University's Graduate School of Education and Psychology. She also holds an MBA from Woodbury University and a BSc in Business Economics from MOC, Suriname. Additionally, she has completed post-doctoral work at Tulane University's Freeman School of Business.

Dr. Marques is a member of the executive committee of the Management, Spirituality and Religion interest group of the Academy of Management, where she serves as a member on the leadership track.



Satinder Dhiman Recognized as a lead thinker for his pioneer contributions to the field of transformational leadership, workplace spirituality, workplace well-being, sustainability and fulfillment in personal and professional arena, Professor Dhiman is a sought-after Keynote speaker at regional, national and international conferences. In 2013, Dr. Dhiman was invited to be the opening speaker at the prestigious TEDx Conference at College of the Canyons in Santa Clarita, California. Since then, he has led several major national and international conferences as co-organizer and/or as track chair.

With an instructional and research focus on leadership and organizational behavior – and with specific concentration on sustainability, workplace spirituality and wellbeing – Professor Dhiman holds a PhD in Social Sciences from Tilburg University, Netherlands; an EdD in Organizational Leadership from Pepperdine University, Los Angeles; an MBA from West Coast University, Los Angeles; and a Master's degree in Commerce from Panjab University, Chandigarh, India, having earned the Gold Medal. He has also completed advanced Executive Leadership Programs at Harvard, Stanford, and Wharton.

Recipient of several national and international academic and professional honors, Dr. Dhiman won the Woodbury University Ambassador of the Year Award in 2015 and 2017 and MBA Professor of the Year Award in 2015; Scholarly and Creative Writing Award, 2019; Most Valuable MBA Professor Award, 2018; Most Inspirational and Most Charismatic MBA Teacher Award 2012, 2013/2014/2018; the Steve Allen Excellence in Education Award in 2006; and the prestigious ACBSP International Teacher of the Year Award in 2004. Most recently, Professor Dhiman chaired an all-academy symposium at the Academy of Management that received 2019 Best Symposium Proposal Award. He was also invited by Monash University,

Australia, to lead a track in Spirituality in Management in the 16th International Conference in Business Management, held during December 12–15, 2019.

Professor Dhiman has done over 50 conference presentations and more than 50 invited keynotes, plenary sessions, distinguished key guest lectures and creative workshops – *nationally and internationally* – and has published over 60 peer-reviewed journal articles and book chapters. Author, translator, editor, co-author, co-editor of over 25 management, leadership, spirituality, sustainability and accounting-related books and research monographs, his recent books include *Bhagavad Gītā and Leadership: A Catalyst for Organizational Transformation* (Palgrave Macmillan 2019); *Managing by the Bhagavad Gītā: Timeless Lessons for Today's Managers* (Springer 2018; with Amar); *Holistic Leadership* (Palgrave 2017), *Gandhi and Leadership* (Palgrave 2015), *Seven Habits of Highly Fulfilled People* (2012); and co-editing and co-authoring, with Marques, *Spirituality and Sustainability* (Springer 2016), *Leadership Today* (Springer, 2016), *Engaged Leadership* (Springer, 2018), *New Horizons in Positive Leadership and Change* (Springer, 2020) and *Social Entrepreneurship and Corporate Social Responsibility* (Springer, 2020). He has also translated several Indian spiritual classics into English, including the *Sahaja Gītā*.

He is the editor-in-chief of four multi-author Major Reference Works: *Springer Handbook of Engaged Sustainability* (2018 – Springer International, Switzerland) and *Palgrave Handbook of Workplace Spirituality and Fulfillment* (2018 – Palgrave Macmillan, USA); *Routledge Companion to Mindfulness at Work* (2020); *Palgrave Handbook of Workplace Wellbeing: A* (2020 – Palgrave Macmillan); editor-in-chief of *Palgrave Studies in Workplace Spirituality and Fulfillment*; *Routledge Frontiers in Sustainable Business*; and co-editor of *Springer Series in Management, Change, Strategy and Positive Leadership*.

Some of his forthcoming titles include *Leading without Power: A Model of Highly Fulfilled Leaders* (2021 – Palgrave Macmillan); *Conscious Consumption: Healthy, Humane and Sustainable Living* (2021 – Routledge, UK); *Wise Leadership for Turbulent Times* (2021 – Routledge, UK); *New Horizons in Management, Leadership and Sustainability* (2021 – Springer, with Samaratunge); and *Creative Leadership: Discover. Innovate. Enact* (2022 – Routledge, with Chandra Handa).

Currently, Professor Dhiman serves as the Associate Dean, Chair and Director of the MBA Program; and as the Professor of Management at Woodbury University, Burbank, California.

He has served as the Chair for a special MBA Program for the Mercedes-Benz executives, China. He was invited as Distinguished Visiting Professor at the Tecnológico de Monterrey, Guadalajara campus, Mexico; and has served as E-Commerce curriculum lead advisor, Universidad Francisco Gavidia, El Salvador, and coordinator for LA Fieldtrip for MBA students for the Berlin University for Professional Studies (DUW). He has served as the President (2016–2018) and now serves as a distinguished *Patron*, International Chamber for Service Industry (ICSI).

Dr. Dhiman has served as Accreditation Consultant, Evaluator and Site Visit Team Leader for the Accreditation Council for Business Schools and Programs (ACBSP) for more than 25 universities in America, Canada, Europe, and Asia. He

has published research with his colleagues in *Journal of Values-Based Leadership*, *Organization Development Journal*, *Journal of Management Development*, *Journal of Social Change*, *Journal of Applied Business and Economics*, and *Performance Improvement*.

Professor Dhiman is the Founder-Director of Forever Fulfilled, a Los Angeles-based Well-being Consultancy that focuses on workplace wellness, workplace spirituality and self-leadership.



Contributors

Mohammed Aboramadan received his PhD in economics and management (major: management) from the University of Pavia, Italy. Currently, Dr. Aboramadan works as a postdoctoral research fellow at the Department of Economics, University of Insubria, Italy. His areas of research are focused on human resource management (HRM), leadership, employee and organizational performance. He has published in the area of servant leadership in service-based sectors. Furthermore, he has published at the *International Journal of Contemporary Hospitality Management*, *Journal of Management Development*, *Voluntas*, *International Journal of Organizational Analysis*, *International Journal of Educational Management*, *Journal of Higher Education Policy and Management*, *International Journal of Public Administration*, *Journal for Global Business Advancement*, *Academy of Management Proceedings* and *European Academy of Management*.

Emerald M. Archer is an associate professor of Political Science and Director of the Center for the Advancement of Women at Mount Saint Mary's University. She also serves as an executive director of the Women's College Coalition. As a cisgender, heterosexual woman identified as White, she has dedicated her career to studying questions related to gender equity and the representation of women (including those who are transgender, nonbinary or gender non-conforming) in non-traditional domains such as the US military. Through the Center, Archer's primary goal is to promote and increase gender equity in California and the nation. She leads the Center's efforts related to applied research, education and policy analysis. Archer has published numerous peer-review journal articles and chapters in research anthologies, and is the author of *Women, Warfare and Representation: American Servicewomen in the Twentieth Century* (Bloomsbury, 2017). She serves on the board of directors for the Foundation for Women Warriors and holds a PhD in Political Science from the University of California, Santa Barbara (2009).

Mirella Baker Bommel is an award-winning Sociology Professor whose impact in the community spans across a wide landscape that includes teaching, speaking engagements, training and volunteerism. She has earned the reputation of an

exemplary teacher with a commitment to excellence. She has been recognized with the prestigious Children's Opportunity Group Endowed Teaching Chair Award and the NISOD Teaching Excellence award. She is the author of *Building Blocks to an Abundant Life: Design the Life You Desire*. Dr. Baker Bommel co-owns Next Level Educators, LLC. She and her partner, Prof. Housen, have captivated audiences at conferences, expos, libraries, and businesses through the delivery of engaging trainings and workshops, stimulating lectures and thought-provoking seminars.

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Part I
Leading a Diverse Workforce

Chapter 1

Awakened Leadership as a Pillar for Diversity, Equity, and Inclusion



Joan Marques

DEI¹: How Did We Land Here?

As massively diverse as planet Earth is, and as many living species as we know, it remains mesmerizing that humanity still finds ways to cultivate internal segregation, often driven by the desire to establish and nurture a sense of superiority within one group over others. For many centuries there have been caste systems, distinctions between the rich and poor, gender-based demarcations, and a slew of other aspects varying from education, generation, or affiliation, to ethnicity, characteristics and skin color, to name a few. All these distinctions have been carefully woven into societal structures to create swift advancement for some and painful impediments for others. The roots of racial prejudice can be traced back to the history of European culture (Anālayo, 2020).

In 1958, Adams, a medical doctor and well-known figure in Chicago's psychiatric circles, explained segregation as follows,

Segregation begets prejudice, but the relationship is reciprocal. Prejudice is the result of man's insecurity in relation to dangerous competition within his family, within his clique and his "ingroup." It also results from his feelings of helplessness in dealing with his forbidden unconscious inner impulses, as well as in dealing with nature and the universe. It is often an index to character weakness within the man. (Adams, 1958, p. 14).

¹ Diversity, Equity and Inclusion.

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The twenty-first century has presented our human community with a number of emergences that seemed to be aimed at increasing our awareness regarding the need for change. The #MeToo movement, for instance, has been an eye-opener on a longstanding and unmentioned privilege of influential predators who did not think twice if they identified a prey that they wanted to entertain themselves with. The #MeToo moment was created by Tarana Burke, who has worked for many years with young women of color who survived sexual violence. To garner a sense of solidarity, she named her campaign, which she started in 2006, “me too” (Jaffe, 2018). Unfortunately, many have come to interpret the #MeToo movement as a means of shaming celebrities due to the Weinstein sexual allegations in 2017, which resulted in an immense surge of attention to this trend. Yet, shaming of the rich and famous is not the main focus of #MeToo (Douglas, 2018). Rather, it has become an undesirable consequence of more alertness and openness to this contemptible trend. Williams (2021) admits that the #MeToo movement encouraged millions at a global level to speak out against sexual harassment, sexual assault, and violence against women, and that this movement is now known as the most significant mobilization in the women’s movement in decades. At the same time, Williams (2021) warns that, notwithstanding the movement’s accomplishment of stirring some legal strides such as a stronger enforcement by the Equal Employment Opportunity Commission (EEOC), increased lawsuits, and new legislation, women of color still seem to pull the short end of the stick when seeking justice, due to a large number of legal, organizational, and cultural barriers that impede their efforts to exercise their civil rights. Cantalupo (2019) underscores this unequal, racist-engendered approach by confirming that women of color experience greater vulnerability, not only in regard to the frequency of being harassed, but also in the victimization and setbacks that result from the proportionately poor attention granted to their plight.

And then came the year 2020, throwing a wrench in our carefully and often deceptively manicured civilized landscape, not only by confronting us with a pandemic that turned our long-established notions of what our daily professional performances should look like upside down, but also by presenting us with several visible manifestations of blatant police brutality in the US that resulted in a global ripple effect of social unrest and surging understanding that something really had to change. Many will never forget the traumatic video of officer Derek Chauvin pinning George Floyd face down on the ground with his knee on Floyd’s neck. The 8 minutes and 46 seconds in which he held him in that position resulted in Floyd first crying out that he could not breathe, then going unconscious, and subsequently dying while bystanders were shouting to the cops that the man was in severe distress (Hersey, 2020). Kennedy (2020) captures the troublesome truth of the US day-to-day reality in a clear statement, “Every day in every part of America, people of all backgrounds, but especially people of color, are menaced by poorly regulated police. Absent the fortuity of a video recording, the circumstances of George Floyd’s death would have probably been effectively covered up and buried” (p. 6). While expressing hope that the Black Lives Matter movement will result in a real and sustainable change in the unequal treatment of minority members in the US society, Kennedy (2020) also remains skeptical about the possibility of actually and

structurally redeeming America. Steinberg (2020) reminds us that, “the murder of George Floyd is, of course, connected to the murders of Ahmaud Arbery in Georgia in February [2020] and Breonna Taylor in Kentucky in March, along with the Central Park incident involving Christian Cooper the same day Floyd died” (p. 4).

Reflecting on the ongoing racist mindset that keeps sweeping through the United States, Richeson (2020) laments, “The mythology of racial progress often rings hollow when it comes to, for instance, racial gaps in education. Or health outcomes. Or voting rights. Or criminal justice. Or personal wealth” (p. 10). Corroborating the above stance, Powell (2020) posits that change requires change, and then explains this as a necessary turnaround to an unjust system, requiring change of the structures that prevent black people from voting, improvement of a substandard education, shifting unjust laws that produce economic inequality, and reformation of the criminal justice system. Powell (2020) places an important call to us all to internalize the lingering injustice, and open our minds and hearts to the realization that each of the African American victims of police brutality were human souls, just like us, rather than statistics from which we can turn away.

The recent instances of racial injustice have stirred up our collective psyche. “The cries of protesters echo nationwide, joined by global allies as far away as Berlin, Germany” (Steinberg, 2020, p. 5). While there are no statistics available to support this, it seems that humanity has never before been so collectively and massively aware of the embarrassing reality of “othering” in its numerous nuances and shades. Othering happens when a person or a group of people is perceived or treated as intrinsically different from a person or group in charge. In management terms this could be compared to the in-group and out-group of a manager, whereby the in-group members undivided and willing attention receive, and the out-group finds little or no approvals or gets minimal attention from the manager. While being the subject of othering is never a pleasant experience, the following considerations can make victimization to this trend less troublesome:

- Defying biases (from those who engage in othering) through performance excellence.
- Identifying kindred spirits of high-achievers toward mutual motivation and growth.
- Shifting the internal paradigm about othering, for instance, by considering that it’s far more interesting to be “different” than to be “the same”.
- Conjuring up empathy and understanding for the biases of those engaging in othering, which may encourage them to face their ignorance and confront their biases.
- Embracing the increased awareness on social justice, which may contribute to greater awareness of the practice and negative effects of othering, and help create change (Marques, 2021).

Awakened Leaders: How They Fit In

2020 has forced humanity to rethink many of their basic assumptions, beliefs, and philosophies about the society we live in. In addition to many other revelations, a global awakening led to a more widespread understanding that pervasive racism, inequalities and racist violence never stopped being a prominent part of black, brown, and indigenous lives. It was found to be more than a passing prejudice—it is a systemic problem ingrained in our society. (Albright Ndikumagenge, 2021, p. 43).

Indeed, society at large is riddled with systemic problems that have been sustained for so long, that it will require a concerted yet mindful effort to soak them loose from its foundations. If we consider workplaces miniature replicas of society, we realize that many of the large scope problems also manifest themselves in these nuclei: minority members are still experiencing greater hardship in moving up the ladder than those who resemble top leaders in their features, backgrounds, or cultural fabric; othering is still very much alive, and sustained by a deliberate or unconscious endorsement of ingroups and outgroups, and toxic patterns are often maintained through perpetuation of outdated structures that protect some and harm others.

A foundational step towards change of the status quo is the identification and instatement of awakened leaders. Awakened leaders are individuals who have developed a way to keep themselves mindful and open to the needs and concerns of all stakeholders they interact with. They regularly reflect on their values as well as their behavior and question their actions in regard to the motives that may have lied at their foundation. Describing awakened leadership as a meta-leadership style that is multi-applicable, Marques (2010a) explains that awakened leaders practice leadership from their heart and soul. She affirms, “[a]wakened leaders practice a holistic and authentic approach in every environment and at every time” (p. 308). Marques (2010b) summarizes the following important traits of awakened leaders: “adaptability to different circumstances; drive; passion and commitment to achieve their goals; resilience; using failures as lessons for growth; clear vision of the bigger picture and the future; and clear formulation of their values” (p. 7). Successfully practicing awakened leadership is a gradual process.

[It] can be considered difficult and easy at the same time. Difficult because society, with its ongoing codes of conduct, and particularly its ingrained sense of individuality, may not yet be as widely prepared to embrace the awakened leader and his or her sense of unity and mutuality in moving ahead; and easy, because the awakened leader, once accepted, does not have to remember different behavioral patterns in different environments. This leader remains the same, whether alone, with a small or large group of people, in front of an audience, or among friends: Graceful, kind, empathetic, respectful, and down-to-earth. (Marques, 2010a, p. 320).

One important factor to keep in mind is that awakened leaders are not always the ones at the top echelon of organizations. Awakened leaders can be found at every level and in every environment. They are the ones that have acquired their mindful approach through a number of experiences and errors of their own, each of which contributed to an augmented sensitivity toward those who are subject to their

interactions. While they are human and therefore harbor as many flaws as any other, awakened leaders engage in reflective practices to continuously monitor and adjust their actions, and correct their behavior or path where necessary. The reflective practices could be meditation, long contemplative walks, deep conversations with mentors, or keeping and reviewing a journal.

Because their lives and careers have been shaped by both successes and failures, awakened leaders understand the capricious nature of everything, and harbor a deep level of empathy with those around them. They understand that workforces – and all other interactive environments for that matter - are comprised of people from a wide variety of backgrounds and mindsets, and that no two individuals could be completely treated the same way. Even amongst siblings – as well as twins – it has been established that there are differences in perspectives and interpretations based on character and other subliminal differences.

Awakened leaders have learned to distinguish amongst a variety of behavioral approaches aimed at setting others at ease. They can therefore be found in areas where responsible and sensitive human interaction is important for the progression of the institution they represent. Another important note on awakened leaders is that they don't attach a dollar value to their achievements. Rather than focusing on financial windfalls or major bank accounts, these leaders concentrate their perceptions on achievements in “creating something new or bringing a project or venture to fruition (professional growth), learning to understand themselves and their passion and focusing on that (personal mastery), and establishing constructive relationships, whether in the professional or private areas of their lives” (Marques, 2012, p. 113).

Wakefulness as a Foundation for DEI

Becoming an awakened leader is an enlightening, but oftentimes challenging path. It entails exposure to the same things many others witness, but requires deeper contemplation about the purpose and the origins of it all. It also requires a deep desire to bring about positive change, while nurturing one's authenticity and ensuring a steadfast connection to one's core. Referring to this core as “nirvana,” the reflective path of awakened leaders could be explained as the following eight-step plan:

(1) the past, and the lessons to be learned from there, [...] (2) the present and the reflections to be made in that, [...] (3) the core, where all factors are evaluated and weighted against values and morals. Thus creating a blend of self-confidence and humility, these leaders carefully base their decisions on (4) a win-win-win perception, which involves (5) empathy, compassion and understanding toward a broad community of stakeholders, and (6) establishes a great connection between all those involved. (7) The leader's mentality does not go unnoticed and oftentimes results in greater influence and improved performance toward (8) the future. (Marques, 2011, p. 21).

Many people take the things that happen for granted and fail to consider that there are always options. Just because something has been a certain way for decades or even centuries, doesn't mean that it still makes sense today or should be upheld for

the sake of tradition. In many cultures – including organizational cultures – there are symbols and behavioral patterns that held their ground for the longest time without being questioned, but this is exactly what lies at the foundation of the skewed relationships and influence hubs that exist in our world.

This may be the proper time and place to introduce the concept of consciousness within this context. Consciousness can be described in multiple ways, and occurs at multiple levels. Without diving too deep into this topic, it may be prudent to briefly explain reflexive consciousness, which dates back to the seventeenth century, when it was used in Rene´ Descartes’ *Principles of Philosophy* to define the notion of thought in terms of self-awareness (Van Gulick, 2004). Reflexive consciousness refers to the distinctive structures of identity and reflection, and provides the answers on how individuals conceptualize, experience, and analyze all that is around them (Earley, 2002). Aside from reflexive consciousness, the concept of social consciousness may also be useful to briefly explain. “Social consciousness considers the relationship of self to others and is the means used by the “organism” to find its relationship with its environment and the rest of the world” (Pees et al., 2009, p. 507). Mustering consciousness to actually see what is going on around us, and finding ways within our circle of influence to adjust the wrongs we see, doesn’t only take time, but it also takes creative and design thinking, and perhaps even more importantly, a meticulous process of questioning our notions of reality. These notions are oftentimes built on mental models and the unconscious biases (to be explained below), which serve as their foundational pillars.

Awakened leaders are particularly aware of the need to engage in the following practices to keep their minds open and continue expanding their mental and emotional horizons:

- They inspect and, where needed, adjust their mental models. Mental models are our explanation on how the world works, or, in other words, our own personal paradigm. Our mental models steer our decisions and behaviors (Senge, 1994). “Mental models can be simple generalizations, such as ‘people are untrustworthy,’ or they can be complex theories. But what is most important to grasp is that mental models shape how we act. If we believe people are untrustworthy, we act differently from the way we would if we believed they were trustworthy” (Senge, 1992, p. 5).
- They make serious efforts to confront their implicit biases. Unconscious or implicit biases are learned stereotypes that are natural, automatic, unintentional, and so deeply engrained that they can easily influence our behavior (Noon, 2018). “Unconscious bias, also known as implicit bias, occurs when we form a judgment or preference, based on previous knowledge that may or may not be correct, without consciously being aware of it” (Broflowski, 2020). Broflowski alerts us on the various biases that affect our decisions and interactions with others, such as:
 - *Affinity bias*, which relates to the preference for certain qualities one identifies best with. Affinity bias can become a strong determinant of an organization’s culture.

- *Gender Bias*, which simply entails a preference of one gender over another. Given the long history of male leaders in organizations, gender bias may be considered a strong contributor to a lingering manifestation of males in top echelons of organizations.
 - *Attribution Bias*, which affects the ways we perceive and judge our own accomplishments and failures versus those of others. Oftentimes, attribution biases may lead us to believe that others' successes are determined by favorable circumstances, while ours are based on our own merit.
 - *Conformity Bias*, which may easily lead to "groupthink". This is when we allow ourselves to adopt opinions from those around us without applying our own critical thinking. Conformity bias negatively affects diversity trends in work environments.
 - *Beauty Bias*, which is a very common issue amongst human beings, whereby a person's attractive looks may be a stronger determinant to prefer them over others who may be better performers, but have less appealing looks.
 - *Contrast Effect Bias*, which may happen when recruiters have to assess large numbers of resumes and unconsciously start grouping candidates, thereby potentially overlooking critical individual attributes.
 - *Confirmation Bias*, which is a form of sharpening one's attention toward attributes that confirm one's biases, and ignore attributes that defy those biases.
 - *Horns Effect*, which uses one negative feature to label an entire person and all they stand for negatively. as a negative
 - *Halo Effect*, which does the opposite of the horns effect by focusing on one favorable attribute and overlooking all the negative ones.
- Human beings develop their biases through groups, beliefs, or what they see and hear around them. Some of these biases can be very destructive to society and to ourselves.
 - They are mindful of the in-group/out-group syndrome. In-groups and out-groups are a frequently appearing phenomenon, especially in workplaces, where members form mini tribes that support one another and maintain less favorable stances toward those outside the mini tribe or in-group. Within the context of social identity, this is explained as our human tendency to base our self-concepts on our group membership. In-group members support each other and have a tendency to provide one another privileges, which they tend to withhold those outside of the circle. The perception of in-group versus out-group membership can be extended to race, gender, generation, or other attributes we consider important at any given time. What this may bring is that recruiters may be more prone to give the benefit of the doubt to applicants they consider in-group members, and judge those they consider out-group members more harshly. Interestingly, in-group members often overlook the treatment they experience from their fellow in-group members as being preferential or discriminatory (Krumm & Corning, 2008). Yet, in spite of its downsides, our tribal instinct causes us to unconsciously create in-groups and out-groups, consisting of people we feel more comfortable with, versus those who look and behave differently from us. It may only be when we

become part of an out-group that we become more sensitive to the emotional downside of this tendency.

- They terminate sexism and bigotry. Awakened leaders are aware of how easy it is to fall prey to the preference of those that look and think like us (see section on implicit biases above), but this is exactly what prevents us from rising above limiting structures and stagnant performance.
- They respect and embrace, rather than avoid, differences. Schoenfeld (2021) points out that, while the lack of diversity may not be intentional for most workplaces, it's important to be aware that inclusion of diversity amongst stakeholders is good for business at every level, and not in the least for collective insights and performance. A diverse community -in or outside the workforce- is a cause worthy of support, because it induces more creative outcomes, gives access to a wider range of society, and it's simply the morally right thing to do. Awakened leaders make it a specific part of their task to secure diversity at every level. Diversity in race, gender, abilities, and other regards, is often limited to lower and mid-levels. It should also be manifested at the top level of any organization.

Awakened Leaders and DEI: Some Practical Reflections

In this final section, three DEI-focused leaders are profiled, in order to illustrate awakened leadership in practice.

Caroline A. Wanga

Ms. Wanga has experienced many of the challenges that are listed as derailing aspects toward professional success. Yet, as a Black woman, single mother at 17, and Kenyan immigrant, she refused to let stereotypes define her. Rather than allowing her challenging circumstances to withhold her from succeeding, she defied all odds, and worked her way up the corporate ladder at Target, starting as an intern and ascending to executive positions including vice president of human resources and chief culture, diversity and inclusion officer (Subin, 2021).

Caroline began her Target career in supply chain, and engaged in a variety of transformational leadership roles, among which the upgrade of the company's Supply Chain, Business Intelligence, Digital and Strategy capabilities, all the while raising her daughter and fighting the stereotypes that unfortunately still epitomize contemporary society.

In her culminating years at Target, Wanga led the organization's strategic intent to advocate an inclusive society with accountability for inclusive stakeholder experiences, a diverse and inclusive work environment and societal impact. She was instrumental in fueling Target's business objectives through the company's

first-ever performance-based diversity and inclusion goals, significantly improving areas including Supplier Diversity, Marketing, Philanthropy, Retention, Hiring, Representation and Engagement. She also had the responsibility for reshaping Target's organizational culture (Caroline A. Wanga, 2021).

In 2020, after about 15 years with Target, she embarked upon a new challenge: helping a half-century-old Black media brand reinvent itself. Ms. Wanga is currently the Chief Executive Officer of Essence Communications Inc. and Chief Growth Officer of Essence Ventures, an independent Black-owned consumer technology company focused on merging content, community, and commerce to meet the evolving cultural and lifestyle needs of people of color (Subin, 2021).

Meanwhile, Ms. Wanga did not underestimate the importance of education: she earned a bachelor's degree in Business Administration from HBCU Texas College and has developed herself into an inspirational thought leader and public speaker. She prides herself on honesty, openness and authenticity, a skillset she says can drive company success and relationship building (Caroline A. Wanga, 2021).

Miss Wanga believes in sharing her personal experiences and insights, in order to invite others to do the same. She considers this a critical aspect of being approachable as a leader. Amongst her recommendations to future leaders, she includes, (a) Never allowing unexpected events to derail success; (b) Formulate a goal, but remain flexible on the path. The worst thing one can do is be too rigid on the goal set, as this hardly ever materializes. It is therefore important to welcome the capricious turns that life presents, and discover the opportunities for growth therein; (c) Remain authentic. She solemnly believes that being yourself is not an option, but a given. Within that picture, hard work and walking the talk are definitely prime aspects. Congruent to her sense of authenticity, Wanga also recommends finding a different work environment if the current one is not supportive of one's whole self (Subin, 2021).

Amanda McCalla-Leacy

Mrs. McCalla-Leacy is the Global Managing Director of Inclusion and Diversity at Accenture, an Irish-based multinational professional services company that specializes in IT services and consulting. A Fortune Global 500 company, Accenture reported revenues of \$44.33 billion in 2020 and had 569,000 employees. The company has major employee bases in India, the US, and the Philippines.

Amanda was able to build leadership support from the very top and used innovation to drive change. Under her leadership, Accenture made a very public commitment to achieving 50% women by 2025 and has seen the number of women rise from 115,000 to 190,000. The company launched a powerful campaign titled, #InclusionStartsWithI, with the aim to continue the conversation about the importance of a positive, inclusive world and work environment. Thus far, the campaign has engaged more than a million people around the globe (*UK's Most Influential...*, 2020).

Being the mother of a young daughter herself, McCalla-Leacy offered some useful suggestions toward grooming girls into successful members of the professional world: (1) Reward bravery and risk-taking: girls (and women) should realize that there is no success without making mistakes and learning from failure; (2) Help her find her true identity: it is important to help girls discover their unique talents, and ‘Strengthsfinder’ is a great tool to help with this; (3) Praise hard work and a growth mindset: Stay away from a fixed mindset that will tell you what you cannot do, and adopt a tendency of praising girls when they strive and try harder toward developing a growth mindset; (4) Encourage her to give back and ‘choose kind’: instill the habit of being socially aware and giving back. It will not only plant a seed of wellness, but will also instill confidence and a positive outlook within the giving person (McCalla-Leacy, 2016).

Binna Kandola

Dr. Binna Kandola is a Business Psychologist, as well as a Senior Partner and co-founder of Business Psychology firm Pearn Kandola. Over the past 35 years, he has worked on a wide variety of projects for public and private sector clients both in the UK and overseas. What sets Dr. Kandola apart is his quest for diversity, equity and inclusion, with a specific study interest in gender bias and unconscious bias in organizations. Dr. Kandola has authored several books, three of which are on the subject of bias and critically acclaimed, with a strong focus on bias identification and elimination in work environments (Kandola, 2021a, b).

A member of numerous organizations that focus on equal opportunities and diversity advocacy, Binna also serves in academia and media. He is visiting Professor at Leeds University Business School and at Aston University Business School, while he also regularly appears on Sky News, BBC Breakfast, Channel 4 News and the Radio 4 Today Show. Dr. Kandola creatively uses all tools at his disposal to support the case of diversity, equity and inclusion. He blogs, and conducts presentations on global conferences to raise awareness on the need to confront implicit biases.

Dr. Kandola acknowledges that this is a critical time to ensure inclusion in the workplace, and feels that understanding and reducing unconscious bias in the workplace should be core pillars, not only of his speeches, but of organizational performance in general. Kandola is a major advocate of inclusive leadership. He is concerned about the fact that we seem to be living in a time of increased polarization, and asserts that we are daily reminded of the things that make us different rather than those that connect us. While he admits that this is a heightened awareness of diversity, he also admonishes that it is not the correct way, as it often happens at the expense of inclusion (*Why we need inclusive leadership*, 2021).

Key Chapter Takeaways

- Humanity seems to persist in finding ways to cultivate internal segregation, often driven by the desire to establish and nurture a sense of superiority within one group over others.
- The #MeToo movement has been an eye-opener on a longstanding and unmentioned privilege of influential predators who did not think twice if they identified a prey that they wanted to entertain themselves with.
- The year 2020 presented us with several visible manifestations of blatant police brutality in the US that resulted in a global ripple effect of social unrest and surging understanding that something really had to change.
- Othering happens when a person or a group of people is perceived or treated as intrinsically different from a person or group in charge.
- A foundational step towards change of the status quo is the identification and instatement of awakened leaders. Awakened leaders are individuals who have developed a way to keep themselves mindful and open to the needs and concerns of all stakeholders they interact with.
- Awakened leaders inspect and, where needed, adjust their mental models; make serious efforts to confront their implicit biases; are mindful of the in-group/out-group syndrome; terminate sexism and bigotry, and respect and embrace, rather than avoid, differences.

Reflective Questions

1. Review the statement, “Segregation begets prejudice”, and explain in your own words why you agree or disagree with this statement.
2. Why was the #MeToo movement created, and how has it been misinterpreted in recent years?
3. What is the philosophy behind the “Black Lives Matter” movement?
4. What, in your opinion, would be needed to bring about a structural and lasting change in the still strongly driven racist mindset within the US?
5. How do you feel that the concept of awakened leadership could be useful toward greater DEI awareness in work environments?

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Chapter 2

Diversity Approaches in Organizations: A Leadership Perspective



Seval Gündemir and Teri A. Kirby

Diversity Approaches in Organizations: A Leadership Perspective

Organizations have become increasingly diverse. In response, many large companies have implemented diversity initiatives to manage the relationships among their diverse groups of employees, as well as to adapt recruitment and selection strategies and specialized trainings (Gündemir & Galinsky, 2018; Society for Human Resource Management [SHRM], 2017). These initiatives are often embedded within a broader culture of how the organization views and approaches diversity. Are demographic group differences important resources that should be valued and celebrated? Or are these differences potential sources of conflict and should be ignored or downplayed? The answers to these questions reflect an organization's or a leader's *diversity approach*. Abundant research has demonstrated that the nature of an organization's diversity approach impacts on many diversity relevant processes and outcomes (see Gündemir et al., 2019; Plaut et al., 2018).

In this chapter, our first goal is to provide a concise summary of how, when and why diversity approaches impact inter- and intra-group processes and outcomes in organizations. This summary will illuminate both the promise and complexities associated with diversity approaches. Next, we will discuss how these insights can inform organizational leadership to shape and effectively manage a diverse work

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force. We will provide specific suggestions for both theory development and practical applications.

Diversity Approaches in Organizations: Definitions and Variations

Diversity approaches are normative frameworks about how to approach diversity in a given (organizational) context (Gündemir et al., 2019; Rattan & Ambady, 2013.¹ Two broad types of diversity approaches, *diversity-blindness* and *diversity-awareness*, have garnered the most theoretical interest. Although the two approaches share the same underlying goal –fostering positive intergroup relationships– the exact path to reach that goal differs fundamentally.

The *diversity-blind approach*—coined as colorblindness when it refers to interracial or interethnic relations— de-emphasizes demographic group differences (Apfelbaum et al., 2012; Wolsko et al., 2000). Proponents argue that social categorization causes intergroup conflict, prejudice and, eventually, disharmony. Thus, demographic differences should be ignored. The exact conceptualization of the diversity-blind approach is relatively complex, however, and differs across research scholarship and disciplines. Diversity blindness can refer to an “assimilation-like” ideal of de-emphasizing demographic groups differences (e.g., race, gender) in favor of an overarching group, a focus on what different groups have in common, or pushing people to change for a mainstream culture (e.g., country, organization; Hahn et al., 2015; Holoien & Shelton, 2012; Gaertner & Dovidio, 2014; Plaut et al., 2011; Todd & Galinsky, 2014). Alternatively, it can “reject” the importance of any type of category (e.g., race, overarching group) and instead emphasize individual level uniqueness (Peery, 2011; Ryan et al., 2007; Verkuyten, 2010; Wilder, 1984). Some scholars coined the first variant as a “value in homogeneity” and the latter as a “value in individual differences” approach (Gündemir, Dovidio, et al., 2017a). Further, some organizations present the diversity-blind approach as an equal opportunity framework, in which individuals get what they deserve based on their accomplishments regardless of group membership (Apfelbaum et al., 2016). Regardless of these different conceptualizations, all the different variants of the diversity-blind approach have the ideal in common that social group membership should be downplayed and receive no meaningful attention.

The *diversity-aware approach*—coined as multiculturalism when it refers to interracial or interethnic relations—is based on the idea that categorization in itself is not harmful (Park & Judd, 2005). Proponents of this approach argue that social

¹Diversity approaches can also be relevant at the national level or refer to individual level beliefs. In this chapter we primarily focus on diversity approaches as contextual variables within companies since these form the basis of organizational diversity policy and are highly consequential for diversity management. When relevant, we discuss additional studies that offer insights on the role of individual level beliefs.

categorization is ingrained in human nature (e.g., Ito & Urland, 2003), and membership in those categories offers a valuable resource for individuals and organizations (Wolsko et al., 2000). Hence, the approach explicitly recognizes and celebrates demographic group differences (e.g., race, gender). While the conceptualization of the diversity-aware approach shows less variation across studies and disciplines than the diversity-blind approach does, certain differences in emphasis are noteworthy. For example, some conceptualizations primarily focus on respecting the differences between social groups (Markus et al., 2000; Purdie-Vaughns & Walton, 2011) while others emphasize celebrating differences (Government of Canada, 2018; Wolsko et al., 2000) or including different social groups into an organizational environment (Apfelbaum et al., 2016; Markus et al., 2000). The motivation for the recognition and/or celebration of group differences can also vary. For example, highlighting differences can serve instrumental goals, such as better organizational performance or productivity (i.e., the business case for diversity; van Dijk et al., 2012), or moral goals (e.g., celebrating differences is seen as the right thing to do).

Notwithstanding these definitional complexities, much of the existing work is concerned with illuminating the impact of diversity approaches on inter- and intra-group processes and outcomes. Below, we will review some of the most important findings. Given that most of the existing research has focused on racial-ethnic diversity, that will be our focus (but see Gündemir et al. (2019) for a recent review that also includes gender).

The Effects of Diversity Approaches on Intergroup Processes and Outcomes

Diversity approaches impact intergroup relationships, in particular prejudice towards and the activation of stereotypes about minorities. For example, priming the ethnic majority group with a diversity-aware or multicultural approach (as compared to colorblindness) reduces their implicit bias against minorities in the US and explicit bias in the US and Western Europe (Richeson & Nussbaum, 2004; Verkuyten, 2005). Further, when a multicultural approach is salient, both minority and majority group members experience smoother intergroup interactions (Vorauer et al., 2009).

Although multiculturalism reduces prejudice, it can paradoxically activate stereotypes about racial minorities. A seminal set of studies (Wolsko et al., 2000) showed that multiculturalism activates both positive (e.g., the stereotype of African Americans as streetwise) and negative (e.g., the stereotype of African Americans as lazy) stereotypes of racial minority groups (Wolsko et al., 2000; see also Gündemir, Homan, et al., 2017b). This stereotype activation can also have a prescriptive nature. For instance, multiculturalism increases liking of minorities acting in stereotype consistent ways, but colorblindness increases liking of counter-stereotypical minorities (Gutiérrez & Unzueta, 2010).

Taken together, these studies suggest that organizational multiculturalism can be beneficial for the relationships between employee groups but can also create negative side-effects. Given the potential of multiculturalism to create both advantages and disadvantages for intergroup relationship in multi-ethnic and –racial organizations, prior work has also focused on psychological mechanisms that explain why these effects emerge.

Why is multiculturalism (vs. colorblindness) beneficial (vs. detrimental) for intergroup processes and outcomes? The potential benefits of multiculturalism (vs. colorblindness) for intergroup relations have been attributed to a heightened “outward focus” and intergroup perspective taking; “actively considering outgroup members’ mental states” (Todd & Galinsky, 2014, p. 374). Multiculturalism’s activation of a “difference mindset” and a focus on the other allow individuals to entertain others’ perspectives and engage in intergroup contact with the goal of maximizing mutual positive outcomes (Todd & Galinsky, 2012; Vorauer et al., 2009). A colorblind approach, in contrast, is linked with a “similarity mindset” and a focus on monitoring and regulating one’s own behavior. Here, intergroup contact is characterized by a desire to prevent negative outcomes (Todd et al., 2011; Vorauer et al., 2009) and can (in the long term) backfire because it requires suppression of prejudice (Correll et al., 2008). Thus, multiculturalism as opposed to colorblindness has the potential to reduce negative intergroup processes and outcomes such as prejudice or ingroup favoritism (Galinsky & Moskowitz, 2000).

The potential downsides of multiculturalism (vs. colorblindness) have typically been attributed to perceptions of threat. For example, multiculturalism relative to colorblindness makes majority group members feel excluded (Plaut et al., 2011). Among majority group members strongly identified with their ethnic group, it can also increase prejudice against minority group members (Morrison et al., 2010). Additionally, framing the multicultural approach as a concrete plan of action (e.g., cultural festivals, allowing multiple languages) as compared to an abstract ideal increases threat among majority group members, which then amplifies their prejudice towards minorities (Yogeeswaran & Dasgupta, 2014; see also Mahfud et al., 2018). Similarly, when a context is experienced as threatening (e.g., because of a salient conflict or perceived value differences), multiculturalism can increase prejudice towards outgroups in the short term (Correll et al., 2008; Vorauer & Sasaki, 2011).

In sum, multiculturalism has the potential to benefit intergroup relationships to the extent it activates an outward focus and/or perspective taking, but these benefits are unlikely to occur when perceivers experience threat. Next, we discuss the empirical findings around the intragroup effects of diversity approaches.

The Effects of Diversity Approaches on Intragroup Processes and Outcomes

Scholarship on the impact of diversity approaches on self-perceptions and behavior have primarily focused on minority groups' experiences. This research has shown that when organizational climate is consistent with multiculturalism (vs. colorblindness), ethnic minority employees report higher levels of psychological engagement (Plaut et al., 2009), more positive workplace perceptions (Van Laar et al., 2013), a higher sense of inclusion (Jansen et al., 2016), and lower turnover intentions (Phouthonephackdy, 2016). Minorities also perform better on cognitive tasks when the context is consistent with multiculturalism rather than colorblindness (Holoien & Shelton, 2012; see also Birnbaum et al., 2020). These performance effects are particularly observed among minority women (Wilton et al., 2015).

It is noteworthy that some studies offer a more nuanced view of multiculturalism's benefits for minorities by focusing on the role of individual differences *within* these groups. In particular, identity centrality—the extent to which one's ethnic or racial identity is central to their sense of self—can be key to the efficacy of a diversity approach. For example, multiculturalism relative to colorblindness reduces turnover intentions among minorities, but this effect primarily occurs among those who are highly identified (Phouthonephackdy, 2016). Similarly, multiculturalism increases feelings of workplace authenticity and comfort and reduces anxiety among minorities (i.e., Black and Asian Americans), but only among those strongly identified with their racial group (Kirby et al., 2020; Kirby & Kaiser, 2020). In fact, minorities weakly identified with their racial group experience more anxiety and less authenticity and comfort when considering a multicultural relative to colorblind company context. These feelings of inauthenticity among weakly identified participants emerge in self-descriptions and are linked to worse hiring outcomes in multicultural relative to colorblind contexts. Additionally, identity centrality has implications for how much individuals feel compelled to assert or distance from their racial group in response to the norms conveyed by diversity approaches (Kirby et al., 2020).

Taken together, while scholars propose an increasingly nuanced view of how multiculturalism impacts minorities' self-perceptions, existing evidence generally supports the notion that multiculturalism is beneficial for the self-perceptions of minority employee. The same, however, is not true for the majority group. For example, majority group workers report heightened work satisfaction (Jansen et al., 2016) and lower turnover intentions (Phouthonephackdy, 2016) when the organizational context is consistent with colorblindness rather than with multiculturalism. Further, a series of empirical studies have demonstrated that majority group employees associate organizational multiculturalism with a sense of exclusion (Plaut et al., 2011).

Why is multiculturalism (vs. colorblindness) differentially beneficial for intra-group processes and outcomes? Scholars have suggested a *functional perspective*,

which helps explain the differential effects of diversity approaches on specific groups from an identity safety point of view (Dovidio et al., 2007; Dovidio et al., 2010). Diversity approaches “signal social identity contingencies—judgments, stereotypes, opportunities, restrictions, and treatments that are tied to one’s social identity in a given setting” (Purdie-Vaughns et al., 2008, p. 615). Thus, different demographic groups’ responses to different approaches are an outcome of the extent to which they perceive the approach addresses their group’s needs by offering a sense of safety. By retaining the status quo, the colorblind approach may be perceived as more beneficial from the majority group’s perspective, because this approach helps them hold on to their relatively superior hierarchical position. Indeed, the majority group strategically endorses colorblindness when threatened in order to maintain the status quo (Knowles et al., 2009). Moreover, because the pro-diversity message central in a multicultural approach is not perceived as applying to the majority group, this approach may neglect to offer safety to the majority group (Plaut et al., 2011; Unzueta & Binning, 2010). A multicultural approach, in contrast, satisfies minority group members’ need for group-level recognition and communicates a sense of safety by questioning the status quo.

In sum, multiculturalism has the potential to benefit intragroup processes and outcomes among minority employee groups because this approach is more “functional” for this group, but emergent research calls for more attention to within-group heterogeneity. Evidence for the benefits of multiculturalism for the intragroup processes and outcomes among majority employee groups is largely absent. In the next section, we integrate the insight from diversity approaches literature to introduce a leadership-focused framework for utilizing the diversity approaches paradigm in order to effectively manage a multi-ethnic workplace.

Applications of the Diversity Approaches Paradigm for Organizational Leadership

The discussion above reveals that diversity approaches are highly consequential management tools, which can help organizations address some of the key challenges in modern times, such as attracting, retaining and engaging diverse groups of employees. One of the key conclusions of our review is that different demographic groups may prefer and respond differently to organizational diversity approaches. This creates a substantial problem for leaders, who are tasked with shaping the framework within which their diversity efforts are embedded, with the goal of benefiting all employee groups. An additional challenge is the paucity of research directly examining diversity approaches in the context of leadership (for two exceptions see Gündemir, Dovidio, et al., 2017a, Meeussen et al., 2014; also discussed below).

Given these challenges, we discuss and integrate some of the insights from the literature, which offer organizational leaders tools to effectively manage diversity.

How Can Leaders Use Scholarly Insights to Shape Effective Diversity Approaches?

The contrasting responses of different employee groups to diversity approaches suggest that a single type of approach is unlikely to be effective to address the needs of all groups. Hence, leaders should analyze the exact goals and conditions of their company in order to tailor their approach to (emergent) needs in that context (see also Homan et al., 2020). Below we suggest specific recommendation for leaders based on the conditions present in an organization.

Enhancing minority performance by aligning diversity approach to numeric representation One key contextual factor is the representation of minority groups in an organization – employees’ response to diversity approaches depends on their numeric share within the organization. Specifically, moderately represented groups (e.g., 40% representation of racial/ethnic minorities as a whole) have a desire for recognition and thus favor and thrive under multiculturalism (Apfelbaum et al., 2016). Very low levels of representation (e.g., 5% representation), however, prompt individuals to favor a colorblind approach that focuses on equality and equal opportunities over a multicultural approach, in order to avoid the spotlight that comes with being an “extreme” minority. When an organizational diversity approach fits with these needs, employees not only have lower attrition rates but also better performance outcomes.

Taken together, these findings suggest that leaders shaping organizational diversity approach with the goal of retaining and engaging minority employee groups should be attentive to numeric representation and tailor their diversity approach in this way to the needs of minorities. If the minority group within the organization constitutes a very small percentage, leaders can choose for, for example, diversity mission statements and additional diversity management tools that emphasize equality among the employees, whereas if the minority group constitutes a moderately large percentage, the traditional multicultural approach may be the superior approach.²

Integrating meritocratic messages with multiculturalism Aside from tailoring the diversity approach to the representation of minority groups, leaders may also be able to merge approaches. For example, the *multicultural meritocracy* approach simultaneously emphasizes (a) recognition and celebration of group differences *and* (b) employee accomplishment and rewards based on merit. Such an approach

²It is important to note that these findings may be restricted to an equality-based definition of colorblindness – colorblind approaches focused on similarities and downplaying difference are threatening to racial minorities in contexts with low representation (Purdie-Vaughns et al., 2008). Thus, having a strong multicultural (or value-in-similarities) approach in place while racial minorities make up an extremely small percentage may backfire. Further, the practical applicability of this work may be limited since minority groups as a whole rarely make up 40% of the employees in companies.

creates a synergy between the commonly employed multicultural approach with the less commonly employed, but still present, colorblind “value-in-merit” approach, which emphasizes equality across groups (Gündemir, Homan, et al., 2017b). Scholars examined whether multicultural meritocracy is superior to multiculturalism or a colorblind, value-in-merit approach because it has the potential to (a) enhance belonging and inclusion, and (b) improve fairness perceptions among both minority and majority groups, while undercutting the common misconception that diversity and quality are mutually exclusive. Empirical studies showed that multicultural meritocracy can indeed reduce the downsides of multiculturalism while retaining its benefits. For example, multicultural meritocracy can dampen the activation of minority group stereotypes typically observed when an organization endorses multiculturalism (Gündemir, Homan, et al., 2017b). Further, it heightens majority group employees’ workplace engagement, while it does not reduce the minority group’s engagement in comparison with a solely multiculturalist approach.

Thus, organizational leaders can harvest the benefits of multiculturalism and minimize its downsides by integrating it with a meritocratic message. Beyond addressing representation concerns (Apfelbaum et al., 2016), this approach may address inconsistent reactions to multiculturalism based on group identification (e.g., Kirby & Kaiser, 2020). Leaders can make sure this synergistic approach is part of organizational diversity mission statement and their communication with subordinates (e.g., discussing with the employees increasing diversity and quality go hand in hand).

Implementing all-inclusive multiculturalism to increase the majority group’s sense of inclusion and support for diversity The effectiveness of diversity initiatives introduced and implemented by leaders can be dependent on whether they are supported by all employees (Avery, 2011). Past research demonstrated that the majority group employees might be less supportive of multiculturalism because they link it with exclusion of their group (Plaut et al., 2011) – indeed, “diversity” as a concept is more strongly associated with minority groups than the majority group (Unzueta & Binning, 2010). If multicultural messages, however, explicitly include the majority group (e.g., European Americans), creating so-called *all-inclusive multiculturalism*, the majority group feels more included and recognized by the organizational approach (Stevens et al., 2008; also see Jansen et al., 2015).

A clear implication for organizational leadership aimed at gaining wide support for diversity initiatives is to embed it within an all-inclusive multicultural approach. This may be particularly useful as a first step in an organization where a leader has concerns about strong negative reactions to new diversity initiatives. Among other things, leaders can opt for diversity mission statements that explicitly include the majority group and in their interactions with employees emphasize all groups’ (including the majority group’s) contribution to organizational diversity. To our knowledge, no research has directly examined how racial/ethnic minorities respond to all-inclusive multiculturalism, but this approach may be acceptable in a context where minorities are especially underrepresented, when they may not want the

spotlight exclusively on them. It would be useful, however, for future research to examine whether this approach is effective among minority groups as well.

Framing multiculturalism as a learning-opportunity The multicultural approach, particularly when expressed as concrete policies, can evoke threat and hurt inter-group relations, heightening majority group members' prejudice towards minorities (Rios & Wynn, 2016; Yogeewaran & Dasgupta, 2014). To circumvent this, leaders could present multiculturalism not only as series of policies to recognize group-based differences, but rather as policies that eventually offer benefits for the larger group. Indeed, research demonstrates that this type of framing can reduce the prejudice the majority group reports towards minorities (Rios & Wynn, 2016). These findings are consistent with other research on diversity perspectives in work groups, which suggest that approaching diversity as a source of learning and rethinking existing practices is the only perspective that offers sustained benefits for diversity and positive intergroup relationships in organizations (Ely & Thomas, 2001).

Thus, leaders could consider presenting the multicultural approach as a framework of recognizing and celebrating diversity, which benefits the learning outcomes of the broader organization. One way of doing this could be to include the emphasis on the opportunity to learn in diversity mission statements, and lead team-building activities (including post activity discussions) that demonstrate the benefits of recognizing and celebrating diversity for group functioning.

Additional Considerations and Future Directions for the Intersections of Leadership and Diversity Approaches

We have presented a number of ideas about how organizational leaders can utilize the diversity approaches paradigm to shape and effectively manage employee diversity. In the final section, we present an overview of additional themes that are of key importance but have been underdeveloped in the literature. The presented recommendations offer new avenues for research on the intersections of leadership and diversity approaches, which have crucial implications for organizational leaders and HR managers.

Enacting Leadership Through the Lens of Diversity Approaches

In addition to shaping organizational diversity approaches, leaders also play a key role in enacting these on a daily basis (i.e., translating the abstract framework to employees through task coordination, informal subordinate interaction, and role modeling). While straightforward empirical examinations of how leaders enact organizational diversity approach are virtually non-existent, current insights

strongly support leaders' consequential role in transferring organizational diversity approach to employees' day-to-day reality (e.g., Buengeler et al., 2018). Thus, organizational leaders' day to day embodiment of the organizational diversity approach provides a key link between the top-down organizational policy and employee experiences and responses.

Further, while the current chapter primarily focused on organizational diversity approaches as contextual variables, these approaches can also reflect individual level beliefs. This means that leaders differ in the extent to which they personally endorse multiculturalism or colorblindness. Since individual beliefs are often expressed through behaviors, leaders' individual level endorsement of diversity approaches can become explicit in their day-to-day activities and impact the dynamics of a diverse workplace. In this respect, one study in the context of work groups has illuminated that leaders' endorsement of multiculturalism (versus colorblindness) indeed enhances (versus reduces) minority group members' sense of acceptance and belonging (Meeussen et al., 2014). Moreover, a number of studies in adjacent areas of research have shown that leaders' pro-diversity beliefs (e.g., seeing diversity as an asset rather than a liability for group functioning) predict positive outcomes in work groups. For example, seeing diversity as an asset reduces "us" versus "them" distinctions in small groups and improves group performance (Homan & Jehn, 2010; Schölmerich et al., 2016).

This discussion suggests that organizational approaches will only have the intended effect to the extent that they are effectively embodied in managerial practice. A concrete recommendation following from this is that selection process of line managers should consider what diversity approach candidates endorse and whether their individual level beliefs are likely to be effective in addressing the needs of the group they will lead. For example, relatively more culturally diverse units may benefit from leaders who endorse multiculturalism whereas relatively more homogeneous units may have more advantage when their prospective leader endorses an equality-focused version of colorblindness.

The Role of Diversity Approaches on the Emergence of Diverse Leaders

In addition to their relevance for present leaders in companies, diversity approaches can also have implications for who emerges in leadership positions. Some research suggests that organizational diversity approach can have a direct impact on expanding the pool for minority talent for leadership positions. Relative to the value-in-similarity variant of the colorblind approach, both multiculturalism and the value-in-individual differences variant communicate an acceptance of differences, which increases minority employees' leadership self-efficacy leadership aspirations (Gündemir, Dovidio, et al., 2017a). Thus, organizations with value-in-diversity approaches may not only increase horizontal diversity (i.e., having more employees

with diverse backgrounds at similar hierarchical levels), but also vertical diversity (i.e., having more employees with diverse backgrounds in the higher hierarchical levels).

It is noteworthy, however, that diversity-awareness' benefits for leadership representation may be limited to racial minorities. Specifically, recent work on gender diversity approaches shows that a gender-blind (i.e., downplaying gender differences in favor of individual differences and/or similarities between men and women) rather than a gender-aware (i.e., recognizing and celebrating gender differences) approach may be more helpful in encouraging female leadership emergence (Martin & Phillips, 2017). For example, both experimentally induced and self-reported gender-blind beliefs increased women's engagement in leadership behaviors because these beliefs boosted their self-confidence in work settings (Martin & Phillips, 2017).

Research on gender diversity approaches is in its initial stages, and recent findings should be replicated in different organizational and national settings. Nonetheless, the current state of the literature presents a conundrum for organizational leaders who wish to enhance diversity at the higher levels of the hierarchical ladder – current insights suggest that they should communicate a diversity-aware environment in the context of race or culture, while they should try to create a diversity-blind environment in the context of gender. The contrasting responses among racial minorities and women should be further unpacked in future research in order to inform organizational leaders about specific ways to address this complexity.

Organizational Diversity Approaches and the Individual

Scholars typically study the effects of top-down (i.e., organizational approach) and bottom-up (i.e., individuals' beliefs) diversity approaches separately. A better understanding of the potential interaction between these aspects is a necessary step for leaders to form and effectively lead units. The literature on person-organization fit (PO-fit) suggests that employees flourish in environments with which they experience value-fit (e.g., Schmader & Sedikides, 2018; Verquer et al., 2003). This suggests that employees' responses to, for example, organizational multiculturalism will depend on the extent to which they personally endorse multiculturalism. Indeed, women who prioritize career related goals prefer gender-blind companies, whereas women who prioritize family-related goals have a preference for gender-aware companies; an effect explained by perceived value-fit with the respective company (Martin et al., 2018). Research showing that ethnic minorities' feelings of authenticity depend on the match between the diversity approach and their ethnic identification may also reflect value-fit (Kirby & Kaiser, 2020). If PO-fit is a key factor in the success of diversity approaches, it has at least two key implications for the leadership practice and recruitment. First, when making personnel decisions for their units, leaders who consider the diversity approach fit between the prospective

employee and the unit may realize better (performance) outcomes. Second, when there is a mismatch between leaders' individual beliefs and the organizational diversity approach, organizations may consider offering relevant diversity training to leaders in order to augment the match and the concomitant benefits of such a match.

Key Chapter Takeaways

- Organizational approaches to diversity differ: some organizations endorse diversity awareness (i.e., recognizing and celebrating demographic group differences) while others endorse diversity blindness (i.e., downplaying demographic group differences and instead focusing on individual differences or similarities). While diversity awareness has been linked with many positive outcomes (e.g., heightened performance and engagement among minority employees), it can also create negative side-effects (e.g., reduced sense of inclusion among the majority group employees).
- Leaders play a key role in shaping and enacting organizational diversity approaches, but research on the role of leadership in the context of diversity approaches is surprisingly underdeveloped.
- Leaders can use insights from the diversity approaches literature to attract, retain and engage all groups of employees. In so doing, it is important for leaders to analyze the context and goals of their specific company and to align the exact content and focus of the diversity approach with the emergent needs of the employee groups.
- Diversity professionals would benefit from more research on the intersections between diversity approaches and leadership, in particular in the areas of (a) the role of diversity approaches on leaders' enactment of leadership tasks, (b) the impact of these approaches on the emergence of diverse leaders and (c) the interactions between personal and organizational diversity approaches.

Reflective Questions

1. This chapter discussed both benefits and downsides of the multicultural organizational approach. Prior studies focused on stereotype activation, work engagement, and inclusion. What are additional measures relevant to leadership that future research should incorporate?
2. The diversity approaches literature has primarily focused on race-ethnicity. Intriguingly, emergent research in the context of gender do not always resemble the findings in race-ethnicity studies – why might this be?
3. What are some of the other groups that can be studied through the lens of the diversity approaches paradigm in the future? Would those other groups' responses resemble racial minorities' or women's responses, and why?
4. Recent research on gender approaches suggests that gender blindness may be more beneficial for female leadership emergence than gender awareness. What could some of the boundary conditions of these benefits be?
5. The role of diversity approaches has been primarily studied in the Western context. How would the current insights translate to workplace dynamics in other parts of the world?

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Chapter 3

Compassion and Diversity: A Conceptual Analysis of the Role of Compassionate Leadership in Fostering Inclusion



Sevgi Emirza

Introduction

Managing a diverse workforce is no longer an issue that organizations could choose to ignore. The increase in the representation of minority and disadvantaged groups in the workforce has urged organizations to recognize the uniqueness of diverse workforces and manage challenges associated with promoting a diverse workplace. Moreover, the rising pace and intensity of global competition require that organizations attract and retain a diverse range of talents and competencies to effectively respond to changing global demands and customer needs. Besides being an imperative, supporting and encouraging workforce diversity also serves the best interests of organizations. Building an environment that retains a diverse workforce and embraces and respects differences produces significant tangible and intangible value. Research on diversity and inclusion has demonstrated that diversity and inclusion are indeed instrumental in producing more effective and improved business outcomes such as increased sales revenue, higher market share, and greater profits (Herring, 2009).

Unsurprisingly, maintaining diversity and inclusion has become an agenda for many organizations. Organizational efforts have concentrated on a wide range of practices including developing policies and procedures that build the foundation for a diverse workplace (e.g., codes of conduct against discriminatory acts and practices), employing fair and unbiased HR practices (selecting, recruitment, promotion, etc.), and organizational practices that improves the representativeness of diversity in different layers and positions across the organizations. However, despite the commitments of organizations to invest considerable effort in developing and

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modeling policies, rules, and principles to thrive a diverse and inclusive work environment, it all hinges on leaders' and managers' taking responsibility for applying and converting those codes, beliefs, and philosophies into reality. Therefore, many management scholars highlight the importance of entrenching diversity into leadership theories and enhancing inclusive leadership practices to promote work environments that celebrate and practice inclusive initiatives (Gotsis & Grimani, 2016). For example, Chin (2010) criticized leadership theories for neglecting diversity and inclusion issues and staying quiet about equity, diversity, and social justice. She also drew attention to the need for a paradigm shift based on which leadership theories and approaches could evolve to enhance our understanding of the components of diversity and inclusion.

Addressing these appeals, the current study integrates leader compassion into inclusive leadership of managing diversity and inclusion in workplaces. Specifically, this work proposes that leadership compassion incites inclusive practices, behaviors, and initiatives that are fundamental for the diversity and inclusion climate to thrive. In other words, this work explores the role that compassionate leadership characteristics play in encouraging employees to involve and contribute with their full potential and getting the most out of a diverse workforce from different identities and demographic groups, which then serve for the cultivation of inclusive climates that differences and diversity are fully celebrated and utilized.

The Role of Inclusive Leadership in Maintaining Diversity and Inclusion

A recent and important discussion on diversity management includes conceptual differences between organizational diversity and inclusion (Holmes IV et al., 2021; Sabharwal, 2014). Organizational diversity basically refers to the composition of the workforce based on demographic differences such as gender, age, and race, or unobserved differences in education or socioeconomic status (Milliken & Martins, 1996). Thomas and Ely (1996: 80) define diversity as “the varied perspectives and approaches to work that members of different identity groups bring”.

However, scholars have suggested that viewing diversity simply as increasing the representation of members from different identity groups and thus recruiting and retaining more of those individuals likely result in increased conflict and tension, which in turn curtail organizational performance and effectiveness (Thomas & Ely, 1996). Hence the following studies on diversity management have enhanced the construct of diversity to include the construct of “inclusion”, which refers to the degree to which employees are allowed to participate and contribute fully (Miller, 1998) and feel themselves as a part of organizational processes and operations (Mor Barak, 2000). For example, Cox (Cox Jr., 1991) proposed a framework that distinguishes the extent to which organizations make use of the full potential represented by diverse human resources based on the structural and cultural practices such as the

degree of acculturation, workgroup composition across different layers, cultural bias against and informal integration of members of minority groups. Accordingly, Cox suggested that multicultural organizations can make the most of the diversity and diminish associated costs by employing a diverse and heterogeneous workforce, and by promoting an inclusive environment in which members of minority cultures influence organizational norms and values, work across all organizational levels and at all positions and face no prejudicial attitudes and discrimination. Similarly, Thomas and Ely (1996) suggest that organizations should adopt a learning-and-effectiveness perspective to diversity management to unleash the advantages of a diverse workforce in the long run. Organizations with a learning-and-effectiveness paradigm build their diversity management based on the premise of integration and inclusion of the diverse workforce rather than focusing on assimilating and blending in differences (Thomas & Ely, 1996). This paradigm denotes going beyond the equal representation of different identity groups and acknowledgment of values diversity brings in by actually internalizing and incorporating diverse perspectives into the processes and operations of an organization. Besides their conceptual and definitional differences, empirical studies also concluded that diversity and inclusion are distinct yet related constructs (Holmes IV et al., 2021; Roberson, 2006).

Strategies for enhancing inclusion and capitalizing the true benefits of diversity generally center around creating organizational structures, systems, and processes that help integrate diverse employees. For instance, an organizational climate that is characterized by fair treatment of employees, procedural and informative justice (Shore et al., 2011), or fair allocation and distribution of opportunities (Hayes et al., 2002) is suggested to promote inclusiveness. More specifically, organizational practices such as transparency of recruitment, promotion processes (Daya, 2014), merit-based practices and policies (Deloitte, 2012), establishing employee affinity groups to increase informal integration of different identity groups (Derven, 2014), organizing training and orientation programs to raise awareness of the value of diversity, evaluation of managerial performance by ratings of different identity groups and creating minority advisory groups to senior management (Cox Jr., 1991).

Yet, together with these organizational structures and systems, leadership practices and leader behaviors play a major role in maintaining inclusive work environments. Several scholars have emphasized the significance of inclusive leadership practices in creating inclusive workplaces and inclusive organizational culture and specified that different leadership behaviors and styles could influence employees' perception of inclusion-exclusion, which would then influence job and employee-related outcomes (Mor Barak, 2000; Shore et al., 2011; Wasserman et al., 2008). Especially, direct supervisors who are the key representatives to decide tangible and intangible rewards for employees, are suggested to play a crucial role in shaping the inclusion perception of employees (Douglas et al., 2003). For example, Thomas and Ely (1996) specified leadership behavior of acknowledging different perspectives introduced by different identity groups and authentically valuing insight derived from diverse opinions as the first precondition of creating an inclusive environment. Similarly, Nembard and Edmondson (Nembard & Edmondson, 2006)

examined inclusive leadership behavior based on the extent to which team leaders asked for and appreciated the contributions of all team members regardless of the status differences, and found that this behavior has a positive impact on perceptions of psychological safety and team engagement. Relatedly, Nishii and Mayer (2009) examined the quality of leader-member exchange (LMX) relationships team leaders established with team members in diverse groups as an inclusive leadership practice. LMX is often considered a significant indicator of insider status and inclusiveness (Pelled et al., 1999; Roberson, 2006) because employees experiencing high LMX with their supervisors gain more access to resources and information and have more influence on decisions (Graen & Uhl-Bien, 1995). Accordingly, they found that higher LMX scores on group level and lower degree of LMX differentiation across members of diverse groups are associated with reduced actual turnover.

Despite the potential importance of leader behaviors and characteristics in creating inclusive work environments that respect and integrate diverse identities, there is still limited research on leadership approaches that could enhance effectiveness in workgroups with diverse identities and substantial differences (Nishii & Mayer, 2009). In other words, the question of which leader characteristics and behaviors are more effective in promoting employee perceptions of inclusion and creating a workplace of inclusion remains largely unanswered. Nembhard and Edmondson (2006: 947) were the first to define inclusive leadership as “words and deeds by leaders that indicate an invitation and appreciation for subordinates’ contributions”. However, following their coining the term, not much scholarly attention has been paid to theoretically delineating the construct and exploring its antecedents. The majority of research on inclusive leadership has concentrated on exploring the outcomes of inclusive leadership. Accordingly, studies have revealed that inclusive leadership is positively associated with work unit performance (Hirak et al., 2012), psychological safety (Zhao et al., 2020), employee creativity (Carmeli et al., 2010) and innovative work behavior (Javed et al., 2020), employees taking charge for improving work-related problems (Zeng et al., 2020), employee voice behavior (Guo et al., 2020). While extant literature on inclusive leadership recognizes its value in promoting positive individual and organizational outcomes, it has not paid due attention to the relevant leader characteristics, attributes, and features underlying inclusive leadership practices that foster and maintain inclusive work environments (Shore et al., 2011). Hence, the present work attempts to address this gap by proposing leader compassion as an important leader attribute that increases leader engagement in inclusive practices and behaviors.

Randel and colleagues (Randel et al., 2018) conceptualized inclusive leadership based on the extent to which leaders facilitate the satisfaction of employee needs for belongingness and uniqueness. Belongingness need is a fundamental human motivation to affiliate with others and establish stable and positive interpersonal connections with others (Baumeister & Leary, 1995). While social inclusion fulfills the belongingness needs of individuals, lack of it or social exclusion thwarts attempts to satisfy belongingness needs. Lack of inclusion or being excluded by valued social groups is related to increased anxiety, distress, loneliness, depression, and low self-esteem (Leary, 1990). Uniqueness need is the motivation to preserve an

individuated and distinctive sense of self from others in the group (Snyder & Fromkin, 1980). According to optimal distinctiveness theory, there is a tension between “human needs for validation and similarity to others and a countervailing need for uniqueness and individuation” (Brewer, 1991: 477). This suggests that people attempt to establish a balance between the need to belong and be unique by maintaining optimal inclusion in groups that they belong to and a moderate level of self-distinctiveness from others in the group. This is because too much similarity (extreme inclusion) might result in the assimilation and loss of individuation, while too much uniqueness (extreme exclusion) might bring about isolation and social rejection (Lynn & Snyder, 2002).

In the same vein, leaders promote inclusion of diverse subordinates inasmuch as they provide diverse employees with opportunities to satisfy these two needs in a well-balanced manner. This requires that leaders exhibit inclusive behaviors that both acknowledge diverse employees as part of the workgroup and encourage them to display their distinctive identities (Randel et al., 2018). In this work, five different inclusive leadership behaviors are proposed to address the needs of belongingness and uniqueness and thus induce a sense of inclusion in diverse subordinates. These are implementing fair and equitable practices, providing equal access to opportunities, resources, and leader support, treating diverse employees as group members, encouraging diverse contributions, and enacting participative practices that value differences. Hence, the first proposition is as follows:

Proposition 1 *Inclusive leadership behaviors that help employees satisfy their belongingness and uniqueness needs positively relate to the perception of inclusion of diverse employees.*

Building on and expanding Randel et al.’s (2018) model of inclusive leadership, the current work strives to understand how compassion as a leader characteristic could increase the tendency of leaders to engage in inclusive leadership behaviors, which simultaneously address belongingness and uniqueness needs of employees.

Compassion at Work

Compassion has been a significant part of human existence and studies by different disciplines like sociology, psychology, and philosophy (Goetz et al., 2010). Different religions, traditions and philosophies have also preached having compassion (Nussbaum, 1996). Even though organizations are generally viewed through a rational perspective with little relevance to compassion, they feature in many instances that beget compassionate acts of organizational members across all levels. For example, compassion resides in a leader-follower relationship when the leader listens to and cares about the problems of subordinates or takes a personal interest in mitigating pain and distress arising from negative experiences in personal and professional lives of employees (Frost, 2003).

Compassion is defined as an “empathic emotional response elicited by another person’s suffering that moves people to act in a way that will ease the person’s anguish or make it more tolerable” (Kanov et al., 2004: 814). Hence, one important element of compassion is an emphatic or other-oriented concern. Yet, compassion is more comprehensive than empathy in that besides being sensitive to others’ feelings, it also involves a desire to help out and support others (Frost, 1999). Importantly, the motivation for a compassionate person in helping others is not self-directed nor based on a drive to maximize one’s own welfare. On the contrary, helping others out of compassion is driven by a focus on others’ welfare and minimizing their distress (Atkins & Parker, 2012).

Given its focus on the “concern for the well-being of others” (Cosley et al., 2010), compassion creates supportive interpersonal interactions where interacting parties feel a higher connection, trust, and closeness to each other and also exchange greater social support (Crocker & Canevello, 2008). Moreover, people with compassion are proposed to perceive others as interconnected and interdependent regardless of their differences in identities or group memberships (Crocker & Canevello, 2008). This unifying view of compassion helps build shared values and beliefs through which individuals view relationships as a zero-sum game and prefer cooperation and collaboration over self-interest maximization (Dutton et al., 2007).

Compassion at work positively contributes to a number of favorable outcomes. For example, experienced compassion at work results in increased positive emotions, which then enhance prosocial organizational behaviors and affective commitment and reduce turnover intention of employees (Lilius et al., 2003). Moreover, employees treated with compassion engage in positive sensemaking and interpret compassionate interactions as cues signaling that they are valued and accepted by others and the organization (Lilius et al., 2003, Study 2). Received compassion from others also reduces individuals’ physical reactions against stress (Cosley et al., 2010). Importantly, compassion as a leader attribution has the ability to generate warm atmospheres in workplaces and help leaders establish better quality interactions with followers (Peng et al., 2017). However, despite its potential, there is a dearth of research in extant literature demonstrating how leader compassion relates to organizational and leadership practices and how organizations, units, relationships becoming more diverse than ever could benefit from caring, other-directed and compassionate leadership (Rynes et al., 2012). Hence, the current study aims to further the current understanding of compassionate leadership and establish its potential influence on leadership practices by proposing a conceptual framework involving the incorporation of the compassionate leadership model in inclusive leadership practices.

Compassion, different from empathy, is not only a feeling; also, unlike helping behavior, it is not only an action (Atkins & Parker, 2012). Rather, compassion is conceptualized as a dynamic interpersonal process involving both feeling and action and manifested in three steps: noticing, feeling, and responding (Kanov et al., 2004). The first step is called noticing and it occurs when an individual notices another person’s suffering, distress, or pain. This step requires the leader to be open, receptive, and aware of what is going on in the workplace and keeping an eye on

followers' needs, emotions, and distress by following the cues and signals in their interactions. Noticing does not necessarily result in compassion. Compassion requires the observer to also feel a concern for the other person's well-being. Thus, the second step of compassion involves the transformation of attention to pain into empathic concern for others. The observer now puts himself/herself in the suffering person's shoes and perceives the suffering experience from the other's viewpoint (Clark, 1997). Lastly, the third step, responding, involves a desire to help others suffering and ease or remove distress and pain. However, for an act to be a compassionate responding, it should be coupled with feelings of compassion. For example, other helping behaviors such as organizational citizenship behavior, social support are not compassionate responding unless they are coupled with noticing and emphatically feeling for others' sufferings (Clark et al., 2019).

Leader Compassion and Inclusive Leadership

The present work posits that compassionate leadership is intrinsically inclusive due to its characteristics of other-orientation and connectedness with others. Specifically, compassionate leaders are able to provide all identity groups with "an affirmation of people's belonging and worth in the group" (Lilius et al., 2003: 9).

The present study utilizes Kanov et al.'s (2004) three-step compassion process to explore how compassion helps leaders act in more inclusive ways that fulfill both belongingness and uniqueness needs of employees with diverse identities. As suggested by Kanov et al. (2004), not all leaders are equally capable of noticing and becoming aware of others' suffering. Leaders with certain characteristics and features might more readily attend, recognize, share, and respond to employees' distress and problems. A recent study on compassionate leadership identified common characteristics of compassionate leaders and classified them under six aspects: integrity, empathy, accountability, authenticity, presence, and dignity (Shuck et al., 2019). The current study draws on Shuck et al.'s (2019) model of compassionate leadership to explicate leader characteristics and attributes that facilitate noticing, feeling, and responding to the distress experienced by employees of all social identity groups, especially by minority members.

The current study proposes a framework, as shown in Fig. 3.1, in which five characteristics (integrity, accountability, presence, authenticity, and dignity) of compassionate leadership carries great potential for noticing and acknowledging perspectives, thoughts, motivations, needs, and desires of diverse subordinates and one characteristic (empathic concern) enables leaders to feel for suffering, distress, and concerns of a diverse workgroup, which then results in compassionate responding that promotes inclusiveness and support diversity. In other words, it is suggested that attributes building leader compassion increase the propensity of leaders to recognize the needs and problems of diverse employees (noticing step of Kanov et al.'s model) and empathize with sufferings, distress, and discomfort that diverse employees might feel (feeling step of Kanov et al.'s model). Increased emphatic concern

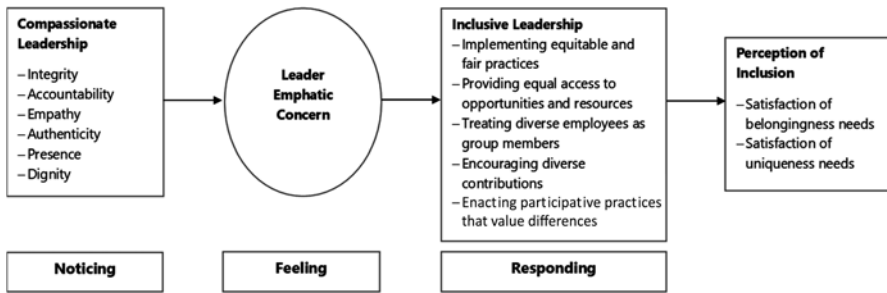


Fig. 3.1 Theoretical framework of compassionate leadership, inclusive leadership and perception of inclusion

with diverse employees' sufferings and pain then stimulates leaders to improve subordinates' welfare and well-being by taking positive actions and exhibiting inclusive leadership behaviors (responding step of Kanov et al.'s model).

Despite prior studies that portrayed empathy as a multidimensional construct composed of affective, cognitive, and behavioral components (Clark et al., 2019), the proposed framework situates empathy or empathic concern as an affective state as outlined by Kanov et al. (2004). Accordingly, empathic concern is defined as "experiencing an affective state that is congruent with another person's affective state" (Clark et al., 2019: 168). Empathic concerns are highly motivating as they trigger individuals to take benevolent actions to soothe suffering experienced by someone and improve the well-being and welfare of the person in need (Dovidio et al., 1990). Importantly, leader empathic concern prompts similar altruistic motivation to alleviate the distress of employees. For example, one study found that leader empathy results in preferential treatment toward distressed or needy employees (Blader & Rothman, 2014). In other words, leaders with high empathic concern favor and show heightened focus on needy employees that such as disadvantaged members of underrepresented identity groups. Besides, empathic leaders were found to be more sensitive and responsive toward those with high belonging needs or those who are less accepted and included in the group (Cornelis et al., 2013). Specifically, individuals perceive fairness as an indicator of the extent to which they are accepted by their group (De Cremer & Tyler, 2005). Relatedly, individuals with a stronger need to belong value and care more about procedural fairness than those with a weaker need to belong (De Cremer & Blader, 2006). Hence, empathic leaders are more effective in noticing and addressing the belongingness needs of subordinates by enacting fair procedures and practices (Cornelis et al., 2013).

Employees from underrepresented identities are concerned with developing social connections with and acquiring acceptance into their group at work, and thus their belongingness needs are more salient. However, these employees also want to be respected for their distinctive perspectives originating from their identity group affiliations rather than completely assimilating into the dominant group norms, which indicates the saliency of uniqueness needs. Leaders with high empathic concern should be more likely to be sensitive to the belongingness and uniqueness

needs of diverse employees and have higher motivation to take initiative in response to these needs. In other words, when leaders feel emphatic concern about the distress and suffering experienced by diverse identities as a result of their needs to belong and be unique, it is highly likely that they adapt their behaviors accordingly to satisfy the needs of diverse employees. Hence, it is proposed that emphatic concern of leaders increases their propensity to engage in inclusive leadership. This is consistent with prior findings showing that leader empathy results in favoritism and preferential treatment toward distressed or needy employees, such as members of underrepresented or minority groups (Blader & Rothman, 2014). Hence, it is proposed:

Proposition 2 *Leader emphatic concern positively relates to inclusive leadership practices, which then generate a sense of inclusion perception among diverse subordinates.*

Compassionate leaders are apt to feel more emphatic concern for the distress and suffering of subordinates because they have unique characteristics that enable them to easily notice, recognize and understand problems, concerns, and difficulties experienced by subordinates. The first characteristic of compassionate leadership in Shuck et al.'s (2019) model relates to integrity. Prior literature has examined leader integrity in two aspects. Accordingly, behavioral leader integrity refers to the alignment between words and deeds, and between espoused and enacted values of leaders, while moral leader integrity alludes to consistently following up on moral values across different situations (Bauman, 2013; Simons, 2002). Bauman (2013) argued that leaders with high moral integrity act in accordance with normative values of honesty, fairness, keeping promises, and not harming innocent people. Shuck et al. (2019) revealed that compassionate leaders are distinguished by their integrity as they are concerned with being honest, transparent, and consistent across situations, people, and relationships. Leaders with integrity are likely to be concerned about creating equity and justice across group members. For example, asking everyone's opinion or preference about group tasks or ensuring that decisions reflect unique requirements and circumstances of members of different identity groups so that they do not result in uneven consequences against diverse employees. Leaders with high integrity are more likely to focus on the outcomes of both day-to-day and more strategic decisions on the well-being and welfare of different identities. In other words, they are more likely to ensure that decisions, circumstances, and conditions do not harm diverse employees or neglect their special needs and requirements. This enhanced awareness of and attentiveness to particularity follows that leaders become more responsive in an unbiased and fair manner to the needs, demands, and problems of each and every subordinate, regardless of the subordinate's identities and group memberships. Hence, it is proposed that:

Proposition 3 *The integrity aspect of leader compassion positively relates to implementing fair and equitable practices through increased emphatic concern.*

The second factor of leader compassion is accountability. The accountability aspect of compassion refers to the leader's taking responsibility for the group

performance and also holding others responsible for the quality of work. Compassionate leaders maintain accountability by taking a hands-on approach, providing clear directions, coaching, and removing any obstacles that might preclude subordinates from achieving their full potential (Shuck et al., 2019). High leader accountability should increase a leader's tendency to engage in inclusive leadership. This is because leaders with high accountability would be more likely to realize unique and valuable skills and competencies brought in by diverse members and more willing to capitalize upon these differences by creating opportunities where diverse members could feel they are accepted and valued for their differences and thus give their best to accomplish group tasks.

Leaders with higher accountability should be more ready to notice any obstacles that may interfere with the effective functioning of all group members, irrespective of their identities. They should constantly monitor the environment to ensure that group members have equal access to all resources and means necessary for high performance. When any problem, be it a personal or a technical one, that may interfere with the accomplishment of goals arises, an accountable leader would be more likely to recognize, innately understand and emphatically feel what this problem means for the subordinate and respond by taking the necessary actions to eliminate it or at least mitigate its negative effects. By doing so, compassionate leaders show subordinates with diverse identities that their unique attributes are not only accepted but also valued and thus encourage subordinates to enthusiastically contribute to group goals. Hence, it is proposed that:

Proposition 4 *The accountability aspect of leader compassion positively relates to providing equal access to opportunities, resources, and leader support through increased emphatic concern.*

The third aspect of leader compassion is the presence of the leader. Presence is composed of four elements, which are attentiveness, connection, integration, and focus (Kahn, 1992). Accordingly, present individuals attend to others, feel a sense of connectedness and integration with others in their role performances. Leaders manifest their presence by demonstrating engaging behaviors, being actively alive and responsive, and being accessible to others in the context of work.

Compassionate leaders are capable of channeling their energy to be available and be there in their fullest sense for all subordinates. Moreover, compassionate leaders tend to give their full attention to their environment so that they effortlessly attend to and listen to subordinates' needs, wants, desires at any given moment (Shuck et al., 2019). Highly present leaders give high priority to their subordinates even when they have other duties to attend to. Hence, it is easier for present leaders to notice the difficulties caused by exclusion and discrimination and feel for minorities who bear associated distress and suffering. Being present and engaged provides compassionate leaders an opportunity to respond to these sufferings by delivering more active support to those from different identity groups and treating them as group members and part of the workgroup. Moreover, present leaders who embrace and accept diverse employees as part of the group might serve as role models for others in the same workgroup and instigate others to welcome and cherish diverse

employees (Nishii, 2013). This fosters a welcoming work environment where diverse employees feel belong and establish a greater sense of community (Marsh et al., 2014).

Proposition 5 *The presence aspect of leader compassion positively relates to treating diverse employees as group members through increased emphatic concern.*

The fourth characteristic of compassionate leaders is authenticity. Shuck et al. (2019) found that compassionate leaders tend to have relational transparency by showing their true selves and genuine emotions in their interactions with subordinates. Importantly, compassionate leaders have a strong sense of self and focus on their own moral values in decision-making. Literature on leader authenticity suggests that self-awareness of one's own strengths and weaknesses and using this knowledge in interacting with others distinguish authentic leaders from others (Avolio & Gardner, 2005). Accordingly, leaders with authenticity are conscious of their impact on subordinates, and knowing this they strive to truly expose themselves and make themselves vulnerable by openly sharing their thoughts, feelings, and opinions with subordinates. Prior studies proposed and demonstrated that leader authenticity conveys to subordinates social cues on the importance of including diverse perspectives and identities in work processes (Boekhorst, 2015; Cottrill et al., 2014).

Employees bring their true identities into workplaces when they feel comfortable and perceive that difference and diversity are welcomed and sought (Nembhard & Edmondson, 2006). Transparency and genuineness of leaders might generate such an environment in which employees feel that their differences are valued and celebrated. Because authentic leaders value showing transparency and openness in relationships and interactions at work, they act as role models emphasizing which behaviors are accepted and expected from subordinates. Hence, authenticity exhibited by leaders should incite subordinates to expose their own true selves and bring in different perspectives, views, and opinions into the workplace. Compassionate leaders with authenticity are likely to appreciate the value of being true to oneself and to others through emphatic concern, and thus encourage diverse employees to be authentic and to bring their genuine selves into work (Wasserman et al., 2008). In other words, by showing authenticity and empathizing with diverse employees, compassionate leaders create environments in which followers feel comfortable with unfolding their true selves and ensure that subordinates from minority or different identity groups do not hold back themselves but instead they enthusiastically apply their unique perspectives and fully contribute to work and decision-making processes in the workgroup. Hence, it is proposed that:

Proposition 6 *The authenticity aspect of leader compassion positively relates to encouraging diverse contributions through increased emphatic concern.*

Dignity is the fifth attribute of compassionate leadership. Compassionate leaders exhibit dignity by honoring the intrinsic worthiness of subordinates as human beings. Leader dignity involves "celebrating what makes each person unique" (Shuck et al., 2019: 547). This suggests that compassionate leaders with dignity can

see the innate potential of diverse others, which unleashes accepting diverse subordinates not in spite of their differences but because of the unique attributes that differentiate them from others. Compassionate leaders with dignity can not only notice and accept the value in differences but they can also empathize with the sufferings of diverse subordinates who struggle with making their voice heard and unique perspectives leveraged in decision-making processes.

The interpersonal acceptance and humane approaches of compassionate leaders are inclusive in their own right. Given the substantial importance, they ascribe to unique and intrinsically valuable differences of minorities and different identities, compassionate leaders with high dignity are likely to seek the input and contribution of diverse employees (Pless & Maak, 2004). Hence, they are likely to use participative and empowering managerial tools and techniques that consider all different perspectives, viewpoints, and opinions. Because unique and different perspectives of diverse identities are represented through participative practices that involve all different voices, members of underrepresented groups should feel that their uniqueness is not only informed but also highly appreciated and valued. Hence, it is proposed that:

***Proposition 7** The dignity aspect of leader compassion positively relates to enacting participative practices that value differences through increased emphatic concern.*

Conclusion

Organizations and workplaces have increasingly become more diverse and heterogeneous by employing members of underrepresented, minority, and different identity groups. However, recruiting a higher number of diverse employees does not guarantee their full contribution to and participation in organizational processes. Utilization of diversity can be realized through building an inclusive environment in which diverse employees are treated as insiders and, at the same time, allowed to preserve their uniqueness within the group. Leaders and distinctive leadership styles are proposed to be instrumental in promoting more inclusive workplaces and inducing inclusion perception in diverse subordinates (Boekhorst, 2015; Cottrill et al., 2014; Randel et al., 2018). Yet, the current understanding of which leader characteristics, attributes, and features are more effective in supporting inclusion and full utilization of diverse subordinates is still limited (Gotsis & Grimani, 2016).

In order to address this scarcity, this study proposed an integrated framework emphasizing the potential of leader compassion for increasing inclusive leadership practices and thus fostering the inclusion perception of diverse employees. Specifically, the framework suggested that integrity, accountability, presence, authenticity, and dignity components of leader compassion embody inclusiveness potential. Accordingly, each of these components is proposed to increase the tendency of leaders to engage in inclusive leadership practices through a three-step

process. The first step suggests that compassionate leaders should be more aware of distress, suffering, and any negativity experienced by diverse employees. The second step proposes that compassionate leaders should empathize with diverse employees and become concerned with their well-being and welfare. The third step suggests that leaders should be more prone to act with an altruistic motivation to improve the well-being of diverse employees by enacting more inclusive practices such as implementing equitable and fair practices, providing equal access to opportunities and resources, treating diverse employees as group members, encouraging diverse contributions, enacting participative practices that value differences. By doing so, compassionate leaders are suggested to provide diverse employees with the opportunities to fulfill their need to belong and also retain their uniqueness and distinctiveness, which ultimately promotes a sense of inclusion among employees with different identities.

Key Chapter Takeaways

- Compassionate leadership is characterized by six distinctive features which are integrity, accountability, presence, authenticity, dignity, and empathy.
- Compassionate leaders are more likely to engage in inclusive leadership practices that fulfill the belongingness and uniqueness needs of underrepresented employees from minority groups and different identity groups.
- The positive impact of leader compassion on inclusion unfolds in three steps. One, noticing distress and suffering experienced by diverse employees; two, feeling an emphatic concern to remove these negative experiences; and three, responding with inclusive practices that value, respect, and support differences.

Reflective Questions

1. Which leadership behaviors and practices are described as inclusive?
2. What is compassion? How is it different from empathy?
3. What is the three-step process of compassion according to Kanov et al.'s model (Kanov et al., 2004)?
4. What are the aspects of compassionate leadership that increase the tendency of leaders to engage in inclusive behaviors?
5. Which inclusive practices do compassionate leaders enact that address the belongingness and uniqueness needs of diverse employees?

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Chapter 4

Transformational Leadership and Change Management in Dynamic Contexts



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Introduction

This chapter discusses the theory of leadership and focuses on transformational leadership and its important role in change management. The chapter is based on review of leadership theory as developed over the years and the emerging role of transformational leadership. The concept of leadership is complex and the meaning of leadership is nebulous because leadership theory and practice is always evolving and the paradigm of leadership has been shifting over the years. However, there are established and agreed concepts of leadership. The theory, practice and understanding of leadership remains a complex phenomenon. There is no agreement in regard to the meaning, definition and scope of leadership. There is however, consensus that Leadership is an interesting social phenomenon which occurs in all groups of people regardless of geographical location or region, religious persuasion, race, culture or nationality. Historical writings show that societies everywhere had traditional leadership practices and that leadership has evolved over time and continues to evolve. We argue in this chapter that the world needs effective leadership and the form of leadership described as transformational is appropriate in today's changing dynamics especially in the context of globalized markets, where there is increasing change in all regards. Under changing circumstances and practices there is always

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need to include and engage internal stakeholders so that all the stakeholders can pursue a common and shared vision in order for success to occur. Transformational leadership promises to assist organizations in this regard.

Societies everywhere in the globalized world are facing change and they would benefit greatly from the ideas in this chapter. Today the weakness of the past leadership and managerial efforts have been exposed. In the past, according to literature, all types of organizations and institutions in both the private and public sector as well as in the Non-governmental and Community sectors tended to be mostly “over-managed (and/or over-administrated) and under-led”. This was more so in developing countries where in most societies leadership and management philosophies are believed to be mostly paternalistic and corrupt. The managers and leaders tended to apply transactional or other types of leadership styles that were not appropriate under changing dynamics. Such leadership types were not inclusive and engaging in nature. It thus became difficult under changing circumstances for organizations to pursue their goals effectively. We can argue that leadership in such contexts was not effective. In the absence of effective leadership, organizations and institutions of all sorts, are not capable of effectively implementing changes at the organizational level in line with changes in the operating environments. In this chapter we have adopted a conceptual led approach with the aim of showing the importance of transformational leadership in regard to change management. To put matters in context the chapter begins with an overview of leadership theory and moves on to discuss transformational leadership and change management. We then move on to conclude what leadership theory and empirical literature claim, that, leadership is highly essential for business organizations to achieve a sustained change and eventually higher degree of effectiveness, especially when operating under changing dynamics where there is need for more inclusion and engagement of especially the internal publics. Under such circumstances transformational leadership, comprising characteristics of idealized influence, individualized consideration, intellectual stimulation, and inspirational motivation has been found to have implications for higher leadership effectiveness in change management.

Theory of Leadership

Effective leadership is a consequence of leadership style and behavior that results in the achievement of desired organizational outcomes. This engenders the need for knowledge in effective leadership and responses to key questions in effective leadership behavior (Yukl, 2012). Previous leadership research has focused on leadership style as the key to why leaders of some organizations successfully execute strategies that lead to excellent business results while others fail to translate strategic intent into desired outcomes. In trying to understanding the paradigm of leadership various leadership theories, styles and models have been proposed. Several theories on leadership exist. Many theories of leadership have been developed over time and each attempts to make propositions about the critical factors or

elements of leadership, that is, leaders, followers and situation, among other important aspects (Bolden et al., 2003). At this point it suffices to briefly review the different theoretical frameworks on leadership as these provide perspectives on what is now established as leadership looked at from different points or view or contexts.

Bolden et al. (Bolden et al., 2003) have given a good classification of leadership theories as: trait theories, behavioral theories, contingency theories, transactional theories, and contemporary (transformational) theories.

Trait Theory

This is the earliest leadership theory that emerged in the late nineteenth to mid-twentieth century. It focused on the leader and the traits or characteristics he/she possessed believed to be causal in the performance of leaders. Great leaders were seen to possess special traits that determined effectiveness in operations and hence success towards the set vision. Though unable to explain fully the causal relationship to leadership effectiveness, the traits do serve as antecedents of leader behavior (Sanders & Davey, 2011).

Behavioral Theory

Trait theory could not explain everything about leadership effectiveness and hence dissatisfaction with it led to behavioral theories (House & Aditya, 1997). Behavior is about what leaders did to actuate results, as the causal agent in influencing followers. Behavior considerations could not adequately explain the phenomenon of leader effectiveness. While these behavioral theories advanced the ideas in trait theory and substantially improved explanation and prediction of leadership outcomes and effectiveness, situational elements were not adequately captured. The question remained about what were the most effective leader behaviors in particular situations, hence the emergence of contingency theories (House & Aditya, 1997).

Contingency Theories

Contingency is a formal word meaning something that might happen in future and is situational. According to contingency theories, the contingency variables in a particular situation serve as moderators of leader behaviors to increase leader effectiveness (Sanders & Davey, 2011).

Contemporary Theories

Contemporary theories of leadership primarily deal with organizational changes. They extend transactional theories beyond leader-subordinate exchange process to incorporate change of the follower hence change of the organization (Sanders & Davey, 2011).

Strategic Leadership Theories

Changing dynamics call for strategic planning which is futuristic in nature. With increasing changes in the business environment, beginning gradually in the 1960s and picking up speed in the 1980s, strategic leadership theories evolved of course building on some of the ideas of the previous theories. Boal and Hooijberg (2000) categorized the evolution of strategic leadership theories as: upper echelons theory, new leadership theories (charismatic, transformational and visionary) and the emergent theories of leadership. House and Aditya (1997) in their contribution to the discourse of leadership development indicate the shift in mid-1980's away from the study of supervisory leadership towards the study of strategic leadership initially centering on the Upper Echelon theory (Hambrick & Mason, 1984) and the study of top management teams and the new leadership theories.

Supervisory Theories of Leadership

While strategic leadership theories focus on the creation of meaning and purpose for the organization with a futuristic outlook in mind (House & Aditya, 1997), the supervisory theories of leadership (path-goal, contingency, leader-member exchange-LMX) focus on task-and person-oriented behaviors of leaders in providing feedback, support and guidance to subordinates in pursuance of set objectives. In essence supervisory theories of leadership are about leadership “in” organizations while strategic leadership theories are concerned with leadership “of” organizations and focuses on the people with overall responsibility for the organization as it tries to plan to manage the future (Boal & Hooijberg, 2000).

Upper Echelon Theory

In the 1970s and 1980s there was considerable divergence of opinion on the impact of leadership on performance. One argument was that leadership behaviors influenced organizational performance less than environmental or organizational factors

(Hannan & Freeman, 1977), while another argument was that leaders' attitudes had a significant impact on organization performance. It is in response to this skepticism that Hambrick and Mason (1984) came up with the Upper Echelon theory, the precursor to Strategic Leadership Theory. The seminal work presented by Hambrick and Mason in 1984 holds the view that strategic choices and business performance are dependent on the characteristics of dominant actors within an organization and in particular the top management team. The authors propose the relevance of background characteristics and observable characteristics that include psychological (cognitive base, values) and observable characteristics (age, education, functional tracks, other career experiences etc.). Their theory suggests that organizations are reflections of the top management team's cognition and values and organizational outcomes.

New Leadership Theories

The new leadership theories focus on the charismatic, transformational and visionary leadership aspects of leadership and tend to highlight the interpersonal processes and relationships between the leader and the follower (Boal & Hooijberg, 2000). They focus less on the situation.

Charismatic Leadership Theories of charismatic leadership emphasize the personal identification of the followers with the leader. Boal and Hooijberg (2000) propose two forms of charisma: visionary and crisis responsive. Visionary charisma creates a world intrinsically valid for the follower, in which behaviors are linked to core values, purposes and meanings through the leader's articulation of vision and goals while crisis responsive charisma creates a world that is extrinsically valid, in which outcomes are linked to behaviors. The charismatic leader relies upon the impression management techniques of exemplification and self-promotion to maintain his/her charismatic identity (Boal & Hooijberg, 2000).

Transformational leadership style is a style with wide followership in academic discourse and research due to its positive link to a wide variety of organizational performance outcomes (Ding et al., 2017). It is seen as inclusive and engaging in its nature and, has been linked to positive changes in followers where the leader motivates, empowers, and inspires them to pursue a collective vision and believe in their own potential, causing them to perform beyond their expectations (Northouse, 2013). Many authors such as Hitt et al. (2013) consider transformational leadership as one of the most effective strategic leadership style if not the most effective.

Visionary leadership is future oriented, concerned with risk taking. Visionary leaders are not dependent on the organization for their sense of who they are. They maintain organization control through socialization and the sharing of, and compliance with, a commonly held set of norms, values and shared beliefs (Rowe, 2001).

Some authors such as House and Aditya (1997) see charismatic, transformational and visionary theories of leadership as virtually interchangeable. Others such as Boal and Hooijberg (2000) think that substantial differences exist between them in terms of the level of analysis and the choice of dependent variables. Pawar and Eastman (1997) suggest that the content of strategic leadership theories and transformational leadership theories are the same, they only differ in process and effect on followers. Transformational and charismatic leadership are subsets of strategic leadership and they are delimited by the additional features that characterize the charisma building (e.g. impression management), transformation (e.g. building of individual and collective interests) and process (Pawar & Eastman, 1997).

Managerial, Visionary and Strategic Leadership

Managerial leadership involves stability and order, and the preservation of existing order. Managerial leaders are more comfortable handling day-to-day activities while being short term oriented. Managerial leaders have an impersonal, passive attitude towards goals as they arise out of necessity rather than desires or dreams and deeply embedded in the history and culture of the organization (Rowe, 2001). Managerial leaders need order, not the chaos characteristic of human behavior and relations and see themselves as responsible for conservation of the status quo while remaining sensitive to the past. Managerial leadership can be likened in some ways to transactional leadership (Rowe, 2001). Transactional leadership is in many ways a process of “give and take” or “Scratch my back and I scratch yours.”

Visionary leaders pursue goals that are opposite to those of managerial leaders. They are more proactive in shaping ideas as opposed to being reactionary and usually exert influence in a way that determines the direction the organization takes. They seek out risky ventures especially when the rewards are high (Rowe, 2001). Their sense of who they are does not depend on their work, role, or membership but on their created sense of identity, which may result from major events in their lives. It is argued in many quarters today that organizations need visionary leadership to ensure their long term viability. However, organizations led by visionaries without the constraining influence of managerial leaders are more in danger of failing in the short term (Kotter, 2001; Rowe, 2001). Thus, it is most probably better to combine the ideals of managerial leadership and visionary leadership in order to succeed.

Emergent Leadership Theories

The emergent theories of leadership explore behavioral and cognitive complexity and also social intelligence and how they influence leadership effectiveness. Boal and Hooijberg (2000) argue that the emergent leadership theories will extend the understanding of what they consider to be the three cornerstones of strategic

leadership: the capacity to learn, the capacity to change and managerial wisdom. Leadership effectiveness hinges mainly on three factors: behavioral complexity/capacity, cognitive capacity, and social intelligence.

Behavioral complexity refers to the leader performing multiple leadership roles and the ability to select the right roles for the followers or their subordinates (Boal & Hooijberg, 2000). Cognitive complexity is premised on the assumption that cognitively complex individuals not only process information differently but perform certain tasks better than cognitively less complex individuals because they use more dimensions to distinguish between stimuli and hence identify more commonalities in these dimensions (Boal & Hooijberg, 2000). Cognitive capacity is the raw mental power that enables a person to sustain increasingly complex mental processes (Jacques, 1989). This requires traits such as empathy, motivation, and communication in addition to the cognitive skills. These traits are useful in regard to engagement and inclusion of followers under changing circumstances.

The theories reviewed above lead to the conclusion that leadership functions well only when there are leaders and followers who function within a context. They also seem to suggest that a leader's orientation and behavior is critical to success. Leaders are expected to influence followers to move towards established goals and vision. Followers are able to follow the leader when they view his or her actions as legitimate. Leaders exercise different means, depending on their style, to get compliance from the followers. Moving together with the leader to achieve set goals is a challenging task that requires followers to be convinced and convicted in their minds to work towards the end goal or vision. Transformational leadership is widely seen as the best approach to encouraging followers to move along with the leader because it is engaging and inclusive in nature.

Transformational Leadership

It is a truism to say that the world needs transformational leadership today more than ever before because of change. The world has undergone spectacular changes since the second half of the last century and the changes have engendered the application of effective leadership. In this new period the frequency of the changes and their impact upon us has increased unbelievably. Since the early 1980s as a result of the economic crisis we have been continuously hearing about change and about the need of managing change. Each business segment is affected to a stronger or weaker extent by the necessity of dealing with changes resulting from the economic as well as other crises. There have been increasing calls for effective leadership to help organizations navigate change that has sometimes been "surprising" to use the words of the late Professor Igor Ansoff and Edward (Igor & Edward, 1990). Transformational leadership has been touted as a good approach to managing change today. Burke (2011), states that change is, in fact, humanity's chronological account of leaders who envisioned the next level of development and acted as change agents. This important role of organizational leaders becomes extremely crucial when an organization needs to move and

graduate to the next level of development, or to become free from behavioral diseases of bureaucracy that do not allow for smooth transition during crises or changing circumstances. Transformational leadership promises to provide the way forward in terms of change management with a view to leading organizations to a desirable future state.

In the past, researchers focused on transformational leadership as an effective leadership strategy to implement within public and private sector organizations. Transformational leaders work with their employees to implement change. The concept of transformational leadership started with James V. Downton in 1973 and was expanded by James Burns in 1978. In 1985, researcher Bernard M. Bass further expanded the concept to include ways for measuring the success of transformational leadership. This model encourages leaders to demonstrate authentic, inclusive, engaged, and strong leadership with the idea that employees will be inspired to follow suit as a consequence.

While Bass' model dates to the '70s, it's still an effective leadership style practiced today. This style of authentic leadership never changes, just the environments it's practiced or used in. It's applicable across every industry, but it's especially vital to the fast-paced tech industry where innovation and agility can make or break a company.

Transformational leaders create a shared vision for their followers and guide the change through inclusion, engagement, inspiration and motivation. They are role models and their followers emulate many of their actions. They also inspire through activating their self-efficacy and worth so that followers believe that they can go beyond expectations. But what is transformational leadership? Transformational leadership is a leadership style in which leaders engage, include, encourage, inspire and motivate employees to innovate and create or address change in order to help grow and shape the future success of the company. This is accomplished by setting an example at the executive level through a strong sense of corporate culture, employee ownership and independence in the workplace. Transformational leaders inspire and motivate their workforce without micromanaging. They manage through engagement and inclusion and trust trained employees to take authority over decisions in their assigned jobs. It's a management style that's designed to give employees more room to be creative, innovative, look to the future and find new solutions to old problems or to challenging new problems brought about by changing dynamics in their environment of work. Transformational leaders will also create leaders especially for those employees on the leadership track prepared to become transformational leaders themselves. This is accomplished mainly through carefully crafted mentorship and training programs. Transformational leadership style is seen as largely inclusive and engaging in its nature and, has been linked to positive changes in followers where the leader connects and engages with the followers, motivates, empowers and inspires them to pursue a collective vision and believe in their own potential, causing them to perform beyond their expectations (Northouse, 2013). In many quarters and in academic discourse transformational leadership has been touted as one of the most effective leadership styles and this is mainly because of its

inclusive and engaging nature. Many authors such as Hitt et al. (2013) consider transformational leadership as one of the most effective leadership styles.

Much of what is known today about transformational leadership, as already mentioned, is primarily from the research by Bass (1985) and Burns (1978). Burns (1978) discussed leadership as transforming, and, on occasion, as transformational with both the leader and the led being transformed, changing their performance and outlook. Bass (1985) added to the initial concepts of Burns (1978) to help explain how transformational leadership is measured, as well as how it impacts follower motivation and performance. According to transformational leadership theory, transformational leadership involves leaders exerting influence on followers to increase their commitment to organizational performance. This is realized when the leader is able to influence followers to increase their performance by motivating them to transcend self-interest and increase their level of commitment to the task at hand. The performance of followers is achieved through higher degrees of extra effort, effectiveness, and satisfaction (Bush, 2014). This is especially so when they feel engaged and included. Transformational leadership does not seek to maintain the status quo but provides an impetus for change, innovation and creativity as attempts are made to achieve overall organizational performance (Bass & Avolio, 1994). Because of changing dynamics in all the sectors of society this is what the world needs today. There are four dimensions or characteristics or behaviors that embody the full range of transformational leadership as commonly agreed in available literature. These are: individual consideration, intellectual stimulation, inspirational motivation, and idealized influence. They are commonly referred to as the Four Is (4Is) of transformational leadership. Many writers including Bass (1985) have described the additive effects of these 4Is of transformational leadership results as resulting to performance beyond expectations.

The paradigm of transformational leadership has been criticized for its conceptual weaknesses. Yukl (2012) argues that although transformational leadership is expected to improve organizational performance, it does not address the effect a transformational leader has on organizational processes that are key to organizational performance. His argument is that past studies have not sufficiently discussed the causal effect of transformational leadership on the processes that lead to the effectiveness of organizations.

Idealized Influence Transformational leaders are role models who, through their actions and values, inspire those who follow them. They take risks and follow values, and display convictions that create a sense of confidence in their followers. According to Bass and Avolio (1994), idealized influence or personal charisma emerges when transformational leaders behave in desirable ways that display them as role models for their followers. To be effective as a role model, leaders must be respected and trusted. By providing idealized influence, followers are therefore positively influenced by the leader through admiration, trust and respect for him or her to pursue the organization's vision. It has been observed that in a cascading process, followers at multiple organizational echelons greatly admire and closely identify with the leader as well as reciprocate the leader's self-sacrifice. When the

top leader or CEO demonstrates idealized influence, it generates follower trust, esteem, and confidence. The leader also encourages ethical practices such as communicating ethical standards, encouraging ethical conduct, modeling ethical behavior, and opposing unethical conduct. Application of behaviors of idealized influence have been linked to followers' performance improvement. Studies have demonstrated that articulating an appealing and inspiring vision, goal setting and role modeling are effective leadership practices related to idealized influence that leaders apply to drive performance improvement and achieve the set bar (Wang et al., 2011). Action from followers comes about when they feel engaged and included in the change management process.

Inspirational Motivation Transformational leaders have the ability to inspire confidence, motivation and a sense of purpose in their followers. They articulate a vision and communicate expectations and confidence in the team. They communicate with confidence, optimism, and have the ability to point out positive things during the challenges of growth. The leader's vision with respect to the direction of the organization is provided under idealized influence; articulating that vision to followers is realized through inspirational motivation. The ability to inspire and motivate followers is a critical factor in transformational leadership (Northouse, 2013). To effectively do this, through inclusion and deep engagement of the followers, the leader focuses follower attention on the future, rather than on the past, articulating and sharing a vision that is appealing and inspiring. As part of this process, the leader's articulation of a shared vision more often than not generates enthusiasm and optimism to convince followers that they can meet the challenge ahead. It is important therefore for the CEO as a leader of the senior managers to inspire and motivate them towards better performance outcomes. Techniques applied by the leader include providing opportunities for achievement, recognition, and responsibility. Leaders with inspirational motivation are able to create a strong sense of team spirit among followers as a means of inspiring them towards the realization of stated organizational outcomes. Teamwork has been identified as a strong moderating factor in transformational leadership studies.

Intellectual Stimulation Transformational leaders value creativity and autonomy among each team member. The leader involves members in the decision-making process and stimulates their creative thinking. This way they feel engaged. They challenge assumptions and create an environment where healthy conflict can arise. They change how their followers think about and frame problems and obstacles. Transformation requires innovation. By providing intellectual stimulation, transformational leaders help followers hone their innovative and creative skills leading to performance improvement. Intellectual stimulation includes activities such as questioning assumptions and reframing problems. Followers are encouraged to develop new ideas and are not publicly criticized for their mistakes or for disagreeing with the leader's ideas. The transformational leader's emphasis on intellectual stimulation is consistent with providing challenging assignments,

encouraging risk taking, critical thinking, creativity and innovation. Managers who apply intellectual stimulation in the work place realize positive results among their followers through increased creativity and innovation. They stimulate the thinking of their followers through challenging the existing assumptions and encouraging risk-taking behaviors. Intellectual stimulation is more task-focused as it is directed towards changing how employees think about their work activities and roles.

Individualized Consideration Individualized consideration refers to the transformational leader's emphasis on and attention to individual follower's needs for achievement, growth, and career development. Transformational leaders are guided by the view that each member of the team is a unique individual, with specific needs and wants. Through coaching and mentoring, transformational leaders provide customized training for each team member's needs and roles. Two-way communication is a hallmark of individualized consideration. Bass (1998) observed that transformational leaders typically enjoy a history of positive interpersonal relationships with supervisors and subordinates. Transformational leadership behaviors linked to individualized consideration involve engaging, supporting and empowering, developing followers through coaching and mentoring, and providing career development opportunities. Employee development initiatives of mentoring and coaching have a positive effect on employee performance. Follower inclusion, engagement and empowerment conveys a strong message from the leader that employees are able and the empowering climate causes transformation in the way they perceive, view and perform their tasks. The performance effects of transformational leadership are well documented through research (Grant, 2002). The key to improved performance is to motivate followers to transcend self-interest and increase their level of commitment in their work. Transformational leaders elicit higher degrees of extra effort, effectiveness, and satisfaction in followers when they apply behaviors related to the four dimensions of transformational leadership (Avolio & Bass, 2004).

From the foregoing we can summarize the hallmarks of a transformational leader as someone who includes and engages employees, encourages the motivation and positive development of followers; exemplifies moral standards within the organization and encourages the same of others; fosters an ethical work environment with clear values, priorities and standards; builds company culture by encouraging employees to move from an attitude of self-interest to a mindset where they are working for the common good; holds an emphasis on authenticity, cooperation and open communication, and provides coaching and mentoring while allowing employees to make decisions and take ownership of tasks. These are critical demands under changing circumstances and must be incorporated in any change management efforts.

Change Management, Engagement and Inclusion

The well-known passages of Heraclitus (535–475 BC) that “everything flows and nothing stands still” or that “no man ever crosses the same river twice” are, perhaps, a good beginning point in our attempt to introduce the paradigm of change. In common parlance change is seen as the process in which there is a cause to move or to pass from one state to another, or the act or an instance, of making or becoming different. In a world characterized by unprecedented change driven by covid-19 and other infectious diseases, geo-political transformations, climate change, relentless technological advancements, globalization, the diminishing of trade barriers, increasing competition and sophisticated and demanding consumers among other factors, the only thing that is certain is, indeed, change. Change is a constant in life. Therefore, an organization’s ability to keep pace with the rate of change, as witnessed nowadays, is directly related to its capacity to adapt and respond to the external environmental and diverse competitive pressures of change. There is consensus in academic discourse that the necessity for change management has reached a critical point today and that the goal of change management is to ensure that an organization is able to adapt to its external environment by developing capabilities that reflect the challenges encountered in its context.

Change is a natural phenomenon of organizational life. Change has both hard and soft issues to address in the process of change management. Hard issues are said to be changes to strategy, structure, systems, performance and productivity. Soft issues are more focused on the culture of the organization, leadership styles, behavior, competencies, motivation and overall attitude. Bridges (2003) observes that in a change management process there are two distinctive aspects; the transition towards change and change itself. He explains that change is the way in which things will become different in the future whereas transition is how the change takes place. He further states that change consists of events where transition is an on-going process and change is the outcome that one tries to achieve whereas transition is about the strategy to get there.

Change Management has been widely used in academic discourse to denote several theories, concepts and practices and may not necessarily denote the controlling aspect. Change management can be described as the tool that prepares us for the uncertain future by enabling us to create it and by empowering the organization to take responsibility for its future (Mutuku, 2005). It is the arduous task of managing change where change is planned or a body of knowledge where the content or subject matter, that is models, methods and techniques, tools, skills and other forms of ‘change knowledge’ are studied. Change is a reality that we all need to be comfortable with because we have little or no control over it (Mutuku, 2005). Change always starts with the ‘how’ question, for instance, how do we get people to be more creative and responsible? Or how do we raise more effective barriers to market entry by our competitors?. The initial formulation of a change problem is means centered with the goal state more or less implied according to many authors. We then have the ‘what’ question, for instance, what are we trying to accomplish? Or what are the

changes necessary?. Here the ends sought are not discussed since diagnosis is assumed or not performed. Lastly, we have the ‘why’ question, for instance< why do people need to be more creative today? Or why do we have to change the way we do things today?. We could also have questions about: who, whom, which, when and so forth.

We like the adage that change management feels like changing the tires of a moving car. It states that this is precisely how managers in organizations feel like when initiating a change program. This is because the organizations operate in a turbulent environment. Turbulence has been described by Igor Ansoff (Igor & Edward, 1990) as the degree of the changeability and the rapidity of change. The road that organizations need to take to implement change never stays static, top management teams need to consider many stakeholders and also the situations while they go towards their change initiatives to achieve their vision.

Change that happens in organizations comes in different ways. The two main ways are planned change and emergent change (Burns, 1992). Planned Change occurs when managers plan to bring change by introducing new ways of conducting their operations. Emergent Change is when everyone in the organization is caught unawares by the change that comes as a result of mainly external forces that no one has control of. For example, Covid 19 and its consequences were unexpected. Emergent change cannot be avoided because organizations can never be the predictable, well-oiled machines envisaged by the classical approach. The emergent approach towards change is more recent and seen as practical over the incremental approach. In this perspective the change is seen a continuous, unpredictable and constant process that any organization could be faced with. Emergent change is implemented by divisional managers through including and engaging employees. All employees are kept ready to face change, trained with necessary skills and competencies in a dynamic environment. Emergent change relies on soft skills such as effective communication, high cooperation and collaboration between management and employees. There is also incremental change which is an advanced version of planned change. Managers using this approach try to match the organizational performance and services offering after analyzing environmental needs. A gap analysis is conducted and requisite corrective action taken. James Quinn (1978) in his theory ‘Logical incrementalism’ states a similar concept when it comes to developing strategies in a changing environment. The main criticism of this orientation is the inability of coping up with drastic organizational changes. However, the particular strengths of this type of change are continuous progression rather than a “frame breaking burst” approach, only affecting one organizational section rather than transforming the entire organization. There is Stepped change which is possible when a trend line of a particular factor stops becoming smooth and there is a significant jump in direction upwards or downwards. Stepped change is not always possible with every organization as most organization structures do not allow stepped change unless otherwise taken specifically. In addition, it is difficult to spot in advance, as strategic planning has moved away from the traditional trend analysis frameworks towards scenario planning frameworks in tandem with changing times. Given the intricacies and the high competitive nature of the external environment,

every organization should really be able to handle radical drastic changes through transformational change mechanics. Given the high nature of involvement in this type of change, there is perhaps need to gather a comprehensive view of targeted transformational change before opting for it. In the process, key factors of ascertaining the feasibility of such transformational change must be considered. These include the multiple and interrelated changes to be implemented across the system as a whole, the creation of new organizational forms at a collective level, the creation of roles at the individual level, the reconfiguration of power relations (especially the formation of new leadership groups including strategic change champions) and the creation of a new culture, ideology and organizational meaning. Finally, change may be described as radical. This type of change involves radically changing an “accepted” or “taken for granted” situation in a large scale, such as changing the state of economy, or social structure. This type of change rarely makes its mark in an organization, as this may be a strong factor for resistance. However, when changes demand it, then it has to be accepted, critically analyzed and implemented.

Change is usually introduced in organizations, typically when they want to respond to new challenges such as new technologies, new competitors, new markets and demands for greater performance with various programs. There is a general agreement among many change management researchers that change programs are likely to fall into one of the following categories: Structural Change, Cost cutting change, Process Change and Cultural Change. In Structural Change programs the organization is treated as a set of functional parts; the “machine” model. During structural change, top management, sometimes aided by external consultants, attempts to reconfigure these parts to achieve greater overall performance. Cost Cutting programs focus on the elimination of nonessential activities or on other methods for squeezing costs out of operations. Process change programs focus on altering how things get done to eliminate non-essential processes that add little or no value and can be done away with. Process change typically aims to make processes faster, more effective, more reliable, and/or less costly. Cultural change programs focus on the “human” side of the organization, in regard to “how we do things here.” They aim to reorient a company to begin doing things differently. Cultural reorientation is a tough call in change management efforts. However, when employees feel included and engaged in the change efforts they are more likely than not capable of supporting the efforts.

Successful change management depends on many factors but from the discussions above we can isolate several critical success factors. These are (i) *Leadership that is engaging and inclusive*. Building consensus at the executive level helps ensure alignment of people, policies and projects. Employees will get the sense that, even in the midst of change, the course is clear and unwavering (ii) *Constancy of purpose and sharing a common vision*. Organizations really struggle to align people, groups, functions etc. with the goals of their change management initiatives; to align with a clear vision of what “done” looks like. This alignment is needed to ensure everyone is pulling at the oars and moving in the same direction (iii) *Consistency of method to ensure continuity, constancy and consistency*. Stability is everything. Change and adaptation are easier when methods and processes are

consistent (iv) *Communication is a* critical success factor. It is the oil that lubricates the engine in the change management vehicle. Without oil the engine will cease to function (v) *Commitment to change as* Change of any kind takes human beings and organizations alike out of their comfort zones and there is always a gravitation pull back to the familiar. Successful change, then, requires a commitment to noticing when the wheels are wobbly and making the necessary adjustments and balancing (vi) Changing the modus operandi to a new one is a culture change initiative. The way things are done will more than ever before need to change during times of rapid change.

Role of Transformational Leadership in Changing Contexts

Literature shows that the transformational leadership style enables the organization to remain focused and deliver on its overall vision, mission and performance targets (Bass, 1990). When leaders apply the behaviors associated with transformational leadership style, they provide clarity of vision and align employee goals, values and priorities to the vision with the aim of boosting their trust and confidence and thus enabling them to increase commitment and performance. The four dimensions that represent transformational leadership according to Bass and Avolio (2009), outlined earlier: are idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. They work in tandem to help employees feel included and engaged in the organization and in the change management process. The question at this point is, when are the four dimensions urgently needed in an organization? The simple answer is that they are needed at all times as transformational leadership is a style of leadership that forward looking leaders apply in their operations. However, during times of change the four dimensions are much more critical. During change, a leader must get his/her people to synergistically pursue the organization's goals. A leader applying this leadership style inspires followers to trust and identify with him/her and the organization mission; articulates shared goals and a clear, compelling vision that arouses followers and promotes positive expectations; challenges followers to question assumptions, take risks, think critically, and identify and solve problems proactively, and identifies, understands, and addresses followers 'developmental needs and treats them uniquely'. The additive effect of these four dimensions leads to performance beyond expectations (Bass, 1985). This is what is needed most during times of disrupting changes.

Previous research on transformational leadership and how it works to get everyone in an organization moving together, has applied two distinct theoretical rationales; the first involves enhancing followers 'motivations to achieve both individual and team-level goals. The second one is empowerment through communication on the importance of individual and team goals and motivating followers to achieve the set goals (Chi & Huang, 2014). Research and practice have confirmed over and over that transformational leadership helps connect the leader and the followers in intricate ways and leads to improved performance in three basic ways: by positively

influencing their job satisfaction as well as satisfaction with the leader, motivation to exert extra effort, and effectiveness in their job. Each of the four dimensions (4Is) of transformational leadership influence performance in a unique way because of the positive reactions of the followers toward the leader. Is this the case during changing times when organization renewal and transformation is most desirable? Studies on transformational leadership by various authors have sought to provide the link between leader-follower dynamics and superior performance for organizations that face renewal and transformation demands. Renewal is significant in terms of dynamic changes that impact organizations. Unless there is renewal and transformation during changing times and circumstances organizations risk failure or at best dismal performance. A meta-analysis of 25 years of research on transformational leadership and performance across criteria and levels by Wang et al. (2011) established that transformational leadership was positively related to individual performance. The down side in transformational leadership is a conceptual one that the leader appears to focus more on the employees than on factors that bring about organizational success. However, behaviors of transformational leaders have been identified as impacting organization performance positively. Bass (1985) and Burns (1978) concluded generally that transformational leadership leads to performance improvement for both the workers in terms of their productivity and the organization in terms of its own success. The leader motivates followers to move beyond self-interest to achieve performance beyond expectations and specifically across various organization hierarchical levels. Performance beyond expectations is the elusive goal sought by managers and leaders alike during changing dynamics in the business environment. The relationship between the CEO's leadership style directed to employees and especially to senior managers as a key link to performance improvement, has received research attention since the unveiling of the Upper Echelons Theory by Hambrick and Mason (1984). Empirical studies that followed from Hambrick and Mason's (1984) thinking suggest that senior managers influence organizational performance by their leadership style. For example, John Walsh of General Electric and Livermore of Hewlett – Packard are renowned for their successful leadership that led to marked improvements in the performance of their organizations through the application of business strategies and strategic thinking as well as their personal leadership styles and influence that involved what may today be described as transformational leadership, engaged leadership and inclusive leadership. It is often argued that Livermore exceptionally inspired, influenced and motivated her staff to achieve constructive change in Hewlett – Packard. She had an engaged and inclusive leadership orientation. History is replete with great men and women leaders who influenced their organizations or countries to navigate change successfully. Some famous leaders include United States of America leaders such as George Washington, Abraham Lincoln, John F. Kennedy and Martin Luther King. Famous leaders from other continents include Mahatma Gandhi of India and Indira Gandhi. Great leaders from the continent of Africa include Nelson Mandera of South Africa, Jomo Kenyatta of Kenya, Kwame Nkrumah of Ghana and Mwalimu Julius Nyerere of Tanzania.

The focus on the CEO and top managers is because the CEO is a crucial predictor of organization success and the CEO's values have been found to influence the performance of managers. Top executives also greatly influence what happens to their organizations and ultimately organizational outcomes. It is evident that a critical measure of an effective CEO is the ability to lead sustainable organization performance. Scholars have for a long time focused on how CEO leadership behaviors influence those of their followers and ultimately the performance of the organization. The CEO leadership influences organizational performance through inducing positive attitudinal responses from the organization's workers and especially middle managers. It is widely accepted that transformational leadership style helps achieve positive outcomes.

Conclusion

Transformational leadership, comprising characteristics of idealized influence, individualized consideration, intellectual stimulation, and inspirational motivation has been found through research and practice to lead to higher leadership effectiveness in new market environments and under changing dynamics in the business environment. Available empirical studies and experiences from executives indicate that transformational leadership is an enabler of innovation among other important contributions. Transformation itself is essentially about change. As transformational leaders work with their followers towards their vision of the desired future they facilitate the generation of new knowledge and ideas through applying intellectual stimulation aspect that motivates employees to approach organizational problems in a new and novel approach. Transformational leadership has a lot to contribute to change management. Today the world is facing unprecedented changes in all spheres of life. The increase and fast growth of diseases such as Covid-19, climate change and its negative impact, increasing challenges to political systems by more informed citizens who feel excluded from key decisions, and the increased clamor for freedom of expression and involvement in the decisions affecting citizens and many other concerns all call for transformation of systems and for a new *modus operandi* in the management of countries, organizations, institutions and communities. This calls for a type of leadership that is inclusive and engaging. It is commonly believed that transformational leadership can bring about inclusivity in the management of organizations, countries and institutions in dynamic contexts where change is rapid and can be described in the words the late USA Prof. Igor Ansoff as "rapid and changeable". Transformation requires the visible and sustained engagement of a wide range of followers within any context under consideration. Transformational leaders must build and sustain the culture of transformation and inclusion for success.

Key Takeaways

1. Many theories of leadership have evolved overtime. None has sufficiently explained all the aspects of the paradigm of leadership
2. Today transformational leadership is credited with the best available leadership style to manage change since it is engaging and inclusive and focuses on leaders sharing their vision with their followers
3. The downside of transformational leadership is that it focuses more on the followers output than on the output of the entire organization
4. Change management is a phenomenon to behold. Change can be introduced in an organization by its leaders or can come from forces outside the organization. Whatever the source change management has established ways of achieving the required status
5. Under changing contexts transformational leadership style enables the organization to remain focused and makes it easier for the organization to deliver on its overall vision, mission and performance targets

Reflective Questions

1. What do you consider to be your own leadership style and how does it agree with the propositions of any of the key leadership theories presented in this chapter?
2. The world has undergone spectacular changes since the second half of the last century and recently because of Covid-19. How has this affected your working life and what personal strategies have you applied in order to cope with the changes so engendered?
3. If you were invited for an interview by an organization you would like to work for and were asked about how to foster inclusion and engagement of workers in the virtual work space, what would you say?
4. What do you see as the key benefits of transformational leadership practices during changing times?
5. There is a common adage that “if you don’t change then change will change you”. What are your personal thoughts about this?

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Chapter 5

Shifting Leadership in Black Communities: A Needed Change



Sylvia Willie Burgess, Forrest Toms, William Munn, and Daniel McKelvey

Conceptual Thought: How Do We Navigate This New Normal of Weaponizing Change, Domestic Extremists, and Insurrection Attempts?

The pandemic COVID-19 has changed the face of interaction for American communities. The overwhelming and devastating nature of this pandemic is having a significantly negative impact on marginalized communities which were already struggling to overcome food insecurities, health issues, and a problematic justice system among other ills. Coupled with the outrage across the country with race relations, the greatest transformation ever is occurring in the United States. The pandemic and race relations fallout are calling for a change in African American leadership to further advance community engagement and sustainability of life in Black communities. This current climate raises the question what type of leadership across generations is needed to create the infrastructure for change and sustainability in communities where mainly African Americans live? There is a need for a shift in leaders who are willing to step forward and generate an intersectionality approach to closing the racial and socioeconomic divide that exists for Black communities. It is the lack of a systems approach that further compounds this already aggravated

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situation. The lack of a systems approach is so inherent and ingrained in Black and other disparate communities that a more multifaceted strategy is necessary for new leadership thinking and practices.

In a society where it seems okay to suggest that anything goes, good leadership is even more critical. According to Hall (1999) there is no great human messiah coming to lead us to victory, like Dr. Martin Luther King, Jr. It will take working together to create a new kind of leadership that will carry us forward. A great deal of time is spent focusing on what is happening in Washington, DC, while there appears to be a level of disconnection and disengagement with the changing nature of local power shifts. The impact of this focus weighs on the survivability of people daily, especially in the areas of physical health, mental health, economics, and environmental concerns. The country is deeply ingrained in the power of politics, while at an alarming rate, people are dying from COVID-19, starving because of food insecurities, being evicted, and literally murdered at the hands of those paid to protect them. Yet, when looking at who is leading through these challenging times, it is not necessarily clear who is leading in Black communities or how the chosen leaders are working for the people they represent.

What is called for is a shift in the way leadership is thought about, understood, discussed, and how it is viewed and practiced. Leadership is not necessarily those with the titles, positions, or even the power. Leadership is not resting on our laurels or waiting for “the one” to come and lead us to victory. Nor is it leading by silence. Silent with some believing that their work is the example of their contribution (to racial, social, economic justice), and rightly so on an individual basis, but collectively as a representative of a group in the community, willing or not, the silence is a form of affirmation. What is missing is the ability for African Americans to collectively exercise their voices in the forefront of critical and local issues to demand accountability for themselves and their leaders. Black communities are suffering and need a different approach – a shift. The country is at a moment in time where injustice and technology has come face to face and provided the imagery of the long-standing historical suffering hidden by the veil of systemic racism in our nation. Quoting Michael Eric Dyson – we had a “moment where COVID-19 was introduced to COVID-1619” (Corden, 2012-present) creating a head on collision, particularly for white America. For the first time, many eyes became wide open about systemic racism and the daily realities associated with it.

As a result, there is a need for effective leadership and community engagement in Black communities. This leadership and engagement require building capacity within communities. This capacity is built through trust, spiritual capital, economic/social capital, and learning in public. These constructs are critical precursors to effective leadership. Each construct is a part of the foundation necessary for developing, planning, organizing, and building wealth in Black communities. These constructs are interconnected and each one necessary to create readiness for leadership and engagement (*see section “Constructs for African American Leadership”*). There must be a commitment towards establishing trust, an eagerness to build spiritual and economic/social capital collectively, and a willingness to learn in public

(Toms et al., 2021a, 2021b). This brings into focus the need for a shift in existing leadership in Black communities.

A shift is where the difference can be made. Black communities need people who will exercise integrity, work to develop strategies for the people, have a vision, work holistically, and utilize spiritual and social capital for the good of the communities they represent. Leading and leadership in Black communities cannot be a mirror image of what happens in the mainstream. Black communities are different and emulation is not the approach for survival in these communities. We have tried this, and it has not worked. When thinking about the challenges that face Black communities, it requires thinking about how to create processes, vehicles, and tools to engage and empower the people in local communities. This will require that each of us take responsibility for the change needed in Black communities. Everyone needs to participate in this process. *(Although not part of this chapter's discussion – in small rural communities, liberal/progressive whites must cease their silence and lack of participation in local civic arenas – this lack of participation along with the absence of Black leadership has greatly contributed to landslide wins for far-right candidates on school boards and county commissions).* This has clearly impacted the economic, educational, health outcomes, and cultural well-being of many communities.

Physical and “psychological safe” spaces must be made for representation from different groups which might mean that traditional leadership (methods and processes) is not the only leadership style or strategy expressed and supported. For centuries, the voice in most Black communities was that of clergy and this leadership had impact. However, post 1970’s and 1980’s, the imagery of leadership changed resulting from integration and affirmative action which offered many opportunities for more African Americans to pursue careers that placed them in leadership roles. As a result, many African Americans took flight or the ones who stayed operated from the perspective that their professions were their contribution to the community. Thus, there was limited active participation when critical, social, and economic issues faced the communities. Thus, these African American voices tend to be silenced from personal choice or local political power.

The goal should be to develop leaders who can be visionary, practice integrity, work strategically, show their intellectual and spiritual capacity, develop economic/social capital all with the intention of leading Black communities through critical change. This leadership paradigm shift must include leaders who can inspire and transform communities through their words and actions in a world where economic disparities, unequal justice, and violence is prevalent. The level of engagement in these communities must shift from a focus of power (*illusion of power*) to a focus of creating economic, health, environmental, and justice strategies for African Americans. This leadership strategy must include energizing the communities that African Americans live in through engaging the people in developing the strategies that will drive success and create sustainable change in Black communities.

African American Leadership

In *Lead the Way: Principles and Practices in Community and Civic Engagement*, Toms et al. (2021a, 2021b) ask the following question:

In lieu of the power in the atmosphere and climate how, and in what ways, will leaders and leadership processes and practices in African American communities, from local municipalities to statewide organizations/associations, assess, rethink, plan for, and implement sweeping reforms in how we collectively work to ensure more participation in and engagement of governing bodies and their policies and practices? (p. 236)

To answer this question, it requires taking a closer look at a brief historical review of African American leadership and an underlying conceptual framework for African American leadership. Researchers on African American leadership agree that two studies formed a foundation for examining African American leadership. W. E. B. Du Bois introduced the first in 1903 noting that the “Talented Tenth” had an obligation to provide leadership for most of the race (Battle & Wright, 2002). Secondly, Myrdal (1944) postulated the foundation for examining African American leadership in the monograph, *An American Dilemma: The Negro Problem and Modern Democracy*. Bunche (2005) building from Myrdal’s work structured six typologies of behavior patterns for Negro leadership, which included aggressive, cautious, liaison, symbolic, prestige, and designated. Later, in the 19th and 20th centuries other types of African American leadership styles were identified. The three primary styles were denoted as (1) the accommodationist leadership style from the work of Booker T. Washington, (2) the protest stage (aggressive and often confrontational against segregation), and (3) the third stage involving African American elected officials during the Civil Rights Movement which evolved into increasing numbers of elected offices in the 1970’s (Davis, 2007). Additional literature reviews generally focused on African Americans’ individualized leadership, professional leadership, and the Civil Right Movement leaders, to name a few. (Branch, 1998, 2006; Garrow, 1986; Marble, 1998; Williams, 2009). More recently, Gillespie (2010, 2012) extended this line of research into the historical evolution of Black leadership as she examined post-racial black leadership (2010) and the new black politician (2012).

While the research cited above focused on typologies and styles of leadership associated with African American leadership, central to this chapter’s focus is understanding the psychological complexities of the African American experience and its importance in shifting future leadership. A. Wade Boykin, Howard University, offered a conceptual framework grounded in a descriptive analysis of the African American psychological experience he described as the “Triple Quandary” of the African American experience in America. W.E.B Du Bois (1903) captured the essence of the African American experience and its complexity as he noted there is an inherent complexity to negotiating the African American experience in America. Dubois described this inherent complexity as a ‘twoness’, a ‘double consciousness’, that is, ‘being an American and a Negro’, at the same time. Building on Du Bois’ double consciousness, Boykin asserted that African Americans must negotiate different—and not necessarily interchangeable—realms of psychological experiences

as an ethnic/racial group in the United States. These experiences are the products of the interplay among three realms of experiences: the mainstream, the minority, and the Afro-cultural (Boykin, 1983, 1986; Boykin & Ellison, 1993; Boykin & Toms, 1985).

The mainstream experience in the United States includes participation in work systems, educational systems, the judicial system, consumption systems, bureaucratic systems (both as clients and employees), and by the mass media (Boykin, 1983, 1986; Boykin & Toms, 1985; Young, 1974). The minority experience includes exposure to social, economic, and political oppression resulting from one's minority status in the United States. Boykin (1986) pointed out that, although other groups maintain a minority status in America, this status is not necessarily linked to race. The Afro-cultural experience is rooted in the traditional African ethos and has a culturally indigenous basis, from which African Americans interpret and negotiate social reality.

It is the nature of the minority experience that provides the frame for examining future shifts in leadership in African American communities by better understanding adaptive coping strategies of leaders. Boykin and Toms (1985) shared further insight into the minority experience in terms of three critical axes (1) whether one takes an active or passive role in reacting to racism and oppression, (2) whether one opts for mainstream engagement or system disengagement posture, and (3) whether one's orientation is towards system change or system maintenance. They added another critical factor related to the minority experience for African American leadership which is the concern with image management. It is and will be how we examine and assess leaders in the future based on these critical axes, that is, are they active or passive to racism, equity and justice; are they more about engaging mainstream systems and practices or are they disengaged from the system; and are they more about maintaining things as they are and have been or are, they about systems change.

Case of Image Management and Missed Opportunity for Leadership Shift

The following brief case study provides context for a need for shifting leadership and leading in Black communities. It provides insights into the challenges and opportunities facing African leaders and leadership in the future. That is, it provides a broader frame on the scope and scale of the challenges facing Black communities from that of 'getting representative representation' to 'how and in what ways can we get representatives to represent our voices?'. It demonstrates the balancing act that African American leaders and communities must walk daily. This is what Boykin and Toms (1985) meant when they asked are you active or passive in your public stances to racism, injustices and inequality; are you about engaging systems for change or disengaging and not participating; or are you about maintain things as they are, or are you about systems change.

A Case of Image Impression and Missed Opportunity

Rural southeastern and northeastern counties in North Carolina account for a significant percentage of the total African American population and of the Black registered voters in the state (US Census & North Carolina State Board of Elections). Regionally speaking, this theoretically presents opportunities for African American policymakers to deliver for their communities while not having to fear anti-Black backlash electorally in the face of Black progress. The percentage of African Americans dominating these rural communities should set the stage for leadership that is not only representative but that works for the community. However, in many rural communities, Black leaders have clearly failed their constituencies while enjoying relatively safe voting universes within the last decade.

For example, in the fall of 2017, stung by the shocking victory of Donald Trump, the motivated Black electorate of one such city ejected a well-financed incumbent mayor and elected a Black businessman. Following up on that momentum, the city sent several of its Black residents to fill most of the city council seats during the next municipal cycle. With the incredible challenges around income inequality, a Tier 1 economic distress rating, and symbols of white supremacy ripe for removal, many Black residents were hopeful that things would finally change for the better. Instead, the last 24 months have been marred by missteps and wasted opportunities. Despite having near-total control of city council, Black municipal leadership squabbled about how best to address the removal of a white supremacist monument in the city, inexplicably deciding not to follow the lead of other cities. Rather than embrace the tenets propelling the movement against racism and police brutality, the collective local Black leadership largely retreated from the opportunity to push for reform within its own publicly funded law enforcement ranks.

In other cities, primarily governed by Black officials, economic decisions were made that negatively impacted some of the poorest districts in the cities. Instead of recruiting local construction talent, much of the contracting dollars went to White male-owned firms, thus missing an incredible opportunity to pump capital into the heart of the Black community. These are but a few of the distressing examples of how cities, overwhelmingly led by Black municipal leaders, utterly failed to produce for the community that sent them there to make a change. Municipal elections are approaching, and these candidates seeking reelection will turn to a largely dispirited and apathetic electorate for support. Whether they receive it or not remains to be seen.

As you can see from the case, this idea of image management and missed leadership opportunities can be a factor in whether African American leaders are successful even when they get a seat at the decision-making table. Moreover, even when you have a numerical advantage in terms of representatives in the system and at the table, due to historical and systemic local politics/practices, many times Black communities' interest are not met and with no reasonable reason from their representatives. We suggest that a more thorough understanding of the inherent complexities in the African American experience must be posed, queried, and understood before we can develop and offer adequate guidance to address the challenges associated with the need for more sustainable leadership and consistent civic/community engagement.

Thus, there is no broad-brush stroke or prescription to create immediate change in the way African Americans lead. However, there are processes and tools that Black communities can be equipped with, which will allow them to take control of their own outcomes. For decades Black communities have adapted and absorbed the principles of how white America succeeds and tried to emulate this and it has not been successful enough for sustainability and change in the lives of African Americans. To move forward requires a shift in how leadership is viewed, what kind of leadership will work for Black communities, and the development of strategies to shift the existing paradigms. This shift in leadership will require that African Americans act collectively to control their lives and their communities through more intentional, tactical, and systemic community and civic participation.

Intergenerational Leadership

To build participation, there must be an intersectionality of generations. According to Burgess and Martin-Jones (2019), while there are differences in the value-systems of generations, it will require all generations to create the climate and context for future leadership in Black communities. Each generation is important and brings something critical to the process for change. The lessons learned from the silent generation, Jim Crow Era, Civil Rights Movement, Fair Housing Act, Black Power Movement, COVID-19, and Black Lives Matter all play a role in how leaders can move forward in utilizing the right leadership mix to improve the outcomes for Black communities.

Intergenerational dynamics within leadership forces us to view each generation that is of working age. In the 2020s, you have Baby Boomers, Generation X, some may add “Xennials” here, Millennials (Gen Y) and Generation Z, all of working age. We may loosely characterize working age between early 20s through late sixties/seventies, but it is now reported that many Baby Boomers are expecting to work past 65 or not retire at all (Davidson, 2019). For the first time ever there are four (or five, depending on who you speak to) generations in the workforce. To add to this full American problem, when America gets a cold, Black communities have the flu. If this is a problem for everyone, it is only worse for Black communities. The workforce situation is a good indicator of who is in leadership within the community. The leadership within the community is as “bunched together” as our workforce. Natural handoffs are not happening, and bottlenecks are forming within Black communities. This can be indicative of the enormous amounts of new Black-led community organizations. As in the workforce, Millennials and Generation Zers do not have a place in leadership within community organizations. We can follow many of our great Silent Generation and Baby Boomer public leaders entering politics in their twenties (20s) and early thirties (30s). Now in their seventies (70s) and eighties (80s), are still leading in the community. We can simply look at President Biden and the man who saved his campaign in South Carolina, Congressman Jim Clyburn – both started their political careers in their late 20s and both over 75 years old. Millennials

are now reaching the age of 40 and have not received the same upward mobility in political leadership, but clearly it can be derived that Baby Boomers and Generation Xers have also suffered the same fate.

In community forums and across dinner tables, the question is asked, “Why are Millennials (GenY) so different and will they be up to the test?” The question should be, “How are we co-creating the necessary future with the next generation?” Intergenerational leadership must take all four to five (4–5) generations to work together. During our adolescent years, we develop our reasoning skills, morals and logical thinking (WHO, 2020). This means in the Black community, in our four generations vying for leadership have had their logical thinking and reasoning skills shaped by the murder of Black leaders like MLK and Malcolm X in the midst of the 2nd Civil Rights movement, the beginning of the ability for Black people to vote and the crack epidemic, the rise in internet/big data and War on Drugs, recessions among two foreign attacks on US soil and the first Black president, and finally more recessions with folks thinking we are past color to saying the name of many Black murders that were amplified by the phenomenon of social media. To make it simpler, we have one side of the room, a leader with a flip phone ready to run a phone tree and the other side creating a Tik Tok video to market the cause. Fortunately, both of those expressions of their value-systems can live in the same place.

How we must move forward is simple, plant seeds and give flowers early. In Black communities, there has always been a survivalist mentality. This mentality can produce leaders who are protective of the community. It is just like a parent who is not ready to teach their kids how to drive, never feels exactly comfortable sitting in the passenger seat while their kids are driving, and afraid of the economic implications of getting their child a car and the insurance. Rather, using this same analogy, we should be seeking to teach our kids how to drive early so they are prepared and understand the importance of driving. We should realize that more people driving, means more places to go or means more time for you to do other things. Lastly, investing in our future is necessary for our future to be successful and when we produce good stewards, with full confidence, it is not a big risk. This is an example of planting seeds early. Our community must seek to plant seeds early and often, provide sustainable opportunities for leaders to succeed in their twenties (20s), rather than seeing that they must find their own way. Additionally, we must give flowers early. The saying goes that we only give flowers when people pass away. In our communities, younger generations must give our elder generations their flowers early. We should be giving our leaders in their forties (40s), early and often, because as community leaders hand off their responsibilities, they must be there as frequent counsel.

The goal in Black intergenerational leadership must be collaborative, but also simple. Each generation brings different experiences to the table, with logical and moral thinking shaped by completely different Americas. The different realities are real, but for true community progression, it will take leaders of all generations to step outside their reality to see others. This uncomfortable practice must be done openly and honestly.

Shifting Leadership

There are multiple shifts necessary to build leadership capacity in Black communities. These shifts must occur in thoughts, assumptions, programs, processes, and relationships. The following areas are deemed as critical components to be examined for the shifting to take place. Each of these shifts require intentional collaborative thinking and doing.

1. Shift in thinking about how we view and adapt to change.
2. Shift in thinking about how we engage and lead in Black communities.
3. Shift in the urgency to intentionally think through and plan for intergenerationality in community-based leadership.
4. Shift in notions of leadership from *our way works good for us* to *what ways works best for communities*.
5. Shift to more capacity-competent leadership.
6. Shift in methods, procedures, and processes of how and in which ways we engage – work collectively inside and tactically outside.
7. Shift in the imagery of no leadership to known impactful leadership.
8. Shift in identifying, developing, and using talent within the community.

The first shift involves how change is viewed. How we shift our thinking about how we view and adapt to change requires first that we recognize that things do need to change in a real way and that change is a constant. Black communities no longer have the luxury of waiting for change to come. The change must come with movement from the inside and then from the outside. When focusing on leading change that ensures racial equity, social justice and inclusion, the old myths must be debunked about how one arrives at success.

One myth is about individualism where white American culture denotes that individuals control their own fate no matter what social position you are in and that one's personal behavior and choice determine how you succeed in life (Stacia, 2020). This speaks to the old American adage if you work hard you will succeed. *How many people do you know that have worked hard all their life and still have not succeeded?* Another myth is about meritocracy which implies that resources and opportunities are distributed based on one's talent and effort (merit). *How can it be true that networks, information, resources, and access does not matter* (Stacia, 2020)? The myth is that regardless of what community you live in you can pull yourself up by your bootstraps and do what is necessary for you to get ahead. Without access to resources, information, and networks there is no equal opportunity readily available to everyone. According to Toms et al. (2021a, 2021b), "African American history, intergenerational differences, self-efficacy and attitude, access to and participation in decision-making bodies affects a community's propensity to think and act as a global and local dynamism" (p.71).

If communities are to recognize that a change in strategy for success of its members is critical to the survival and sustainability of Black communities, the common myths must be rethought. A change approach for building community, obtaining

individual and collective wealth, and having better health outcomes is essential for Black communities. While change can create fear because of not always knowing where to start, collective leadership in communities can drive out this fear. Working together to harness knowledge and information will be essential in the change process and in reducing the fears associated with change.

Secondly, Black communities need to think about how engagement and leadership happens in communities. The question that must be answered is in what ways will leaders and leadership processes and practices occur in Black communities? The focus is on shifting how Black communities assess, rethink, plan, decide, and implement change within communities (Toms et al., 2021a, 2021b). This shift must go beyond electing officials who look like members of Black communities to being more intentional about who has the capacity to lead both inside and outside the communities. Individualism in leadership has failed Black communities time after time. The shift must account for the fact that just because you look like us does not mean you care about us, our issues, or our communities. Communities must shift to holding local, state, and national leaders accountable for the outcomes of its people.

Another shift that must occur is in the urgency to intentionally think through and plan for intergenerationality in community-based leadership. Often, when Black communities come together around a cause, there is the absence of a multigenerational coalition. Can we assume that they are absent because of lack of interest or some assumed antagonism between generational leaders? Absolutely not! What has failed to happen in Black communities is making room at the table for different individuals with different ways of thinking, working, and decision-making skills. Bottomley and Burgess (2018) noted it seems the traditional thinking is that leadership is about having the most experience. This has become a caveat for good leadership; however, this is old and archaic thinking. Yet, this remains a spoken and unspoken yardstick for who has the credibility to lead in Black communities (*both inside and outside within the mainstream*). The fact that Millennials have stepped into leadership roles and are practicing learning by doing as a new model for leading is seemingly creating barriers for cross-generational leadership. However, if one reflects ancestrally, Black generations always found ways to work collaboratively with elders and the young. It has been a tradition for children to be engaged in the learning process and to lead at a young age alongside their elders. As much as everyone likes to place the mantle of the Civil Rights Movement on the shoulders of Dr. Martin Luther King, Jr., he did not accomplish what he did without the help and support of multiple generations working side-by-side to succeed. John Lewis, The Birmingham Children's Crusade, Claudette Colvin, Diane Nash, The Tougaloo Nine, Mississippi Civil Rights Workers, Greensboro Four, The Little Rock Nine, and Ruby Nell Bridges Hall are just some examples of young minds that were critically influential during this era.

The next shift that should occur results in shifting from the notion that *our way works good for us* to *what ways work best for communities*. Historically, much attention has been paid to the dialogues about a lack of visibility and participation among African Americans in civic engagement and what does preparation look like for African American citizens to engage consistently and persistently in

decision-making that affects Black communities. The talk has not resulted in much action to change leadership and engagement. Primarily, many African American leaders appear to be satisfied with the status quo if they are benefiting politically and economically. This is particularly the case in small and rural communities where one or two African Americans serve in leadership positions, and generally maintain those positions for 15–20 years. When the focus changes to what works best for the community, attention should be on the accountability of leaders because the activities they engage in with mainstream politics influence the policies and resource distribution in Black communities. Toms et al. (2021a, 2021b) posited that:

At the community level, many citizens believe that this lack of representation and participation in the civic process directly affects the consistent and mounting disparities in Black communities. These disparities are most evident in data reflecting early educational achievement and performance, health-care outcomes, employment compensation and access, gaps in employment with livable compensation, and, ultimately, in the desperately declining individual economic net worth and collective access to capital. (p. 216)

There are more African American elected officials today than there has been historically, although there remain gaps in many political areas, such as governors. Considering this trajectory, there is less community participation on both the local and state levels. At the local level, this lack of involvement contributes to policies and resource distribution that neglects and negatively impacts Black communities. Toms et al. (2021a, 2021b) shared, “At the very least, the lack of policy development and resource distribution compounds the already historic disparities affecting African American communities” (p. 216).

A further shift involves creating capacity-competent leaders. Capacity competent leadership as described by Toms et al. (2014; 2021) is leadership which demonstrates skills in planning, developing, and implementing a shared vision. Capacity-competent leadership requires leaders to be willing to accept shared responsibility for the workload and shared recognition for accomplishments. There are several components associated with these leaders (a) readiness and preparedness to lead, (b) building strong relationships based on trust and inclusion, (c) system level thinking and planning, (d) flexibility in engaging with others, (e) consistency and persistency in action, (f) having a presence, (g) saturation and maturation of leadership engagement processes, and (h) accountability for self, leadership group, and community. The readiness and starting point for capacity-competent leaders will vary depending on their skills to plan, develop, and implement a shared vision for the community. These leaders will communicate and embrace sound decision making by exhibiting psychosocial maturity and the skill sets to lead (Toms et al., 2021a, 2021b).

Still another shift must occur in our methods, procedures, processes of engagement, and how we work collectively inside and tactically outside of communities. This involves utilizing an inside/out and outside/in approach. This inside out/outside in approach requires that communities examine themselves first as a community. This examination involves examining what the needs of the people are, how people want to be engaged, what contributions do community members bring, and identifying those who are willing to step into a leadership role. When communities

have a better understanding of who they are then they can experience the community collectively and utilize the unique talents that exist within the community. At this point, communities can be empowered to make changes and to build from their strengths and make improvements in their weaknesses (Toms & Toms, 2014; 2021).

The inside/out approach is accompanied by the outside/in approach. The outside/in approach allows communities to look at systems that impact Black communities that need changing and to strategize on how to make the changes happen. This approach requires collaboration between communities and systems to create and influence strategies designated to change the lives of the people within the communities (Toms et al., 2021a, 2021b). The methodology is intentional and aims to have communities focus on what is vital to its members. The inside/out and outside/in approach will help communities understand that there are multiple ways to get things accomplished. This strategy allows for tolerance and open-mindedness to new and different approaches to old problems. This tactic helps communities and the inhabitants to evolve into more collaborative ways of addressing problems and implementing change.

A shift in the imagery of no leadership to known impactful leadership requires a focus on intentionality. There is a need to understand intentionality in leadership and the impact it can have on the imagery of leadership in Black communities. Most often intentionality is associated with leaders who are decisive or assertive (Burgess & Martin-Jones, 2020). Intentional and impactful leadership can be expanded to encompass the use of one's role to change interactions, systems, and processes to ensure equity, justice, and inclusion. When leaders take an intentional approach to working in communities it must be personal and include being committed to the outcomes. John Lewis (1998) noted that working in communities as leaders is personal work and intentional work. The personal commitment sets leaders up to be responsible leaders. This type of leadership ensures that collectively people are heard and included in the decision-making process. The impact can be seen across communities. To add to intentional leadership, Bryan Stevenson (2018) went further and indicated that there is a need for people to proximate – meaning that you live outside of your safe bubble. It requires that you be willing to understand the pain and loss of those in the community. The goal is to work to build relationships and trust and this is a pathway to change. Further, this type of leadership removes the need for individuation in leadership for power and moves towards thinking collaboratively and collectively.

Without an intentional focus on leading in Black communities, the impact will be the same, an attempt to approximate what is happening in mainstream communities. An intentional approach to leadership in Black communities allows for the creation of a sense of community and belonging that is vital for human survivability and growth. Using an intentional approach to leadership helps create vision and experiences within the community that are lasting and sustainable and permits others to take part in building community with a sense of purpose and ownership for the outcomes. It sends a message that everyone in the community matters and can contribute to their future. This means that leaders and followers are contributing to building the community and setting the community up for leadership to be

maintained and to flourish. What results is an attitude that all the members of a community contribute to the continuity of leadership and engagement. An unintended and positive consequence is that leaders can then come from anywhere in the community. Leadership is removed from the “titled” and positioned as the only way that things can happen (Burgess & Martin-Jones, 2020).

Last, but not the least in importance is shifting how we identify, develop, and use talent within the community. The first step requires recognizing that communities are filled with bright, capable, and willing individuals to build up their communities when provided with an opportunity to participate in the discussion and the work. Identifying talent requires an intentional approach to look for the talent. There must be a goal to find leaders with the capacity to lead and follow, span boundaries, and work collaboratively to impact the outcomes of Black communities. Thus, this intentionality requires that communities become more proficient at distinguishing between talkers, dreamers, thinkers, and doers.

Further, Toms et al. (2021a, 2021b) noted that when working to build leadership capacity, it is important not to miss the gaps, because everyone has something to offer. It is critical to understand that in communities there are people who have skills and ability but are often overlooked because they do not look the part of leadership. Most often, if these people can get connected, they are loyal, committed, and responsible. A commitment to finding community talent can result in an increase in the power of relationships. Remember, what we give attention to matters and will grow if it is nurtured. Finding and nurturing talent in Black communities will help people define what they are going to stand for and how they will decide to deliver what they stand for. The newfound leadership will not quit working until the collaborative milestones have been met and the work is done according to the community’s value-system. Good leadership is a behavior and not a title.

The Constructs for African American Leadership

As noted earlier, leadership requires a continuous process of growth and change in building relational trust, building spiritual capital, building economic/social capital, and understanding how to learn in public. These constructs must be in place to manage the shift that is necessary for a change in Black communities. To establish an intentionally focused effort to develop and implement comprehensive shifts in leadership in Black communities requires a firm grasp of who is leading in these communities, understanding the readiness of those to accept a leadership role during this time of tense race relations coupled with the COVID-19 pandemic, and creating strategies for a comprehensive model for developing community capacity and sustainability. This will include developing strategies to increase engagement in communities, on the local, state, and national level to impact policy and resource development and distribution.

The first step in making the constructs work is accepting that leaders do and can come from anywhere in the community. That is why talent identification is critical

to the success of Black communities. We must step beyond the old imagery of leadership – born traits – proven success – experience – resource hoarders – to a more open-minded philosophy that leaders can be developed, success can be obtained by collective efforts – experience is a steppingstone to bringing others along – new resources must be developed and managed for the good of all. Again, planting seeds and giving flowers.

Leaders Can Be Anyone

This model differs from typical leadership models in that in communities leaders can be anyone. Talent is identified as more people come to the forefront to participate and engage with what is happening in the community (See Toms et al., 2011 *Practical Matters* article & Toms et al., 2021a)). When identifying community leaders, do not overlook people who may not seem obvious as leaders, because everyone has something to contribute. Also, the role of leaders can evolve over time and often is shared and passed on to others when deemed necessary. Leaders in communities are willing to take some shared responsibility for the outcomes. The challenge for many communities is that they come to the table with preconceived notions about who should lead. The educated and polished are often the immediately chosen ones for the roles of leaders because they look the part. Do not be mistaken, there are leaders among the group that may appear unpolished but have much knowledge and talent to bring to the community. Often the same people tend to step forward and self-select themselves into the role of leader. We argue that while this is sometimes necessary, space should be made for others to participate and that oftentimes leaders should move in and out of roles to make room for others.

Building Relational Trust

Relational trust relates to the interpersonal social exchanges between groups of people. Relational trust has a strong impact on community interactions. It is essential that relational trust be established or if broken, then reestablished in communities. Our relationships within Black communities appear to be becoming more siloed. As a result, our ability to work with and relate to each other around critical community needs are limited and, in many cases, predictable. As a result, this predictability in behavior and attitudes among elected and self-selected leaders has stifled trust among communities. The lack of strong relational context upon which to plan, work, and implement change thus results in periodic and sometimes massive exodus, complacency, and non-movement – for extended periods of time. Relational trust is most often found as missing in Black communities, for too many reasons to outline. Broken trust leads to disengagement, revenge, and betrayal. Broken trust can have some irreversible consequences in communities if not dealt with.

The goal is to work on building relational trust. This begins with understanding the past experiences within communities, removing any known barriers for participation, and developing elements of a common language among community members. Climate, context, and communication plays a significant role in establishing relational trust. The climate is important because people who have historically been oppressed will require a space in which they can be without feeling that repercussions are evident. The context in which you approach and ask for help will matter when reestablishing relational trust. Communications must be clear, true, and consistent. When relational trust is established it can remove barriers and create a bridge for collective collaboration within communities.

Building Spiritual Capital

In transforming Black communities, typically religious institutions are involved. These institutions have been the backbone of many Black communities for decades. However, it is now not enough to just engage the leaders of religious institutions as the voice of Black communities, but to engage around the experiences that communities have had with these institutions. Burgess and Ellison (2021) and Lloyd (2010) “define spiritual capital as an individual’s intrinsic values that include trust, culture, and a deep commitment to building relationships, to better serve society and satisfy the internal human need to serve or engage” (p. 144). Lloyd (2010) noted that spiritual capital is not a religious construct, but it represents a relational construct that reaches beyond the logical and contractual agreements but connects our faith in each other. This construct goes beyond just working together but having the faith in one another that perpetuates a consistent and persistent, yet sustainable place for engagement.

Burgess (2011) noted that all individuals possess spiritual capital to some degree. Each person has an intrinsic value system that allows them to choose to engage or not engage. The capital that exists between leaders, representatives, and other community members can be utilized to bring about change in communities and present opportunities for anyone to participate. The goal is to recognize one’s capital, use it to build relationships, consider spiritual capital as a personal investment of trust and faith with others, and use spiritual capital as a resource.

Building Economic/Social Capital

Social capital involves using social trust to influence interpersonal relationships at different levels, individually and collectively. For community building having social trust is essential. For Black communities building social capital is critical for addressing insidious disparities and injustice. Toms et al. (2021a, 2021b) stated that social capital is a must if communities are to engage in changing policy, gaining

access to resources, and distributing those resources for the good of the community. It is also important in engaging those who develop and make policy decisions that impact Black communities.

In addition to building social capital, economic capital is essential for Black communities to survive and thrive. The ability for Black communities to wield economic capital is the bedrock of self-determination. This self-determination allows Black business leaders to self-fund their own dreams and desires, whether it be opening a franchise or investing in the campaign of an up-and-coming Black political superstars.

Learning in Public

Toms et al. (2021a, 2021b) define Learning in Public (LIP) as the “ability to innovate and learn collectively within trusting relationships to develop new skills, knowledge, and capacity” (p.70). LIP requires that communities, organizations, and individuals become adept at social learning. LIP only happens when all the agents involved recognize and value the knowledge, skills, and ability of all the participants. This is different from the historical perspective that appointed leaders have the knowledge and choose to share based on their own disposition. The foundation of LIP rests with the individuals, communities, and organizations who will and can learn from each other and intentionally do so in collaborative environments.

There are two real national moments/issues that we can point to in recognizing LIP. In 2020, we saw unprecedented leadership within the Black community in Georgia. After almost electing the first Black governor, rather than folding, leaders learned from lessons and only organized greater to ensure their voice was heard, electing the first Black United States Senator from Georgia. This community leadership came under immense pressure being under national spotlight after the 2018 election and with state officials threatening inquiries in their actions. Alternatively, we look at the issue of trends in highly Black populated areas across the nation after the election of our first Black president. After reaching the greatest percentage of Black voters in 2012, many communities have only declined in voting percentages since then. While we can argue that there was not a Black president, which directly correlates to the increased vote, there is a real conversation about how community leaders must sustain progress in our communities. It can be argued that electing the first Black president was not only about the historic occasion, but more of the historic symbol. Our communities must begin to ensure we are learning in public and creating the symbols necessary for our communities to succeed.

Bringing It All Together

Identifying people who can take communities to the next level with integrity and an openness for participation is essential. These people are willing to groom others and share resources that will make the community better overall. This is critical because

the legacy of communities is important for future growth and development. It is impossible to leave a legacy if all the information dies with the “*leader*”.

Black communities are use to constant change and things not being the same daily. However, we recognize that change is a constant, but the value of being more in control of the changes that are happening in Black communities would be more palatable than waiting for something to occur. When communities act in a deliberate fashion to identify and nurture leaders, they can be strategic in what happens in communities. Developing and selecting leaders that are willing to put others before self and are open to participatory engagement for the betterment of the community are the type of leaders that should be identified. Looking beyond the obvious candidates for leadership allows communities to identify talent that might otherwise be overlooked. This approach expands the reach, scope, and effectiveness of community leadership (Toms et al., 2021a, 2021b).

Identifying the right leadership for any community increases the chances for building partnerships and collaborating inside and outside of the community for the good of the whole. Building relationships and partnerships will increase the effectiveness of communities. Leaders need to be committed to the community and not focused on how to project the imagery of mainstream leadership. Black communities have participated in adaptation for centuries, it is time for a shift in the focus of how Black communities lead themselves to better economic, social justice, and health outcomes for African Americans. There are and have been plans for what African Americans need to do in their communities, this is not new, but what is new and critical is that the context (all systems/organizations have shifted) and climate (post-George Floyd new normal racial unrest) requires it to be done now. That is, some may refer to “a plan to implement the plan”. In this case, part of the plan has to include the community’s assessment of its leaders and how and to what extent, are they oriented, psychologically, in how they represent the voice of citizens. Toms et al. (2014) noted that certain components of Black leadership included leaders who would be the voice of the community, leaders who would go beyond the defined boundaries, leaders who develop intentional communication strategies, and who would learn and engage in using effective decision-making strategies. Toms et al. (2014) further added that these are “leaders who have developed the psychosocial maturity and skill sets to lead themselves and their communities of “place” into a “new era of intentional participatory engagement.”

This intentional engagement will require reaching across generations, genders, socioeconomic statuses, and being purposeful about identifying leadership talent. Our leaders have encountered obstacles, taken many detours, and fought battles locally and statewide. Yet, there remain multiple challenges that must be addressed as we move forward into the future. This effort will require that we must suspend our beliefs in what leadership has been to what it can and has to be.

Key Chapter Takeaways

- The recent COVID pandemic and race relations fallout are calling for a change in African American leadership to further advance community engagement and sustainability of life in Black communities.

- Black communities need people who will exercise integrity, work to develop strategies for the people, have a vision, work holistically, and utilize spiritual and social capital for the good of the communities they represent.
- Physical and ‘psychological safe’ spaces must be made for representation from different groups which might mean that traditional leadership (methods and processes) is not the only leadership style or strategy expressed and supported.
- The nature of the minority experience provides the frame for examining future shifts in leadership in African American communities by better understanding adaptive coping strategies of leaders.
- In many rural communities, Black leaders have failed their constituencies while enjoying relatively safe voting universes within the last decade.
- To build participation, there must be an intersectionality of generations. This will require all generations to create the climate and context for future leadership in Black communities.
- The goal in Black intergenerational leadership must be collaborative, but also simple. Each generation brings different experiences to the table, with logical and moral thinking shaped by completely different Americas. For true community progression, it will take leaders of all generations to step outside their reality to see others. This uncomfortable practice must be done openly and honestly.
- There are multiple shifts necessary to build leadership capacity in Black communities.
- Leadership requires a continuous process of growth and change in building relational trust, building spiritual capital, building economic/social capital, and understanding how to learn in public.
- Relational trust relates to the interpersonal social exchanges between groups of people. Relational trust has a strong impact on community interactions.
- Identifying the right leadership for any community increases the chances for building partnerships and collaborating inside and outside of the community for the good of the whole. Building relationships and partnerships will increase the effectiveness of communities.

Reflective Questions

1. After reading this chapter, please formulate in your own words what type of leadership across generations is needed to create the infrastructure for change and sustainability in communities where mainly African Americans live?
2. Leadership is not necessarily those with the titles, positions, or even the power. What would your parameters be for leaders who can truly make a difference toward equality in contemporary society?
3. The authors claim that, “... in many rural communities, Black leaders have clearly failed their constituencies while enjoying relatively safe voting universes within the last decade”. Based on the chapter, how did this failure happen?
4. It is important to establish or restore relational trust amongst the Black society. Why is it currently not there?
5. Religious institutions have always been instrumental in transforming Black communities. Yet, it is no longer enough to just engage the leaders of religious

institutions as the voice of Black communities, but to engage around the experiences that communities have had with these institutions. How should this transpire?

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Chapter 6

Responsible Leadership in a Post-Pandemic World



Robert S. Fleming

Introduction

This chapter will consider the role of responsible leadership in crisis management. While it was written during the devastating COVID-19 pandemic, its coverage of crisis events will also relate lessons learned from crises that occurred prior to the current pandemic and will demonstrate how an informed understanding of crisis management will enable enlightened organizational leaders to navigate present and future crisis situations skillfully through responsible leadership. The focus of this chapter is innovative, in that it considers the role of responsible leadership in successful crisis management and contributes to recognition that successful crisis management can be realized only through organizational leaders who are fully committed to enacting their roles and responsibilities in a responsible, inclusive, and transparent manner.

We will begin with a discussion of the role that responsible leadership plays in organizational success and survival. While the fact that many crisis situations have the potential of compromising an organization's success it is understood by most leaders of contemporary organizations that the COVID-19 pandemic has clearly and convincingly demonstrated the devastating potential of crisis events in terms of organizational survival. This reality has resulted in an increased recognition of the potential severity and impact that a crisis can impose on contemporary organizations and the essential importance of a comprehensive crisis management approach designed to prevent, prepare for, recognize, resolve, and recover from crisis situations, whether originating within an organization or within the environment in which it operates. The integral role of responsible leadership will thread throughout the chapter.

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The general role that responsible leadership plays in enhancing organizational diversity, equity, and inclusion, while understood by most contemporary organizational leaders - particularly those in senior leadership positions - provides a foundation for considering the role of responsible leadership in effective and efficient crisis management. Skillful execution of crisis management roles and responsibilities through responsible leadership contributes to sound crisis management that leads to organizational resilience, survival, and success.

In the interest of providing a proper context from which to understand the nature and challenges of crisis management, working definitions of “crisis” and “crisis management” are provided. Representative past and present crises are discussed to illustrate the nature, severity, and impact of crisis events, along with the crisis management challenges with which contemporary organizational leaders are increasingly confronted and are expected to address properly through responsible leadership. The importance of understanding organizational vulnerability with respect to various crises and the role of sound crisis management planned and implemented successfully through responsible leadership in ensuring organizational resilience and survival are emphasized.

Effective organizational leaders recognize the importance of properly understanding and responding to stakeholder expectations. They understand that the stakeholders of the organization that they have been entrusted to manage and lead will have certain expectations for their organization as it navigates its way through a crisis situation. In addition to organizational leaders making and implementing prudent and informed decisions, an organization’s stakeholders expect to be kept in the loop through effective organizational communication activities. While all stakeholders have an interest in what’s happening during a crisis, responsible leaders recognize that they have a primary responsibility to keep their customers, employees, and owners properly informed throughout a crisis.

A five-step crisis management process is presented, and the role that each of these sequential steps plays in successful crisis management is discussed. These steps include crisis prevention, crisis preparation, crisis recognition, crisis resolution, and crisis recovery. The crisis management process is further examined from the perspective of crisis management activities before, during, and after a crisis.

The chapter concludes with a discussion of the role that responsible leadership plays within the overall crisis management process, as well as during each of the steps and phases of the process. The recurring theme throughout the chapter is that those called to leadership positions within contemporary organizations must be prepared to understand fully the many challenges, including crisis events, of the dynamic world in which contemporary organizations operate and be committed to preparing in advance of crisis situations to ensure that they possess the knowledge, skills, and confidence to lead their organizations responsibly.

Responsible Leadership

References to “responsible leadership” have become commonplace in the contemporary business world and society. While over the years the terminology used by theorists and practitioners has evolved, the core recognition of the importance of sound leadership has been recognized and demonstrated over many years. Since the advent of formal organizations, the need for qualified leaders has been acknowledged.

Those who interact with organizations in various ways have come to be called organizational stakeholders. Organizational stakeholders include customers, employees, owners, and suppliers, as well as the general public. While there are differences in the concept of what responsible leadership involves, a common thread in all definitions of responsible leadership is that organizations and those who lead them have an inherent obligation to ensure that their organizations are striving to achieve the common good for their present and future stakeholders. Most definitions of responsible leadership thus incorporate the concept of ensuring sustainability as a primary role and responsibility that current leaders should recognize, embrace, and passionately pursue in the interests of both the present and future stakeholders of their organization’s actions and resulting impact.

Responsible leadership involves understanding and responding to the expectations of stakeholders regardless of their degree of interaction with an organization. While meeting and, ideally, exceeding the expectations of primary stakeholder groups including customers, employees, and owners clearly fall within the charge of organizational leaders, these leaders similarly have a responsibility to the public and society in terms of the impact that their business decisions will have both in the present and for future generations.

This responsibility for sustainability has been categorized as involving the three related dimensions of people, planet, and profit. These dimensions of sustainability have also been referred to as social, environmental, and financial. Some have advocated that responsible leadership further involves achieving organizational goals without compromising core values (Doppelt, 2017). Those who advocate this expanded view use the words culture, purpose, or progress to describe this fourth dimension of sustainability.

The premise of this chapter is that while responsible leadership involves all of the recognized attributes and actions of enlightened leaders including innovation, inclusion, and transparency, crisis situations and events that challenge organizations set the stage for visionary leaders to rise to the occasion as they prepare and guide their organizations through the troubled waters of a crisis. The challenges and stakes of the decisions that they make can significantly increase during a crisis. While the term “stewardship” is often used to describe the responsibility that organizational leaders have with respect to the resources of an organization, stewardship can also be viewed as how organizational leaders enact the roles, responsibilities, and authority that they have been granted by their organization, including during crises.

While responsible leadership is an important factor in determining the success of an organization in the good times, it is even more crucial during the challenging

times that organizations and their leaders face as a consequence of crisis situations or events. As we consider the challenges that contemporary organizations face in times of crisis, the importance of responsible leadership will become convincingly clear. The significance of responsible leadership during crisis prevention, crisis preparation, crisis recognition, crisis resolution, and crisis recovery will be considered later in this chapter, as will the essential roles that responsible leaders have before, during, and after a crisis.

Organizational Diversity, Equity, and Inclusion

Responsible leaders recognize the importance of organizational diversity, equity, and inclusion. They understand that organizations are in reality collections of individuals, who, often working in groups or teams, enact their roles and responsibilities on behalf of their organization. Astute leaders acknowledge the value of a diverse workplace and seek to recruit, motivate, empower, and retain a qualified, diverse workforce capable of fulfilling their defined roles and responsibilities in the interest of achieving their organization's goals and fulfilling its mission.

As important as workforce diversity is during the good times that an organization faces, it can prove equally essential as organizations face crisis situations and events. The same workplace diversity that enables successful organizations to meet and, ideally, exceed the normal expectations of their stakeholders during routine business times, can prove essential in terms of the knowledge, skills, and capabilities needed during times of crisis. The capabilities of an organization's personnel should be considered in anticipating the crisis management roles that they are qualified and appropriate to enact. A diverse workforce should therefore be viewed as an important crisis management resource and considered in the development of an organization's crisis management plan.

Astute organizational leaders likewise recognize the importance of ensuring organizational equity. Although equity is often conceptualized in terms of only the treatment of an organization's most important resource – its employees – equity also has implications in terms of how an organization interacts with and treats its other stakeholders, including its customers. While equity certainly includes how employees are valued, treated, and rewarded by an organization, equity can actually take on an additional and essential dimension during a crisis impacting an organization and its employees. Equity involves ensuring that all employees receive equal treatment and access to evolving information throughout a crisis that affects them. A pertinent example of this would be ensuring that all decisions related to allowing employees to work remotely during the COVID-19 pandemic were made and communicated in an equitable manner. The importance of ensuring that all stakeholders, including employees, are appropriately informed during a crisis will be discussed later in this chapter.

Responsible leadership is also based on both recognizing the crucial importance of inclusion and incorporating inclusion of relevant stakeholders in one's leadership

practice. A commitment to inclusion is a characteristic of most successful contemporary organizational leaders. These leaders recognize the role that involving others plays in the purposeful recruitment, motivation, empowerment, and retention of the highly qualified workforce necessary to ensure the success and survival of their organization as it operates in a dynamic environment. These challenges are even greater in times of crisis and often call for an all-hands-on-deck approach to crisis management. Inclusive leadership is an obvious attribute of an effective, responsible leadership approach, particularly in times of crisis.

As we turn our attention to crisis events in the contemporary world, it would be remiss to not acknowledge that this chapter is part of a collected work and that various other chapters, particularly those related to leading a diverse workforce and those that address issues of diversity, equity, and inclusion in organizations, provide additional insights that will prove useful in considering the role of responsible leadership in crisis management. As you read the remainder of the chapter, we challenge you to consider the roles and responsibilities that you anticipate having during future crisis situations and how you can prepare yourself to effectively, efficiently, and confidently enact these roles and responsibilities when called upon to do so.

Crisis Events in the Contemporary World

The contemporary world in which we live, work, and travel is dynamic in that it is constantly changing and presents various challenges, some of which can be anticipated and thus predicted, while others are neither anticipated nor predictable. While in a perfect world, organizational leaders would be able to anticipate and predict with certainty not only the likely frequency of the occurrence of certain events, but also their severity and impact, unfortunately that is not reality. Crisis events or situations that originate either within an organization or within its external environment can present unique challenges for which organizations must rely on highly skilled leaders capable of providing the responsible leadership necessary to enable their organization to weather the storm of a crisis and continue to fulfill its mission including meeting and, ideally, exceeding the expectations of its stakeholders.

Before we consider the role that responsible leadership plays in successful crisis management it is appropriate to review the context provided by a working definition. The Oxford Advanced American Dictionary defines a crisis as “a time of great danger, difficulty, or confusion when problems must be solved or important decisions must be made.” (Hornby, 2010). This definition clearly attests to the need for responsible leadership as organizational leaders seek to develop and implement viable crisis management plans.

Crisis situations that can challenge a contemporary organization’s present and future success can be categorized in several ways. While many crises originate in the task and/or general environments of an organization, there are those unfortunate instances in which a crisis emanates from within an organization. Representative examples of organizational crisis situations include: financial improprieties, illegal

activities, defective products, product tampering, and catastrophic accidents. The prudent and professional handling by Johnson & Johnson of the Tylenol product tampering incident is an example of the role and practice of responsible leadership in successful crisis management. In contrast, the actions of Exxon following the Valdez oil spill demonstrate the consequences of ineffective leadership during a major crisis event.

External crisis situations or events that have the potential of challenging an organization's success and survival include: economic and financial crises, health crises, weather-related events, natural disasters, emergency incidents, technological crises, and terrorist attacks. A growing challenge faced by contemporary organizations is defending against the potential threat of cyberterrorism in the interest of protecting not only the organization, but also its various stakeholders whose information could be compromised during a cyberattack. The reality is that crises that begin as one type of crisis can result in additional types of crises. The COVID-19 pandemic illustrates this, in that, while it originated as a worldwide health crisis, it has resulted in a number of other crisis situations that individuals, organizations, and nations have inherited. The staggering downturn in business resulting in many business failures demonstrates the interrelatedness and causal relationships that often exists in times of crises.

In addition to their nature, crises can also be categorized based on their frequency, scope, duration, severity, and impact. Understanding each of these dimensions of potential crisis situations and events enables organizational leaders to develop and implement a realistic and effective crisis management plan. Responsible leaders recognize that, while successful crisis planning involves considering and striking an appropriate balance between the likely frequency and severity of a given crisis, developing a crisis management plan that identifies and addresses all risks and hazards will serve their organization well in times of crisis. This will be further discussed in the next section of this chapter which considers organizational vulnerability to crises.

While there have been many crisis events throughout history, we will consider two major events with which the reader should be familiar. Both of these events illustrate the impact that a crisis can have on individuals, organizations, governments, and nations. They also demonstrate the importance of sound crisis management and crisis plans developed and implemented under the guidance of responsible leaders. As you might guess, the two crisis events that we will briefly consider are the September 11th terrorist attacks and the COVID-19 pandemic.

Although the September 11th attacks occurred almost twenty years ago, they serve to illustrate the reality of crisis events in our modern world. The tragic attacks that occurred on a beautiful September morning challenged the traditional mindset and strategy of crisis preparedness. The traditional approach had been to prepare for the worst while recognizing that it was highly unlikely that the worst would ever occur. The worst case scenario unfortunately did occur on September 11, 2001 in New York City, in Arlington, Virginia, and in Western Pennsylvania.

An attribute of responsible leaders, whether serving in business or governmental roles, must be their desire and, ideally, passion to learn from the past in the interest

of preparing themselves and the organizations they lead for the future. This is without question the case in terms of the development of the necessary crisis management knowledge, skills, and confidence to lead their organization's crisis management initiatives. Through comprehensive, conscientious study of the September 11 attacks, governmental officials learned many lessons, including the need to integrate and coordinate resources from various governmental entities and levels effectively and efficiently, define and articulate in advance roles and responsibilities during an incident, operate under a common incident management system that all involved parties fully understood through training and exercises, credential personnel in accordance with the roles and responsibilities that they would be expected to enact, and ensure effective information dissemination throughout an incident. Later in this chapter we will emphasize the importance of responsible leaders ensuring that organizational stakeholders receive appropriate and necessary information throughout a crisis.

Responsible leaders recognize that it is not sufficient to simply learn from crisis situations; rather they must operationalize the lessons that they learn from crisis situations and events that they experience or study as they lead their organization's crisis management activities (Carmeli & Schaubroeck, 2008). Numerous governmental initiatives that have derived from the lessons learned from the September 11th attacks illustrate how organizations can and must successfully close the loop in their crisis planning activities based on crisis management lessons and experience. These post-9/11 initiatives have included the establishment of the Department of Homeland Security (DHS), the development and implementation of the National Incident Management System (NIMS), the development and implementation of a professional credentialing system corresponding with the various positions, roles, and responsibilities delineated in the National Incident Management System, and the development and implementation of a coordinated system of planning, training, and exercises.

It has been said that our world changed on September 11, 2001. The COVID-19 pandemic similarly changed the world in which we live, work, and travel, and in which organizations around the world have faced numerous unprecedented challenges not only to their present success, but also to their ability to remain viable and resilient to survive this monumental crisis. The Coronavirus is considered a pandemic rather than an epidemic. The distinction between these two classifications of health crisis is significant and important to understand and comprehend fully.

According to the Merriam-Webster Dictionary an epidemic is "an outbreak of disease that spreads quickly and affects many individuals at the same time" whereas a pandemic is a type of epidemic "that occurs over a wide geographic area and affects an exceptionally high proportion of the population." (Merriam-Webster, nd.) The inherent characteristics of the COVID-19 pandemic include its worldwide impact, rapid spread, highly contagious nature, severity, and potential impact on vulnerable populations. While all of these attributes of the COVID-19 pandemic present significant challenges, without question the most troubling reality of this worldwide health crisis is not being able to predict with certainty the actions that will be required to "flatten the curve" and eventually eradicate this deadly virus, and

how long that will take. The fact that our vocabulary has rapidly expanded to include such terms as asymptomatic, community spread, contact tracing, flattening the curve, isolation, quarantine, personal protective equipment (PPE), presumptive positive case, screening, and social distancing serves to vividly illustrate how this worldwide crisis has significantly changed our lives and world.

The lessons that we have learned from this devastating crisis include recognizing that the COVID-19 pandemic is a worldwide crisis requiring worldwide cooperation. We have learned that our healthcare systems can easily become overwhelmed as cases increase along with the need for many individuals who contract the virus to be hospitalized, often requiring intensive care for extended periods of time. Business and governmental leaders have embraced the need for proactive action in terms of personal protective equipment, social distancing, screening, and the development and approval of innovative vaccines designed to prevent the spread of the virus and treatments for those who unfortunately contract the virus. Together, business organizations and governmental entities have embraced the challenges of this major pandemic in the interest of ensuring that sufficient personal protective equipment is available and that revolutionary vaccines and treatments will be available to flatten the curve and eradicate this worldwide health crisis.

The above two crises serve to demonstrate the importance of responsible leaders regardless of the organizations that they lead becoming “students” of crisis management in the interest of enhancing their preparedness and thus that of their organization to address a variety of crisis situations effectively and efficiently. There is much that can be learned from even small crisis situations thus making learning about them extremely beneficial for both organizations and their leaders. Lessons from past crises provide valuable insights for present and future crisis management. An example of this would be the fact that prior to the September 11th attacks, most organizations viewed allowing their employees to work remotely as solely benefiting the employees rather than their organization. Similarly, many organizations failed to recognize the potential organizational benefits of virtual meetings. The lessons learned in both of these areas have demonstrated their merit on many subsequent occasions, including during Hurricane Sandy where many businesses were able to sustain their operations through remote work and virtual meetings. The fact that many crisis management plans provided for remote working arrangements, virtual meetings, and electronic commerce has subsequently enabled many organizations to maintain their operations and resilience during the COVID-19 pandemic.

Organizational Vulnerability and Resilience in Times of Crisis

A prerequisite for successful crisis management is that organizational leaders fully understand their organization’s vulnerability to various crisis situations and events. Responsible leaders not only fully comprehend the potential crises that their organization may experience, they “own” these potential threats to their organization’s

success and survival and develop and implement crisis management plans to ensure the resilience and survival of their organizations.

Assessing organizational vulnerability is therefore the necessary sound foundation for organizational crisis management activities, including the development and implementation of a crisis plan designed in accordance with the crisis situations that a particular organization must be prepared to address. There are a number of important factors that should be considered in assessing organizational vulnerability including the likely frequency, severity, scope, duration, and impact of various crises. As was pointed out earlier in this chapter, in an ideal world organizational leaders would be able to anticipate and predict with certainty the crises that their organizations would face, thus greatly simplifying the challenges of crisis management.

Responsible leadership incorporates crisis planning activities into an organization's strategic planning process. These leaders ensure that potential crisis situations and events capable of challenging the success and survival of their organization are identified as threats during environmental scanning activities. In evaluating each potential crisis, they seek to understand its likely frequency as well as its severity. These are two recognized dimensions that should be considered in risk management activities and consequently in prioritizing the threats that an organization may face and thus must be prepared to address properly.

It is also important to consider the potential scope and duration of each potential crisis. Both of these related factors, while often difficult to predict with certainty, serve to inform both the crisis and strategic planning activities of responsible leaders and their organizations. While many crisis situations and events may present themselves for a limited duration, it is important to recognize that even these events can challenge an organization's continued success and survival. While the duration of most weather-related events is fairly limited, their impact or consequences can span a much longer time, as illustrated by Hurricane Sandy. These events usually have a limited geographic scope which proves fortunate for organizations whose operations exist beyond the affected area. The COVID-19 pandemic, in contrast to a regional influenza outbreak with a fairly predictable cycle, has had a worldwide presence and at the time of this writing an unknown duration.

While there are many metrics by which the success of organizational leaders are measured, including the financial performance of their organization, ensuring organization resilience must be an essential expectation for organizational leaders (Moody-Stuart, 2015). In reality, ensuring organizational resilience captures the necessity and purpose of all crisis management activities. Successful crisis management that positions an organization for resilience and survival in times of crisis requires more than a token or passive effort on the part of an organization's management team. If there ever was a time where proactive, responsible leadership was imperative, it is in ensuring an organization's preparedness to weather the storm of all crisis situations regardless of their nature, frequency, severity, scope, or duration. While ideally an organization will never face the need to implement its crisis management plan, having a robust crisis plan in place will prepare an organization to

lessen the impact and consequences of a crisis event or situation, while enhancing organizational resilience, survival, and continued success.

There are a number of factors that should be considered as organizational leaders assess the vulnerability of their organization to potential crises and its resilience to such events. Factors in assessing organizational vulnerability include the potential business impact, degree of exposure, and impact of exposure for each crisis situation or event. Related organizational strengths and weaknesses should be evaluated in determining organizational resilience with respect to each crisis identified in planning activities.

Factors to consider in evaluating the potential business impact of crisis situations and events include reductions in revenues, market share, and profits, as well as the loss of customers. These factors can contribute to business failure, which obviously is the ultimate vulnerability that an organization can face at any time, but particularly as a result of a crisis. Effective crisis planning also includes a thorough assessment of both the organizational exposure and resulting impact of each crisis that an organization identifies and addresses in its crisis plan. In evaluating the degree of organizational exposure, it is important to consider mission critical activities, involved operations, and whether an organization's operations are centralized or decentralized. It is also important to consider the impact of a crisis in terms of the ability to operate, length of business interruption, increases in operating costs, and ultimately an organization's ability to survive. Evaluation of an organization's strengths and weaknesses is also essential in assessing organizational vulnerability and resilience in times of crisis. Comprehensive crisis management plans, risk management programs, and effective controls are essential organizational strengths that enhance organizational resilience and survival when organizations encounter crisis situations. Responsible leadership thus involves recognizing that, while crisis planning is vitally important in the contemporary world in which organizational survival and success can be challenged by crisis events and situations at any time, crisis management both contributes to organizational resilience and similarly benefits from the many other elements of responsible leadership in contemporary organizations (Koronis & Ponis, 2018).

Stakeholder Engagement in Times of Crisis

Astute organizational leaders understand the important role that stakeholder engagement plays in organizational success at any time, but especially during times of crisis. Stakeholders are individuals, groups, or organizations that have an interest or stake in what an organization does and its success. In times of crisis, organizational stakeholders have an interest in the effective, efficient, and safe resolution of the crisis situation. The employees, managers, and owners of an organization are considered internal stakeholders, whereas customers, suppliers, creditors, and the public are considered external stakeholders. Employees, customers, owners, and suppliers are considered primary stakeholders, in that they stand to benefit directly

from an organization's success, but also can be negatively impacted by an organization's business activities and challenges including during times of crisis.

Understanding and addressing the expectations of organizational stakeholders is central to the concept of responsible leadership. The importance of understanding stakeholder expectations and meeting and ideally exceeding reasonable expectations is recognized and respected by successful organizational leaders. These leaders also recognize that at times it can be difficult, if not problematic, to simultaneously balance and respond to the conflicting expectations of various stakeholder groups and therefore focus their attention on understanding and addressing the three stakeholder groups that are typically considered most important in determining the success of contemporary organizations: employees, customers, and owners. A failure to demonstrate an organizational responsiveness to the expectations of one or more of these groups can result in withdrawal of their support for the organization and significantly impact its success.

In addition to the general expectations that each of these stakeholder groups have for an organization, they also have specific interests during times of crisis. All three groups share a common interest along with the organization to see the continuation or restoration of business activities. In cases where there has been an interruption in business operations, they all want to see the organization "get back in business." While they share this overall expectation, each group has different reasons for desiring this outcome. Employees want to get back to work for various reasons, including maintaining their income. Customers desire the continuation or restoration of an organization's ability to provide products and/or services that they want or need. Owners seek restoration of the necessary business activities and financial performance that enables an organization to deliver an expected return on their investment in the organization.

A common expectation of each of these stakeholder groups that organizations must understand and properly respond to is their vested interest in knowing how a crisis is impacting the organization that they work for as employees, patronize as customers, or have invested in as owners. Thus, in addition to the normal expectation that organizational leaders will make and implement prudent decisions on behalf of the organization and its employees, customers, and owners, these stakeholder groups expect to be kept in the loop through official communications from the organization with which they have a business relationship. This is particularly important in times of crisis when numerous information sources are disseminating information that often will prove to be inaccurate, misleading, or confusing. Organizational stakeholders therefore expect and deserve to receive information throughout a crisis that meets their expectations that the information that they receive from the organization be accurate, complete, credible, professional, and timely.

While it may seem that meeting these expectations regarding information dissemination should be fairly easy, that is often not the case based on the evolving nature of many crisis situations and events. The fact that most individuals – including employees, customers, and owners – have come to expect instantaneous information further complicates the challenges of ensuring that information dissemination

meets the expectations of organizational stakeholders. Expanded media coverage by traditional media outlets along with the information disseminated through the Internet and social media can present many challenges as responsible leaders strive to disseminate accurate and credible information in a timely manner amidst the evolving developments and dynamics of many crisis situations. While stakeholders desire to receive complete information and responsible leaders desire to provide that information in a timely manner, the evolving nature of many crises make that impossible, and to prematurely disseminate inaccurate, confusing, or misleading information would actually be a disservice to an organization's stakeholders.

Stakeholder engagement is therefore an important role and responsibility of organizational leaders and a cornerstone of responsible leadership. In addition to disseminating information to relevant stakeholders regularly, and particularly during times of crisis, responsive leaders also seek stakeholder engagement and involvement in their crisis management activities. The input and insights of stakeholders can prove invaluable in the development of a realistic crisis plan. This inclusive leadership approach enhances the relationships that stakeholders have with an organization and can prove extremely beneficial when times get tough during a crisis. Their participation and involvement in crisis planning activities as well as learning about the resulting plan to which they contributed typically enhance the confidence that stakeholders have that organizational leaders are responding to a crisis in a prudent and responsible manner.

Crisis Management

In the final two sections of this chapter we will turn our attention first to the crisis management process and then to the role of responsible leadership in successful crisis management. Through successful crisis management facilitated by responsible leadership organizations can effectively and efficiently anticipate and prepare for potential crises, prevent or minimize the impact of crises, and successfully resolve and recover from crises. These desirable outcomes can be fully realized only through responsible leadership and the development and implementation of comprehensive crisis management plans.

Before we review the elements of the crisis management process it is appropriate to set the stage by defining what we mean by "crisis management." The Oxford Advanced Dictionary (Stevenson, 2010) defines crisis management as "the process by which a business or other organization deals with a sudden emergency situation." The five-step crisis management process introduced in this chapter is designed to contribute to an organization's preparedness to face crisis situations effectively and efficiently, thus enhancing organizational resilience in the face of crisis situations and events. These sequential steps include: (1) crisis prevention; (2) crisis preparation; (3) crisis recognition; (4) crisis resolution; and (5) crisis recovery. The overall crisis management process spans three specific phases with the first two steps of crisis prevention and crisis preparation taking place in advance of a crisis. The crisis

recognition and crisis resolution steps are triggered by the occurrence of a crisis and take place during the crisis. The final step of crisis recovery occurs after a crisis.

The first step in the crisis management process is *crisis prevention*. It involves the identification and evaluation of potential crisis situations that an organization may experience. It takes into consideration the likely frequency and severity of potential crises as well as the other dimensions identified in the earlier discussion on assessing organizational vulnerability to crisis. The intent of this step is to develop and implement a set of strategies designed ideally to enable the organization to avoid experiencing crises.

The understanding and insights gained during the initial crisis management step are instrumental as organizations advance to the next crisis management step of *crisis preparation*. During this step a crisis management plan is developed that is capable of addressing crisis situations and events that the organization was not able to prevent. An effective crisis management plan delineates potential crisis situations that an organization could likely face and appropriate strategies to address these crises. In addition to articulating appropriate strategies that will be enacted during each step of the crisis management process, an effective crisis management plan should define not only the roles and responsibilities that will be necessary in successfully managing crisis situations but also the organizational entities, whether individuals or workgroups, that will be expected to enact these roles and responsibilities. Through proactive preparation in advance of the occurrence of a crisis, visionary organizational leaders can ensure that necessary resources, including appropriately trained personnel, are available to enact critical roles and responsibilities should a crisis present itself.

While it might seem that *crisis recognition*, the third step in the crisis management process, is obvious, all too many organizations have suffered the consequences of either inadvertently not recognizing the occurrence of a crisis, minimizing its significance, or intentionally not acknowledging an impending or existing crisis. As unfortunate as the occurrence of a crisis can be, failure to recognize and respond in a timely manner to a crisis can have significant consequences for both an organization and for those who should have recognized and acknowledged the crisis.

Responsible leadership must incorporate proactive activities designed to monitor, detect, and address potential crisis situations and events identified during crisis preparation. The reality is that crisis resolution cannot take place until organizational leaders have identified and accepted responsibility for resolving the crisis. It should be noted that this is different than accepting responsibility for causing a crisis situation; rather it is taking ownership on behalf of their organization for the crisis and initiating the implementation of appropriate action in accordance with the organization's crisis management plan.

While it is easy to underestimate the importance of the prior three steps, to do so would be a critical mistake that would undermine an organization's success in managing crises. Astute organizational leaders recognize this and adopt a proactive approach to crisis management wherein they develop a comprehensive crisis management plan in advance of experiencing crisis situation or events, rather than "winging it" through a reactive approach after the occurrence of a crisis.

The fourth step in the crisis management process is *crisis resolution*. The crisis management plan provides a framework for effective and efficient crisis assessment, resolution, and recovery. This proactive approach enables an organization to enact all necessary actions while monitoring the crisis situation, allowing organizational leaders to make any necessary adjustments in planned actions. The role of information in successful crisis resolution should be recognized, both from the standpoint of making information-based decisions in accordance with the needs of a given situation and in ensuring that the expectations of stakeholders are addressed in terms of the ongoing dissemination of information that is accurate, complete, comprehensive, professional, and timely.

The final step in the crisis management process, *crisis recovery*, is obviously the one that all organizational stakeholders, particularly primary stakeholders, look forward to reaching. The focus during this step is returning things to normal. While recovery will ideally involve returning things to the way they were before a crisis, that may not always be possible, practical, or prudent. Just as the aftermath of the September 11th attacks involved organizations and society returning to a “new normal,” so too will the post-pandemic era in terms of our lives and work as well as how organizations operate and how we as individuals interact with them. While the new realities and challenges of working remotely, meeting virtually, and conducting business virtually will likely be with us for some time, the need for these things will hopefully lessen in the not too distant future and vanish upon the eradication of the Coronavirus.

Responsible Leadership in Times of Crisis

Throughout this chapter you have learned about the importance of crisis management as organizations prepare for the many challenges of an ever-changing world and the crises that they may face. We trust that you will recognize the essential role that proactive, responsible leadership plays in positioning an organization to confront these challenges successfully (Coldwell, 2012). While the crisis management methodology presented will serve an organization well, it is only a tool that in the hands of skilled, responsible leaders can enable an organization to weather the storm of the crisis situations and events that it is likely to encounter over time.

While the frequency, severity, scope, duration, and impact of crisis situations will vary and fortunately in most situations not present the unprecedented challenges of the current COVID-19 pandemic, this devastating worldwide crisis has served to enlighten organizational leaders on the importance of developing and implementing a proactive, robust, and comprehensive crisis management plan and process. This level of crisis preparedness is essential as organizational leaders strive to ensure their organization’s resilience, survival, and future success.

Through responsible leadership an organization’s leaders can manage and lead decisively throughout the crisis management process. In times of crisis responsible leadership can often make the difference between success and failure in crisis

management, organizational resilience to weather a crisis, and ultimately an organization's ability to survive. Astute organizational leaders recognize that there are many lessons that they can learn from past crises, whether or not they have directly impacted their organizations (Kayes, 2015). Lessons from past crises that can enhance the preparation of organizational leaders for the roles and responsibilities that they will have in future crises include: the importance of a proactive, engaged, and inclusive leadership approach; exceptional situational awareness; astute information-driven decision making; purposeful stakeholder engagement; and masterful crisis communication.

Responsible leadership has an essential role throughout a crisis and thus enlightened leaders recognize their roles and responsibilities before, during, and after a crisis. Prior to a crisis these leaders should lead from the front in terms of emphasizing the importance of crisis preparedness, initiating their organization's crisis management process, and affording organizational stakeholders appropriate opportunities to understand and participate in this process. Responsible leaders have the ability to impress upon organizational stakeholders the necessity of having an appropriate crisis management plan without causing undue panic or concern on the part of employees, customers, or owners. The knowledge, skills, and confidence that they demonstrate through responsible leadership will prove instrumental during the crisis prevention and preparation steps, as well as through the remaining three steps in the crisis management process.

Responsible leadership similarly undergirds effective and efficient crisis management during a crisis situation or event (Teo, Lee, & Lim, 2015). This begins with ensuring that their organization is alert to the occurrence of crises and prepared to implement the necessary strategies to resolve the crisis situation. This is an essential and critical role of responsible leaders during the crisis recognition step. Organizational leaders must set the tone that all employees are encouraged to report crisis situations and events without fear of reprisal. During crisis resolution, these leaders proactively embrace the crisis and aggressively implement necessary actions predefined in the crisis management plan. They constantly monitor the situation and make adjustments in planned strategies if and when necessary.

The importance of an organization's leaders being positive and optimistic during a crisis cannot be overstated in that it is natural for organizational stakeholders to form their perceptions of the nature, seriousness, and likely outcome of a crisis based on the actions of organizational leaders. Stakeholder engagement and information dissemination are therefore important duties of a responsible leader.

The pilgrimage of responsible leadership does not end with the resolution of a crisis; rather there are roles and responsibilities that should be embraced and enacted after the crisis. These include communicating with relevant stakeholders, learning from the crisis experience through after-action analysis, and translating these lessons into necessary changes in their organization's crisis management plan. Crisis recovery thus involves bringing a successful end to a crisis and ensuring an organization's preparedness to face future crises.

An easy to overlook responsibility of organizational leaders after a crisis is to acknowledge and express appreciation to an organization's stakeholders,

particularly its employees, customers, and owners, for their understanding, patience, and support during the crisis. In most cases this important responsibility will become second nature for the responsible leaders that have positioned their organizations to prevent, prepare for, recognize, resolve, and recover from crises effectively and efficiently.

Chapter Takeaways

- Leaders of contemporary organizations have a responsibility to prepare their organizations for the various crises that they may face.
- Responsible leadership that is proactive, inclusive and transparent is essential in successful crisis management.
- In assessing organizational vulnerability to crises, organizational leaders should consider the likely frequency, severity, scope, duration, and impact of potential crises.
- Through responsible leadership organizational leaders can enhance organizational resilience in times of crisis and thus their organization's ability to survive crisis situations.
- Successful crisis management incorporates appropriate stakeholder engagement and information dissemination that meets and, ideally, exceeds the expectations of stakeholders.
- A comprehensive crisis management process enables an organization to prevent, prepare for, recognize, resolve, and recover from crises effectively and efficiently.
- Organizations can engage in proactive actions before a crisis in the interest of preventing crises and preparing for those crises that do present themselves.
- It is important to recognize that a crisis is impending or has occurred and initiate appropriate actions to resolve it.
- Crisis recovery is an essential final step in the crisis management process that can be instrumental in enabling an organization to benefit from the lessons learned from the present crisis as it prepares for future crises that it may face.
- A comprehensive crisis management plan provides the necessary guidance for organizational leaders as they navigate the challenges inherent in managing a crisis.
- Responsible leadership is the key to successful crisis management, organizational resilience, and at times organizational survival.

Reflective Questions

1. What role does responsible leadership play in successful crisis management?
2. What factors should be considered in assessing an organization's vulnerability to crises?
3. What role does stakeholder engagement play in successful crisis management?
4. How does understanding and following the crisis management process contribute to successful crisis management and organizational resilience in times of crisis?
5. What role does learning from past crises play in preparing organizational leaders and their organizations for future crises?

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Chapter 7

Development of an Inclusive Leadership Theory Rooted in Respect for Human Dignity



Debra J. Dean

Introduction

Leadership theories are often birthed out of a need. Authentic leadership theory was cultivated during an ethical meltdown in businesses where companies were failing to deliver as promised. The world is in desperate need of a new theory that will attend to the needs of today. Development of an inclusive leadership theory is needed more today than at any other point in history. Landes (2018) wrote “we live in a crucial moment in history in which true leadership will define whether we can meet critical social, political, economic, and environmental challenges” (p. 39). As the world is facing unprecedented changes at lightning speed, it is time to take a good look at the leadership styles of the past and examine what is needed for the future. Theories such as authentic, autocratic, charismatic, laissez-faire, servant, situational, spiritual, transactional, and transformational have been involved with a wide range of studies examining desirable outcomes. However, the gap in literature exists to have a modern leadership theory that will address the issues seen in 2020 in addition to the unknown issues that are heading our way.

In 25 years of working in corporate America, I have seen good and bad leadership styles. The bad were rooted with dark triad traits of Machiavellianism, narcissism, and psychopathy. Wantaate (2019) reported that such leaders could be abusive, exploitative, impulsive, selfish, or toxic leading to conflict, lack of productivity, and turnover. In my own experience, the toxic leadership caused me to feel isolated and smothered as they pushed me down and tried to hold me back. A mentor of mine gave advice on the situation in saying that not all people can lead, some are very good at what they do and are promoted into leadership positions only to find that

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they do not have people skills. I believe that was the case with the two extreme toxic leaders I encountered in my career. This chapter will expand on what bad leadership looks like for the sake of knowing what not to do. In the end, this chapter will identify leadership traits that are needed for the twenty-first Century, especially the competencies that are needed to address the current climate of exclusivity, pandemics, and incivility.

Bad Leadership

Roque et al. (2020) spoke of how an organization can go from thriving to collapsing with one leadership change. The person at the helm will have a major impact on the success or failure of the company. An example of such implosion is the “colossal failure” with General Electric after Jack Welch left the company and Jeff Immelt assumed the position of Chief Executive Officer (Belvedere, 2018). Others might argue that similar situations are seen when power is transferred in the White House as one party focuses on certain issues and the next party spends their first months in office undoing much of the efforts from the prior administration.

What does bad leadership look like? Well, this question might be subjective as some followers may construe certain traits as positive or negative based on their own perspectives; however, a majority of people can agree that bad leaders are mean, they lack consistency, and they do not communicate well. In my own experience, I saw bad leaders control their employees so as to not allow them to develop and promote into other positions. I also saw them gossip and talk badly about their staff, customers, or other employees. Bad leaders may lack vision or company values, fail to produce positive results, are self-centered, lack empathy, fail to communicate, are inflexible, and lack humility (Stowell, 2020). Bad leaders may not pay attention and may not be fully committed. They lack character or integrity, lack performance, lack love and kindness, lack focus, are satisfied with the status quo, blame others, and know-it-all (Myatt, 2012). Bad leaders may also fear change, may be too eager to compromise, are too bossy, are wishy-washy, a poor judge of character, and have a lack balance between work and other parts of their life (Marr, 2020). In return, bad leadership will have a negative relationship with the triple bottom line: people, planet, and profit. And, as seen with the global pandemic and explosion of incivility and hatred in the world, bad leadership can lead to failing companies and even loss of human life.

Good Leadership

Good leadership includes honesty and integrity, confidence, inspiring others, commitment and passion, good communication, decision making capabilities, accountability, delegation and empowerment, creativity and innovation, empathy, resilience,

emotional intelligence, humility, transparency, and vision and purpose (Hasan, 2019). Collins and Hansen (2011) conducted a study to look at why “some companies thrive in uncertainty, even chaos, and others do not” (pp. 1–2). They focused on companies that did better than reacting, they created. They did more than succeed, they thrived. They noted Coach John Wooden as the basketball legend and phenomenal leader; yet cautioned that enterprises can decline after great leaders retire (Collins & Hansen, 2011, p. 6). Wooden is best known for his basketball greatness that includes leading the UCLA Bruins to ten National College Athletic Association (NCAA) national championships. He is also recognized for his leadership pyramid that he carefully crafted for 14-years, and the way he and his family loved and supported one another.

Wisdom of what great leadership looks like can be found in the history books. Winston Churchill, Nelson Mandela, Franklin D. Roosevelt, Sir Trevor McDonald, and Margaret Thatcher top the list of the greatest twentieth century leaders by BBC (Clementi, 2021). Strock (2021) maintains a list of inspiring twenty-first century leaders including Alan Mulally, Arthur Demoulas, Bill Gates, Carl Icahn, Charles Schwab, Cheryl Sandberg, Donald Trump, Elon Musk, Herb Kelleher, Howard Schultz, Indra Nooyi, Jeff Bezos, Mark Zuckerberg, Sir Richard Branson, Steve Jobs, and Tony Hsieh. With the mention of each name, some readers may find themselves rejoicing with celebration or cringing with disbelief that such a name could be uttered as a great or inspiring leader. At the core of each name though is a competency that shines as a great leader. Collins and Hansen (2011) wrote that contrary to popular belief, great leaders “did not have a visionary ability to predict the future” (p. 9). The authors wrote that the leaders “observed what worked, figured out why it worked, and built upon proven foundations” (Collins & Hansen, 2011, p. 9). Collins and Hansen continued in saying, “they were not more risk taking, more bold, more visionary, and more creative... they were more disciplined, more empirical, and more paranoid” (p. 9). Great leaders compared to their competitors were not more creative, more visionary, more charismatic, more ambitious, more blessed by luck, more risk seeking, more heroic, nor more prone to making big bold moves (Collins & Hansen, 2011, p. 18). Instead, they were willing to accept what was within their control and reject the idea that “forces outside of their control” would determine the outcome” (p. 18). In short, Collins & Hansen found a triad of core behaviors that empowered great leaders to reach big results in chaotic and uncertain environments. The triad, which is termed Level 5 Ambition, includes fanatic discipline, productive paranoia, and empirical creativity. When the triad is coupled with humility, doubt, and drive (also known as professional will) from Collin’s Level 5 Leadership a noticeable difference takes place that catapults the leader from good to great in times of uncertainty (Collins, 2009). Collins’ Level 5 competencies are

Table 7.1 Collins Level 5 competencies

Collins Level 5 competencies			
Level 5 ambition	Fanatic discipline	Productive paranoia	Empirical creativity
Level 5 leadership	Humility	Doubt	Professional will

displayed in Table 7.1. Throughout the remaining pages of this chapter additional competencies will build upon one another to show what stands out as constructs of various leadership styles. The gap in literature regarding the competency of respect is noticeable; whereby, reinforcing the urgent need for the development of an inclusion leadership theory rooted in respect for human dignity.

Respectful Pluralism

Respectful Pluralism is the theory developed by Hicks (2003). His original work focused on religion in the workplace; however, his theory can extend to differences of all sorts including age, ethnicity, gender, and health related disorders. The core belief of respectful pluralism is to respect people for the sake of human dignity and the proactive approach encourages cultivating a culture of mutual understanding (p. 183). Hicks encourages the “establishment of respectful communication across employee difference” (p. 190). He argues that many companies “fail to create conditions of equal respect for their workers” (p. 195). And, he contends that employees should be “respected rather than avoided, reduced or exploited” (p. 200). To accomplish this, rhetoric is front and center in the spotlight to examine if the “content of the message itself reflects respect or disrespect for human dignity” (p. 177). This effort of treating employees humanely and fairly does more than tolerate differences, but encourages them, so long as there is not a threat to society. To understand what construes a threat, there must be an agreed upon moral compass that informs all citizens of what constitutes a threat. In his book, Hicks used India and Singapore as examples of countries that are quite diverse, but have found a way to respect differences and define a country wide code of conduct that establishes the boundaries citizens are able to exercise their free will and differences within.

While it does not appear that a formal Respectful Leadership Theory has been articulated, discussion of this topic has been ongoing for more than a decade. Quaquebeke and Eckloff (2010) developed an instrument to measure respectful leadership. Their 19 categories included accepting criticism, acknowledging equality, appreciating, being attentive, being error-friendly, being open to advice, being reliable, conferring responsibility, considering needs, excavating potential, granting autonomy, interacting friendly, maintaining distance, promoting development, seeking appreciation, showing loyalty, supporting, taking interest on a personal level, and trusting. Decker and Quaquebeke (2015) studied horizontal respect and vertical respect. They wrote that horizontal respect is an unconditional attitude to extend equal dignity and virtual respect is conditional respect honoring a person’s expertise, excellence, or status. In other words, horizontal respect is respecting human dignity for the sake of realizing we are all humans. For the sanctity of human life argument, human life is deserving of respect for the mere sake we are all the

same – we are human. Whereas, vertical respect is the type of respect we give to a manager or teacher whom we may not like as a person, yet we respect their position. When a supervisor treats an employee badly but the employee continues to report to work each day and do their best job, they are respecting the position, not necessarily befriending the person. Ng (2016) stated that “overall, being respected is universally desired” (p. 604).

Leadership Theories

Theories have boundaries that clearly define what is within the theory and what is not within the theory. Some theories have similarities, but they should be different with regard to constructs or competencies. Alban-Metcalfe and Alimo-Metcalfe (2000) wrote of the “emergence of the New Leadership Approach” shifting from transactional methods to visionary and then transformational. This section will cover many of the popular leadership theories briefly to show constructs of each theory in an effort to reveal character traits of such leaders and reaffirm the need for respectful leadership. This textual discourse will reveal the gap in literature and defend the development of an inclusive leadership theory rooted in respect for human dignity.

Authentic Leadership Theory

Yukl (2010) explains that authentic leadership expects the authenticity of the leader to shine through with consistency of words, actions, and values. George (2004) wrote that his book was written for a new generation of leaders to emerge from the ashes of unethical companies such as Enron and Arthur Anderson that failed with leaders at the helm that tolerated and possibly encouraged misconduct. He encourages leaders to lead with integrity, purpose, and values. Authentic leadership theory, according to Avolio and Gardner (2005) speak of the ethical and moral component required for authenticity. As shown in Table 7.2, the Authentic Leadership Questionnaire (Walumbwa et al., 2008) and the Authentic Leadership Inventory (Neider & Schriesheim, 2011) both measure self-awareness, relational transparency, balanced processing, and internalized moral perspective.

Table 7.2 Authentic leadership competencies

Authentic leadership			
Self-awareness	Relational transparency	Balanced processing	Internalized moral perspective

Autocratic Leadership Theory

Lewin et al. (Lewin et al., 1939) examined three types of leadership including autocratic/authoritative, consultative/democratic, and laissez-faire. The first level of clarity showed authoritarians as leaders who determined all activities; whereas, democratic leaders enlisted group discussion for decision making, and laissez-fair leaders offered complete freedom for individualized decision making. The second level of clarity between these three styles of leadership discovered the authoritarian leader who dictated steps to accomplish the task; whereas democratic leaders sketched general ideas to meet the goal allowing for discussion between the leader and follower(s) to succeed. Laissez-faire leaders offered supplies, but did not take part in the specifics of how to accomplish the task. A third level of clarity between the leadership styles showed the authoritative leader who offered individual praise or criticism with a friendly or impersonal style; whereas, the democratic leader was more fact-based or objective, and the laissez-faire leader offered few comments, if any.

Today, Autocratic Leadership Theory posits that autocratic leaders are self-serving and do not welcome input from others. They typically exhibit a lack of trust with others and prefer to make all decisions alone. Woodard wrote of this leadership style where authoritarians are “ruling with an iron fist” (2017, p. 40). Ferguson et al. (2006) examined autocratic leaders with the three constructs of obedience, conformity, and appearance as shown below in Table 7.3.

Charismatic Leadership Theory

Charismatic Leadership Theory by Max Weber has held a prominent place in religious leaders for nearly a century. However, scholars have expanded the field of charismatic leadership to apply to management studies and political science (Chryssides, 2012). Weber defined Charisma as:

The term ‘charisma’ will be applied to a certain quality of an individual personality by virtue of which he is considered extraordinary and treated as endowed with supernatural, superhuman, or at least specifically exceptional powers or qualities. These are such as are not accessible to the ordinary person, but are regarded as of divine origin or as exemplary, and on the basis of them the individual concerned is treated as a ‘leader.’ (1978, p. 241)

Conger and Kanungo (1987) introduced Charismatic Leadership Theory and noted the “conspicuous absence from research” to date as the (a) mystical connotation of the word charisma, (b) the need for a conceptual framework, and (c) the difficulty to access leaders that are charismatic. However, they mentioned leaders such as Lee

Table 7.3 Autocratic leadership competencies

Autocratic leadership		
Obedience	Conformity	Appearance

Iacocca and John DeLorean as leaders that took high personal risks to achieve a shared vision. Conger et al. (1997) developed an instrument to measure five dimensions of charismatic leadership including strategic vision and articulation, sensitivity to the environment, unconventional behavior, personal risk, and sensitivity to members needs. The Charismatic Leadership in Organizations Questionnaire (De Hoogh et al., 2005) measures articulation of an attractive vision, providing meaning to followers work, role modeling of desired behavior, power sharing, intellectual stimulation, and consideration as shown in Table 7.4.

Democratic Leadership Theory

Northouse (2021) explains that the Democratic Leadership Style involves leaders treating followers as if they are “fully capable of doing work on their own” and that the leader works “hard to treat everyone fairly without putting themselves above followers” (p. 394). Democratic Leadership Theory posits that decision making is a shared responsibility between leader and follower(s). Ferguson et al. (2006) examined autocratic leaders with the five constructs of appearance, aggression, superiority, winning, and negotiation. The Leadership Styles Questionnaire by Northouse (2021) measures authoritarian, democratic, and laissez-faire leadership styles (Table 7.5).

Laissez-Faire Leadership Theory

Northouse (2021) wrote that the Laissez-Faire Leadership Style is sometimes considered “nonleadership, in which leaders ignore workers and their motivations and engage in minimal influence” (p. 395). Yukl (2010) explained it is “best described as the absence of effective leadership” (p. 277). Ferguson et al. (2006) evaluated the three leadership styles of Lewin et al. (1939). They found that autocratic leaders “made the rules, controlled order, and [the followers] had little freedom” (Ferguson et al., 2006, p. 46). However, laissez-faire leaders “provided no direction...[the followers] had freedom without order” (p. 45). Ferguson et al. (2006) examined autocratic leaders with the nine constructs of negotiation, fair play, mutual respect,

Table 7.4 Charismatic leadership competencies

Charismatic leadership					
Articulation of an attractive vision	Providing meaning to followers work	Role modeling of desired behavior	Power sharing	Intellectual stimulation	Consideration
Strategic vision and articulation	Sensitivity to the environment	Unconventional behavior	Personal risk	Sensitivity to members needs	

Table 7.5 Democratic leadership competencies

Democratic leadership				
Appearance	Aggression	Superiority	Winning	Negotiation

Table 7.6 Laissez-Faire leadership competencies

Laissez-Faire leadership								
Negotiation	Fair play	Mutual respect	Creativity/originality	Empathy	Personal wishes	Freedom	Being different	Selfishness

creativity/originality, empathy, personal wishes, freedom, being different, and selfishness as shown in Table 7.6.

Servant Leadership Theory

Greenleaf (1970) coined the term Servant Leader and many more scholars have come after him to continue the field of research. Patterson (2003) built upon the servant leadership theory to identify several constructs. Building upon Patterson’s work, the Servant Leadership Assessment Index (Dennis & Bocarnea, 2005) measures agapao love, altruism, empowerment, humility, serving, trust, and vision. Northouse (2021) states that Servant Leadership Theory is an emerging field of study calling for leaders to care for their followers and encourage their autonomy, knowledge, and servanthood (p. 396). The Servant Leadership Behavior Scale (Sendjaya et al., 2019) measures voluntary subordination, authentic self, conventional relationship, responsible morality, transcendental spirituality, and transforming influence. The Servant Leadership Questionnaire (Barbuto & Wheeler, 2006) measures altruistic calling, emotional healing, wisdom, persuasive mapping, and organizational stewardship. The Servant Leadership Scale (Liden et al., 2008) measures emotional healing, creating value for the community, conceptual skills, empowering, helping subordinates grow and succeed, putting subordinates first, and behaving ethically. The Servant Leadership Survey (Dierendonck & Nuijten, 2011) measures empowerment, accountability, standing back, humility, authenticity, courage, forgiveness, and stewardship. Each of the instruments mentioned above are displayed in Table 7.7.

Situational Leadership Theory

Hersey and Blanchard explained that the basic concept of situational leadership is that there is “no one best way to influence people” (1988, p. 171). The experts posited that the leadership style a leader uses should depend on the readiness of the group. Originally called the Life Cycle Theory of Leadership in 1969, the authors

Table 7.7 Servant leadership competencies

Servant leadership				
Agapao love	Voluntary subordination	Altruistic calling	Emotional healing	Empowerment
Altruism	Authentic self	Emotional healing	Creating value for the community	Accountability
Empowerment	Conventional relationship	Wisdom	Conceptual skills	Standing back
Humility	Responsible morality	Persuasive mapping	Empowering	Humility
Serving	Transcendental spirituality	Organizational stewardship	Helping subordinates grow and succeed	Authenticity
Trust	Transforming influence		Putting subordinates first	Courage
Vision			Behaving ethically	Forgiveness
				Stewardship

Table 7.8 Situational leadership competencies

Situational leadership			
Telling or redirecting	Persuading or coaching	Participating or supporting	Delegating

changed the title to Situational Leadership in their 1972 book of *Management and Organizational Behavior*. The Managerial Grid used by Hersey and Blanchard (1996) represent the degree of leader’s concern for people and production. The four quadrants include telling or directing, persuading or coaching, participating or supporting, and delegating (Table 7.8).

Spiritual Leadership Theory

Spiritual Leadership Theory was developed by Fry (2003). Northouse (2021) calls it an emerging approach examining how a leaders values, sense of calling, and membership motivate followers (p. 396). Yukl (2010) wrote that spiritual leadership is an answer to a need to have more meaning in work as a result of spending so much time at work and lacking opportunity for purpose outside of the workplace. The Spiritual Leadership Scale (Fry et al., 2005) measures altruistic love, hope/faith, and vision. The Spirituality at Work Scale by Ashmos and Duchon (2000) measures inner life, meaningful work, and sense of community. Both instruments are shown in Table 7.9.

Table 7.9 Spiritual leadership competencies

Spiritual leadership					
Altruistic love	Hope/faith	Vision	Inner life	Sense of community	Meaningful work

Transformational Leadership Theory

Transformational Leadership Theory (Bass, 1985) emerged from Transactional Leadership Theory. Bass (1985) explained the two leadership styles were not mutually exclusive. Conger and Kanungo (1998) explained that the difference between transformational and transactional leadership is the exchange between leader and follower; whereas, transformational leaders focus on higher order needs and transactional leaders focus on what they will give to the follower so the follower will give the leader what they want.

The Transformational Leadership Questionnaire by Alban-Metcalf and Alimo-Metcalf (2000) measures genuine concern for others; political sensitivity and skills; decisiveness, determination, self-confidence; integrity, trustworthiness, honesty, openness; empowering, develops potential; networker, promoter, communicator; accessibility, approachability; clarifies boundaries; and encourages critical and strategic thinking. The Multifactor Leadership Questionnaire (Bass & Avolio, 1990) also measures transformational leadership, transactional leadership, and passive avoidant leadership. The constructs of transformational leadership include idealized attributes, idealized behaviors, inspirational motivation, intellectual stimulation, and individualized consideration. Each scale above is displayed in Table 7.10.

Transactional Leadership Theory

Transactional Leadership Theory began with James MacGregor Burns (1978). The theory is premised with a series of exchanges between the leader and follower. His efforts helped to define the constructs of contingent rewards, management by exception active, and management by exception passive as shown in Table 7.11. The concept of passive management by exception is the attitude of “if it’s not broke, don’t fix it” (Sosik & Jung, 2018, p. 8). Active management by exception, on the other hand, closely monitors for operational errors so as to correct it promptly or to avoid it all together. The contingent reward aspect of transactional leadership is an “implied contract” where the follower promises to do something in return for extrinsic motivation (Sosik & Jung, 2018, p. 11). The Multifactor Leadership Questionnaire (Bass & Avolio, 1990) measures transformational leadership, transactional leadership, and passive avoidant leadership.

Table 7.10 Transformational leadership competencies

Transformational leadership						
Genuine concern for others	Political sensitivity and skills	Decisiveness, determination, self-confidence	Integrity, trustworthiness, honesty, openness	Empowering, develops potential	Networker, promoter, communicator	Accessibility, approachability
Clarifies boundaries	Encourages critical and strategic thinking	Idealized influence	Individualized consideration	Inspirational motivation	Intellectual stimulation	

Table 7.11 Transactional leadership competencies

Transactional leadership		
Contingent reward	Active management by exception	Passive management by exception

Table 7.12 Respectful leadership competencies

Respectful leadership				
Accepting criticism	Being error-friendly	Considering needs	Maintaining distance	Supporting
Acknowledging equality	Being open to advice	Excavating potential	Promoting development	Taking interest on a personal level
Appreciating	Being reliable	Granting autonomy	Seeking appreciation	Trusting
Being attentive	Conferring responsibility	Interacting friendly	Showing loyalty	

Conclusion

Respectful Leadership Theory is desperately needed to fill a gap in the world today. This theory will do more than tolerate differences, it will encourage and embrace differences allowing humans to flourish and be human without fear of bullying, judging, or persecution. In the world today, we see bigotry, division, hatred, incivility, and disrespect for human beings on a daily basis. It is truly a sad state of affairs that must be addressed in our day-to-day lives and the environment that influences us. This does not mean that we condone all behavior that we find offensive to our personal moral compass. It does; however, mean we do not condemn others for their beliefs. There must be a way for people to get along out of respect for the nature of our being is all the same. We can agree to disagree and still treat others with respect for human dignity. Respectful Pluralism encourages the choosing of language that will lift others up and not tear them down.

The instrument, shown in Table 7.12, by Quaquebeke and Eckloff (2010) is a great start to measuring respectful leadership. However, much more work is needed to qualitatively examine the needs of humans today and the needs of humans in the future to ensure the constructs of respect are properly defined. For respectful leadership to become a theory, it will require much more work from scholars around the globe to examine what respect means and how to measure it.

The essence of respect is treating all people the way we would want to be treated. This is also known as the Golden Rule. By evaluating the leadership theories of the past, we can see the gap in development of an inclusive leadership theory rooted in respect for human dignity. Some theories include aspects of respect such as authentic leadership’s relational transparency, laissez-faire’s fair play and mutual respect, servant leadership’s agapao love and trust, and the altruistic love of spiritual leadership or the genuine concern for others within transformational leadership; however, the focus of respect must be more prominent in the future than it has been in the past.

In recent years, many scholars have been working on developing the Full Range Leadership Model. Sosik and Jung (2018) note the birth of this concept was more than 30 years ago when Bass presented a model of Full Range Leadership

Development. Avolio explains that he and Bass worked together to coin the phrase Full Range Leadership as a model of leadership where (a) participants would want to expand their “range” of leadership throughout their career, (b) academic partners would challenge the word “full” continuously asking “what is missing and why,” and (c) the full range leadership model could honor the theories of the past (Sosik & Jung, 2018, p. xv). This is such a time to question if the existing leadership theories are inclusive and rooted in respect for human dignity and if not, challenge one another to expand the breadth of the full range leadership model to include all theories of the past in addition to the respectful leadership theory of the future.

Chapter Takeaways

The takeaways from this chapter are numerous. First, the simple fact that respect should be integrated into leadership theory and leadership styles is clearly stated. Second, the popular leadership theories are mentioned along with quantitative instruments that measure their constructs. While the list of instruments is not exhaustive, this does provide a quick snapshot of leadership theories and the genetic makeup of those theories to carefully examine if respect is part of the theory or not. Third, the gap in literature is established as respect has not been a priority in the past. Perhaps it was assumed respect would occur naturally; however, the fact remains that a major lack of respect is clearly an issue in the world today. And, finally, an urgent plea is sent to scholars and practitioners to work together in developing an inclusive leadership theory rooted in respect for human dignity.

Reflective Questions

As this chapter comes to a close, several reflective questions come to mind.

1. How can each person respect all people for the sake of human dignity?
2. Reflecting on activities of this past week, month, or year, what could be done differently to respect human beings better today than in the past?
3. How can we, as a family, workplace, country, or world, work together to establish an agreed upon moral compass?
4. What needs to happen right away to treat other people the way I would want to be treated?
5. How can we realistically agree to disagree and maintain respect for human dignity?

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The City Is Ours

Market forces privatize public property forgetting we are all citizens of the city
regardless of rising prices & exclusive policies
everyone deserves a right to the city

Stakeholders forget to share, consumers don't care
they just want what's new, they'll even take it from you
& take it again when you're not looking
The script is oblivious to the we nation
the central crisis of urbanism
the dichotomy of class division

the collapse of distinction between production & distribution
delineates districts into divided prisons defined by Social Darwinism

Whether it's America, China, Australia, Brazil, Japan or Austria
cities are workshops
of civilization choked by exploitation and stifled circulation complicated
by rising inflation & gentrification,
the emerging nation needs transformation

Human consumption has become an individual function fixated on capital
all the self-serving gluttony is like too much coffee
a city running on hyper-speed moving too fast to breathe
slow down to speed up, take a deep breath
& forget the rush
we are all interrelated, this can't be overstated

Bring it back to brick and mortar,	we still live in a physical world
though the marketplace is digital,	matter is made from a concrete core
Build the bridge,	lay down the bricks
Fill in the ridges,	stack the sticks
Feed the fire,	consider the cost
Take it up higher,	the city is ours!
	~ Mike Sonksen

Part II
Diversity, Equity and Inclusion in
Organizations

Chapter 8

Brave Dialogues: An Essential Leadership Practice to Foster Diversity, Equity, and Inclusion in Organizations



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Introduction

We write this chapter during a paradoxical time for diversity, equity, and inclusion (DEI) efforts in organizations. On the one hand, there is burgeoning interest and investment in DEI and the development of inclusive leaders. Catalyzed by a trifecta of tragedies that disproportionately affect Black, Indigenous, and People of Color (BIPOC) employees – namely, COVID-19, the state-sanctioned murders of innocent Black citizens, and the resurgence of White nationalism worldwide – organizational experts identify “social justice,” “inclusive practices,” and “strategies for measuring DEI efforts” as three of the most influential workplace trends in 2021 (Society for Industrial and Organizational Psychology, Inc., 2021). At the same time, 2019 marked the highest year in a decade for reported hate crimes (Allam, 2020), and a troubling percentage of employed adults in the U.S. (61%), U.K. (55%), France (43%), and Germany (37%) report seeing or experiencing an act of discrimination in their workplace (Glassdoor, 2019). Sixty-eight percent (68%) of employees of color in the U.S. report being on guard towards racial bias and discrimination in their work teams (Brassel et al., 2021) and only 32% of LGBTQ+ junior employees choose to be “out” at work for fear of reprisal (McKinsey Quarterly, 2020, June). To make matters worse, women, especially women of color, stand positioned to lose years of progress throughout the corporate pipeline as a result of the

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pandemic's gender-related toll (Thomas et al., 2020). Thus, it appears in this era of rapid change, as DEI efforts expand, progress retracts.

In order to disrupt this cycle, today's leaders must "think globally, but act locally." That is, organizational leaders must be well-informed about how intersecting systems of oppression affect their employees *and* be well-equipped to discuss the behaviors that manifest in those systems – including their own. However, whereas leaders appear to embrace the message to educate themselves about systemic DEI issues, evidenced by best-selling books, popular podcasts, and top e-learning courses for managers, engagement with specific practices to address the occurrence of more subtly biased behaviors in organizations remains elusive. This is not because leaders do not see the importance of such critical feedback; rather, their silence may be an indicator of the anxiety inherent in conducting dialogue across differences (Stephan & Stephan, 1985).

In this chapter, we describe "brave dialogues" as one practice leaders can embrace to reduce anxiety and foster inclusion in their organizations. A brave dialogue is a method for engaging in uncomfortable feedback conversations in the workplace. The dialogue is often related to working inclusively and equitably across differences with the goal of shared learning. A brave dialogue can happen in real-time, during formal conversations, or well after the fact. We characterize this practice as "brave" because it requires courage, honesty, sensitivity, and vulnerability *on the part of all involved*. In our DEI research and practice, we find the foremost barrier blocking dialogue across difference is fear, particularly when the conversation is about race (see Sue, 2013 for a discussion). Therefore, the purpose of this chapter is to explain the why, when, and how of brave dialogues in effort to reduce uncertainty and increase accessibility of this inclusive leadership practice.

We begin with an evidence-based rationale as to why brave dialogues are central to the establishment and maintenance of inclusion. Then, we describe three success factors to consider to ensure an effective outcome: (1) awareness of power dynamics and identity, (2) awareness of conflict styles, and (3) understanding of culture. Next, we provide a set of practical guidelines we use to train leaders to conduct brave dialogues in their organizations using an example to bring the method to light. The chapter concludes with key takeaways from our experiences conducting brave dialogues, acknowledging both the limitations and possibilities of establishing a brave dialogues practice.

Why Brave Dialogues Foster Inclusion

Diversity and inclusion practices are now considered a valued and strategic aspect of organizational effectiveness (Triana et al., 2021). Yet, the research is surprisingly limited on the direct benefits of workplace diversity particularly in relationship to performance (Roberson, 2019). One reason for this is because diversity, described as the categorical differences between people relative to social identity and/or perspective (Thomas & Ely, 1996), engenders conflict and increases tension between

individuals and groups (Jehn & Greer, 2013). For years, diversity research primarily focused on how such tensions manifest in HR policies and procedures (Triana et al., 2021). In response, companies adopted formal diversity management practices in effort to reduce blatant forms of discrimination (Gilbert et al., 1999).

Diversity management practices are formal mechanisms used to regulate discriminatory behavior and remove biases from HR functions (Gilbert et al., 1999). The central goal is to help organizations better attract and retain “diverse” talent, implicitly understood as members of historically excluded groups (Triana et al., 2021). Embedded in diversity management practices is the assumption that an organization will be “diverse” once there is proportional representation of women and/or BIPOC employees at all levels of the hierarchy. Unfortunately, formal diversity management practices produce backlash effects (Kidder et al., 2004). Not only do they inflame relational conflict between employees (more diversity, more conflict), but they may also increase resentment towards individuals perceived to benefit from targeted resources (Plaut et al., 2011). Moreover, despite billions of dollars invested annually in formal diversity management efforts, the demography of organizations remains relatively unchanged over the past 30 years (Dobbin & Kalev, 2016).

This is not to suggest diversity management practices should cease; rather, they cannot be relied on solely to remove barriers and increase representation. Whereas formal diversity management practices can ostensibly protect members of underrepresented groups from blatant acts of discrimination, they do not account for the more subtle, unintentional, and unconscious behaviors that also signal workplace bias. For example, a supervisor may mistake a new female manager for an executive assistant, automatically assign a BIPOC employee to the diversity council, or misgender a transgender coworker. Jones et al. (2016) classify these behaviors as subtle acts of discrimination because they signal “negative or ambivalent demeanor or treatment enacted toward social minorities on the basis of their minority status membership that is not necessarily conscious and likely conveys ambiguous intent” (p. 1591). The ambiguity of subtle discrimination makes it particularly insidious because targets (usually members of underrepresented groups) are left to wonder about the intent behind the interaction while the offender is unaware of the harmful impact of their behavior. The female manager may question why others think she is an executive assistant, the BIPOC employee may wonder if the assignment to the diversity council is based on their competence or race, and the transgender coworker may question whether the use of an incorrect pronoun was a slipup or intentional. Such ambiguity exacts a cognitive and emotional toll above and beyond that of blatant discrimination (Jones et al., 2016). Thus, even in an organization with strong formal mechanisms to address blatant discrimination, progress towards inclusion is stalled without a concrete practice in place to address the more subtle acts of bias.

Inclusive leadership practices differ from diversity management practices in that the actions taken are more informal and relational. Although inclusion is a dynamic and multi-layered process, at its core inclusion is an individual’s perception that they are valued – an experience directly inferred from the quality of their interpersonal interactions in the organization (Ferdman, 2021). Subtle acts of discrimination left unaddressed damage inclusion because they occur in the informal and

relational space between coworkers. Shore et al. (2011) define inclusion as, “the degree to which an employee perceives that he or she is an esteemed member of the work group through experiencing treatment that satisfies his or her needs for belonging and uniqueness” (p. 1265). In their definition, they call attention to two seemingly contradictory yet complementary human needs: belongingness and uniqueness. Belongingness is “the need to form and maintain strong, stable interpersonal relationships” (Baumeister & Leary, 1995, p. 497), whereas uniqueness reflects “the need to maintain a distinctive and differentiated sense of self” (Snyder & Fromkin, 1980, as cited in Shore et al., 2011, p. 1264). Formal diversity management practices focus on increasing belongingness by attempting to reduce exclusionary behavior. In this process, the message conveyed is that everyone in the organization deserves to belong and no one should be treated as if they are different. The problem is that people do differ from each other and ignoring those differences risks creating a culture of assimilation (Shore et al., 2011), one where conflict is stifled and conformity is high (Ely & Thomas, 2001).

In order to create an environment where both belongingness *and* uniqueness needs are met, inclusive leaders must establish an environment where employees are encouraged to address their differences to foster individual and organizational learning. In other words, the goal of inclusive leadership is not to reduce the conflict inherent in diversity, but to embrace it. When this occurs, diversity becomes a tremendous resource (Nishii, 2013). To do this effectively, a leader must establish a climate for learning in their unit, a place where employees feel psychologically safe – safe to disagree, question assumptions, be vulnerable, and make mistakes (Newman et al., 2017). However, a climate like this does not automatically happen because a leader upholds it as an ideal. It requires the installation and ongoing maintenance of “concrete learning processes” (Garvin et al., 2008, p. 113), clearly established practices that give employees a way to talk about their differences, especially when subtly biased behaviors occur.

In the next section, we introduce brave dialogues as one informal, concrete learning practice an inclusive leader can introduce in their unit without necessarily needing to change the entire organization’s culture. The brave dialogues method derives directly from our DEI work with leaders and their teams. Although there are a number of helpful tools available for conducting conversations across differences, we recommend brave dialogues when the goal is to confront subtly biased behavior that occurs between coworkers. By providing and role modeling a way to conduct these difficult, but necessary conversations, an inclusive leader can transform conflict into a resource thereby increasing inclusion for all.

How to Conduct a Brave Dialogue

A brave dialogue is a concrete learning practice that helps individuals clarify the assumptions and beliefs that drive accepted but unnamed norms that might subtly cue belonging uncertainty for members of stigmatized groups (Walton & Cohen,

2007). Since the intent of the brave dialogue is to unearth dynamics outside conscious awareness, the interaction requires courage and vulnerability and a willingness to rectify and make amends for incorrect assumptions. Once both parties (the initiator of the brave dialogue and recipient) are able to express their perceptions of the interaction, they will be able to create shared meaning. This is not to say that they will agree or that tensions will dissolve. Rather, each person will have the opportunity to hear another's experience of the same situation and name the assumptions that influenced their behavior. When successful, shared learning occurs.

Success Factors for Brave Dialogues

There are three success factors to consider when establishing a brave dialogues practice. We call these "success factors" because when we attend to them prior to, during, and after a brave dialogue, we bring into our awareness the implicit, hidden dynamics that affect the quality of the conversation. The three success factors are as follows: (1) awareness of power dynamics, (2) awareness of conflict styles, and (3) understanding of culture (Fig. 8.1).

Success Factor #1: Awareness of Power Dynamics

The first success factor requires an assessment of the implicit and explicit power dynamics related to social and organizational identities that might emerge during the conversation. Power is the potential of an individual (or group) to influence another individual or group (Hill, 1995). It can originate implicitly through an individual's attributes (i.e., social identity characteristics) or explicitly through an individual's role or hierarchical position in the organization. Influence is the exercise of power to change an individual or group's behavior, attitudes, and values (Hill, 1995). Organizations and individuals depend on implicit and explicit power sources to distribute or withhold rewards, such as promotions, access to opportunities, and other organizational currency.

An analysis of power and influence is critical for success because the decision to engage in a brave dialogue means that the initiator is attempting to re-balance a dynamic. Unlike other types of difficult feedback conversations, such as performance-related feedback, employees rarely have a norm to engage in brave dialogues. When you initiate a brave dialogue, you attempt to exercise your power to influence the other person to see the experience from your point of view with the goal of making shared meaning. The goal is to engage the recipient in an open dialogue about the unnamed assumptions behind the interaction and further understand both parties' underlying beliefs. By exploring both the initiator and recipient's experiences, a brave dialogue builds a more profound sense of trust and creates a



Fig. 8.1 Brave dialogues success factors

learning climate in which employees can openly address and work through their biases.

Success Factor #2: Awareness of Conflict Styles

Another factor to consider when engaging in brave dialogues is how individuals engage conflict differently. A brave dialogue is a form of managing conflict at work. It is rooted in the inherent tension that exists in working equitably across identity differences in multicultural organizations. However, most workplace cultures focus on politeness and therefore, fear conflict (Jones & Okun, 2001; Lencioni, 2002). Fear of engaging in conflict, especially conflict about deeply held beliefs that manifest in unconscious bias, may lead employees to associate disagreement with interpersonal attacks. For members of the dominant identity group in an organization (i.e., White, male), conflict may disrupt their experience of “artificial harmony,” which can create fear of brave dialogues (Lencioni, 2002, p. 91). To understand the various ways people respond to conflict, the *Thomas-Kilmann Conflict Mode Instrument (TKI)* highlights five conflict styles: avoiding, compromising, accommodating, competing, and collaborating (Thomas, 2008). Each is described briefly below in the context of a brave dialogue.

Avoiding is when someone dodges disagreement. An avoiding style is beneficial when there is a need to create space because of tension. During a brave dialogue, an individual with an avoiding style may make the conversation shorter, pause more

often, or request to come back to the discussion later. *Compromising* occurs when an individual wishes to meet the other halfway. During the brave dialogue, someone with a compromising style might suggest the pair “agree to disagree.” Over relying on *compromising* can be an easy way out of an uncomfortable and necessary conversation. For example, when faced with a challenging dialogue, a pair of employees may default to *compromising* and miss the opportunity to examine the root cause of the biased behavior which deepens trust and minimizes the chance of reoccurrence. *Accommodating* is when one party yields to the wishes of the other party. In a brave dialogue, an individual with an accommodating style might jump to an apology before sharing their own experience, again limiting the opportunity for shared learning. *Competing* is when someone advocates strongly for their perspective. An individual with a competing style might have difficulty listening during a brave dialogue and might offer counter-arguments before the initiator has completed their description of the situation. *Collaborating* is when both parties share their perspectives and collaborate to develop a solution that satisfies their goals.

From our experience, *collaborating* is the most effective approach when engaging in brave dialogues. It occurs when both parties reframe the challenge, explore root causes and assumptions, and create a bigger narrative that includes the initiator’s and the recipient’s experiences. This approach requires a high degree of trust and trust builds incrementally throughout multiple brave dialogues. Therefore, the first time a pair engages in a brave dialogue, it is critical to remember that this is a developing practice, not a way to create a final solution. It is vital to continue to engage in these types of dialogues to create a culture of courage and commitment to tackling subtle biases when they surface.

Success Factor #3: Understanding of Culture

When engaging a brave dialogue, it is essential to be mindful of the ways in which both organizational and personal cultural values inform perceptions. Organizational culture is a function of the implicit norms that determine (un)acceptable behavior in a social system (Schein, 1990). Cultural norms derive from the alignment (or lack thereof) between an organization’s espoused values, what they say they stand for, and their enacted values, what they actually do. For example, an organization may explicitly promote a healthy work/life balance (espoused value) but managers email employees during off-hours and expect an immediate response (enacted value). It is the assumed behavior implicit in the enactment of cultural norms that determines the essence of the organization’s overarching culture.

Employees also bring their own personal cultural values to the workplace, values which may or may not align with the organization’s values. Personal values are evaluative beliefs that guide our individual decisions and behavior (Meglino & Ravlin, 1998). They derive directly from early socialization within our families, communities, institutions, and cultural traditions. Like organizational values, they influence our perception and understanding of a situation (Thomas & Inkson, 2017).

Given that both organizational and personal cultural values operate outside of our awareness, it is important to hold one's perceptions lightly and be willing to examine how values influence our interpretation of any given moment or situation. In doing so, we bring cultural humility to the brave dialogue (Fisher-Borne et al., 2015). By engaging in cultural humility, we recognize that our individual "truth" is born out of organizational and personal cultural values and is therefore not the only "truth." We must remain open to understanding others' truths.

Each of the three success factors described – awareness of power and identity dynamics, awareness of conflict styles, and understanding of culture – contributes to a more successful brave dialogue practice. Together, the consideration of these three factors can expedite inclusion by distributing the responsibility for active (un) learning in the brave dialogue process.

Guidelines for Conducting Brave Dialogues

Imagine the following scenario. A manager is facilitating a meeting with five direct reports. The meeting is running longer than expected, there is an important decision to be made by the team, and the end of the business day is fast approaching. One of the direct reports turns to another, a working mother of two toddlers, and says, "I just noticed the time, and I know you usually leave around a little before five to pick up your kids. I can fill you in tomorrow on what we decide."

In this scenario, it may initially seem as if there is no problem with the colleague's comments; it could be rather thoughtful of the colleague to cover for someone who needs to leave the meeting before it ends. However, leaders who are committed to breaking patterns that subtly undermine an organization's commitment to DEI must pause and consider both the explicit and implicit impact of this exchange. This is an instance when a brave dialogue may be warranted.

To initiate a brave dialogue, we recommend following the guidelines (see Table 8.1).

Some of these guidelines merit further explanation. First, not every situation warrants revisiting. For example, if the behavior witnessed is a one-off and unlikely to repeat, you may decide that it does not justify the time, energy, and attention required of brave dialogues. In other cases, there may be too much at risk to initiate a brave dialogue, such as choosing to engage in a conversation with a manager during bonus-decision time. In a situation like this, an individual may decide to postpone the dialogue.

We have found, through our work with clients, that the following situations often *do warrant* a brave dialogue:

- When we find a need to understand something more fully, especially because we identify gaps in our perspective
- When we recognize patterns of behavior that are detrimental to ourselves, to employees who report to us, or to the health of the organization

Table 8.1 Guidelines for brave dialogues

1. Assess the situation and whether it warrants a discussion.
2. Address roadblocks.
3. Assume positive intent.
4. Focus on dialogue rather than debate.
5. Demonstrate cultural humility.
6. Be transparent and willing to admit mistakes.
7. Listen with intention and empathy.
8. Expect and accept lack of closure.
9. Create trusting, safe spaces.
10. Adopt a learning stance.

Source: Adapted from Catalyst: Workplaces that Work for Women (2016). Conversation Ground Rules

- When we find ourselves ruminating over an exchange or experience such that it derails our focus and energy
- When we recognize patterns of potential subtle or overt discrimination
- When we identify issues pertaining to social identities such as race, gender, sexual orientation, or other historically excluded identities.

Once it is decided that a brave dialogue *is necessary*, consider the roadblocks to a successful outcome. For example, you may discover that your version of the incident or exchange may not be accurate and requires more information. Or, you may realize that because of your role in the organization, you are not in the position to have the brave dialogue and may instead need to seek out an ally who is better able to speak on your behalf. Identifying and addressing any roadblocks prior to your brave dialogue will put you in a better position for success.

Several of the guidelines advocate a mindset that fosters dialogue across differences. For example, by assuming positive intent, we set aside our judgments and preconceived notions to create space to share our feelings about the impact of the interaction. By being transparent and willing to admit mistakes, we demonstrate courage and willingness to learn. Such a mindset enables you to focus on dialogue rather than debate; in doing so, there is greater potential for getting to what Stone and Patton (2010) describe as the “third story.” The third story allows you to acknowledge any differences in views from a more neutral standpoint.

Regarding cultural humility, we advocate an assessment of how one’s culture influences perceptions. As stated by Thomas and Inkson (2017), “the first step to cultural flexibility is to understand your own culture and how it affects your interpretation of the behavior of others” (p. 41). To assess one’s culture means to look at your own language and communication style, family relationships, class values, experiences related to your race, ethnicity, gender, etc., and consider how those unique combinations shape your perception of the interaction. In order to

demonstrate cultural humility, we must do the work of assessing our own culture and be willing to explore the culture of others. However, we cannot demonstrate cultural humility by simply learning about others. We must dedicate time to learn about our own cultures first.

A brave dialogue will likely not be neat and clean; often there will be a lack of closure and some uncertainty when it concludes. It is not uncommon to need to reconvene for a follow-up dialogue. Occasionally, we may engage several times and get to a point where we recognize we have done and said all that we can. On the other hand, if the conversation goes too smoothly, both parties may not have actually had a brave dialogue. Addressing subtle bias is not a one-shot deal; it requires ongoing (un)learning, reflection, and re-learning in partnership to work equitably across differences.

With these guidelines in mind, we revisit the scenario described earlier. Assuming the manager decides it is worth addressing the exchange between their reports, they must determine the optimal time for initiating the brave dialogue. One approach is to say something in the moment. Without having had a chance to check in with the direct report whose identity as a mother was brought into relief, we recommend speaking from one's own experience, not the direct report's. For example, the manager might say, "I am not speaking for ... but rather feel the need to stop for a minute to get a bit more information to help me understand your comment." Such a statement reflects the guidelines that advocate assuming a positive intent and creating a trusting, safe space. From there, the manager might ask an open-ended question in order to promote a dialogue rather than elicit a defensive response.

Another approach would be to say nothing during the meeting and, instead, to circle back with each of the direct reports. In doing so, the manager can express what *they* experienced during the exchange recognizing that their perspective is limited and that the dialogue is intended to broaden everyone's understanding. When this happens, the entire team benefits because the manager creates space to process assumptions. For example, one frequent comment we hear in our work is that too often people assume women with children are not as invested in growth and development because they wish to prioritize their family's needs. When a leader disrupts a subtly biased comment that may convey this assumption, they create a more inclusive environment for everyone. To foster that kind of learning, the leader's language would reflect their cultural humility and desire to learn.

As a concrete learning practice, leaders should encourage all employees to initiate a brave dialogue when misunderstandings occur. But, leaders must also be aware that the practice is riskier for those who are members of historically disenfranchised groups. For example, individuals with underrepresented identities, entry-level workers, and/or workers who have a history of experiencing subtle discrimination, might experience brave dialogues as threatening and emotionally draining. Therefore, it is imperative the leader themselves role model the practice in action taking care not to offload the tool to direct reports who are more likely to experience subtle bias in their organizations.

Limitations and Possibilities

As with any leadership practice, there are nuances and potential limitations to consider. One of these nuances is the team's and the organization's norms about authority. For example, consider the first brave dialogue one of the authors initiated in 2004 with their supervisor during their first 6-month performance review. The pair was a White queer manager and a non-White queer supervisee. There was trust, but the pair had never engaged on issues of race. The manager invited feedback, and the feedback delivered was about the author's experiences with racialized microaggressions in the organization. When the author shared the experience of feeling micro-managed and questioned more than the rest of the team, the manager paused to reflect instead of debate. This created the space for the author to suggest the manager attend an anti-racism training. Again, instead of being defensive or reactive, the manager took up the suggestion and asked if it would be helpful for the entire team to go through the training. The brave dialogue resulted in an intervention for the entire organization.

While there may be tremendous individual risk in engaging in a brave dialogue, the results can be lasting and transformative beyond expectations. One person's brave choice to engage with curiosity and compassion can redirect an organization's trajectory from exclusion to inclusion. On the other hand, if the manager reacted to the feedback with defensiveness or blame, that, too, could further embed inequities and evoke silence within the organization. Before instituting brave dialogues as a practice, leaders should consider their role and the emotional energy that brave dialogues require, particularly for members of historically excluded groups.

Conclusion

Given the anxiety associated with dialogue across differences, much subtle bias that occurs in organizations remains unaddressed. Consequently, the people most harmed leave. Brave dialogues provide one concrete learning practice inclusive leaders can use to disrupt subtly biased behaviors. Brave dialogues give employees an informal way to communicate, clarify ambiguity, and check assumptions with the purpose of shared learning. When a brave dialogues practice is in place and a leader role models learning in action, the organization signals that all members are valued *and* encouraged to bring their differences to light.

Key Chapter Take-Away's

- Diversity, equity, and inclusion (DEI) practices should include formal *and* informal mechanisms to address both blatant and subtle forms of discrimination.
- Subtle forms of discrimination occur during informal interpersonal interactions; left unaddressed, they damage perceptions of inclusion.

- A brave dialogue is an informal, concrete learning practice employees can engage when subtle bias or discrimination occurs during an interpersonal interaction.
- The initiation of a successful brave dialogue requires attention to power dynamics, conflict styles, and organizational and personal cultural values.
- Inclusive leaders role model brave dialogues as “initiators” and “recipients” helping establish and deepen trust within their team or unit.

Five Reflective Questions

1. How aware are you of the current systemic DEI issues in your organization or division?
2. Does your organization have an informal practice in place that allows employees to address subtle bias or discrimination when it occurs? Why or why not?
3. If brave dialogues are not part of the current organizational culture, what steps can you take to foster a learning climate so that employees can engage across differences?
4. How can you establish the trust needed for a successful brave dialogues practice to occur in your team or unit?
5. If you have engaged in brave dialogues, reflect on how the following may have influenced the outcome: power dynamics, conflict styles, and organization and personal cultural values.

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Chapter 9

Top-Down Workplace Diversity and Inclusion



Pamela Kay Caldwell

Introduction

The last 4 years in the United States and globally has created a need to understand diversity as well as a dislike for the word. The dislike of the word was seen especially in the United States when diversity training at the federal level was stopped because it was viewed as not American. This alone has showed us that the average person is not fully aware of what the term means and how to go about being more diverse. If you would listen to the everyday conversation you would think diversity was only about skin color, about white, black, and brown. This thinking put people on edge because the next words are typically associated with race. The topic of race is a touchy subject because people associate talking about race as talking about racism. Because of this, this chapter is proposing that to increase workplace diversity and inclusion, change must start at the top. Starting at the top does not mean going out and making the board of directors and top management look different, it is referring to starting at the top with a change in mindset and organizational culture. In this chapter, the discussion will be about defining diversity and inclusion, mindset, emotional intelligence, and organizational culture.

Diversity Defined

With the change of the workplace, diversity has also changed in the meaning. First, it was allowing women into the workforce. However, with globalization, and an increase of immigration to the United States, it has expanded to include more than

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just women. Diversity goes beyond gender and race. Before becoming a more diverse workplace, first we must understand the meaning of diversity, what does it mean to have a diversity in the workplace. Diversity when spoken of, yields the response of black or white, and female and male. However, diving further into the meaning we see that it does mean those things however, it goes deeper than that. Diversity needs to be divided into the observable and unobservable (Neck et al., 2018; Roberson, 2006).

What is diversity? Diversity are all the ways that make use different. Workplace diversity is “the degree to which an organization represents different cultures”(Neck et al., 2018). However, scholars have suggested that those definitions are still too broad (Prasad et al., 2006). With stating that it is all differences, then we give the idea that all of the differences are created equal in the workplace (Prasad et al., 2006). By saying this, we are saying that some differences do not cause more discrimination such as race, and gender (Prasad et al., 2006). Which they are not. To understand the breadth of the definition of diversity, the need to focus on groups that have been systematically discriminated, and the historically disadvantage groups (Prasad et al., 2006). Even with this more advanced definition of diversity, it still must be separated into the surface and deep level or observable and unobservable.

Surface level or observable diversity are those differences that can be seen, or can be observed such as age, race, ethnicity, gender and ability (Neck et al., 2018; Roberson, 2006). These surface level differences should be noted that the United States has laws protecting these populations (Roberson, 2006). However, diversity also include the unobservable or deep, the things that can only be seen once relationships have been developed. These are the things that will only come to the surface once we begin to talk to the person and build a relationship. These unobservable or deep level differences are attitudes, values, beliefs, personality, education, functional background, organizational tenure, and socioeconomic background (Neck et al., 2018; Roberson, 2006).

The first step into increasing workplace diversity is understanding what it is. Understanding that its more than just black or white, or female or male. Once the understanding is there, then we must change our mindset of what we think, say, and feel about workplace diversity and inclusion. This changing of the mindset is not only the organization, but the organizational behavior. Meaning, it is the organization, the teams/groups, and the individuals, unless each part is dealt with the whole will never change.

Rethinking Workplace Diversity

Creating workplace diversity, does not only include adding more new hires that are women, African American, or People of Color. This is only adding people to your work force. If the mindset is not changed, people will have limiting beliefs on what these new hires can do. Meaning, they may be seen only at the entry level positions. Diversity in the workplace, is all levels of the organization will be a representation

of the community, and people that the organization serves. Having this type of workplace diversity, a shift in mindset, an increase of emotional intelligence, and a re-education of diversity will be needed.

Mindset

Discussing of mindset takes us to Carol Dweck on her work on the psychology of mindset. Dweck discusses that individuals have either a fixed or growth mindset. Meaning, people will continue to grow, and learn new things, or people will refuse to grow and learn (Dweck, 2006). Mindset is how individuals understand and make sense of the world around them, “knowledge, beliefs, and thoughts about the world” (Bosman et al., 2018), and how one fits into the worlds (Bosman et al., 2018; Gupta & Govindarajan, 2002).

Emotional Intelligence

Emotional intelligence (EI) or emotional competence is the awareness of one's emotions and how they effect our environment and others (Goleman, 2011; Mayer, 2004; Mayer & Salovey, 1993). The four categories of EI self-awareness, self-regulation, motivation, empathy, and social skill. Below lists each category of EI and its representation (Goleman, 2011; Mayer, 2004; Mayer & Salovey, 1993).

1. Self-Awareness- Self-Awareness is all about self, understanding one's strengths, weaknesses, needs, wants, motives, and drives. Not being confused with being self-centered or self-involved. It is about knowing who self is. Being self-aware opens our minds up to know our personal ethics and help with one's decision making.
2. Self-Regulation- Self-Regulation, refers to how well a person can manage their attitudes, emotions, and behaviors. How well a person can control themselves in any environments and situations.
3. Motivation- Motivation, refers to internal motivation. Understanding self-influences, and how they affect you with completing tasks.
4. Empathy- Empathy is recognizing that everyone is different, and because of these differences it gives them a uniqueness to the team, group, or workplace. Empathy is not just the recognition of the differences but not letting these differences cause biases in your judgement of the individual.
5. Social Skill- Social skill is how well do you make and maintain our relationships.

Organizational Culture

Organizational structure are the parts of the organization, which are individuals, teams, and the organization. When looking at the organizational structure, it must be looked at as a sum of the parts. Each part within the structure has the same components, and one must understand each part and how each part works together before one can get the understanding of the whole structure. Looking at each part, we must look at the culture of each segment and the influences they have on each other.

Individuals

The individual part of organizational culture are the employees of the organization. How does individual culture, connects to the organization culture? Each employee will bring their own culture to the workplace. This culture are their beliefs, values, and norms. Beliefs are attitudes that a person may have about the world or the environment around them. Values are the standards that a person has regarding what is right or wrong, or what their behavior should or should not be. Norms are those beliefs, attitudes, or values of a culture, that are considered typical or normal for a culture. Each employee with have their personal culture, they will have to integrate within the organization. If a person has biases of another person personally, it will appear in the organizations (Neck et al., 2018).

Groups and Teams

Groups and/or teams are another part of organizational culture. These can be departments, informal groups, and formal groups. Informal groups are groups that are made by the employees based on similarities, such as lifestyle, hobbies, or dislikes, just naming a few. Formal groups are groups that are created by a manager or supervisor for the purpose of completing a task. Each of these groups rather informal or formal will have a culture of its own (Neck et al., 2018).

Organizations

The organization segment of organizational culture is the organization itself. These are the organizations beliefs, values, and norms. These are demonstrated at the organization level within its mission and vision statement, objectives, and goals. The third part of organizational culture are the beliefs, values, and norms of the organization (Neck et al., 2018).

Change Agent

Change agents are an essential part of organizational change (Lunenburg, 2010; Specht et al., 2018). Change agents are individuals that take on the initiating, managing and promoting change (Lunenburg, 2010; Specht et al., 2018). Regardless of how big or small the change, change agents are still an essential part of the initiating and the continued success of change. Change agents in the context of organization structure, will more than likely be an internal employee that believes in the change. This change agent will have influence and power they can use to educate other employees on the importance of the change.

Kotter's 8 Steps to Change Model

John Kotter's 8 Stage Change Model can be useful for organization in planning, implementing, and sustaining change within the organization. Implementing these 8 stages to change and providing classes on diversity and why diversity it is needed, can be beneficial to diversity in the workplace. Kotter's change model guides an organization in through the planning, implementing, and sustaining of change. I have divided the 8 stages into 3 phases. The first 2 stages are in the planning phase, stages 3–6 are in the implementing phase, and stages 7 and 8 are the sustaining phase.

Planning Stages of Change Model

1. Establish a Sense of Urgency
2. Form Powerful Teams

Implementing Stages of Change Model

3. Create a New Mission and Vision
4. Communicate the New Vision Effectively
5. Empower Others to Act on the vision
6. Create Short Term Wins

Sustaining Stages of Change Model

7. Consolidate Improvements and Continue with Change
8. Make the change in the culture of the organization.

Creating Diversity in the Workplace

The year 2020 brought about many changes, issues, and problems to our society. It has shown that it is time to rethink how we view solutions and ongoing change. When talking on the topic of diversity, organizations usually start with adding the position for someone to oversee diversity and inclusion. This may include hiring people with difference backgrounds, teaming up with hiring agent that represent disadvantages groups or increasing training. All these things are good; however, this is only hitting the surface of creating diversity in the workplace. This chapter started off talking about mindset and rethinking diversity. When individuals change their mindset, the way they think of a topic, this is where the real change begins and will continue. This is what this chapter is proposing a different way of creating diversity in the workplace. Creating diversity in the workplace, should start with top management and their rethinking diversity. Using Kotter's 8 Stage Change Model (Kotter, 2007) along with classes on Re-thinking of diversity can be a start to seeing long term change of diversity in the workplace.

The Use of Kotter's 8 Stage Change Model

Planning Stages of Change Model

Stages 1 and 2, I have put in the planning phrase. This is the phase where top management will begin to move the re-education to the other levels of the organization. Using change agents, to help promote, and influence others, and building teams.

1. *Establish a Sense of Urgency*

Once the top management has been re-educated about diversity and how their organization can benefit, they will be more willing to share this information with their employees. However, studying organizations we also know this is where change agents can be beneficial. These top managers can use these change agents, to help influence and establish the urgency to the other employees for the need of diversity in the workplace. These change agents may be able to reach and influence others that before actual change of workplace diversity, the change must begin with individual's mindset. These change agents can help with the forming of change agent teams.

2. *Form Powerful Teams*

Top management can use these change agents to help form change agents' teams. Within these teams, to be effective and successful, top management can create them with the idea of cross functionality. Meaning that within these change agent team, individuals from different departments and functions within the organization. This will help with spreading the word of the need and

importance of this change. Having cross functional teams, allows everyone in the organization to feel apart of the change from the beginning.

Implementing Stages of Change Model

Stages 3–6 should be considered as the implementation stages of the change model. This is where the idea of creating diversity in the workplace will become an action.

3. *Create a New Mission and Vision*

Creating organizational change, will need to be communicated with internal and external entities. This will allow others, to know that the organization is making change and how they are making change. External entities will see this information as well and can gain insight in how to create diversity in their organization.

4. *Communicate the New Vision Effectively*

This stage is where top management can get assistance from the change agents and change agents' teams. After the creation of the new mission and vision statements, the change agents and change agents' team can be used to help communicate the new vision, the purpose and how this will benefit them and the organization.

5. *Empower Others to Act on the Vision*

This stage can be where the organization can influence their communities, families, and societies. First, they can empower all their employees to act on this vision in three ways, to change diversity in the workplace, to change how communities, societies, and government view diversity in the workplace and diversity in society. People will be empowered, meaning they will be re-educated on diversity, and why diversity is needed and the benefits of living within a society that embraces diversity.

6. *Create Short Term Wins*

Organizations after creating a new mission and vision statement and developing a plan of creating diversity in the workplace, the organization will implement these ideas. The implementation is not the end of these ideas, how will an organization know that this change in workplace diversity is effective and successful. This is where, the organization will decide what are some short wins, or goals that the organization can achieve to show others they what they said they would do is being done. It will also empower the change agents to keep fighting for the cause because they see small improvements. This can also be used as motivation. Creating a diverse workplace, should be considered as a mission and vision of the organization, meaning with time this diversity may change. Meaning people will grow older, jobs will be added, the community they are in may change. Therefore, with diversity, what it is today, and what it looks like today can change for the future. So, having these short wins, motivates people to keep going.

Sustaining Stages of Change Model

7. Consolidate Improvements and Continue with Change

These last two stages of Kotter's Change Model can be viewed as sustaining diversity in the workplace, and being a change agent for other organizations, and for society. Continuing with the change only in the organization, is still just putting a bandage on the issue. Organizations can be the catalyst of diversity in the workplace, as well as diversity in society and government. If all organizations take on this model of change regarding diversity, think of all the individual's mindset and knowledge that will be re-educated. How many people can this empower and create other change agents in this effort. The effort of not only changing diversity in the workplace, but diversity in the world.

8. Make the Change in the Culture of the Organization

Previously the discussion has been on creating diversity in the workplace. However, it does not stop with this. Yes, having diversity in the workplace starts with a mindset, however if nothing else changes then organizations can fall back into their old mindset. What also needs to change is the culture, this is the beliefs, values, norms, and actions of the organization. Actions are included because this will be the visual proof that the culture is changing. Adding more differences to the organization will have some benefits, however, to get the full impact of diversity in the workplace; organization will have to have inclusion as well. Meaning creating a safe place for everyone's voice to be expressed, heard, and involved in decision making at all levels of the organization. Currently we see diversity at the entry and first level management, but not carried over into upper management, CEO's, and board of directors. A study of Fortune 500 CEO's between the years of 2000–2020, showed that diversity at this level has changed but in small number. Whites male and female make-up, 96.4% (*Fortune 500 CEOs, 2000–2020: Still Male, Still White – The Society Pages, n.d.*). Other demographics of CEO's of Fortune 500 companies are 1% of African Americans, 2.4% East Asians or South Asians, and 3.4% Lantinx. Since the CEO is at the forefront and face of change, if the action is not taken or seen at this level, how effective will changing the culture be. Change at this level is happening but at a slow rate. Statistics show in 2018 of the 1033 board of directors of Fortune 500 companies that were added, 80.7% were filled by Caucasians or White and 59.6% of that were Caucasians/White males (*Fortune 500 CEOs, 2000–2020: Still Male, Still White – The Society Pages, n.d.*). For cultures of organizations to change, the top level will have to change. This top level will have to be the first what will receive the re-thinking, re-education of diversity.

Once the top management has gone through this process, it does not stop there. They will have to have the organizational teams go through the process, as well as each employee. I propose this because due to the organization make up of individuals, teams, and the organization. Once individuals are re-educated on the topic of diversity, they will continue to education people around them that may not be associated with the organization. These people will more than likely be in their

community, family, or circle of friends. Then these people will teach their community, family, and circle of friends. This progression will continue becoming bigger and reaching more people, and this is how society can be taught about diversity. The changing of society is what brings changes in the government.

Rethinking Diversity Course Structure

I start with top management because this is usually where the decision is being made regarding the direction of the company. However, I am not saying to change only the people they hire, including more differences in their workplace. It is being proposed that we change the system thinking on diversity in the workplace. It is being proposed to change the organizations culture on diversity, it will begin by changing the mindset on the topic of diversity.

When you are in a discussion on diversity, what is usually the first thing that is mentioned; race, ethnic group, or gender. With this we have started to think this is what diversity is about, but as we seen earlier this is only the surface level of diversity. Until we change the way we think and what we know about diversity this is how we will continue to think of how to create diversity in the workplace. This will only be a short-term solution as we have seen. Top management will need to rethink and change their mindset on their idea of diversity. Here are some steps I recommend helping top management to begin this process.

Creating diversity in the workplace is not something, that can be done with the hiring of the new class of employees. It is an ongoing mission and vision of the organization, allowing a change in the culture of the organization on how they view, think, and represent diversity. So, what can top management do to start this change of diversity in the workplace. They can begin by re-educating themselves and re-thinking diversity.

Developing these classes with emphasis not only on the re-educating, but also the current mindset of the individuals. The objectives of these classes are to re-educate people on their mindset of diversity, what diversity is, the purpose of diversity, and the benefits of diversity.

Objectives of these classes can include the following:

1. Have top management understand their current view about diversity, how they came up with this view, and if they think their current organization represents diversity. Doing this first, will allow everyone to understand their current perspective and how the perspective was created.
2. After, the participants can view their current thinking, then it is time to re-educate them on diversity, and creating diversity in the workplace. The re-educating on diversity should include topics such as:
 - (a) Organizational behavior, culture, diversity, and inclusion
 - (b) In dept look at diversity observable and unobservable diversity
 - (c) Benefits of diversity in the workplace

- (d) Include topics on mindset, and emotional intelligence and the place they both have in diversity of the workplace.
3. After these classes, participants should (a) discuss what they have learned (b) write down what their new knowledge and understanding of diversity, and (c) if their organization represent their new knowledge and understanding of diversity.
 4. The call of actions for top management would then be to use Kotter's 8 stages change model to implement the re-educate, and diversity in the workplace.

Conclusion

Creating diversity in the workplace is more than hiring and employing different people. If the mindset does not change around diversity, the same problems will exist. Therefore, the re-education of diversity, workplace diversity, and the benefits of diversity in the workplace are needed. This re-education needs to start at the top, re-educating the board of directors and CEO's of companies first, will allow the process of changing the whole organization. The re-education does not stop there but will need to include re-educating the entire organization. After the re-education on diversity, organizations can use Kotter's 8 stage change model to plan, implement and sustain workplace diversity. Starting with organizations, this re-education can begin to filter into all the places and environment these individuals are a part of like their communities, societies and even government. The top-down re-education of workplace diversity can be the catalyst of the re-education of diversity in society.

Key Take Away

- Mindset is the beginning of change.
- Top management has a great influence on their organization.
- Change agents can be beneficial to organizational change.
- Having a framework to work through change, increase success and effectiveness of the change.
- Organizational change can affect societal changes.

Reflective Questions

1. What is the relationship between mindset and emotional intelligence?
2. What other social changes can be commenced at the organization level?
3. How can change agents be used in other changes in organizations?
4. Why is mindset so important when it comes to sustaining changes?
5. Why is changing the culture of the organization and an important step in sustainable change?

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Chapter 10

The Ethics of Employee Diversity in Different Kinds of Businesses



Duane Windsor

Introduction

Ethics is the formal study of morally right versus wrong actions and morally good versus bad outcomes of those actions (Baumane-Vitolina et al., 2016). There can be specific systems or morality theories – as in the ethical code of a profession or an organization (London, 2021). The discipline of moral philosophy includes studying whether the particular system or theory of morality is defensible. There is a difference between a moral obligation toward individuals and civic duty to implement social preferences to improve the common good. Adam Smith (1759, VI.ii.2) distinguished between citizenship as mere legal compliance and good citizenship as the wish to promote social welfare.

This chapter concerns issues of diversity, equality (or equity), and inclusion (DEI). However, there are three different approaches to business ethics and values (Chun, 2016). Drawing on Chun, moral obligation invokes Kant: there is some universal duty independent of compassion or empathy for another person. This sense of responsibility can result from public pressure. Utilitarianism arguably justifies civic duty based on the most benefit for the largest number of people. However, this approach also may obtain a competitive advantage or a recovery from previous reputation loss. Chun emphasizes virtue theory drawing on Aristotle: it is virtuous to advance DEI. However, each hiring decision means excluding someone else: DEI is not a cost-free improvement.

This chapter focuses on diversity and inclusion in the hiring and promotion processes (Bernstein et al., 2020). Diversity and inclusion are where “cultural diversity” and “universal ethics” come into contact (Melé & Sanchez-Runde, 2013). The

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research issue is whether there must a general or universal model of diversity for all business entities or whether alternatively there can be reasonable variations reflecting cultural diversity among customers or employees. An ethical assessment focuses on whether employees have rights to diversity and inclusion or whether owners can choose. Legal compliance might mandate a general model for all businesses or permit wide variation in business owners' choice. In the latter approach, rational choices ideally should lead to simultaneous investor preferred and socially preferred outcomes (Benz & Frey, 2006).

Normatively, a firm has a "responsibility" to satisfy stakeholder claims (McGahan, 2020). Empirically, the firm's management evaluates stakeholders' salience in terms of legitimacy, urgency, and power (Mitchell et al., 1997). Stakeholder activism is about influencing firms' choices (Frooman, 1999). Activist organizations such as the Alliance for Board Diversity (founded 2004) and the Board Challenge seek to increase the diversity of boards of directors with an emphasis on female and Black directors (Choe, 2020), supported by institutional investors such as Blackrock and State Street (Joshi, 2020). Kanye West, a rapper who has Yeezy brand partnerships with individual companies, reportedly complained by Twitter that he did not have a board seat at Gap or Adidas: "Black board seats matter" (*Houston Chronicle*, 2020a).

DEI involves some standard of justice across individuals and groups. Rawls (1999a) propounded a social contract "theory of justice" in a liberal and pluralistic society (see Richardson, 2020 and Wenar, 2017 for detailed explanations of an intricate work on which this summary draws). Rawls argues that free citizens in such a society will, in a thought experiment about "original position," prefer "justice as fairness" over utilitarianism (meaning maximum aggregate welfare) and any other competing political philosophies (Rawls, 1999a, pp. 230–232). This original position is a "veil of ignorance" concerning their future condition. In detail, citizens know nothing about their possible attributes, including race or ethnicity, gender, capabilities, wealth, and so forth. In this "veil of ignorance," a citizen should assume being in the "least-advantaged" position and select rules and policies accordingly. This "justice as fairness" implies that changes from the status quo should favor the "least-advantaged" on the relevant criterion. Basic assumptions are sufficient resources for the whole set of citizens and a closed society into which there is no immigration. Rawls (1999b) relaxes the zero-immigration condition to address foreign policy issues.

The second section discusses three different kinds of domestic businesses for which employee diversity and inclusion can reflect different values and principles. The third section delineates two models of diversity and inclusion for pluralistic and homogeneous populations. Subsequent sections examine the circumstances of MNEs and then the governance bodies and top management teams of businesses. Section six discusses business case logics for diversity and inclusion compared to the ethical assessment of employee diversity considered in the previous sections. The conclusion summarizes arguments and the importance of appreciating the need for different employee diversity models and inclusion depending on the kinds of domestic businesses and the difference from MNEs operating across host countries.

Different Kinds of Domestic Businesses

The post-pandemic era may afford opportunities to reinvent the future by improving DEI (Sethi & Caglar, 2021). There are three types of domestic businesses. A neutral business has no identity or community character. Amazon in the U.S. should reflect the national population composition. (This reflection may aggregate across more specific state and local compositions.) From status quo composition, when any position (old or new) becomes available, that position should go to the best qualified of the least included category (race, gender, etc.). This principle reflects Rawls' idea that the least advantaged should benefit from any change. Amazon has no identity or community character. There are two exceptions to the Amazon model for domestic businesses. Goya is an ethnic-identity business. Goya thus can employ a specific identity group, even if providing goods and services to a broader customer population. Small companies may have a community character, which may or may not coincide with identity grouping. A small business provides employment and goods or services to a specific community by location. MNEs, illustrated by Amazon operating globally, involve balancing foreign versus domestic employees in a bargaining context.

Amazon: Diversity Orientation

Amazon employed over 1.125 million globally in December 2020, including full-time and part-time, excluding contractors and temporary personnel (Richter, 2020). Walmart employed 2.2 million globally (Richter, 2020). On December 31, 2019, Amazon (n.d.) reported the following statistics on workforce representation efforts. Proportions of global employees self-identified as female 42.7% and male 57.3%; however, among global managers, only 27.5% were female relative to 72.5% male. In the U.S., employees' racial and ethnic composition was self-identified as White 34.7%, Black/African American 26.5%, Hispanic/Latinx 18.5%, Asian 15.4%, two or more races 3.6%, and Native American 1.3%. For U.S. managers, the proportions were more unbalanced at White 59.3%, Asian 20.8%, Black/African American 8.3%, Hispanic/Latinx 8.1%, two or more races 3.0%, and Native American 0.6%. (As reported by Tallet, 2021, there is controversy over such identification labels, specifically "Latinx" – not everyone concurs on a specific label.)

Equality involves compensation in relation to job performance standards and opportunity for advancement. Amazon reported concerning 2019 compensation (combining base compensation, cash bonuses, and stock awards) that, for "the same jobs," women earned 0.993 relative to men, and minorities earned 0.991 relative to whites (Amazon, n.d.). In early 2021 (*Houston Chronicle*, 2021), Amazon announced a program to support affordable housing in three cities in which it has major hubs (King County, WA, in the Seattle area; Arlington, VA; and Nashville, TN). The program involves a planned \$2 billion in loans and grants aimed at

20,000 affordable housing units over the next 5 years” (*Houston Chronicle*, 2021). The rationale is to keep employees located closer to jobs despite rising housing costs (Sorens, 2020).

In December 2020, investors in Amazon filed ten resolutions for the 2021 proxy period. The Interfaith Center on Corporate Responsibility (ICCR) (n.d.) organized this proxy effort. One resolution, by Oxfam America, the Rhode Island Office of the General Treasurer, and the State of Vermont Treasurer’s Office, proposed that an hourly worker (“hourly associate”) be nominated for the board of directors. Another resolution, by the New York State Common Retirement Fund, proposed an assessment of the impact on “civil rights, racial equity, diversity and inclusion” including “input from employees and civil rights groups” (Kishan, 2020). A third resolution proposed a report on combating hate speech. Another resolution proposed workforce diversity improvement by including “qualified” women and minorities.

In June 2020, Apple announced a \$100 million Racial Equity and Justice Initiative (REJI) to invest in improving “opportunities for people of color across the country” (Carlson, 2021). The most recent Apple diversity report states that 53% of new hires come from “historically underrepresented groups in tech including women and people who identify as Black, Hispanic, Native American or Native Hawaiian & Other Pacific Island” (Carlson, 2021). The reported 2018 tech employee composition was: Anglo 45%; Asian 35%; Hispanic 8%; Black 6%; and 1% Native American or Native Hawaiian or Other Pacific Islander (Carlson, 2021).

Goya: Ethnicity Orientation

The family history of businesses can matter (Morales, 2021). Founded in the 1930s in New York City by two Spanish immigrants and now headquartered in Jersey City, New Jersey, Goya Foods, Inc. makes and sells Latino and Caribbean cuisine products. Remaining under the founding family’s control, Goya has over 4000 employees (Goya, n.d.). Many of the employees are Latino (Ortiz, 2020). The firm has 26 facilities across the U.S. and in Puerto Rico, the Dominican Republic, and Spain (Goya, n.d.). Goya is the largest Hispanic-owned food company in the U.S. (Goya, n.d.). Goya became politically notable in July 2020 when at a White House meeting with President Trump for the Hispanic Prosperity Initiative, the Goya CEO praised the President. The result was an attempted boycott by Democratic Party politicians and a subsequent “buycott” supporting Goya (Ortiz, 2020). In December 2020, Goya named a Democratic Congresswoman “employee of the month” because her boycott had resulted in a considerable increase in sales (Moore, 2020).

Small Local Businesses

McDonald's is a set of local franchises, comprising about 90% of U.S. locations (McDonald's, n.d.). This circumstance is arguably different from Amazon's. Each franchise operates in a particular place with particular employees and customers. The policy issue in franchising is whether McDonald's should impose a general requirement. In August 2020, 52 Black franchisees filed suit for \$1 billion in compensation, alleging McDonald's discriminated in favor of White franchisees; McDonald's denied the allegations (Gunn, 2020).

Such companies are hybrids positioned between the Amazon model and the Goya model for this chapter. Each location, including corporate-owned, operates in a particular set of social conditions. A privately owned and operated small business is often a location-specific entity. Small companies may have a distinctive community character, which may or may not coincide with identity grouping. A small business provides employment and goods or services to a specific community by location. While such entities are likely to balance employee and customer populations, there may be a reasonable exception for family-owned entities. Such businesses are apt to employ relatives.

Models of Diversity and Inclusion

Despite a sizeable supporting literature (Garg & Sangwan, 2021), diversity, equality, and inclusion are not non-controversial ideas (Bernstein et al., 2020; Frémeaux, 2020; Ng & Rumens, 2017; Oswick & Noon, 2014). Concerning equality, if a person is qualified for a position, then reward should be commensurate with qualifications and position responsibilities. A study identifies a five-factor model of diversity and inclusion but regards the two ideas as "different approaches to diversity management" (Roberson, 2006, p. 212). Diversity requires inclusion to be effective (Sherbin & Rashid, 2017).

There is a difference between a mandatory "legal case" and a voluntary "business case" (Williams, 2017). In a business case, "benefits of inclusion seem to accrue to everyone. It is easy to explain the appeal of the business case for diversity: it merges the goals of racial inclusion with business profitability and corporate interests" and is non-coercive, unlike mandatory legal requirements (Williams, 2017, p. 1473). That author argues, however, that "there is little-to-no evidence that the business case for diversity actually reduces bias and promotes racial inclusion" (Williams, 2017, p. 1473). That author, based on experimental research, argues that the legal case is more effective in practice and has a "stronger normative influence" "on individual values, beliefs about inequality, and behavior" (Williams, 2017, p. 1473). In the business case, the "emphasis on corporate interests actually generate negative beliefs about inclusion and more biased decision making" (Williams, 2017, p. 1473). There is a risk of over-representing the desired group in a mandatory

approach and under-representing that preferred group. In France, a 2012 law required gender balancing in top government positions. In 2018, the female mayor of Paris placed 11 women in 16 of the top city jobs. The action resulted in a fine (in December 2020) of nearly \$110,000 for being too high in women's number. This problem resulted in a 2019 amendment to the law to provide for no fines for disproportionate hiring in a given year if "the overall gender balance was respected" (*Houston Chronicle*, 2020b).

Some 15 countries, mostly in Europe, reportedly have required board gender quotas (de Caboa et al., 2019). In Norway, the approach was a "hard law" requirement for board gender quota. The first instance of a "soft law" quota was the 2007 Spanish Gender Equality Act that recommended a target of 40% of each gender for boards by 2015. The incentive was a preference in public contracts. For this natural experiment, De Caboa et al. (2019) tested a sample of 2786 firm-year observations (2005–2014) for a panel of 767 Spanish firms using a difference-in-differences model. They report less than 9% full compliance, with increased female representation higher for firms dependent on public contracts. They also note that compliant firms did not benefit from the potential incentives. The implication is that "soft law" did not significantly increase board gender balancing.

A fundamental question concerns whether owners intend employee composition to reflect (1) customer composition or (2) preferences concerning employees. The two approaches may be different. The most robust case for diversity and inclusion occurs when the business selects a policy that fits its conditions and advances a common good. The difficulty lies in defining the common good (Sison, 2016; Sison & Fontrodona, 2013). Frémeaux (2020) argues that there is an ethical risk with each of the three approaches (equality, diversity, and inclusion). The trouble is the approach winds up focusing on either the community level (in which case the individual is not essential) or the individual level (in which case the community is not necessary) or based on a particular discipline (economic, social, or moral). The advantage of the common good approach is that it mitigates those ethical risks. "There are three positive aspects to a comprehensive common good perspective: (1) it includes considering different community levels, which it connects by subsidiarity, (2) it embraces the moral, social, and economic fields, which it connects by teleological hierarchy, and (3) it avoids the risk of exclusion by generating a sense of solidarity" (Frémeaux, 2020, p. 200).

Two different models illustrate. One model concerns a highly pluralistic population – meaning highly diversified, as in the U.S. Figure 10.1 depicts this model. A business seeks to include multiple categories of employees. The other model concerns foreign immigrants' addition to a relatively homogeneous nation, as in Germany or Sweden. Figure 10.2 depicts this model. The proposed figures are illustrative rather than prescriptive.

	Socially Relevant Characteristics		
Race, Ethnicity	Gender (male, female)	Sexual Orientation	Other [...]
A			
B			
C			
H			
Other [...]			

Fig. 10.1 Employee categories in a pluralistic population (United States)

	Socially Relevant Characteristics		
Status	Gender (male, female)	Sexual Orientation	Other [...]
Domestic Citizen			
Foreign Immigrant			
Other [...]			

Fig. 10.2 Employee categories in a homogeneous society admitting foreign immigrants (Germany, Sweden)

Model for a Pluralistic Society

Figure 10.1 separates race and ethnicity (along the left-side vertical stub) from gender and sexual orientation (along the top horizontal stub). “Other” rows or columns permit the expansion of employee categories. In the U.S., there are large populations of Asians, Blacks, Caucasians, and Hispanics. However, individuals might and do self-identify race and ethnicity differently – resulting in an adjustment of the race and ethnicity column categories. In the conventional model, socially relevant characteristics focus on gender and sexual orientation. A business might decide to include economically disadvantaged or disabled employees or military veterans – resulting in an adjustment of socially relevant characteristics. Figure 10.1 does not seek to prescribe the relevant categories but only to illustrate the pluralism model.

Model for a Homogeneous Society with Immigration

Figure 10.2 illustrates a relatively homogeneous population, to which the society (or at least the government) opts to add foreign immigrants. Figure 10.2 is a reduced and modified version of Fig. 10.1. The left-side vertical stub differentiates between domestic citizens and foreign immigrants. Racial and ethnic classifications might depend on the composition of immigration. The top horizontal stub remains the same unless changed by national preferences. Since 1990 reunification, Germany has engaged in the process of merging the communist (East) German Democratic Republic (GDR) with the liberal (West) Federal Republic of Germany (FRG). A

much larger proportion of West Germans than East Germans view themselves as “Germans”; there was an even stronger anti-immigration reaction in former East Germany to the September 2015 decision of the federal government to admit over one million refugees (Sauerbrev, 2019; see Gramlich, 2019).

MNE-Host Country Relationships

An MNE operates in a foreign country into which it brings resources. An MNE involves a balancing criterion concerning foreign imported labor (typically managerial) versus domestic employees. This balancing criterion has a bargaining dimension defined by host-country requirements and the relative bargaining power of an MNE and a host country.

Figure 10.3 depicts the situation. The top horizontal stub focuses on socially relevant characteristics. The left-side vertical stub focuses on the difference between domestic labor and imported labor. The less expatriate labor MNEs need to import, the better the situation is for the host country; but MNEs may want to retain expatriate managerial control of local operations.

The conventional approach in the literature is the “obsolescing bargain” model introduced by Vernon (1971, p. 46). In this model, the MNE begins with its strongest position: it does not have to enter a particular country for operating. As the MNE commits resources in a specific country, its bargaining power declines because of the exit opportunity cost. Therefore, the host country gains bargaining power. The literature modified and extended the “obsolescing bargain” idea into a broader and more dynamic “bargaining power model” (Eden et al., 2005; Nebus & Rufin, 2010; Ramamurti, 2001). The development has been toward a more “holistic framework” of bargaining, including MNEs, domestic governments, and NGOs (Müllner & Puck, 2018). The “obsolescing bargain” model was static and bilateral. The modern bargaining approach is “dynamic” and “multi-party.” The MNE can shift the balance of power to its advantage through a broader set of options, including reducing its investment sunk costs or improving access to alternative investment options on the one hand and increasing host sunk costs, and reducing host access to competitors (Müllner & Puck, 2018). Müllner and Puck use a case study of the Venezuelan oil industry to identify various MNE options for influencing the balance of power (see Orazgaliyev, 2018).

Status	Socially Relevant Characteristics		
	Gender (male, female)	Sexual Orientation	Other [...]
Domestic Labor			
Imported Labor			
Other [...]			

Fig. 10.3 Employee categories in MNE-host country bargaining

Governance Boards and Top Management Teams

A fundamental issue occurs within the hierarchical structure of a publicly traded business. Diversity and inclusion are much less evident within the C-Suite or Top Management Team (TMT) and the board of directors. Executive and director positions are limited (see Rogers, 2021).

California has led the state-level effort in the U.S. to require boards to include females and underrepresented communities. California Assembly Bill 929, enacted in 2020, requires mandatory inclusion on a fixed schedule (Chase & Kazmierowski, 2020). By the end of 2021, there must be at least one member of an underrepresented community; by the end of 2022, at least two for boards of 4-to-9 members and at least three for boards larger than nine members. Underrepresented communities are self-identified as “Black, African American, Hispanic, Latino, Asian, Pacific Islander, Native American, Native Hawaiian, gay, lesbian, bisexual or transgender.” The California Secretary of State will report annually beginning March 1, 2022. There are fines for failure to file required reports and to satisfy the representation requirement. The requirement applies to publicly held companies either chartered or headquartered in California: there are some 625 such companies (McGreevy, 2020).

In 2018, California Senate Bill 826 (“Women on Boards”) similarly required at least one female director by December 31, 2019 (California Secretary of State, n.d.). The requirement applies to all corporations with principal executive offices in California. Two or three female directors must be in place by December 31, 2021, depending on board size (five directors and six or more directors, respectively). In 2018, 25% of affected California corporations had no female director (California Secretary of State, n.d.). If so, the law makes mandatory a widespread practice (at 75% of boards). As with the 2020 law, there are the same financial penalties for non-compliance. A Credit Suisse study of more than 2000 companies worldwide concluded that female representation on boards associated positively with key performance metrics, including stock performance (Kumar, 2018).

Other states seeking to increase board diversity by direct regulation include Hawaii, Massachusetts, Michigan, New Jersey, and Washington (Joshi, 2020). Illinois (August 2019) requires annual disclosure reporting and policies and practices for increasing diversity among executives and directors; the University of Illinois is to develop a rating system based on the reported information (Chase & Kazmierowski, 2020; Joshi, 2020).

The U.S. has lagged behind Europe for female diversity on governance boards. In 2003, Norway required publicly listed firms to allocate at least 40% of board positions to women. Other European countries, including France, Spain, and Italy, followed (Joshi, 2020). Some 15 countries, mostly in Europe, reportedly have now required board gender quotas (de Caboia et al., 2019).

The most recent Deloitte report studied 8648 companies in 49 countries (Deloitte, 2019). Women held percentages of board seats at 41% in Norway, 37.2% in France, and 33.3% in Sweden. The ratio in the U.S. was 17.6% (Deloitte, 2019, p. 6). The

study found women holding 16.9% of board seats and 12.7% of CFO roles globally, but only 5.3% of chair positions and 4.4% of CEO roles (Deloitte, 2019, p. 5).

Some evidence suggests that C-Suites are not diversifying as quickly as boards of directors. This difference raises the issue of whether board diversification is “window dressing” (Reed, 2019). Reed points out that while the Wells Fargo board is roughly two-thirds women and minorities, the all-white executive ranks in 2015 comprised seven men and three women. Similarly, in 2015 Johnson & Johnson had a board with a high composition of women and minorities, while the all-white executive ranks comprised five men and one woman.

The vital question is whether diversity in the executive and director ranks improves the performance of the firm. Generally, the available empirical evidence supports a positive association between performance and board diversity (Manyaga & Taha, 2020). However, a difficulty in empirical evidence is that governance approaches vary considerably across countries (see Block & Gerstner, 2016; Ringe, 2016). Germany has a two-tier board structure, with a management board and a supervisory board including labor representatives. The German Corporate Governance Code of 2002 is the current guide (Strenger, 2018). One author studied whether South Africa should adopt the German approach or not (Muswaka, 2014). The choice is between a shareholder-owned governance system (South Africa) and a stakeholder-oriented governance system (Germany) (Muswaka, 2014). The variation in governance systems may be more complicated. A report compares governance systems in Hong Kong, Germany, and Japan (Datwani et al., 2018). Hong Kong is a single board approach, Germany is a dual-tier board approach, and Japan features a hybrid board structure. Countries like Germany include China, Indonesia, and Russia (Datwani et al., 2018). Japan affords board structure options: a board of statutory auditors, a model involving three committees, and a model involving an audit and supervisory committee (Datwani et al., 2018). A related vital issue is whether supervisory boards have much influence. A study of governance in China suggests that a better approach would be to shift the supervisory board’s role, handicapped by limited power and internal conflicts among the interests, to independent directors (Smith & Tian, 2020).

The Business Case Logics

Evidence suggests the validity of a business case for DEI (Richard et al., 2021). There are two kinds of “business case” for a company policy or practice. One business case links the policy or practice to financial performance. Even if there is a reasonable relationship between investing in a policy or practice and the financial return on that investment, the relationship might be curvilinear and lagged, such that a substantial investment must occur and the return may be delayed (Nuber et al., 2020). Another business case is strategic: one can argue for a good relationship between investing in a policy or practice and the business’s longer-run sustainability. The case for diversity is not in the numbers as such (Knowledge@Wharton,

2007). Moreover, the compelling case for diversity may concern the common good and not the business effects, although strategically, a firm may elect to align employee and customer compositions (Unzueta & Knowles, 2014).

Joshi (2020) summarizes two important empirical studies reporting a positive association between diversity and financial performance. McKinsey and Company (2018) studied over 1000 firms in 12 countries. The study of gender diversity and ethnic and cultural diversity at various levels of the firm measured both profitability defined as “earnings before interest and taxes” (EBIT) and economic profit (value creation). The study concluded that more-diverse firms financially outperform less-diverse peers in the same industry. A Boston Consulting Group (BCG) study (Lorenzo et al., 2018) concluded that firms with above-average management diversity generate higher innovation revenues. In general, gender diversity associates with superior firm performance in the 2019 edition of the Credit Suisse C.S. Gender 3000 report (Credit Suisse, 2019).

A study of a sample of German listed companies (1995–2015) reported that parity codetermination at the board level reduced deviation from the estimated net hiring optimum (Lopatta et al., 2020). The estimation concerns variations from optimal investment in labor due to under hiring (too few employees for profitable projects) and over hiring (too many employees assigned to non-profitable projects). Parity codetermination in German listed companies improved labor investment efficiency.

Providing a business case has become a standard approach in suggesting a valid link for a policy or practice directly to financial performance or, more indirectly, to strategic sustainability. The idea of a business case is somewhat controversial when applied outside a conventional business project. “The problems arise because the business case may not actually motivate managers to act, it may be alienating to those for whom the business case is being made, and it may create moral struggles for the people who feel they must make the business case to justify social action” (Kaplan, 2020, p. 1).

For example, building on Lopatta et al. (2020), suppose a plant requires 100 workers at optimum efficiency. To improve diversity, the plant adds ten more workers; and these additional workers detract from optimum efficiency. The issue is whether the management preference for increased diversity is a sound business decision since reflecting in part subjective considerations (Hafenbrädl & Waeger, 2017). There is a short-term financial cost; in the longer-term, the action might increase sustainability in improved governmental and stakeholder relationships.

There is a critique of the business case rationale. The typical reasoning is that voluntary corporate social responsibility (CSR) is beneficial to the business (Carroll & Shabana, 2010; Kurucz et al., 2008). An extensive literature has attempted to establish a positive association between CSR and financial performance. However, a reasonable interpretation of the varied findings in this literature is that, on average, even a positive association is likely to be small at best. Barnett (2019) argues that the business case literature typically identifies the benefits of managing stakeholders rather than the benefits of CSR as such. Responsiveness to influential stakeholders is not the same as CSR activities – which might conflict with those stakeholders’ interests. Specific social and environmental targeting of CSR activities for the

greatest social impact and greatest business performance requires a better understanding of cause-and-effect relationships beyond the statistical associations on which the conventional literature rests (Barnett et al., 2020).

Conclusion

This chapter examines the question of assessing the ethics of employee diversity in different kinds of businesses. The basic argument developed is that there can be various kinds of businesses. Neutral businesses, illustrated by Amazon, should include the diversity of the population. An ethnic-identity company, represented by Goya, can reflect its historical origins and emphasize employee hiring accordingly. That is, an ethnic-identity business can properly not reflect the diversity of the population. The reasoning arguably extends to gender (non-male) and immigrant status. Small local businesses fall into a category in which the entity balances employee and customer populations. However, an important exception exists for family-owned entities that are most likely to employ relatives.

The importance of considering the ethics of employee diversity involves two dimensions that can be in tension. There are two potential solutions to employee diversity and inclusion in a pluralistic society like the United States. One solution, illustrated by Amazon, is that a company should reflect the population's diversity – at employee, top management, and governance board levels. This solution has an ethical foundation in the crucial task of social integration and equality of opportunity. Another solution, illustrated by Goya, is that a company can reflect its historical background. The employee composition may differ from the customer composition and the diversity of the population. The ethical foundation is that the employee composition is from an ethnic minority group likely to be underrepresented. A variation on these two solutions occurs in a relatively homogeneous country such as Sweden, where there is an essential issue of integrating immigrants from different cultures into employment opportunities. Some of those employment opportunities may occur through immigrant-founded businesses such as ethnic restaurants. Small companies may reflect family ownership and arguably have greater liberty to determine how to balance employee and customer compositions. MNEs face an entirely different problem in the bargaining relationship with host countries. The host country may want to import resources but also to stimulate employment opportunities for its population.

Ethics is action-oriented, rather than being a philosophical abstraction. Creary (2020) proposed four principles for promoting workplace racial justice: (1) transparency; (2) compassion; (3) bold anti-injustice strategies; and (4) non-apologetic commitment to equity through zero tolerance for racism and injustice. Creary and Rogers (2021) proposed three commitments for the board of directors: (1) racially inclusive; (2) empowerment to discuss racism and injustice; and (3) personal accountability and responsibility of directors for progress. Creary (2020, No. 3,

Para. 1) argues that leadership should emphasize DEI goals, work, training, and sponsorship to shift DEI to “core, rather than peripheral, work.”

Key Chapter Takeaways

- A social norm promotes diversity and inclusion for a large class of businesses, illustrated by Amazon.
- The norm holds for pluralistic societies such as the U.S. and homogeneous societies such as Sweden integrating diverse immigrants.
- Goya illustrates a reasonable exception for ethnicity-oriented businesses.
- Small local businesses balance employee and customer compositions.
- MNEs bargain with host countries over DEI issues.
- Moral obligation to individuals and civic duty to implement social preferences for the common good can be different.

Five Reflective Questions

1. What are ethical criteria for admitting reasonable exceptions to the general social norm for diversity and inclusion?
2. Do the ideas for the general social norm and reasonable exceptions extend to equality or equity issues concerning compensation and advancement opportunities?
3. The chapter cites evidence that top management teams and boards of directors are not sufficiently diverse and inclusive relative to the employees. How well do mandatory requirements work to increase progress at the top of neutral businesses like Amazon?
4. Do MNEs have a moral obligation to promote diversity and inclusion in their global employee set across host countries?
5. Are the business case logics likely to reinforce or resist moral obligation and civic duty concerning DEI?

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Chapter 11

Understanding Gender and Organizations: A Literature Review



Vartika

Introduction

Gender as a concept has been defined by various scholars but has always been one of the contested concepts. Gender equality as a contested concept has always been thoroughly debated within feminist theories and today, as much as any other time in history, it is capable of generating continuous questions and dilemmas. Gender refers to the social identity of men and women. It cannot be understood at the level of the individual (Zinn & Wells, 2000). Sex and gender are two different phenomena which have been often misunderstood as one or as being very ‘similar’ concepts. However, sex is a biological identity which all human beings carry from their birth, but gender is a socially constructed idea or a notion. According to World Health Organization,¹ the term ‘sex’ refers to the biological and physiological characteristics that define men and women and ‘gender’ refers to the socially constructed roles, behaviors, activities, and attributes that a given society considers appropriate for men and women.

¹Gender refers to the socially constructed characteristics of women and men- such as norms, roles and relationships of and between groups of women and men. It varies from society to society and can be changed. While most people are born either male or female, they are taught appropriate norms and behaviours – including how they should interact with others of the same or opposite sex within households, communities and workplaces. When individuals or groups do not “fit” established gender norms they often face stigma, discriminatory practices or social exclusion – all of which adversely affect health. It is important to be sensitive to different identities that do not necessarily fit into binary male or female sex categories.

URL: <http://www.who.int/gender-equity-rights/understanding/gender-definition/en/>

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However, in their seminal work 'Gender Trouble' (1990), Judith Butler² argues that 'gender is performative'. They further argues that there is a difference when we say 'gender is performed' than by saying 'gender is performative' because when it is said that gender is performed than it means that 'gender is a role or we are acting in some way' but when we say that 'gender is performative' it means that it produces a series of 'facts'. They writes "We act and walk and speak and talk in ways that consolidate an impression of being a man or being a woman." They argues that we are 'acting' as men and 'women' and we act in a way that the 'actions become the reality and facts.' They further argues that this becomes a phenomenon that is being produced and reproduced all the time. So, to say that gender is performative is to say that nobody is a gender from the start but "becomes a gender". There are institutional powers and certain practices and norms which try to keep one's at the 'gender place'. They points out that gender as a concept has been institutionalized and policed and the only way to overcome this is to disrupt the policed function. They also argues that gender is culturally formed but it is also a domain of agency and freedom and it is important to overcome the inequalities that are imposed by ideal gender norms.

Gender Equality

There are quite a few studies which have tried to explain the underlying causes for gender inequality in society. As Squires (2005) argues that "gender equality has been referred to as a process of 'inclusion,' 'reversal,' and 'displacement,' whereby each of them refers to the principles of equality, difference, and transformation, respectively." Hence, gender equality can be conceptualized as a problem of affirming difference from the male norm, or of transforming all established norms and standards of what is/should be female and male or, achieving equality as sameness (Verloo, 2016).

The different meanings of gender equality are explored in relation to the issues of family policies, domestic violence, gender inequality in politics and business, migration, homosexual rights, and anti-discrimination in different countries and different settings. The meaning of gender equality has different visions and it also depends on different political and theoretical debates which cross-cut these visions. Beyond this, the geographical context also reflects the visions and debates over gender equality. Equality has been defined as a modern and progressive idea and has been associated with the French revolution's famous slogan 'liberty, equality and fraternity'. One of the studies elaborated four types of equality: ontological equality, equality of opportunity and equality of condition, equality of condition and equality of result or outcome (Turner, 1986). Gender equality, defined by the

²Judith Butler as of 2020 said they prefer to use "they" pronouns.

modern welfare states, is trying to provide equal opportunities for men and women in private as well as public sphere.

The fight for gender-equality has been largely associated with feminism. Feminism in fact has been defined as a cluster of contesting views on the gender problematic (Arneil, 1999; Verloo, 2016). In the past, gender roles were rooted in the traditional family structures where the roles of the women and men were more or less fixed with men as the bread-earners and women as assuming responsibility of housekeeping and raising the children. But the last few decades have witnessed that the structure has been buckling under economic and social pressures which has given rise to many questions regarding traditional gender roles. John Gray's best-selling book 'Men are from Mars, Women are from Venus' (1992) defines that men and women are so unlike each other that it is as if they come from different worlds. "Not only do men and women communicate differently," he states, but they think, feel, perceive, react, respond, love, need, and appreciate differently. They almost seem to be from different planets, speaking different languages and needing different nourishment." The book has become a huge bestseller by pushing the idea, even in the twenty-first century, that both the genders are so totally alien to each other that they might as well come from different planets. Thus, women have always been associated with attributes such as love and care and men as tough and direct (Brenner, 1998). The debate around gender-equality brings so many questions such as: What is the problem of gender in/equality? How can this problem be solved? What should be the goal of equality? Or, does it bring difference or diversity?

Gender Diversity

The term 'diversity' has been used intensively in the field of business and board-rooms these days but the definition has not been well conceptualized. A book titled 'Handbook of Workplace Diversity' talks about Blau's concept of diversity as one which refers to, "the great number of different statuses among which a population is distributed. It is the graduated-parameter equivalent of heterogeneity. Its minimum is when all persons occupy the same status; its maximum is when every person occupies a different status" (Konrad et al., 2006). The concept of diversity in management was popularized in the late 1980s in the United States. However, split between concepts based in grounded experience and those directed towards change, or 'should-be' propositions, have been observed over the years and this has been challenged by a growing field of 'Critical Diversity Management Studies' projecting from philosophical inquiry, discrimination and identity politics and attempts to counter neoliberalism (Hite & McDonald, 2010). In the discourse of boardroom diversity, it has been defined as a mix of human capital that a board of directors comprises collectively, and draws upon in undertaking its governance function (Milliken & Martins, 1996). However, the concept of diversity and its interpretation also largely depends on the structure of the government. It has been argued that the public sector tends to emphasize more on social justice outcomes while the private

sector will be concerned with organizational performance and shareholder return within the boardrooms (Walt & Ingley, 2003). Studies have the dynamics of power in accounting for low representation of women on corporate boards (Huse & Solberg, 2006).

One of the main focuses of gender diversity discourse is that it focuses on voluntary activities of the corporate sector as the best way to promote gender equality (Holvino & Kamp, 2009; Greene & Kirton, 2009). It does not pay attention to the structural and organizational problems but places 'individuals' as the problem and also the solution. Sheryl Sandberg in her bestselling book 'Lean In: Women, Work, and the Will to Lead' (2013) argues that it is true that gender biases operate at the workplaces but excuses and justifications regarding not climbing the ladder will not get women anywhere. She suggests that women should "lean in" and combine work and family life. The 'lean in' approach has been the central argument in the discourse of diversity management in the boardrooms in contemporary times. Anne-Marie Slaughter, a professor of politics and international affairs at Princeton University and also the director of policy planning at the State Department from 2009 to 2011, argues that society needs to be changed with the workplace culture as the American workplace structures are inherently hostile to women. She argues further, that although she respects Sheryl Sandberg as a leader but does not agree with her 'lean in' philosophy as she contends that, "we often cannot control the fate of our career and family; insisting that we can obscure the deeper structures and forces that shape our lives and deflect attention from the larger changes that must be made" (Time, September 26, 2015). Thus, placing women to 'lean in' will promote a virtuous circle where a woman is always asked to 'balance' her career and raises questions like 'is the low percentage of women in the boardrooms due to a lack of ambition or a lack of support or gendered nature of organizations?'

Gendered Organizations: A Literature Review

Gender equality has been the buzzword for the past half century or so now. A lot has been achieved as a result and women in most countries now enjoy almost equal social, political and economic rights. However, when we move beyond the legal ambit and step into the real world to look at the opportunities available to women, the stark difference is evidently visible. Women are gradually achieving equality in educational fields but when it comes to converting it into job opportunities, very few women are able to cross the glass ceiling. There are a lot of studies focusing on the causes of gender inequality in corporate sectors. Research within professional groups has shown that women have to significantly work harder to be perceived as equally competent as men (Lyness & Heilman, 2006). To add to it, the so-called second generation gender biases are also evident that arise from cultural beliefs about gender, as well as workplace structures, practices, and patterns of interactions that inadvertently favor men (Ely et al., 2011).

Moss Kanter (1977) in her phenomenal work on men and women of the corporation point out that men reproduce their corporate dominance through a relatively unconscious process whereby they replicate themselves when selecting candidates for open or new positions. She calls it “homosocial reproduction”. This process has a lot to do with employer’s urge to reduce risk associated with hiring individuals from demographic groups with less established managerial performance records. Thus, women who have lesser exposure as a demographic group are at a disadvantage and the vicious circle continues. She argues that gender differences in organizational behaviour are structural in nature rather than stemming from the characteristics of women and men as individuals. Moss Kanter observes: “While organizations were being defined as sex-neutral machines, masculine principles were dominating their authority structures.” However, she fails to recognize gender as the central theme in her arguments. This further means that men in high-level decision-making roles are more likely to hire or promote other men, rather than women, into authority positions, thus perpetuating their dominance in organizational positions of power and authority (Elliott & Smith, 2004).

Joan Acker is one of the most celebrated scholars who has worked extensively on gender and organizations. According to Joan Acker (1990), gendering happens at least five interacting processes. First is the ‘construction of divisions’ such as divisions of labor, of allowed behaviors, of locations in physical space, of power, the family, and the state in the line of gender. Second is the ‘construction of gender images and identities’ in the forms of ideology, language, dresses, media and culture. The third is the ‘interactions between men and women’ that produce gendered social structures. The fourth is the ‘production of a gendered personality’ which is the outcome of all three processes. And finally, it leads to the construction of complex organizations at societal level.

Institutions and organizational practices have traditionally been defined as being gendered in nature. It can be well understood in the sense that they need masculinity and femininity for their construction and that gender as the sum of attributes has been constitutive of social relations. However, there is a distinction between the sex composition and gender type of occupation. Sex composition is just about numbers whereas gendered occupations are about the nature of the occupation and can be said that a particular job is feminized, masculinized, or more generically gendered (Roos & McDaniel 1996).

Carole Pateman (1988) argues that women have always been kept away from the public sphere. She put forth her position by citing the classical theory of ‘social contract’. Nowhere is this more painfully clear in the world of professions than in the case of nursing. Thus, it can be argued that whenever women occupy a place in the public world, it is predicated on exclusion. The modernists theory argues about vertical segregation and how it leads to gender inequality (Parsons & Platt, 1973). Most of the organizations are taken as masculine and hierarchical in nature and this relationship has been taken by the organizational theorists as being obvious that very little debate was needed. Talking it forward, Maria Charles and David Grusky (2004) argue that gender inequality rests on a struggle between egalitarian and essentialist forces. This explains how a social construct becomes a reality in the

long run. According to them, horizontal segregation proceeds from an essentialist ideology that can persist-even thrive in the context of liberal egalitarian norms of equal opportunity. There have been many fundamental differences between men and women and liberal egalitarianism ensures that such differences reproduce themselves in a fair and gender-neutral contest. This reproduction of assumptions gives birth to essentialism not just in families but also in work organizations. Some authors also point towards the role of 'gender stereotypes' in limiting women's access to top positions in organizations which is another form of horizontal segregation. While hiring, companies often rely on gender stereotypes about competence, skill, socially appropriate job roles leading to most roles being filled by men (Gorman & Kmec, 2009).

Looking deeper into the gendered nature of the organizations some studies conclude that culture is an important factor as well. Culture has been one of the most highlighted factors which have been considered to be responsible for gendered organizations. Culture has a deep impact on how it creates work and family roles, and obedience to those roles is fundamental to any kind of social order. Thus culture has a profound impact on gender in organizations. It is very complex and difficult to change the nature of the organizations as these attributes are mostly hidden in nature. But, change could be possible through highly powerful, informal institutional values, norms, structures, and processes that underlie and shape human interactions (Schein, 2010). Aruna Rao and David Kelleher in their article 'Leadership for Social Transformation: Some Ideas and Questions on Institutions and Feminist Leadership' (2000) posit gendered nature of organizations in the genesis of modern organizations and the influence of culture on these organizations. They argue that the gendered nature of organization is the result of a mixture of patriarchal society, militarism, and theory of Social Darwinism. The organizations are mostly patriarchal and hierarchical and exclusionary in nature that treats women as 'outsiders'. Taking their research further, Aruna Rao and David Kelleher also talk about deep structure and culture in the article 'Institutions, Organizations and Gender Equality in an Era of Globalization' (2003) where 'deep structure' means the collection of values, history, culture and practices that form the unquestioned, 'reasonable' way of work in organizations. The structure of the organizations was never to transform social relations but had always reinforced them. The article also makes an important point that a very few organizations enforce accountability mechanisms or ways of balancing or restraining the power of those at the top meaning that the organizations want to maintain a 'status-quo' in order to maintain the deep rooted 'values'. The central argument therefore is that, institutions across the globe are mostly embedded in relational hierarchies of gender, class, caste, and other critical fault lines, which define identities and distribute power- both symbolically and materially. These institutional rules aren't limited to only corporations but operate in the organizations-like families, state to market and constrain the ability to challenge gender-biased institutional norms within the organization and in communities.

The article 'Glass Ceilings or Gendered Institutions? Mapping the Gender Regimes of Public Sector Worksites' by Raewyn Connell (2006) raises the same question regarding the structural barriers in the organizations-as opposed to societal

or individual factors- which prevents women from advancing to high-level positions. Quite often, the gender equity policy debates often take a simplified, categorical view of gender. But the author has tried to understand gender as a multi-dimensional structure in which four different kinds of relationships and processes coexist. The first one is through division of labor. The gender division of labor remains a powerful presence in organizational life. The second one is gender relations of power. It defines the structure of authority and is a crucial feature of gender inequality and remains an important issue within public sector organizations. Thirdly, emotion and human relations are important factors relating to the way people experience gender relations. The feelings of injustice, resentment about change, and feelings of betrayal mostly, are discarded by modernizing organizations. It is not usually seen as an issue in policy discourse, but is a very important factor when we look into the questions of gender and organizations and how it works. Lastly, gender culture and symbolism also play important roles to emphasize gender difference in workplace culture.

Bureaucracy has also been one of the highlights when talking about gender and organizations. In her article 'The Epistemology of the Gendered Organization' (2001), Dana M. Britton puts up a question concerning how do we recognize a gendered organization? In her argument, she addresses three of the most common ways of seeing organizations and occupations as gendered. Firstly, she argues that the ideal-typical bureaucratic organization is inherently gendered. By "inherently" gendered she implies that the very basic concept and structure is based in terms of a distinction between masculinity and femininity. Secondly, a gendered organization is male or female-dominated. Finally, a gendered organization is dominated by gendered symbols and identities as masculine and feminine in nature. In another interesting argument, Christine L. Williams (2002) in the book *Gender and Sexuality* argues how gendering of organization and bureaucracy suggests that a key issue for consideration is not so much the exclusion of women from work defined as professional, but rather their routine inclusion in ill-defined support roles.

It becomes very important to talk about 'symbols' and 'language' when one talks about gendered organizations. Some scholars have worked intensively around the creation of gender symbols and identities which has a profound effect on the nature of organizations. For example, the norms of the boardrooms are defined as 'masculine' such as 'quick', 'tough' and 'risk-takers'. It has been argued that women were not a part of the knowledge creation inside the boardrooms. It was always men who dominated the boardrooms. It has also been argued that a lesser number of female executives in the workplace means women lack sufficient numbers in their own demographic group to foster relationships that will help in their career advancement while men do not face similar disadvantages (Skaggs et al., 2012). Men in organization are more likely to foster relationships and develop networks to promote career advancement of other men (Ibarra, 1992). However, some scholars argue that earlier leadership qualities were strictly thought in terms of 'masculine' but now women at the top are introducing new styles and norms to the business which are characterized as the 'softer side' of leadership. These norms or attributes are more open, caring and more likely to encourage others (Elorriaga, 2011).

Adding to the gender symbols, language also plays an important role in creating gendered organizations. Fiona Devine (1992) raised an important point that language has also played an important role in shaping organizations and entrepreneurship as masculine in nature. She argues that entrepreneurship and organizations have always been described as a man's world. This gap between masculine character and feminine character exists because the feminine aspects of organizational creation and feminine dimensions of new ventures are not well articulated, and even when articulated, they are not identified as feminine. So, there is sparseness when it comes to paying attention to the feminine aspects of organizations. The relations in the workplace are always affected by gender symbols and gender identities thus further supporting the class struggle. This makes one more interested in looking at the 'social positing' of language and knowledge creation.

The famous 'Feminist Standpoint Theory' argues that knowledge stems from social position. Sandra Harding is considered to be the foremost theorist of the feminist standpoint theory where she argues that 'a social disadvantage implies an epistemological advantage' (Harding, 1992). Taking the 'feminist standpoint theory' as the reference, it has been argued that military and defense organizations present the best way to understand the vital knowledge about gender relations. The hegemonic masculinity creates specific notions of masculinity which become the 'norm' in the long run. Gender has been conceived of as an activity and a social dynamic rather than a role and a woman has always been marginalized and excluded from positions of influence (Meriläinen et al., 2004). The article Gender and the Politics of Knowledge (2003) by Mary Ann Dzuback argues about the exclusion of women from the process of 'making of knowledge'. She argues that women did not have the access to education and knowledge and publicly, to criticize male dominance of intellectual life, and to articulate a feminist challenge to existing gender relations that placed women subordinate to men and denied them access to the same rights and privileges. This has led to many structural barriers to women within the organizations. The notion of 'glass ceiling' has been one of the most used terms while discussing gender organizations. The creation of 'gendered organizations' is a vicious cycle which can be well reflected in the 'gender segregation processes' in organizations which ultimately leads to glass ceilings. The metaphor of the "glass ceiling" has been used to describe an invisible but very real barrier that prevents women from moving up the corporate ladder beyond a certain point (Baxter & Wright, 2000). The glass ceilings therefore, are the unseen barriers that keep women from climbing to the top of the corporate ladder in spite of their competencies or achievements.

Judith G. Oakley in her article 'Gender-Based Barriers to Senior Management Positions: Understanding the Scarcity of Female CEOs' (2000) talked about three barriers to women in order to achieve the top positions in corporations. First, she talked about the barriers that are created by corporate practices such as recruitment, retention and promotion which favor males. Secondly, behavioral and cultural barriers such as stereotyping, tokenism, power, preferred leadership styles, and the psychodynamics of male/female relations. The third barrier is that of power and influence which is societal and broader in nature. Therefore, she also argues around

the vicious circle that has been created at the organizational and societal level. Aruna Rao and David Kelleher (2003) also argue on the same lines. They expostulate that gendered organization lays down four interrelated factors which prevent women from challenging institutions. They are, lack of political access, lack of appropriate accountability systems, cultural systems and cognitive structures. There are studies which state that men find it difficult to take direction from women. The process of 'doing gender' or 'homosociality' is the process in which powerful men knowingly or unwittingly search for and find other men who resemble themselves. Hence, there are still problems in establishing the authority of women managers or women at the top positions. This process of homosociality shows how the present organizational structure denies the significance of gender differences and gender equality in organizations. Women often become constructed as deficient when the competence of individuals is evaluated in superficially gender-neutral ways and qualities associated with men and masculinity are emphasized (Wahl & Holgersson, 2003; Meriläinen et al., 2004).

Rae Lesser Blumberg in her article 'A General Theory of Gender Stratification' (1984) talks about the stratification process in the society or the organization as the result of economic power. The one who is economically stronger rules the process. And it was the time of the 1970s that the status of women became a "public issue". This period came up with many theories of and underestimated the range and women's economic activity, and overestimated the factors of certain biological factors. The article however has a very interesting angle to stratification theory based on anthropology. Based on some studies, the author argues that the most important common factor of apparent sexual equality in all these studies is that women wielded at least half the economic power. Thus, the central argument is that the major independent variable affecting sexual inequality is women's relative economic power. This article makes another very interesting argument that today's industrial societies (both capitalist and socialist) have their origin in agrarian societies. Hence, we tend to think women as "second-class citizens" throughout all of human history because agrarian societies represent the overall low point of female status in human history.

Looking in and across the large corporate boards in the UK, US or elsewhere, it has been found that boards are composed of males from similar backgrounds (Singh et al., 2008). Deborah L. Rhode (1988) clearly discusses the informal obstacles faced by professional women and how they have to choose between their family and work to reach the top in the hierarchy. There has been a trend of the growing representation of women in managerial jobs but women have been able to make very few advances to the upper echelons of corporate positions, especially in the boardrooms. In a very similar argument, Raewyn Connell (2006) posits a very important point that organizational gender arrangements are active, not passive. The 'gender regime' within an organization prevents women from reaching the top positions and very few reach the corporate board (Arken et al., 2004). In a very interesting article, Dr. Felicity Gibling, a psychologist, has analysed the problem of inequality at the workplace at the psychological level. She has analyzed works of many prominent scholars and concluded that numbers really matter when it comes to work pressure and

performance pressure. There are many studies which show that if women comprise less than 15% in any position, they can be labelled 'tokens' and can be viewed as symbols of their group rather than as individuals and these 'token' positions suffer from performance pressure and isolation (Davidson & Cooper, 1992).

Humans have been represented as 'males' in organizations. It also ignores sexuality that further leads to not recognizing the production of gender identity, gender images, and gender inequality within organizations. The status of a 'job' is considered to be gender-neutral in the organizational theories based on the assumption that the worker is abstract, disembodied. But in reality, both the concept of a job and workers are deeply gendered and 'bodied'. Women are devalued because they are assumed to be unable to conform to the demands of the abstract job. Gender segregation at work is also sometimes openly justified by the necessity to control sexuality, and women may be barred from types of work, such as skilled blue-collar work or top management, where most workers are men, on the grounds that potentially disruptive sexual association or contact should be avoided (Lorber, 2000). The gendered hierarchy at the organizational level is maintained on the arguments on women's reproduction, emotionality, and sexuality created through abstract, intellectualized techniques. Gendered hierarchy is so much embedded in the organizations that the willingness to tolerate sexual harassment is often a condition of the job. There are some jobs such as secretaries, where one can witness sexualization of the woman worker as a part of the job (MacManus, 1979). But the critical perspectives on organizations have ignored women and paid very little attention to power dynamics and masculine traits, and oppressive structures within the organizations.

Some theorists have tried to untangle the gendered nature of organizations and have tried to locate a systematic understanding around it. Rosabeth Moss Kanter (1977) argues that performance pressures, social isolation, and role encapsulation were the consequences of disproportionate numbers of women and men in a workplace but Kantar fails to explain the process of backlash. The backlash theory of intrusiveness looks into the long term effects of an increase in the number of women in male-dominated occupations. It threatens dominants and results in clear gender discrimination in the forms of sexual harassment, wage inequities, and limited opportunities for promotion.

It is not just in theories that gendered nature of organizations has been neglected as a discourse but it has also been neglected in empirical research. A very few researchers have paid attention to gender in organizations and see no relationship between gender and organizational process. Joan Acker in her article Hierarchies, Jobs, Bodies: A Theory of Gendered Organizations (1990) argues that we need a systemic feminist organizational theory because it is important to understand the gender segregation in the organizational process to understand the further dynamics of glass ceilings and gendered nature of organizations. Following this is the fact that organizations create cultural images of gender which further construct gendered identities in the organization. Thus, an inclusive feminist organizational theory would enable organizations to be more democratic and more equal.

Acker (2012) identifies five processes that reproduce gender in organizations: the division of labor, cultural symbols, workplace interactions, individual identities, and organizational logic. Acker also explains how hierarchies are rationalized and legitimized in organizations. But one of the points that should be noted is that Acker mostly talks about the 'traditional career' model. But, it is not that the organizations are not gendered in contemporary times. However, the mechanism is different and much more complex in modern times. Organizations and their 'main aim' have been dominated by masculine characteristics and are pervaded by gender (Kimmel, 2004). It further gives rise to organizational sexuality and violations. There has been an increase in the number of women in corporate sectors but when it comes to effective management skills, it has always been seen as a masculine trait and this ultimately gives rise to gendered identity formation (Alimo-Metcalfe, 1993).

M. Britton (2000) also agrees with the idea that there is a need to problematize the notion that organizations are gendered. This might result in identifying the factors that result in the formation of oppressively gendered forms. Thus, future research should try to examine whether and in what ways occupations are gendered, rather than simply assuming that this is the case. There is a need to problematize the simple 'common sense' that 'organizations are gendered'. Joan Acker (1990) argues that to say that an organization is gendered is to say "that advantage and disadvantage, exploitation and control, action and emotion, meaning and identity are patterned through and in terms of a distinction between male and female, masculine and feminine." The organization is gendered also means how much the organization is symbolically and ideologically conceived in terms of a discourse that draws on hegemonically defined masculinities and femininities.

One of the notable writers Carole Pateman in her famous book *Participation and Democratic Theory* (1970) has neglected gender when she talks about democratic organization. Her perspective on work organizations is based on the fact that rational-technical systems for organizing work, such as job classification and evaluation systems and detailed specification of how work is to be done, are parts of pervasive systems of control that help to maintain class relations. Rational-technical, are built upon and conceal a gendered substructure in which men's bodies fill the abstract jobs. Thus, Aruna Rao and David Kelleher (2000) argue that institutions need to be changed in order to make a significant impact on gender inequity. Thus, organizations are not gender-neutral but act as sites in which gendered identities and attributes are presumed and reproduced over the years. Britton (2000) also discusses how ideal-typical bureaucratic organization is innately gendered and gender is something which is a very fundamental element of organizational structure and life. Acker (2009) further argues that the time has come when we need a systematic theory of gender and organizations. It is because institutional rules determine who gets what, who does what, and who decides.

Conclusion

One of the foremost conclusions drawn from the literature review is that, the organizations are gendered in nature. The organizations are dominated by what are overtly considered as ‘masculine’ traits. Society has always marginalised women, and men have been in the upper echelons of the hierarchy. The norms that place ‘masculine’ qualities above ‘feminine’ ones are hard-wired into the social practices and organizations. Sexism and cultural values that subordinate women are deeply embedded in the social structures that regulate social interaction inside the organizations. However, one of the major drawbacks of literature on gendered organization is the absence of coherent feminist organizational theory. But why do we need a systemic feminist organizational theory? One of the biggest problems with all the organizational theories is that they conceptualize organizations as gender-neutral. There is no systemic feminist theory around gender and organizations and gender as a subject has been ignored in organizational theories.

Chapter Takeaways

- Gender refers to the social identity of men and women. Sex and gender are two different phenomena which have been often misunderstood as one or as being very ‘similar’ concepts.
- The different meanings of gender equality are explored in relation to the issues of family policies, domestic violence, gender inequality in politics and business, migration, homosexual rights, and anti-discrimination in different countries and different settings.
- Feminism has been defined as a cluster of contesting views on the gender problematic
- One of the main focuses of gender diversity discourse is that it focuses on voluntary activities of the corporate sector as the best way to promote gender equality.
- Gender equality has been the buzzword for the past half century or so now. Yet, women are only gradually achieving equality in educational fields but when it comes to converting it into job opportunities, very few women are able to cross the glass ceiling.
- Culture has a profound impact on gender in organizations. It is very complex and difficult to change the nature of the organizations as these attributes are mostly hidden in nature.
- The gendered nature of organizations has not just been neglected in theories but also been in empirical research.

Reflection Questions

1. Upon reading this chapter, what do you consider some of the most prevalent factors for lingering gender inequality in work environments?
2. How would you distinguish sex and gender?
3. What is the role you attribute to feminism in the scope of gender equality?
4. How is culture and influencing factor in gender equality?
5. Explain the term, “gendered nature of organizations”.

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Chapter 12

Inclusive Leadership in Health Care Organizations: Promises and Prospects



Aikaterini Grimani and George Gotsis

Introduction

Leadership development programs have been far from being unnoticed in health care sector. Instead, they have been attributed an increasing institutional attention in healthcare organizations, assuming a wide variety of forms and perspectives. This may be due to the fact that leadership styles appropriate to the particularity of the health care sector can generate considerable benefits to many stakeholders. Health care organizations can thus reap significant benefits from employing leadership models pertinent to their functioning, vision and mission. Not infrequently, such benefits comprise higher return on investment, improved team and organizational performance, higher levels of team cohesion, as well as an improvement of specific management competencies.

Seidman et al. (2020) identified four potential organizational-level benefits to leadership training programs, namely, synergies with other medical staff, improved patient psychological safety and feelings of satisfaction, tangible benefits from implementing multiple projects and finally, an increasing confidence in training efficiency through cultivating new leadership-related skills. Chakraborty et al. (2021) reiterate that high quality patient care can be secured only if healthcare leaders focus on effectively integrating investment on technological equipment with an endeavor to build and sustain effective healthcare teams. Leadership during a pandemic crisis in particular, cannot be viewed as an individualistic, but rather as a collaborative endeavor that affects society in general (Halverson et al., 2021; Javed

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& Chattu, 2021). Arguably, effective teamwork could not only significantly reduce medical expenses, but also facilitate healthcare organizations to operate in a way that combines high quality services, economic efficiency and organizational performance.

The paper seeks to fill a gap in research on healthcare leadership by suggesting that capitalizing on the potential benefits from leader inclusiveness is a sustainable and cost-effective healthcare strategy. The study is structured as follows: In the first section, we briefly review the core constituents of the inclusive leadership construct, and examine possible antecedent and outcomes of inclusive leadership. In the second section we discuss current conceptualizations of leadership, as well as models and styles of leadership with respect to health care organizations. We then proceed to indicate potential multilevel (individual, group, organizational and societal) benefits from introducing inclusive leadership styles in healthcare sector. In the following section we demonstrate the potential of inclusive leadership to address issues of extreme necessity that may arise in these settings. In the discussion section we underscore the importance of inclusive leadership in managing new challenges emerging in recent pandemics situations. Finally, implications for practice are examined and recommendations for further research are made on potential avenues of research on leader inclusiveness in healthcare organizational contexts.

Inclusive Leadership: Definitions, Predictors and Outcomes

Inclusive leadership stresses the notion that everyone matters, thus, employees feel that they have equal opportunity to contribute in the process of change (Younas et al., 2020). In existing literature, there are multiple definitions of inclusive literature. Carmeli et al. (2010) defined inclusive leadership as “leaders who exhibit visibility, accessibility, and availability in their interactions with followers” (p. 250). Nembhard and Edmondson (2006) defined inclusive leadership as ‘words and deeds by a leader or leaders that indicate an invitation and appreciation for others’ contributions’ (p. 947). According to Booyesen (2014), inclusive leadership is “an ongoing cycle of learning through collaborative and respectful relational practice that enables individuals and collectives to be fully part of the whole, such that they are directed, aligned, and committed toward shared outcomes, for the common good of all, while retaining a sense of authenticity and uniqueness” (p. 306). Furthermore, inclusive leadership refers to behaviors that collectively facilitate all group members’ perceptions of belongingness to the work group and that encourage group members contributing their uniqueness to achieving positive group outcomes. Such behaviors could be the following: supporting individuals as group members, ensuring justice and equity within the group, promoting individuals’ diverse contributions to the group, helping individuals fully provide their unique perspectives, and abilities to the work of the group (Randel et al., 2018). Inferentially, inclusive leadership has minimal overlap with existing conceptualizations of leadership and the key tenets of inclusive leadership are not fully captured by other leadership styles.

Inclusive leadership has not received much attention, while there is a lack of agreement about what it involves and how it should be measured. In the small body of research on leader inclusiveness, evidence has shown a positive relationship between inclusive leadership and employee perceptions of psychological safety, which in turn predicted employees' creativity. Empirical work has also revealed that inclusive leadership is positively related to unit performance, innovative work behavior through psychological empowerment and change-oriented organizational citizenship behavior via behavioral integrity and trust in leadership. Inclusive leaders also exhibit attributes such as openness, availability and accessibility (Choi et al., 2017; Javed et al., 2019; Randel et al., 2016; Shore et al., 2018; Younas et al., 2020).

There are individual characteristics, such as pro-diversity beliefs, humility, and cognitive complexity, which have the potential to increase an individual's propensity to engage in inclusive leadership behaviors. Inclusion, such as belongingness and uniqueness, should have a positive impact on work group identification and psychological empowerment, which in turn should lead to positive behavioral outcomes (Ashikali et al., 2020; Randel et al., 2018). Researchers have consistently demonstrated that simply having diversity on a team alone does not automatically lead to desired outcomes of greater productivity or creative thinking (Booyesen, 2014). Inclusive leadership is needed to support an inclusive climate in which different team members are valued for what they bring to work practices, creating an environment in which they develop opportunities for individuals to express diverse viewpoints (Ashikali et al., 2020). In an inclusive culture where employees experienced high support from their leadership, employees tended to risk disagreement with their leadership and challenged the current situation by showing innovative work behavior. Inclusive leadership is a more powerful and relevant conducive leadership style for employees' ideation, promotion and implementation (Carmeli et al., 2010; Javed et al., 2019).

Inclusive leadership is an important situational factor that plays a significant role in fostering change-oriented organizational citizenship behavior. Inclusive leaders practice fairness regarding employee needs, communicate openly, and develop constructive professional relations with their employees. For instance, managers should take the responsibility for failures instead of blaming employees to prevent employees from under-performing in the future. In addition, managers should exhibit acts of kindness and empathy toward their employees, while employees should be given timely and constructive feedback, which will ensure their productivity and commitment. Managers should elicit trust by initiating quality relationships based on mutual obligation, the maintenance of the long-term relationships, a high level of confidence, and open communication. Furthermore, managers must share their power with the employees, so that employees perceive that leadership has faith in their abilities, which will further promote their trust in the leadership, which could be enhanced when employees see coherence between a leader's words and actions (Javed et al., 2019; Younas et al., 2020). Encouraging inclusive leadership behaviors holds promise for improving the work experience of all work group members and the effectiveness of their groups and organizations.

Models and Styles of Healthcare Leadership

General Conceptualizations of Leadership in Healthcare Sector

Current conceptions of leadership in health care organizations are usually entwined with individualistic discourses placing an emphasis on social hierarchies, rigid structures and predefined task and role allocation. For instance, Gordon et al. (2015) found that that UK trainees typically endorsed more conventional understandings of leadership and followership, which were profoundly influenced by the organizational settings in which these trainees operated. The authors contend that, unless leadership experiences in the workplace cease to be grounded on individualist styles, organizational change reflecting a relational ethos is far from being operationalized, despite the positive effects of leadership training and educational programs.

Competent leaders play a crucial role in enhancing service quality of healthcare sector and secure the overall sustainability of the healthcare system. Leadership quality is pivotal to fostering patient-centered care and satisfaction of employees in healthcare settings. Harris and Mayo (2018) advocate leadership styles that explicitly seek to enhance innovation, promote an ethics of care, stimulate opportunities for excellence, and advance leader ethical integrity. Kakeman et al. (2020) introduced a new model that encompasses seven core leadership competencies, namely: evidence-informed decision-making, undertaking operations, flexible administration and resource management, good knowledge of healthcare environment, interpersonal communication qualities/relationship management, leading subordinates and organization with empathy, enabling and managing change, and exhibiting professionalism.

The importance of leadership remains critical for any endeavor that seeks to nurture organizational cultures ensuring high-quality care. Not unexpectedly however, health care organizations face unpredictable challenges in their effort to sustain ethical cultures that provide an increasingly improving, compassionate and inclusive care for both staff and patients. West et al. (2014) in particular claim that primarily a collective leadership style ensures that staff assumes proper responsibility for maintaining high-quality services. Brown (2020) posits that leadership styles focusing on healthcare excellence and quality improvement are much in alignment with effective leadership processes that in turn foster governance engagement, as well facilitate valuable reflexivity at the governance level.

As implied earlier, there is a research interest in abandoning purely individualistic leadership models and focus on relational styles that can perform more effectively in collective multi-agency teams. More specifically, Edmonstone (2020) underscores that there is a need to move beyond a focus on an approach to leadership development, which is confined exclusively to health care provision. The author contends that, given the economic, social and organizational constraints within which health care organizations operate, we should promote leadership types deeply embedded within health and social care systems, rather than examining them

in isolation from their social environment. Before exploring the dimensions of inclusive leadership within healthcare systems, we shall discuss in brief certain leadership styles often encountered in the respective leadership literature in order to highlight the potential affinity of some of them with the inclusive leadership constructs.

Leadership Styles in Health Care Leadership

Various leadership styles have been examined in the extant literature on health care leadership. Among them, transformational leadership has been conceptualized in a way that pertains to the particularities of healthcare organizations. Undoubtedly, this leadership style has significantly influenced health care strategies during the last decades (Lo et al., 2018). Several others leadership styles have been equally considered as appropriate to health care leaders. Beirne (2017) advocates a form of distributed leadership in healthcare, assessing the degree to which it embodies a comprehensive set of values, meanings and practices. This leadership style is precisely the required one to foster collective processes and enhance relational abilities, substantiated in inclusive initiatives that promote leader-followers interactions aiming at effective social exchange through mutual learning.

Shared leadership is another leadership style supportive of health care relational issues. Shared-leadership provides a suitable alternative to more conventional approaches to health care leadership, because of its innate potential to encourage collaborative behaviors that effectively meet new demands of healthcare organizations (Willcocks & Wibberley, 2015). Idelji-Tehrani and Al-Jawad (2019) demonstrated that, despite its limitations to fully resist gender stereotypic representations, shared leadership remains a feminine model, centered on distribution of power and genuine compassion. In this respect, shared leadership supports inclusion as a feminine model that challenges the dominant masculine aspects of health care leadership. Shared leadership is further invested with a capacity to suggest innovative solutions to emerging organizational challenges, despite certain ambiguity that underlies the effect of shared leadership on healthcare team innovation (Mitchell & Boyle, 2021).

High-quality, compassionate care is a priority and ultimate goal of health care organizations. West and Chowla (2017) favor a type of collective leadership that nurtures an organizational culture pertinent to health care. Caring for the health of others, they argue, requires compassion, empathy, helping behaviors and mutual understanding. Compassion in organizational settings is universally valued as an intrinsically moral good to be properly developed and sustained. Leadership styles anchored in compassionate responses to staff and patients are deemed of the utmost importance for enabling compassionate health care practices. This necessitates a substantial paradigm shift, from individualistic to more relational conceptions of leadership development. Compassionate leadership has been advocated as more

akin to collective holistic approaches based on views of human nature that bear sound philosophical and anthropological connotations.

Compassionate leader acts as embedded in every day practice are integral to a new organizational culture respectful of human social identities (Hewison et al., 2018). Ali and Terry (2017) contend that compassionate leadership involves a proper role modelling, person-centered care and compassionate attitudes insofar as caring with compassion is pivotal to the wider medical community. Zulueta (2016) argues that compassionate leadership presupposes appropriate training and well-being programs, as well as maintaining high levels of trust and mutually supportive interpersonal relations. In this view, relational care has to be integrated into a coherent framework that allows for opportunities of a genuine dialogic process between patients, staff and managers, in view of shaping pathways to flourish in ambiguous and uncertain conditions. Worthy to mention at this point is the widely held recognition that compassionate leadership is deeply embedded in acts of ethical caring, a fact that makes this type of leadership more relevant and akin to inclusive leadership, compared to other leadership models discussed here.

Benefits of Health Care Organizations from Inclusive Leadership

Though other types of leadership have been thoroughly examined in healthcare leadership literature, there is an emerging research interest in inclusive leadership styles as more pertinent to health care leaders. We proceed to discuss in brief contributions that move to this direction by considering the multilevel outcomes of inclusive health care leadership on individuals, organizations and communities in general. Though inclusive leadership in healthcare organizations has close affinities to relevant leadership styles such as compassionate and caring leadership, it remains a distinct construct that embodies the above dimensions of care and compassion. In this respect, we shall differentiate between multi-level outcomes of inclusive leadership, based on the scant empirical evidence on leader inclusiveness in healthcare organizations.

Micro-individual Outcomes

Health care policy has to meet the challenges of an increasingly diverse environment, through adopting a more inclusive, humane, and life-giving leadership style that is in a position to foster psychological well-being of both patients and medical staff. Bradley (2020) posits that engaging diversity in a meaningful manner necessitates an inclusive leadership-style that embraces difference perspectives so that all healthcare workers feel valued and appreciated. Such leader behaviors are expected

to encourage participative procedures, as well as to constructively manage conflicting demands and work tensions by reminding the ultimate shared goal of saving lives.

As a result, the delivery of high quality, compassionate care will positively affect individual psychological and physical health outcomes of all stakeholders. Employing an inclusive leadership style tends to become an imperative for compassionate healthcare provision; furthermore, it can be viewed as a prerequisite for shaping an inclusive and caring organizational culture within which the ultimate goal of saving human lives is expected to thrive (Edwards et al., 2018). Bidee et al. (2017) found that volunteers' perceptions of inclusion in healthcare organizations were positively related to feelings of intrinsic motivation, insofar as their basic needs for autonomy, competence, and relatedness were considerably fulfilled in inclusive environments. These healthcare workers were intrinsically motivated due to the fact that they experienced an inclusiveness climate which in turn, stimulated feelings of competence and of relatedness and proximity to others.

Group Level Outcomes

Inclusive leadership influences team cohesion and performance in many significant respects. Minehart et al. (2020) found that an inclusive leader will encourage her/his team members to participate in decision-making processes, thus engendering team cohesiveness, information sharing and proactive voice. Enhancing group performance appears as a by-product of the relational aspects epitomized in inclusive leadership behaviors. Such inclusive behaviors result in beneficial group outcomes by mitigating tensions and capitalizing on the innate potential of all team members, thus substantially improving quality of healthcare services. In sum, inclusive leadership is in a position to elicit increased group performance by realizing improved intra- and inter-team interactions, thus providing high quality care to patients.

Organizational Outcomes

Inclusive leadership is a substantially person-centered approach that focuses on followers' empowerment through personal development, thriving and psychological well-being (Amin et al., 2018). As previously discussed, inclusive leadership initially originates in relevant leadership theories such as compassionate and shared leadership, yet it remains a distinct construct that significantly differs from other leadership styles. Inclusive leadership is an efficient mechanism for constructively managing diversity conflict and as such, it presupposes an inclusive organizational culture supportive of diversity. Leader inclusiveness interacts with an inclusive culture: inclusive leadership flourishes in psychological safety and caring environments that in turn, enhance the efficiency of inclusive practices. Moreover, leaders'

inclusive practices affect organizational cultures by shaping more humane and compassionate work environments reflective of, and commensurate with, the principles of inclusive leadership.

Macro-societal Outcomes

Beyond micro- and meso-level outcomes, inclusive leadership is invested with important societal connotations. The COVID-19 pandemic triggered differential access to health care services and relevant major inequities that reflect the social determinants of public health (Breny, 2020). In view of attaining a desired level of health equity, organizations have to resort to strategies and policies that promote diversity and inclusion, among them to foster inclusive leadership.

Healthcare inequality originates in an asymmetrical distribution of income, power, status and social privilege. Such factors, exacerbated by inefficient economic policies and lack of social planning, are deemed the social determinants of healthcare inequities that often result in experiencing social exclusion, marginalization and social isolation (Clarke et al., 2017). Mitigating such inequities and alleviating vulnerable groups requires inclusive leadership practices that have to be properly contextualized, depending on social and cultural setting, geographical area or targeted focal groups.

Inclusive Leader Responses to New Healthcare Threats

Inclusive leadership can be applied in many situations to healthcare sector in a way that bears beneficial connotations at multiple levels. Leader inclusiveness involves an invaluable potential in handling incidents in cases of extreme necessity, of uncertainty and ambiguity such as those that reveal a severe health care crisis. Inclusive leadership in this respect incorporates a crisis management potential that is conducive to effective responses to new emerging healthcare threats.

As already discussed, extant literature on health care leadership remains replete with employing a variety of leadership styles pertinent to healthcare sector, among them transformational, servant, distributed, situational and shared leadership types. Kalina (2020) contends that a consensus leadership model promotes stakeholder inclusion within healthcare sector in a way that it is perceived as a preferential leadership model for organizations that highly value inclusion. Through such a leadership type people are afforded the opportunity to make a positive contribution to decision making processes that can affect them.

The capacities of inclusive leaders have not been unnoticed in the respective literature. For instance, He et al. (2021) explored the impact of socially- responsible human resource management on employee perceptions of external threats during the COVID-19 peak. Findings showed that this leadership style which has a close

affinity to inclusive leadership mitigated employee fears by enhancing trust in their organizations. In addition, when the pandemic was at its peak, the negative effects of socially responsible HRM on employees' experience of threat were more significant. Furthermore, inclusive leadership functions as a sustainable mechanism that reduces psychological distress during a pandemic crisis. Inclusive leadership style can fuel the necessary mechanisms to alleviate psychological distress for healthcare staff by shaping a psychological safety work environment (Ahmed et al., 2020a; Zhao et al., 2020).

Gender equity and the concomitant inclusiveness of women induces beneficial effects on public health during a pandemic crisis such as that of COVID-19. Leung et al. (2020) showed that the representation of women in public health policy making systems ensured the so much needed efficient delivery of public health services. However, the COVID-19 pandemic involved situations that significantly worsened gender disparities in health care organizations, a fact that necessitates diversity, equity, and inclusion interventions that are in a position to proactively contribute to reinforce women's advancement and mitigate a pandemic adverse effect on female staff (Jones et al., 2020). Accordingly, an advocacy for a gendered representation in decision making and leading procedures is of critical importance to adequately address the complexities of pandemics in view of more effectively supporting vulnerable groups (Meagher et al., 2020).

Beyond women, people with disabilities may also experience an adverse effect on their psychological well-being, in particular negative feelings that are exacerbated by the COVID-19 crisis. More specifically, the current pandemic deteriorated the economic conditions of such a group through a considerable loss of income as well as through productivity losses from limited access to healthcare services. Banks et al. (2021) argue for the implementation of policy initiatives that are expected to alleviate this socially disadvantaged group through innovative and inclusive responses to new pandemic situations. Between them, inclusive leadership will encourage these people to feel more appreciated through new opportunities that will facilitate their participation in both work and health care sectors.

Discussion

Inclusive Leadership During COVID-19 Pandemics

The COVID-19 pandemic unraveled the social norms and power structures that can privilege certain groups over others in their access to health care systems. In sharp contrast to more affluent and resourced communities, socially vulnerable communities appear far less resilient in their ability to initiate effective responses to new pandemics emergencies (Gaynor & Wilson, 2020). Moreover, new pandemics may have differential effects on social identity group compared with more privileged groups (Avery, 2020; Milliken et al., 2020).

Domínguez et al. (2020) perceive of the current pandemic as an opportunity for social transformation that underscores the need for more inclusive and equitable health care policies. The authors contend that health care leadership can initiate systemic change, either by supporting organizations that focus on the needs of disadvantaged groups; or by encouraging policymakers to consider the health equity and the concomitant needs of marginalized communities. Equally importantly, fostering a capacity for effective collaboration between various policymakers is a prerequisite of any endeavor to meet the multiple needs of vulnerable individuals; as well as to give a new impetus to the formulation and implementation of agendas that prioritize the physical and psychological health of people who are mostly threatened by new pandemics. As argued earlier, inclusive leadership in health care sector has a strong potential to help mobilize valuable resources in the pursuit of these goals.

The global experience of COVID-19 raised several issues on persisting inequalities, psychological distress as well as the challenges of public and private leadership in the face of adversity (Lee, 2020). The expansion of coronavirus disease requires an effective response from leaders around the globe. Although the pandemic remains a ubiquitous problem, political leaders have substantially varied in their responses resulting in differential outcomes in terms of reconciling opposing goals, securing public health and maintaining economic stability and a desired level of prosperity. Mitigating such a tension is deemed a difficult endeavor, and leaders have often adopted contradictory approaches to making sense of the impending crisis, ensuing in different types of decision making under uncertainty.

Kaul et al. (2020) identified the primary leadership principles pertaining to handle such a major crisis: a realistic as well as optimistic view of the current state, the need for communication, a focus on mission and essential values, decision making amidst ambiguity, effective planning, leading with purpose and humility, flattening the leadership structure, and exhibiting openness to others. Leaders should place an emphasis on values-based leadership by communicating with clarity, meaning and empathy (Mather, 2020). In a context of extreme uncertainty and ambiguity in healthcare management, human resilience can exert a buffering effect on negative psychological outcomes. Everly et al. (2020) introduced a strategy for crisis leadership grounded in increasing resilience among healthcare workers. Promoting crisis leadership comprises four critical dimensions, namely a shared vision for the future, decisiveness, effective communication strategies, and leading with a moral compass.

Haÿry (2021) argues that official responses to the COVID-19 pandemic involve an ethical dimension. Governments are in a position to mitigate the detrimental public health outcomes of the pandemic, yet they have to publicly explicate and communicate the adopted rationale to secure social trust in public health management. For instance, merely assimilating new information through media consumption by the public may foster prejudicial responses that undermine public health efforts to meet the challenges of COVID-19 pandemic (Dhanani & Franz, 2020). In this respect, public leadership should resort to a wide spectrum of justificatory arguments, from health utilitarian to normative deontological argumentation, even to a sort of republican political philosophy or to traditional common good narratives. Employing however any type of policy justification is far from being

uncontroversial, yet the lack of sound justificatory basis for undertaking large scale health interventions contravenes the foundational principles of liberal, pluralistic democracy that has to balance public health and primary individual liberties.

In the aftermath of the healthcare crisis, more traditional leadership attributes should be supplemented with ethical leader qualities, among them the core values of altruism, fairness, empathy, courage and resilience. Markey et al. (2020) notice that managers who exhibit ethical behavior and resilience in response to the current pandemic are in a position to reap beneficial outcomes for their teams. Aligning managerial and ethical leadership with other leadership styles necessitates efforts to foster ethical vigilance, nurture caring behaviors and cultivating attitudes of inspiring, motivating and empowering followers and subordinates. Improving health leadership ethics can provide an impetus for mitigating overt and covert discrimination and reducing healthcare inequalities. However, healthcare leadership in response to global health crises needs to be complemented by ethical leadership because the former does not emerge in a societal vacuum, but it is deeply embedded in social and economic systems (Munezhi & Hammad, 2021).

In a similar vein of reasoning, Graham and Woodhead (2021) argue that health care leaders should adopt compassionate, inclusive and effective leadership empowering and supporting staff, building positive relationships, exhibiting connectedness, honesty and transparency, and employing participative governance systems. They thus endorse an ethics of care that will be in a position to meet new demands arising amidst the new pandemics. Our argument on inclusive leadership is much in alignment with these remarks. Undoubtedly, inclusive leadership can significantly motivate leaders to address these challenges by displaying such profoundly humane behaviors that will help both medical staff and patients being valued, appreciated and respected as human beings in their entirety.

Implications for Practice

Managing the unprecedented COVID-19 crisis has initiated a set of proper responses to address emerging problems, issues and dilemmas. In so doing, healthcare leaders advanced numerous ‘best practice’ models and leadership strategies intended to achieve proper situation monitoring, mitigation and containment, as well as the delegation of adequate funds to areas facing extreme necessity. These strategies underscore the virtue of mindfulness of the ethical dilemmas that arise in concrete situations. Nicola et al. (2020) posit that exemplary leader attributes consist in being compassionate, open, resilient and highly communicative so as to foster purposeful action so much needed to strengthen a coherent public health endeavor. These leader attributes can well resonate with an inclusive leadership style.

Fernandez and Shaw (2020) indicated a number of best leadership practices that can help address unpredictable challenges such as those the new pandemic poses to healthcare sector.

- *First*, a type of servant leadership that prioritizes empowerment, involvement, collaboration, emotional intelligence and emotional stability would help leaders act on the basis of other-centered motives.
- *Second*, leaders should adopt distributed leadership styles to enhance quality of decision making process in crisis resolution and
- *Third*, leaders should engage in open communication with all stakeholders, thus developing flexibility as well as an invaluable adaptive capacity to tackle with difficult situations.

Yet, best outcomes could be attained if an inclusiveness perspective was added to servant and distributed leadership styles, thus enriching them with the dimensions of belongingness in a community and respect of uniqueness of each stakeholder, doctors, nurses and patients.

Leadership competencies in times of deep crisis are exemplified through leaders who are in a position to provide vision and purpose; adopt shared leadership; communicate rationales for action, ensure employee's access to technology; place an emphasis on subordinates' emotional stability; maintain financial health; and promote organizational resilience (Dirani et al., 2020). Crayne and Medeiros (2021) elaborated on the leaders' sense-making process by underscoring the role of sense-making perspective for an effective crisis management. Employing a charismatic, ideological and pragmatic approach to leadership development, the authors explicated the ways through which a specific sense-making approach becomes manifest in initiatives those leaders are expected to undertake in turbulent times.

Wilson (2020) elaborates a functional framework of good practices for pandemic leadership centered on fostering a shared purpose. Core leadership practices comprise the authorities' willingness to draw on expertise knowledge, a meticulous plan to mobilize the citizenry (through conveying direction, meaning and empathy) and the effort to shape coping mechanisms (by enabling sense-making, kindness and creative responses, as well as by developing knowledge and skills), all of which serve to undergird the trust in leadership akin to transformative action to address the impending challenges. From another point of view, Rook and McManus (2020) underscored responsible leadership competencies of students through educational programs that enhance ethical awareness, cultivate moral values; and promote understanding of the situation and relevant action as factors that facilitate constructive responses to the COVID-19 pandemic. Once again, inclusive leadership centered on caring and compassionate interventions that embrace all stakeholders is in a position to support and expand the beneficial perspective inaugurated through responsible, ethical and shared leadership styles in healthcare organizations.

In this direction, Ahmed et al. (2020a, 2020b) examined theoretical and practical implications of inclusive leadership that promotes supportive behavior towards subordinates. Findings of the study demonstrated that inclusive leadership, through its positive and supportive features, can reinforce such mechanisms that enhance the psychological safety of employees and mitigate psychological distress, thus rendering employees more sharing, helpful and caring for patients. In our view, those core competencies have to be supplemented with moral sensitivity manifested in

compassionate, caring and more humane attitudes, in conformity to the inclusiveness criteria. For instance, Sergent and Stajkovic (2020) found that US states with women governors had fewer COVID-19 deaths than states with men governors, one possible explanation being that women governors exhibited more empathy and confidence, these attributes unfolded in their gender leadership dynamics as more caring and inclusive. Leader inclusiveness is thus entwined with compassionate attitudes that reflect a sensitivity to the specific context under consideration. In so doing, inclusive leaders enhance health care quality and yield beneficial outcomes for all, irrespective of someone's degree of access to health care services.

Recommendations for Further Research

Last but not least, it is worthy to notice that certain philosophical approaches to the new pandemics are not only invested with practical connotations, but they also bear an inclusive potential. Gardiner and Fulfer (2021) for instance, draw on Hannah Arendt's inclusive conception of the world as a space for human togetherness to advance an organizational ethics based on a broader type of solidarity that seeks to address structural inequities, both within public health care systems and local communities. Latemore (2021) employs the Aristotelian notion of *eudaimonia*, of 'human flourishing, to argue that a profound appreciation of the benefits of familial and communal life has emerged amidst COVID-19 social distancing situations. Drawing on the philosophies of MacIntyre, Maritain and Sandel that all affirm human interconnectedness, the author posits that overcoming the current extreme necessity presupposes an emphasis on the common good viewed as the culmination of human wellbeing, fostered through reciprocities, relationship-building and acts of generosity.

COVID-19 pandemic offers a motivation for management systems to make a substantial shift towards more genuine and authentic initiatives that are in a position to address persistent societal challenges through corporate beneficence (He & Harris, 2020; Ostas & de los Reyes, 2021). To this direction, more humanistic and inclusive interventions can reshape traditional boundaries between utilitarian and social justice approaches to benefit individuals, organizations and communities. An ethics of care perspective, invaluable in an ambiguous pandemic era, may offer a new impetus to an endeavor that focuses on human development and subordinates' thriving, in particular of more vulnerable groups in healthcare and workplace settings (Branicki, 2020; McGuire et al., 2021).

In contrast to a utilitarian cost-benefit logic, an ethics of care crisis management places an emphasis on a more relational perspective founded on inclusiveness, sensitivity and relationship-building that encapsulates a potential for attaining a deeper societal transformation. Accordingly, inclusive leader behaviors incorporate all these humane, caring and relational aspects that can make both health care staff and patients feel valued, appreciated and respected as unique, yet interconnected individuals.

To this direction, we would like to strongly encourage new research that would be in a position to integrate an inclusive leadership perspective with compassionate approaches to health care leadership based on an ethics of care comprehensive and relational system. These inclusive approaches would benefit from an ethics of care economics or feminist socio-political discourses to offer new permeating insights to inclusive leadership in health care sector, moving away from the dominant utilitarian and individualistic paradigm that underlies established leadership theories focusing on impersonal market mechanisms that motivate self-interested behaviors.

Finally, one last major challenge for inclusive leadership styles is now at stake: to initiate innovative solutions through which inclusive leaders will be in a position to operate in the case of an impending healthcare crisis. Such crises pose a major paradox management with which inclusive leaders must cope: they have to reconcile competing societal demands, such as protection of public health as an invaluable common good and securing the domain of individual privacy as a distinct sphere of inalienable rights that lies at the heart of our constitutional, liberal democracy. In this respect, securing public health as a constituent of social welfare cannot be achieved to the detriment of privacy insofar as the precise demarcation of public and private spheres remains the major cultural inheritance of enlightened modernity. Though nurturing belongingness to the community and simultaneously respecting uniqueness of each individual, inclusive leadership is expected to balance the pursuit of common good and the affirmation of individual liberties that both delineate the scope and prospects of democratic legitimacy. We sincerely hope that inclusive leadership will be promising in effectively tackling with this dilemma that seems to threaten the very foundations of our pluralistic, modern societies.

Concluding Comments

Inclusive leadership represents a conceptual shift to diversity leadership that is in a position to account for the basic needs for belongingness and uniqueness of all stakeholders involved in organizational processes. We thus highlighted the relative paucity of research that capitalizes on the prospective benefits of inclusive leadership for health care work environments. In so doing, we made a first step toward the direction of filling this research gap by introducing inclusive leadership as an appropriate type of healthcare leadership. We then argued that inclusive leadership is invested with a strong potential that promotes sustainable individual, organizational and societal health outcomes.

This leadership style may be unique in fighting social discrimination, social exclusion and marginalization that result in poor access to healthcare services, thus reducing the negative effects of social isolation on the physical and psychological health of disadvantaged individuals and social groups. Negative experiences stemming from social disadvantage can thus be mitigated by displaying a compassionate and caring attitude to everyone, irrespective of surface and deep level diversity. In addition, health care leaders' inclusiveness allows for more compassionate, humane

and caring healthcare organizations in conformity to the emerging demands for an effective healthcare management in situations of uncertainty, in particular those accompanying a post-COVID-19 ambivalent world.

Chapter Takeaways

- Employing an inclusive leadership style tends to become an imperative for compassionate healthcare provision and can be viewed as a prerequisite for shaping an inclusive and caring organizational culture within which the ultimate goal of saving human lives is expected to thrive.
- Inclusive leadership, as an efficient mechanism for constructively managing diversity conflict, is in a position to elicit increased group performance by realizing improved intra- and inter-team interactions, thus providing high quality care to patients.
- Inclusive leadership is a substantially person-centered approach that focuses on followers' empowerment through personal development, thriving and psychological well-being.
- Inclusive approaches can benefit from an ethics of care economics or feminist socio-political discourses to offer new permeating insights to inclusive leadership in health care sector, moving away from the dominant utilitarian and individualistic paradigm that underlies established leadership theories focusing on impersonal market mechanisms that motivate self-interested behaviors
- Leader inclusiveness enhance health care quality and yield beneficial outcomes for all, irrespective of someone's degree of access to health care services.

Reflection Questions

1. How inclusive leadership can effectively contribute to face the emerging challenges for managing health care in a post-COVID-19 world?
2. What are the models and styles of healthcare leadership?
3. What are the antecedents and (individual, group, organizational and societal) outcomes of inclusive leadership?
4. How beneficial is inclusive leadership in healthcare organizations?
5. How can inclusive leadership contribute to healthcare management policies?

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Chapter 13

To Guide and Support: Inclusive Leadership in Helping Professions Based on Occupational Therapy



Agnieszka Smrokowska-Reichmann and Edyta Janus

Introduction

Working requires performing roles and duties specific for a given profession, and thus, employees need to possess particular competences. Needless to say, the professions that require a broad range of competences include helping professions, the representatives of which work to improve human health and quality of life on a daily basis. Helping professions, also called *public benefit professions*, refer to a group of occupations centered around serving the people (Golińska & Świętochowski, 1998). The representatives of these professions are guided by the particular mission of focusing on other people by helping them to satisfy their need for safety and providing the knowledge and skills they need to function in society and secure their livelihoods in the future (Czerw & Borkowska, 2010, p. 304). An example of a helping profession is occupational therapy. As mentioned above, occupational therapists have to possess a broad range of competences, including leadership skills, and especially inclusive leadership skills.

This chapter addresses inclusive leadership and its perception and usefulness according to professionally active occupational therapists. The analysis is based on the results of a study we conducted among 200 occupational therapists.

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Occupational Therapy as a Profession and Its Relationship with Inclusive Leadership

According to therapist associations and associations that set educational and practical standards for occupational therapy worldwide, occupational therapy is a health protection discipline focused on enabling the patient to perform important tasks. The word *occupation* in *occupational therapy* refers to every activity the patients wish to undertake, all their needs and obligations, whether physical, mental, social, sexual, political, or spiritual. Occupation encompasses all aspects of the human condition: what you do, who you are, who you will become, and where you belong; it is the active element of human existence (Wilcock & Townsend, 2014, p. 542). Thus, an occupation is a directed activity, which takes into account each person's capabilities and preferences.

Occupations in occupational therapy can be divided into the following:

- Self-care, e.g., washing oneself, getting dressed, preparing meals, eating, and moving around;
- Leisure, e.g., practicing sports, creating and maintaining social relationships, and pursuing a hobby;
- Productivity, e.g. working and learning.

Occupational therapy is interdisciplinary, not only because of its holistic approach to each individual and the incorporation of all aspects of his or her functioning but also because of the diverse interventions it makes. Occupational therapists need to be closely familiar with various disciplines (including medicine, physiotherapy, psychology, sociology, teaching, anthropology, philosophy, and law), able to synthesize this knowledge, and open to cooperation with other specialists from different teams, including their own.

Occupational therapists work with a diverse group of clients, who differ in terms of age (children, adults, and seniors), physical fitness (healthy persons and persons with disabilities), and level of social participation (excluded persons and persons at risk of social exclusion). The workplaces of occupational therapists also differ greatly: from health centers, through social support and educational institutions, to private companies (e.g., manufacturers of disability aids). Occupational therapists can also found their own businesses.

Occupational therapy is a medical profession. It is also considered a helping profession.

The above descriptions indicate the vast variety of the roles assumed by occupational therapists and their professional competences. Anita Björklund very accurately refers to occupational therapists as “chameleons in the light of paradigms” (Björklund, 1994, p. 59). Occupational therapy is always people-oriented, which means that the therapist must take into account his or her relationship with the patient and how this relationship affects the treatment process.

This focus on establishing and maintaining a relationship corresponds well to the therapists' leadership skills, especially inclusive leadership skills.

Subject literature provides many definitions of inclusive leadership, which primarily accentuate relationships and the necessity to engage the patients in the very same activities that are performed to help them. Many definitions also underline the competences expected from an individual in a leadership position. According to Hollander (2008), inclusive leadership involves establishing relationships to achieve mutually beneficial outcomes. With respect to occupational therapy, it should be noted that inclusive leadership is not necessarily limited to the managerial aspect, even when the therapist works as a manager. We should consider this topic from a broader perspective by treating inclusive leadership as an intrinsic element related to the process of occupational therapy, which means that the patient-therapist relationship is also part of the process. Such a broad outlook on leadership seems convincing and takes into account the specificity of the profession.

As has already been mentioned, Anita Björklund refers to occupational therapists as “chameleons in the light of paradigms,” emphasizing the variety of roles they perform and the variety of competences they use (Björklund, 1994, p. 59). However, this switching of roles has to be fluent and natural to facilitate supporting the patient’s needs (Guidetti & Tham, 2002) and allow the therapist to take advantage of his or her leadership skills.

With respect to treating inclusive leadership as an element of managing human resources, it should be underlined that being an inclusive leader involves creating an opportunity for the work team to engage in decision-making. Whereas the members of a work team are formally the manager’s subordinates, they should be viewed as coworkers and fellow decision-makers. An inclusive leader expects the team to think together rather than automatically follow directions; he or she embraces diversity rather than demands adaptation. Inclusive leaders share both their power and their responsibility, acknowledging the strength that working in a group provides. Furthermore, inclusive leadership means noticing and respecting the needs of other people, including, or rather, especially, whenever changes have to be made. Consequently, we can think of inclusive leadership as shaping the future together. Hollander notes that inclusive leadership means doing things together with people rather than doing things for people (Hollander, 2008, p. 3). However, this type of participation is impossible without a pre-existing focus on relationships. Consequently, an inclusive leader fosters the relationships with the people he or she leads, or, to use a term more in line with the idea of inclusive leadership, the people he or she works with to achieve a common goal. The ability on the part of the inclusive leader to show respect to subordinates (coworkers) and acknowledge them is key in building good relationships. This also boosts their motivation to fully engage in the common goal and feel responsible for its success. Thus, if the leader intentionally rejects his or her privileged position and, instead of using the advantage provided by the status of leader, encourages the subordinates to take part in the decision-making, he or she becomes an inclusive leader. We should emphasize here that inclusive leadership is associated with multidisciplinary teams, as is occupational therapy. Given that occupational therapy primarily concerns the areas of health protection and broadly-defined social support, it should be underlined that such teams are made up of the representatives of

different helping professions. This means that occupational therapists who are also team supervisors must not only coordinate and supervise the team's actions and manage data but also make sure that occupational therapy progresses effectively (O'Brien & Hussey, 2012, p. 62).

The concept of inclusive leadership is closely related to a different approach, namely, servant leadership. The latter concept seems especially interesting in the context of occupational therapy, which subject literature considers to be a servant profession. Furthermore, another remark emerges: the creator of the notion of servant leadership, Robert K. Greenleaf, postulated focusing on the individual rather than on a means to an end, which is exactly the fundamental principle of occupational therapy. According to Greenleaf, servant leadership is not a method or technique but rather an approach, or even a philosophy, that aims to protect life in all its aspects (Schnorrenberg, 2014). Fostering the well-being of subordinates and partners is characteristic of servant leadership and yields tangible effects in the form of increasingly effective teamwork and responsibility, and increasingly energetic performance (Schnorrenberg, 2014). In other words, a synergy is taking place that benefits all sides of the process. And even though occupational therapy involves fostering patients' well-being rather than their welfare, servant leadership underlines the importance of awareness, persuasion, intuition, and prediction (Schnorrenberg, 2014).

The definition of leadership in occupational therapy seems to be compatible with the latest modern theories of management, or perhaps it even preceded these theories. Yet another example that confirms this is Frederic Laloux's opinion on non-hierarchical systems. According to Laloux, such systems operate based on self-management processes. This is only possible if the leader is a knowledgeable and noble person who transfers part of his or her power to the subordinates and thus empowers them and helps them to reach independence, in a way allowing them to become leaders themselves (Laloux, 2014, 62). Note that the word *empowerment* is also one of the basic terms related to therapy, including occupational therapy. Empowerment, as the keystone of non-hierarchical systems, means that sensing and responding predominate over prediction and control (Laloux, 2014). Interestingly, Laloux already uses the term *well-being* rather than *welfare*, and he postulates that people take off their social masks, rediscover humanity, and foster the rational and spiritual aspects of personality. These postulates are strikingly similar to Carl Rogers's approach, which is the foundation of contemporary occupational therapy and involves taking off the mask of an expert: while the occupational therapist is, of course, a professional, he or she is also a human being that is helping another human being.

The process of occupational therapy empowers and enriches not only the patient but the therapist, as well. The same with inclusive leadership: it benefits both the leaders and their subordinates. The leader benefits by being able to work with motivated and engaged people, achieve goals quickly and effectively, and ease some of his or her burden of responsibility. Conversely, the subordinates feel acknowledged, empowered, respected, and provided with agency. Inclusive leadership can be said to expand and optimize the potential of every party in the relationship.

Material and Methods

The study was conducted among 200 participants, who were professionally active occupational therapists working in institutions related to health protection and social support located in Poland. The study was conducted online between October and November 2020. The respondents filled in an electronic form. A link to the form was published on forums dedicated to occupational therapists.

The research tool was a questionnaire designed by the authors of the study, composed of 18 questions and metric data. The questions were either closed-ended or semi-open-ended. At the end of the questionnaire, the respondents were asked to provide their sociodemographic data. The collected data were analyzed quantitatively using descriptive statistics.

The participants comprised 96% women and 4% men. This imbalance was caused by the fact that the profession of the occupational therapist is highly feminized. This variable was not taken into account in quantitative analysis. The most numerous age group was that of respondents aged between 18 and 25 years. The majority of respondents had between 0 and 5 years of work experience. Table 13.1 shows detailed sociodemographic data.

The main research problem concerned how the participants defined leadership and whether they deliberately used elements of leadership in their work.

The following detailed questions were posed to answer the main research problem:

1. Does the participants' work experience correlate with statements about which professional situations require leadership skills?

Table 13.1 Sociodemographic data

Category	<i>N</i> (200)	%
Sex		
Female	192	96
Male	8	4
Work experience as occupational therapist (in years)		
0–5	115	
6–10	55	
11–15	15	
16–20	8	
Over 21	7	
Age (in years)		
18–25	70	
26–34	60	
35–42	29	
43–49	28	
Over 50	13	

2. Does the participants' age correlate with their assessment of leadership as an element related to the profession of an occupational therapist?
3. Does the participants' age correlate with their self-assessment of their own leadership skills?
4. Does the participants' work experience correlate with statements about focusing on the strengths and skills of coworkers rather than their weaknesses?
5. Does the participants' age correlate with responses about being a role model for others?
6. Does the participants' work experience correlate with statements about their ability to admit their own mistakes?

In order to answer the above research questions, statistical analysis was performed using the IBM SPSS Statistics 25 package. The package was used for descriptive statistical analyses using the Kolmogorov–Smirnov test, between-group one-way variance analysis, and Fisher's exact tests. The results were considered statistically significant for $\alpha = 0.05$; however, results with a p -value of $0.05 < p < 0.1$ were interpreted as approaching significance.

Inclusive Leadership and Occupational Therapy in Light of This Study

Basic Descriptive Statistics of the Analyzed Quantitative Variables

First, we analyzed how the participants defined leadership. The most common responses were ranked to better illustrate the obtained results. Table 13.2 shows the detailed data.

Next, the basic descriptive statistics were calculated for the analyzed quantitative variables, along with Kolmogorov–Smirnov test, which was performed to determine the normality of distribution of the variables. As Table 13.3 indicates, all analyzed variables showed non-normal distributions. It is recommended to additionally verify the distribution skewness of these variables in such a situation. If skewness

Table 13.2 Participants' definition of leadership

Category	Rank
Leadership as the ability to affect others	1
Leadership as a synonym of management	2
Leadership as a social role	3
Leadership as a form of taking care of other people and supporting them	4
Leadership as an attitude	5
Leadership as a form of dominance over others	6

Table 13.3 Basic descriptive statistics of the analyzed quantitative variables

	<i>M</i>	<i>Me</i>	<i>SD</i>	<i>Sk</i>	<i>Kurt</i>	<i>Min</i>	<i>Max</i>	<i>K-S</i>	<i>p</i>
To what extent do you think leadership is relevant to the profession of an occupational therapist?	3.88	4	0.81	-0.58	0.68	1	5	0.28	<0.001
How do you assess your own leadership skills?	3.82	4	0.81	-0.68	0.80	1	5	0.30	<0.001
I can admit my own mistakes	4.05	4	1.05	-1.24	1.02	1	5	0.29	<0.001
I focus on the strengths and skills of other people rather than their weaknesses	4.24	4	0.78	-1.35	2.99	1	5	0.28	<0.001
I am a role model for other people	3.75	4	0.78	0.09	-0.69	2	5	0.23	<0.001

M mean, *Me* median, *SD* standard deviation, *Sk* skewness, *Kurt* kurtosis, *Min and Max* minimum and maximum distribution value, *K-S* result of the Kolmogorov–Smirnov test, *p* statistical significance

lies within the ± 2 range, the distribution of a given variable can be assumed to not be significantly asymmetrical relative to the mean (George & Mallery, 2019). Because such values of skewness were observed for all studied variables, we decided to perform statistical analyses using parametric tests.

Work Experience and Frequency of Declaring Specific Situations That Require Leadership Skills

In the next step of the analysis, we tested whether duration of work experience affected how likely a respondent was to declare specific situations that required leadership skills. A series of Fisher exact tests was performed. As Table 13.4 shows, we obtained three statistically significant results and one result approaching significance with respect to working with the clients/patients, working with the clients'/patients' families and caretakers, working with subordinates, and drafting a work plan. Participants with over 21 years of work experience agreed the least. For the first two of the aforementioned situations, the share of participants with 16–20 years of work experience who agreed was also low, but the same group agreed the most with respect to the next two situations. However, the strength of the observed effects, as measured with Cramer's V, was low. No statistically significant results or even results approaching significance were obtained for the remaining situations.

Table 13.4 Work experience and frequency of declaring situations that require leadership skills

			0–5 years	6–10 years	11–15 years	16–20 years	Over 21 years	
During cooperation with other specialists	No	<i>N</i>	73	37	8	6	3	<i>p</i> = 0.606
		%	63.50%	67.30%	53.30%	75.00%	42.90%	
	Yes	<i>N</i>	42	18	7	2	4	
		%	36.50%	32.70%	46.70%	25.00%	57.10%	
When working with clients/patients	No	<i>N</i>	45	19	5	5	6	<i>p</i> = 0.064 <i>V</i> = 0.21
		%	39.10%	34.50%	33.30%	62.50%	85.70%	
	Yes	<i>N</i>	70	36	10	3	1	
		%	60.90%	65.50%	66.70%	37.50%	14.30%	
When working with the clients'/patients' families and caretakers	No	<i>N</i>	60	26	12	6	7	<i>p</i> = 0.010 <i>V</i> = 0.25
		%	52.20%	47.30%	80.00%	75.00%	100.00%	
	Yes	<i>N</i>	55	29	3	2	0	
		%	47.80%	52.70%	20.00%	25.00%	0.00%	
When working with subordinates	No	<i>N</i>	38	18	8	2	7	<i>p</i> = 0.003 <i>V</i> = 0.28
		%	33.00%	32.70%	53.30%	25.00%	100.00%	
	Yes	<i>N</i>	77	37	7	6	0	
		%	67.00%	67.30%	46.70%	75.00%	0.00%	
When drafting the work plan	No	<i>N</i>	51	33	9	3	7	<i>p</i> = 0.014 <i>V</i> = 0.24
		%	44.30%	60.00%	60.00%	37.50%	100.00%	
	Yes	<i>N</i>	64	22	6	5	0	
		%	55.70%	40.00%	40.00%	62.50%	0.00%	
When motivating the clients/patients for action	No	<i>N</i>	38	22	2	4	2	<i>p</i> = 0.303
		%	33.00%	40.00%	13.30%	50.00%	28.60%	
	Yes	<i>N</i>	77	33	13	4	5	
		%	67.00%	60.00%	86.70%	50.00%	71.40%	
When building trust in me as an occupational therapist	No	<i>N</i>	74	38	12	6	5	<i>p</i> = 0.802
		%	64.30%	69.10%	80.00%	75.00%	71.40%	
	Yes	<i>N</i>	41	17	3	2	2	
		%	35.70%	30.90%	20.00%	25.00%	28.60%	
Leadership is not required in my job	No	<i>N</i>	110	50	14	8	7	<i>p</i> = 0.687
		%	95.70%	90.90%	93.30%	100.00%	100.00%	
	Yes	<i>N</i>	5	5	1	0	0	
		%	4.30%	9.10%	6.70%	0.00%	0.00%	

Participants' Age and Assessment of Leadership as an Element Related to the Profession of an Occupational Therapist

We analyzed whether the participants' assessment of leadership as an element related to the profession of an occupational therapist correlated with their age. The strong Brown-Forsythe test for equal means was used because the condition of the

non-homogeneity of variance was not met. A statistically significant result was obtained: $F(4; 94.59) = 5.73; p < 0.001$. Consequently, a *post-hoc* analysis using Dunnett’s test was conducted. Four statistically significant differences were observed. The group of participants aged over 50 assessed leadership as an element related to the profession of an occupational therapist the most often. The variable was higher among this group than among the participants aged 18–25 ($p = 0.014$), 26–34 ($p = 0.048$), 35–42 ($p = 0.010$), and 43–49 ($p = 0.001$). The differences between the other groups were not statistically significant and did not even approach significance. Table 13.5 and Fig. 13.1 provide an overview of the results.

Table 13.5 Participants’ age and their assessment of leadership as an element related to the profession of an occupational therapist

	<i>M</i>	<i>SD</i>
Ages 18–25	3.87	0.66
Ages 26–34	3.97	0.80
Ages 35–42	3.83	0.54
Ages 43–49	3.39	1.13
Over 50	4.62	0.65

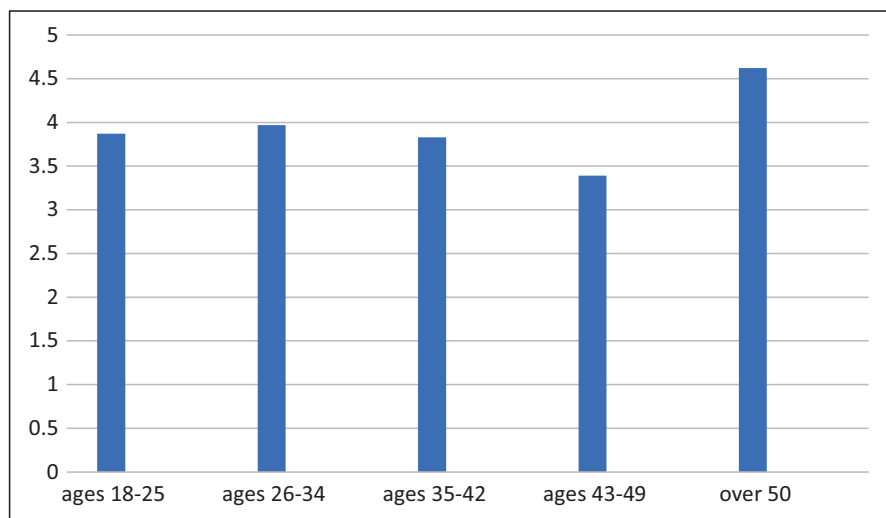


Fig. 13.1 Participants’ age and assessment of leadership as an element related to the profession of occupational therapist

Participants' Age and Assessment of Their Own Leadership Skills

We assessed whether the participants' age correlated with the assessment of their leadership skills. Between-group one-way ANOVA was performed. Because a statistically significant result was found ($F(4; 195) = 4.30; p = 0.002$), *post-hoc* analysis using the Šidák correction was performed. Two statistically significant differences were observed. The group of participants aged 18–25 showed the lowest score on the assessment of their own leadership skills. This variable was lower among this group than among the group aged 43–49 ($p = 0.030$) and over 50 ($p = 0.015$). The differences between the other groups were not statistically significant, and did not even approach significance. Table 13.6 and Fig. 13.2 show an overview of the results.

Table 13.6 Participants' age and assessment of their own leadership skills

	<i>M</i>	<i>SD</i>
Ages 18–25	3.54	0.77
Ages 26–34	3.88	0.87
Ages 35–42	3.9	0.72
Ages 43–49	4.07	0.66
Over 50	4.31	0.86

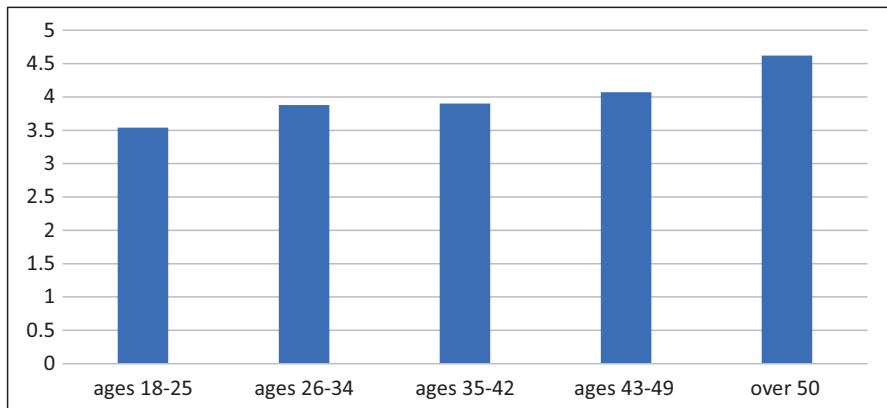


Fig. 13.2 Participants' age and assessment of their own leadership skills

Participants' Work Experience and Responses Related to Focusing on the Strengths and Skills of Coworkers Rather Than Their Weaknesses

We tested whether the participants' work experience correlated with their assessment of their ability to focus on the strengths and skills, rather than weaknesses, of their coworkers. Between-group one-way ANOVA was performed. Because a statistically significant result was found ($F(4; 195) = 2.87; p = 0.024$), *post-hoc* analysis using the Šidák correction was performed. Only one statistically significant difference was observed. The variable was higher among participants with 11–15 years of work experience than among those with 16–20 years of work experience ($p = 0.021$). The differences between the other groups were not statistically significant and did not even approach significance. Table 13.7 and Fig. 13.3 show an overview of the results.

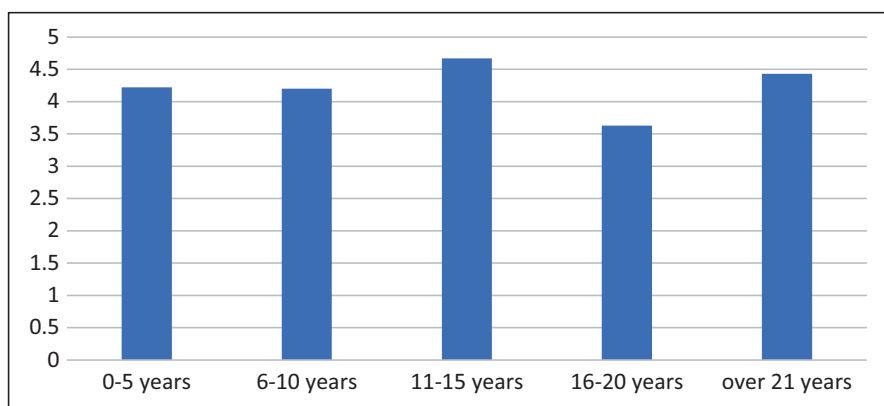


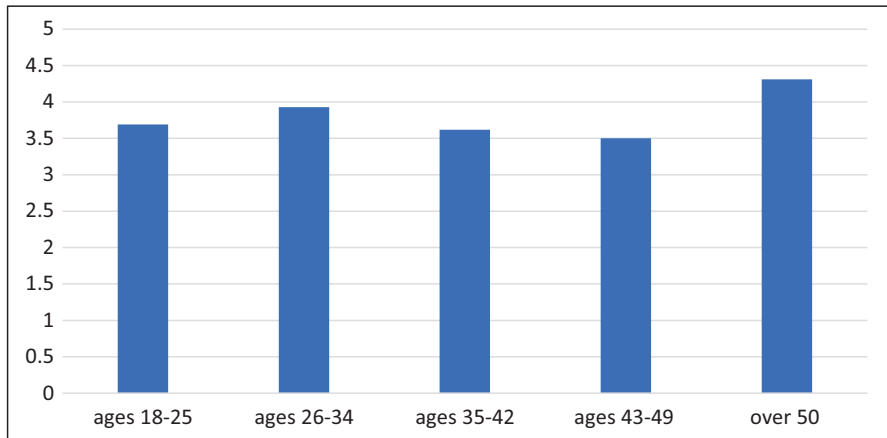
Fig. 13.3 Participants' work experience and responses related to focusing on the strengths and skills of coworkers rather than their weaknesses

Table 13.7 Participants' work experience and responses related to focusing on the strengths and skills of coworkers rather than their weaknesses

	<i>M</i>	<i>SD</i>
0–5 years	4.22	0.74
6–10 years	4.2	0.85
11–15 years	4.67	0.62
16–20 years	3.63	0.92
Over 21 years	4.57	0.54

Table 13.8 Participants' age and responses related to being a role model

	<i>M</i>	<i>SD</i>
Ages 18–25	3.69	0.81
Ages 26–34	3.93	0.73
Ages 35–42	3.62	0.73
Ages 43–49	3.5	0.79
Over 50	4	0.71

**Fig. 13.4** Participants' age and responses related to being a role model

Participants' Age and Responses Related to Being a Role Model

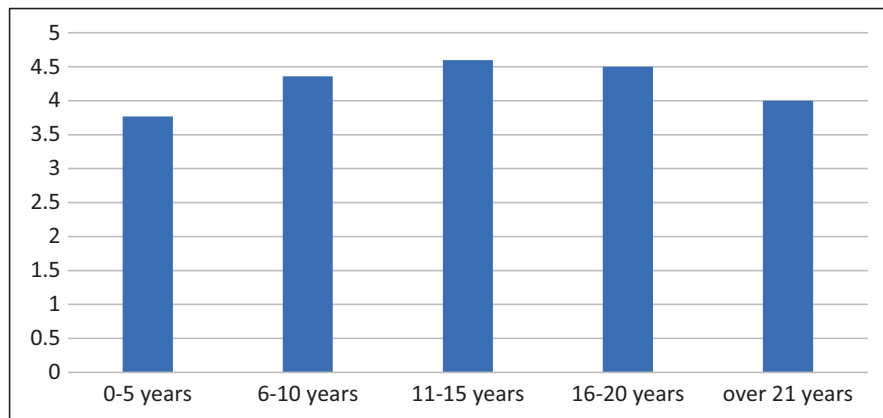
We tested whether the participants' age correlated with their responses related to being a role model to others. The strong Brown-Forsythe test for equal means was used because the condition of the non-homogeneity of variance was not met. Only a single result approaching significance was found ($F(4; 123.67) = 2.36; p = 0.057$). Such a result did not permit a *post-hoc* analysis. Table 13.8 and Fig. 13.4 show an overview of the obtained results.

Participants' Work Experience and Their Assessment of the Ability to Admit Their Own Mistakes

In the final part of the analysis, we tested whether the participants' work experience correlated with their assessment of the ability to admit their own mistakes. The strong Brown-Forsythe test for equal means was used because the condition of the

Table 13.9 Participants' work experience and the ability to admit their own mistakes

	<i>M</i>	<i>SD</i>
0–5 years	3.77	1.25
6–10 years	4.36	0.52
11–15 years	4.6	0.51
16–20 years	4.5	0.54
Over 21 years	4.43	0.54

**Fig. 13.5** Participants' work experience and the ability to admit their own mistakes

non-homogeneity of variance was not met. Because a statistically significant result was found ($F(4; 84.51) = 13.32; p < 0.001$), a *post-hoc* analysis using Dunnett's test was conducted. Three statistically significant differences were found. The group of participants with work experience of up to 5 years showed the lowest score on the assessment of their ability to admit their own mistakes. The variable was lower among this group than among the participants with 6–10 years ($p < 0.001$), 11–15 years ($p < 0.001$) and 16–20 years ($p = 0.048$) of work experience. The differences between the other groups were not statistically significant and did not even approach significance. Table 13.9 and Fig. 13.5 show an overview of the results.

Discussion

The profession of an occupational therapist and the use of specialist knowledge requires a conscious focus on learning and building leadership knowledge and the related skills and modes of thinking. K. Tempests and K. Dancza's description of the situation of occupational therapists in the UK underlines the systemic actions centered around promoting leadership knowledge and practice. This means that the

development of leadership skills, knowledge, and other cornerstones of practice are taken into account in annual assessments, job applications, initial training programs, and follow-up professional training. Because such actions are not undertaken in Poland, it may prove interesting to investigate the participants' attitudes towards leadership. Leadership in occupational therapy is only taught in detail at the level of second-cycle degrees, with first-cycle degrees addressing this subject only on a tangential basis. However, note that Polish occupational therapists have access to the latest publications and are highly mobile, which allows them to expand their knowledge on their own.

In the study, the lowest rank was assigned to leadership defined as a form of dominance over others, which indicated that only few participants viewed leadership this way. The highest rank was assigned to leadership defined as influencing others, which led to the conclusion that the respondents followed the ethos of their profession (occupational therapy as influencing clients in order to foster their well-being rather than giving them orders). The topic of occupational therapists influencing other people also appears in a study by C. P. Heard (2014) as a factor that motivates the study participants to become leaders. Even though Heard's study addresses participants' willingness to affect the profession and quality of practice, the findings can also be interpreted as influencing others. A relatively low rank (4) was assigned to leadership as a form of caring for and supporting other people, which can be explained by the fact that this result is also tied to the professional ethos of occupational therapy. The ethos of occupational therapy underlines the idea that leadership involves engaging the patient to participate in the actions that are taken to help him or her. An intrinsic feature of taking care of others is the establishment of a relationship, i.e., the patient depends on the caretaker. And while occupational therapy does involve a certain asymmetry (the therapist possesses knowledge and skills that the patient does not possess), subject literature more and more often rejects the understanding of the relationship between the therapist and the patient as a type of dependence. Instead, subject literature considers the patient as a participant in the therapy regardless of his or her condition or fitness. Consequently, taking into account the patient's needs seems to be crucial.

In our study, the participants declared which situations required leadership skills in their opinion. The responses clearly depended on age and work experience. According to the participants with over 21 years of experience as occupational therapists, the situation in which leadership skills are the most important was working with the clients. Conversely, the participants with the shortest work experience did not consider leadership skills to be as important as the participants with 11 years of experience or more. With respect to working with subordinates, participants with over 21 years of experience were also the most aware of the importance of leadership skills. The obtained results also show that the participants with the shortest work experience as occupational therapists seem not to acknowledge the importance of leadership in their relationship with the subordinates, which may be due to lack of experience in delegating. Similar results were obtained with respect to management when drafting a work plan: participants with over 21 years of work experience considered leadership skills to be the most important, and those with the

shortest work experience treated them as the least important. Again, this low score on the assessment of leadership skills can be attributed to lack of professional experience. Furthermore, the recognition of leadership skills when interacting with clients and subordinates on the part of participants with the longest work experience corresponds to Heard's study (2014). Heard concluded that competences related to interacting and building relationships with others are a key factor for those occupational therapists who want to become leaders. An important aspect of these competences, which was also underlined by the participants, is communication skills. Therefore, it seems that occupational therapists intuitively distinguish leadership from management. Grady (2003) and McGowan and Miller (2001; quoted after: Fleming-Castaldy & Patro, 2012, p. 188) observe that management focuses on doing things right, while leadership focuses on doing the right things. Consequently, leaders emphasize building relationships and trust, supporting the development of other people, and celebrating the success of the whole team (Grady, 2003; McGowan & Miller, 2001; Kumle & Kelly, 2006; Hitt, 1990). In contrast, managers tend to emphasize giving orders and being in control, and are unwilling to share their knowledge (Kumle & Kelly, 2006).

In our study, we also asked the participants to assess their own leadership skills. The participants' age was chosen as the independent variable for data analysis. The obtained results indicate that the respondents had a responsible attitude toward their profession and a high level of self-awareness, i.e., they did not assume that they would have good leadership skills immediately at the start of their careers. The respondents' experience grew with age. However, there were no significant differences between the group of participants aged 43–49 and the group over age 50. This leads to the conclusion that the participants' self-assessment of their leadership skills stabilizes once they gain enough professional experience. Our results can be compared to those obtained by other authors, who suggest that the self-awareness of personal traits correlates with effective leadership. For instance, Diggins (2004) points out that improving self-awareness of one's skills and abilities is beneficial, because it allows leaders to recognize and control their emotions and thus develop stronger personal relations with their subordinates (quoted after: Butler et al., 2014, p. 88). Our study demonstrated that with growing experience, respondents also became more aware of the connections between various aspects of their profession (occupational therapy and leadership skills). This may indicate that the participants matured with professional experience and/or improved their competences, i.e., perceptiveness, attentiveness, and evaluation ability.

Our study also analyzed the participants' ability to admit their own mistakes depending on work experience. The participants with a shorter period of work experience (up to 5 years) were less self-aware of the quality of their work, which is likely the reason that their ability to admit their own mistakes was the lowest. The same ability improved with work experience, and participants with experience of over 21 years did not show any significant differences or even differences approaching significance, which again indicates that the participants' self-assessment of their work stabilizes once they gain enough professional experience.

Heard (2014) observes that an appropriate understanding of leadership functions is necessary for the development and success of all professions. The subject of leadership in occupational therapy is becoming increasingly relevant. For example, in 2011 in Canada, one of the global leaders in occupational therapy, nearly 15% of occupational therapists identified with the role of the leader or formally held the position of a leader in clinical work, environmental work, and education, including university education (Heard, 2014). Yet despite the growing interest in leadership in occupational therapy, studies on the subject are still relatively rare. Moreover, contemporary theories on leadership only address the subject to a small extent (Heard, 2014). Another issue with these studies is that their results are not applied in practice (Fleming-Castaldy & Patro, 2012). Furthermore, while the studies investigate very interesting problems, they lack an overarching consistency, instead resembling loosely-related patchwork (Heard, 2014). This focus on very different theoretical aspects and little reference to practice hamper the discussion on leadership in occupational therapy. The most well-known studies on the subject are Braveman (2006), Stewart (2007), Snodgrass and Sachar (2008), Snodgrass et al. (2008), Dunbar (2009), and Jacobs and McCormack (2011). Also notable is a study by Kouzes and Posner from 2003, because the Leadership Practice Inventory (LPI) it presents is sometimes applied in research on leadership in occupational therapy (e.g., in Fleming-Castaldy & Patro, 2012). Some of the self-assessment statements from the LPI are also reflected in our study, for example, "I treat others with dignity and respect," "I set a personal example of what I expect from others," or "I make it a point to let people know about my confidence in their abilities." From a broader perspective, the LPI Characteristics also partially correspond to our study, for example, enabling others to act, modeling the way, or encouraging the heart (Kouzes & Posner, 2003). Consequently, the LPI is a tool that could at least partially remedy the aforementioned patchwork character and inconsistency of studies on leadership in occupational therapy.

Conclusions

Analysis of the obtained results has allowed us to answer the basic research questions.

1. The participants' work experience correlates with their responses concerning the professional situations that require leadership skills. According to the participants who have worked as occupational therapists for more than 21 years, the most prominent of such situations are working with clients, working with subordinates, and drafting a work plan.
2. The participants' awareness of the connection between leadership and the profession of an occupational therapist grows with age.
3. Participants aged 43 and over assess their own leadership skills with the highest score, while younger persons show a lower score on self-assessment.

4. Participants with 11–15 years of work experience focus on the strengths and skills of their coworkers.
5. The participants' age does not correlate with their responses related to being a role model for other people.
6. Participants with the shortest work experience (up to 5 years) assessed their ability to admit their own mistakes with the lowest score.

Leadership is a topic that cannot be ignored in discussions on occupational therapy. First and foremost, leadership has a practical aspect related to working both as a manager and with the patients. Leadership skills should already be taught during training and university courses for occupational therapists. Such efforts have already been successfully implemented in some countries. Research results, including the results of our study, suggest that occupational therapists have the potential to become leaders (Fleming-Castaldy & Patro, 2012). However, this requires a high level of self-awareness and a determination in obtaining this self-awareness. Our study indicates that occupational therapists are aware that leadership is connected to their profession. However, participants indicate different situations in which leadership skills are relevant, depending on their age.

Consequently, in order to develop leadership in occupational therapy, especially inclusive leadership, it seems important to educate future occupational therapists about leadership, building their leadership skills, and improving the status of the profession among multidisciplinary teams. To this end, both systemic actions and individual work and determination in mastering the profession are needed. Improving one's competences is a goal that every occupational therapist should continuously aim toward, regardless of age or work experience. After all, in occupational therapy, there is intrinsic feedback between professionalism and ethics: a professional occupational therapist follows ethical rules and, *vice versa*, following ethical rules requires highly professional performance on the part of the occupational therapist (Hack, 2004). Because occupational therapy is both a servant profession and a public trust profession, the intermingling between ethics and professionalism is one of its defining features. Therefore, it is difficult to imagine that occupational therapy would involve any type of leadership other than inclusive leadership, which is very closely tied to the notion of a servant profession, thanks to its emphasis on the agency of individuals, joint effort, and relationships of trust.

Key Chapter Takeaways

- The great variety of the roles that occupational therapists assume as part of their work means that leadership skills, especially inclusive leadership, are an important asset.
- The concept of inclusive leadership is closely related to that of servant leadership, which seems particularly interesting in relation to occupational therapy.
- We conducted our study among 200 professionally active occupational therapists who have worked in healthcare and social support institutions in Poland.
- The main research problem concerned how the participants defined leadership and whether they deliberately used elements of leadership in their work.

- The participants' responses showed a clear correlation with age and work experience.
- The ethos of occupation therapy underlines the idea that leadership entails engaging the client in the actions that the therapist takes to help him or her.
- Research results, including the results of research conducted by us, suggest that occupational therapists have the potential to assume leadership roles.
- Inclusive leadership is highly convergent with the theory, practice, and ethos of occupational therapy.

Reflective Questions

1. What is servant leadership?
2. What competences does inclusive leadership involve?
3. What are the primary determinants in the profession of an occupational therapist?
4. From what points of view can inclusive leadership in occupational therapy be considered?
5. In what situations are occupational therapists able to apply inclusive leadership?

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Chapter 14

What Makes Diversity, Equity, and Inclusion Possible?



Jody A. Worley

Introduction

Conversations about diversity, equity, social justice, and the struggle for inclusion are not new. So, why can't we figure out how to make it work? The issues are largely at the intersections of interpersonal relations and system level structures created under the influence of unchallenged values and lived experiences that did not include all stakeholders at the time of creation. So, what does inclusion and equity look like now, and what is the likelihood that the value for DEI can be achieved such that organizational systems accommodate everyone naturally? This paper probes the improbable to explore the unpredictable lived experiences of equity and inclusion with a wink toward the availability heuristic (Tversky & Kahneman, 1973) and a nod toward the causal ambiguity of competitive advantage for organizational performance.

The availability heuristic, or availability bias, is a cognitive tendency or shortcut that involves making decisions or judgements about the likelihood of an event based on information or immediate examples that occur to a person as they are evaluating a specific topic or concept. Consequently, reliance on an availability heuristic can lead to systematic bias in planning and decision making because the inherent bias distorts attention away from real or more likely probabilities. The influence of the availability heuristic on DEI work is illustrated succinctly in an anonymous statement made by one employee in 2020: "We find new and fascinating ways to discriminate between (and against) each other all the time. The idea of employees and contractors standing in opposition to each other over their employment status – and superimposing that status over their individual differences (disloyal versus

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arrogant) is frustratingly funny. We find so many ways to identify who is “us” and who is “other,” but what I find interesting is that we will actually make assumptions about a person’s behavior or attitude or belief structure based on their in- or out-group status. I see the same thing in my workplace, and people really struggle to allow individuals to be of a particular group while espousing an ideology or values that don’t seem to align with the majority of that group. Organizations can work to diversify, but if individuals aren’t willing to have their positions challenged by new experiences, then inclusion and equity are probably pipe dreams.”

Causal ambiguity refers to the perceived ambiguity by organizational decision makers about how organizational actions and results or inputs and outcome are linked (King, 2007; Lippman & Rumelt, 1982; Powell et al., 2006). Although conversations about diversity and inclusion are not new, the availability heuristic and the notion of causal ambiguity have relevance for gaining insight and understanding about what makes diversity, equity, and inclusion possible in organizations today and in the future.

Much attention in the DEI literature and efforts in DEI work is problem-focused asking and addressing questions to identify, describe, understand, and develop strategies to deal with barriers to equity and inclusion. A causal ambiguity approach shifts the focus from describing what is wrong and what needs to be fixed, to identifying what is missing the presence of which would make a difference. Causal ambiguity often suggests that something works (or it does not work) but without knowing or understanding why (Kaul, 2013; Matthews, 2003). A causal ambiguity approach considers the mechanisms that will make it possible, rather than focusing on what happens or how it feels when it does not exist.

A helpful starting place in the process of unpacking this application of causal ambiguity as it relates with DEI work will be to review some of the previous attempts to identify linkages and connections between actions and results. The review of initiatives and outcomes in the professional practice of DEI work will be followed by considering some implications and implementation strategies in organizational contexts.

Links Between Actions and Results with Regards to Diversity, Equity, and Inclusion

Companies often promote diversity, equity, and inclusion as core values with few references to the positive outcomes. DEI work in organizational practice is often situated in the same context and conversation as being honest, loyal, or trustworthy, as the right thing to do. Partially influenced by the business case for diversity (Cox & Blake, 1991), many organizations invest large financial resources in diversity initiatives with expectations for a positive return on that investment (Grossman, 2000; Rajan et al., 2000). What the available evidence shows is that part of what transforms diversity, equity, and inclusion strategies into lived realities are clear and

effective mechanisms for improving organizational culture and climate to create an inclusive work climate that embraces diversity *and* inclusion and integrates differences (Avery, 2011; Avery & McKay, 2010; Guillame et al., 2014; Holmes et al., 2020). The questions that remain, however, generally center around how best to create a work climate that is inclusive such that everyone recognizes a sense of belonging. In other words, what are the mechanisms and features that make that kind of work climate possible and sustainable in organizations today and in the future?

Without starting at the beginning and mastering (or at least attempting to understand) the fundamental elements of experience sharing (lived experiences), people in the influential groups, power class, or dominant culture are unable to jump in at mid-level and implement changes that make real, sustainable difference. Availability bias contributes to legitimate blind spots such that people in leadership or other decision making positions often have difficulty grasping the intrinsic payoff of their privilege. Despite high-functioning productivity and performance in other areas, inattention to daily undesirable slights and microaggressions or careless inconsideration leads to organizational dynamics and human relations that resemble a house of cards when attempting to identify and understand the most salient factors contributing to desired outcomes.

Nishi (2013) introduced the concept of a “climate for inclusion” such that inclusive environment is a characteristic of culture. An inclusive climate transcends a workforce that is demographically diverse where “individuals of all backgrounds – not just members of historically powerful identity groups – are fairly treated, valued for who they are, and included in core decision making” (p. 1754). Chrobot-Mason and Aramovich (2013) found decreases in turnover intentions when employees perceive support for diverse workplace climate. This suggests that organizations might benefit by allocating resources to create an environment that supports a diverse workforce. A reasonable approach to understanding the causal ambiguity of DEI initiatives is to first specify what works and what doesn’t work. Then, we can better recognize what remains ambiguous or unknown, thus positioning ourselves for better understanding what makes DEI possible.

Positive Linkages Between Actions and Results

We have long known that diversity enables the organization to draw from a larger talent pool, increases its capacity to innovate and make better decisions, and also allows access to a wider customer base and to better satisfy customer needs (Cox & Blake, 1991). Identity diversity is important for attracting investors in financial markets and for understanding diverse pools of customers. Research has also shown that within organizations gender diversity improves performance on difficult tasks through improved communication and social perceptiveness (Woolley et al., 2010, 2015). There is also long-standing evidence relating diversity climates at work with increased performance and reduced turnover (Gilbert et al., 1999; O’Reilly et al.,

1998). Page (2017) presents strong correlational evidence for diversity benefits using aggregate data relating employee and leadership diversity to organizational success in the form of profitability. This evidence is consistent with findings reported across large scale studies that explored the relationship between employee and leadership diversity and organizational profits and market share (Hunt et al., 2015, 2018). However, these positive outcomes may only be possible if other HR initiatives exist that enable effective diversity management (Avery & McKay, 2010; Kulik & Roberson, 2008). For example, identity diversity does not improve performance on routine tasks (Jackson & Joshi, 2011; Mannix & Neale, 2005). Positive correlational evidence is encouraging but it does not imply direct outcomes; there are other factors that make results possible. In fact, the consequences for organizations might also be negative when diversity does not work.

Negative Linkages Between Actions and Results

Diversity has also been shown to lead to less desirable outcomes, such as more absenteeism, weaker employee attachment (Tsui et al., 1992), more conflict (Jehn et al., 1999), poorer in-role and extra-role performance (Chatman et al., 1998; Chattopadhyay, 1999), lower revenues due to missed business opportunities (Richard et al., 2004), more discrimination (Avery et al., 2007), and expensive lawsuits involving employment discrimination (Selmi, 2003). Despite positive associations between DEI initiatives and organizational outcomes, there is evidence suggesting that too much diversity can hinder performance on almost any task, at least initially (Jackson & Joshi, 2011; Jehn et al., 1999; van Knippenberg & Schippers, 2007).

Ambiguous Linkages Between Actions and Results

There are also reported findings that are inconsistent with results across studies. For example, Bernstein and Davidson (2012) concluded no direct impact on organizational performance in nonprofits following implementation of specific organizational practices designed to demonstrate organizational commitment to diversity and inclusion. The practices included diversity statements or policies, committees or task forces dedicated to diversity and inclusion, diversity training for board members, organizational efforts to recruit from diverse communities of prospective employees, and integration of diversity into organization's core mission and values. Despite these intentional organizational practices there was no direct impact on organizational performance. However, the practices observed by Bernstein and Davidson (2012) did significantly influence the adoption of inclusive culture and inclusive board dynamics (i.e., environmental change) even though there was no direct impact on performance. Likewise, Mor Barak et al. (2016) found that

management efforts promoting inclusion (climate factors) were consistently related to positive outcomes, but that diversity alone was associated with positive and negative outcomes.

Despite the volume of work and findings from research that are available on topics of diversity, equity, and inclusion, our knowledge remains limited as to how, when, and why diversity affects work outcomes (Guillaume et al., 2014; van Knippenberg & Schippers, 2007) and we still know very little about which diversity management practices are most effective (Avery & McKay, 2010; Guillaume et al., 2014). Available evidence has not been clearly communicated with decision makers in organizational contexts. Kulik and Roberson (2008) reported that more than 80% of what is written in non-academic outlets is of questionable quality. However, there has been some positive progress in this regard. While meta-analytic evidence has been somewhat ambiguous and open to interpretation in the past, suggesting that analyzing main effects are of little use for explaining the relationship between diversity and work outcomes (Bell, 2007; Bowers et al., 2000; Guillaume et al., 2012; Horwitz & Horwitz, 2007; Joshi & Roh, 2009; van Dijk et al., 2012; Webber & Donahue, 2001) a more recent meta-analysis indicates that diversity climate has a positive association with several individual-level and organizational level outcomes such as job satisfaction, organizational commitment, employee engagement, and performance outcomes (Holmes et al., 2020). The common message from all of this research is that for diversity to work in the workplace, we need a better understanding of how, when, and why diversity (and more importantly, inclusion) affects work outcomes.

Missing links or causal ambiguity is often associated with negatives – what doesn't work, doesn't have clear advantages, or doesn't appear to make significant contributions or add value. The expected criteria are negative pointing out the "lack of" or "the limitations." Optimal balance might be achieved when we can realize the full extent of the diverse and inclusive climate and temper that realization with a hearty dose of optimism.

Optimism will not only provide a foundation for strength to see benefits within the root structure but can facilitate the process to healthier organizational climate, more positive outlook, perceived supportive environment, and clear ability to problem solve in challenging situations. True optimism is grounded in reality. That reality comes from an assessment or evaluation of how the workforce presents and responds across different scenarios. Optimism comes from looking at the gaping chasm between groups, teams, work units, identity group affiliations and intersections among groups – recognizing the gaps for what they are and then building bridges and bonding the intersections. The next step toward understanding what works is to recognize the mechanisms or factors contributing to and informing the decisions that will make a difference by people in leadership positions.

Mechanisms Giving Rise to Verifiable Leadership Decisions

The extant literature and research suggest that achieving positive performance outcomes from diversity and inclusion efforts is not going to occur without the adoption of deliberate practices beyond simply revising company policies or updating the organizational mission statement. Furthermore, as it turns out, there are mixed results (at best) for most diversity training initiatives. Despite the best efforts and intentions so far, daily microaggressions, stereotyping, and discriminatory actions persist. So, we need to generate more effective solutions.

The diversity management literature approaches the question a little differently. Instead of focusing on the question of how diversity affects work outcomes, it is assumed that the benefits of diversity can be achieved by creating and effectively managing diversity climates (Kossek & Zonia, 1993). The idea is that diversity climate allows employees to embrace difference as uniqueness and develop a stronger sense of belongingness, ownership and identity with the organization and therefore reciprocate with work behaviors that benefit the organization. For example, McKay et al. (2008) found that diversity climate plays an important role in predicting sales performance. A variety of other consequences of diversity climate have been explored (Cf. Chrobot-Mason & Aramovich, 2013; Hicks-Clarke & Iles, 2000; van Knippenberg et al., 2013; Holmes et al., 2020). Evidence from the diversity management literature that focuses on culture and climate issues rather than work outcomes seems to suggest that creating an affirming climate to support a diverse workforce is a key mechanism and should be included in strategic plans to improve employee satisfaction and commitment, thus reducing turnover and other important organizational outcomes.

What if there were no clear linkages, no financial benefit or productivity gains to speak of? Perhaps the most significant benefit is not statistical significance. Perhaps the most significant benefit is the practical significance of enhanced awareness and understanding of each other among people who work together and share communities in which they work and live. This might include a greater appreciation and validation of a system that can work naturally for everyone without the need for special training, special programs, special focus, or attention. It may help focus efforts, see things more clearly, and provide access to ways of operating with fewer barriers and obstacles such that anyone can perform, produce, and innovate without having to negotiate or navigate a system that was designed and implemented to work well for someone else.

Although Evans and Moore (2015) address concerns and experiences among people of color, much of what they present might be consistent with experiences among people with other identity group affiliations (i.e., identity affiliations other than race). For example, they present evidence that they interpret to mean that although the narratives and stereotypes may be different in form for different people of color, many people of color experience similar challenges in navigating and negotiating “white institutional space” in the context of institutions and industries that are created “systems of white domination.” The institutions and industries that

Evans and Moore are alluding to were created by people who were predominately white, male, heterosexual, Christian, with few visible disabilities. It is conceivable that anyone who does not identify with the dominant views will experience some difficulty or burden when negotiating or navigating the dominant system at some point in their professional (and personal) lives.

The concern is that many interventions do fail, progress is slow, and the consequences for failed attempts are damaging (Gonzalez, 2010; Evan & Leo Moore, 2015; Wilton et al., 2020). What remains ambiguous is the process. What makes diversity, equity, and inclusion possible? What are those clear and effective mechanisms for creating a climate that works naturally for everyone?

Organizational climate perspectives need to examine the cultural artifacts, practices, and procedures that emphasize the value of diversity. Not just the espoused values that are spoken or included in company promotional materials, but the enacted values expressed through actions, behaviors, and practices that are reinforced by real consequences for policy violations. These artifacts and practices might include diversity training, recruitment, retention and promotion, or reward policies within organizations (Kossek & Pichler, 2008). Whatever mechanisms are in place should be visible and reflected through clear and measurable (and measured) objectives at every level (individual, team, department, site, organization) with consistent opportunities for feedback and improvement modification.

So, what are the mechanisms that give rise to verifiable leadership decisions in the direction of positive change in ways that will lead to the emergence of a system or institution or industry or company culture that works naturally for everyone and does not require special navigation or negotiating strategies on a daily basis?

Internal Motivation and Authentic Intentions

Wilton et al. (2020) reinforces the idea that authentic intentionality is a prerequisite for meaningful action. Having leaders that clearly signal the importance of diversity and inclusion in the work environment is often a more powerful influencer of behavior than DEI training itself (Berzrukova et al., 2016; Chang et al., 2019). People in leadership or other positions that influence decision making are encouraged to begin with an examination of individual level attitudes related to diverse populations, and how organizational values and beliefs may influence leadership style and behavior. Even the most egalitarian employees may inadvertently adjust behavior around unfamiliar groups in an effort to avoid an embarrassing or disrespectful interaction (Noon, 2018). Senior leaders and management are encouraged to undergo a tailored training to better understand how to lead diverse populations, how to recognize and respond to microaggressions and unconscious bias, and how to build more cohesive teams.

People in leadership positions are encouraged to resist the urge to push the easy button. There are plenty of tips, tricks, and tests available that allow groups quick access to seemingly illuminating information. Popular psychology approaches have

received attention in recent years, perhaps as a function of social media and other online search tools, promoting personality tests of idiosyncratic traits, often to an inappropriately prescriptive end. Implicit bias tests are receiving much of the same kind of attention, especially in the wake of high profile racial and gender-based violence in recent years. However, implicit bias tests, while occasionally informative, are not shown to consistently modify adverse behaviors (Noon, 2018). In fact, sometimes they can alter behavior in ways that *decrease* diverse interactions because of a fear that implicit biases may become explicit.

Martins (2020) also highlights the role that leaders and people in leadership positions have in shaping the meaning of inclusion in their organizations. The ways that senior leaders symbolize the value of diversity in their words (i.e., espoused values) and actions (i.e., enacted values) affects the extent to which diversity and inclusion are linked with organizational performance. This is what Martins refers to as “strategic diversity leadership” as a mechanism that makes the “diversity dividend” possible.

Cooley et al. (2018) present evidence for the importance of internal motivation, especially for behavioral outcomes associated with implicit racial bias. They found that among people who have low internal motivation to respond without prejudice taking ownership of implicit race bias served as a justification for its overt expression. However, among people who have high internal motivation to respond without prejudice taking ownership of implicit race bias led them to be less likely to express that bias overtly. For DEI work in organizations, this evidence suggests that we should either not poke the bear or teach people to develop higher internal motivation to interact without prejudice before prompting them to take ownership of implicit race biases. If there is an interest in using any sort of personality testing or one-off subject matter expert training, it is highly recommended that diversity and inclusion experts in training and development or in the HR department provide oversight for using the data to inform sustainable behavior change.

Change makers must also be aware of the limitations of diversity trainings. Noon (2018) argues that unconscious bias training is sometimes offered on the basis of an incorrect assumption that when an individual is made aware of their unconscious bias, they will work to change their behavior. Noon (2018) explains that since racism in organizations is much more covert due to new societal norms and laws, adverse individual behaviors are sometimes sustained among individuals who are already aware of their bias and have no intention to change, or do not view their behaviors as biased. Even in cases where individuals acknowledge their biased attitudes and behaviors, the revelation could lead them to withdraw from interacting with diverse others out of concerns that they may be perceived as being offensive.

In addition, Chang et al. (2019), found organizations that tried to change employees’ unsupportive behaviors and attitudes towards women with diversity training, only affected their attitudes, but not their behaviors. And that those who experienced the most behavioral changes were already supportive of diversity and the inclusion of women in the workplace. Bezrukova et al. (2016) however found that diversity trainings were more useful when done in tandem with other diversity initiatives. Which could include creating professional minority groups sponsored by the

organization. As these efforts were seen by employees as genuine commitment to diversity in the workplace. They also found that diversity trainings that focused on both skill development and awareness were more effective in changing attitudes and behaviors of employees. And that when diversity training was conducted over a significant period of time it was more effective (Bezrukova et al., 2016).

After implementing a robust training plan, organization leaders are encouraged to create mechanisms that will help community members remain engaged and integrate lessons learned into the workplace culture. The workplace environment should become one where people feel safe and at liberty to have difficult conversations. This can be facilitated by developing a DEI task force made up of trainers and subject matter experts that post their information in high traffic areas. Employees should be encouraged to use them whenever reinforcement is needed. It is important that employees know how to elevate issues appropriately, and that they feel supported when they do so. Supportive and visionary leaders will remain a visible ally and own mistakes when they are made. Employees can tell when diversity and inclusion is just another legal box to check. Therefore, it is important to ensure that actions match words and that leaders and employees can lean on the DEI subject matter experts for support when needed. Ultimately, the goal is to make diversity and inclusion a genuine part of the organizational culture and climate.

Recruiting, Retaining, and Promoting Diverse Employees

Recruiting, retaining, and promoting diverse employees are critical for organizational success. There is a lot to learn from successful organizations that have developed effective and efficient talent management practices. Clearly, organizations that are successful in leveraging the diversity of their people are better able to adapt to changes in the external environment (Robinson et al., 2003). There is evidence that diversity makes us smarter and enables “better” decision making (Phillips, 2014; Phillips et al., 2009). There are many suggested practices for developing recruitment, selection, and promotion processes to enhance equal employment opportunities and support a diversity climate.

Hiring practices are one of the most influential mechanisms for expanding organizational diversity. Negative consequences for attaining diversity are possible, however, when an organization uses a selection measure demonstrating adverse impact potential. Adverse impact has been defined as subgroup differences in selection rates (e.g., hiring, licensure and certification, college admissions) that disadvantage groups protected under Title VII of the 1964 Civil Rights Act. Adverse impact is evidenced when the minority selection ratio is 80% or less of the majority selection ratio (Equal Employment Opportunity Commission, Civil Service Commission, Department of Labor & Department of Justice, 1978). When the adverse impact ratio is low, organizations can face reputational risk and legal charges of discriminatory practice.

In terms of retaining and promoting employees, due process performance appraisals aim to ensure that employees experience fair and structured procedures in evaluation (Levy et al., 2015). Training effectiveness and internal motivation, discussed earlier, also influence promotion opportunities. For example, the development of cross-functional work teams have been shown to increase positive interactions within a diverse workforce and improve organizational effectiveness (Phillips, 2014). The restructuring from segregated to collaborative teams reduces stereotypes and group boundaries and has shown to lead to an increase in advancement opportunities for women and minorities. Developing a climate for bridging and bonding among workforce members also influences promotion opportunities and will be discussed next.

Bridging, Bonding and Generative Interactions

Fulton (2020) discusses the dynamics of bridging and bonding that lends insight and support for the critical importance of generative interactions (Bernstein et al., 2020). Self-segregation, cross-cultural communication apprehension, stereotyping, and stigmatizing lead to exclusion and inhibit inclusion and equity in the workplace. However, there are practices that effectively counter exclusion while promoting and leading to equity and inclusion in the workplace (Bernstein et al., 2020). When group members perceive others as a threat, they experience communication apprehension with those from different backgrounds. By contrast, when work environment includes conditions for personal comfort and extended contact, diverse members are more willing to communicate with each other and reduce self-segregation. This can be developed by simply recognizing employees and coworkers for adaptability and efforts to connect (bridging). Verbal acknowledgement and words of appreciation may also foster a sense of belonging for individuals and function to bridge intersections between and within groups.

The frequency of interaction among diverse groups of individual creates opportunity for increased awareness, understanding, and appreciation for differences and growth toward inclusive behaviors. However, it is important to recognize that positive change is not actualized through frequent interactions alone. Quality engagement is a key component in generative interactions that frequent interaction does not provide automatically. There must be intentional effort to facilitate a sense of inclusion and connection among employees who are adjusting to new realities in alternative workspaces by creating ways to increase social bonding (Fulton, 2020). For example, managers and supervisors can set aside time during meetings or informally to talk about topics not on the agenda. Evidence suggests that quality of interactions matter more than frequency.

Finally, Guillame et al. (2013) reminds us that a successful diversity strategy must recognize the critical importance of culture change to create an inclusive work climate that not only creates opportunity for diversity but embraces it and integrates differences among employees. Managers and organizational decision makers must

be mindful of creating a positive diversity climate of belongingness so that employees feel psychologically secure. This is possible through the implementation of HR policies that encourage open communication among all employees without risk of backlash or negative consequences. The influence of senior management values on organizational climate and culture for diversity moderates and sets the tone for the nature and extent of inclusivity and equity in the organization. This is showcased in the example of how one organizational task force works to increase diversity and inclusion presented below.

How One Organizational Task Force Works to Increase Diversity and Inclusion

As part of a system-wide effort to create a welcoming environment for all organizational community members, executive leaders formed a Diversity Alliance Task Force. The task force, consisting of members from all levels within the community, meets monthly to work toward a shared goal of enhancing diversity and inclusion within the organization.

The Diversity Alliance Task Force is a mechanism for all community members to participate in creating a unified voice that addresses a need for more internal stakeholders from diverse backgrounds. The task force values the promotion of excellence in inclusion to sustain a diverse workforce and aims to develop an organizational community that is reflective of the external social community it serves.

The task force operates on five core values:

Access, Equity, and Success: Increase access, equity and success by attracting, retaining and ensuring the success of all internal stakeholders from diverse backgrounds to an environment where all have the opportunity to thrive within the organization and beyond.

Community: Create equitable and collaborative partnerships to better work together within and outside the organization toward shared goals.

Education and Learning: Enhance and increase learning development through promoting diversity in the formal and informal training and development curricula.

Sustainable Transformation: Engage in continuous individual and leadership reflection and collaboration through performance management, promotion processes, and education to build a supportive psychological and behavioral climate supportive of all organizational community stakeholders.

Accountability: Measure and evaluate progress toward realization of the vision for equity, diversity, excellence and inclusivity. Identify and remove barriers to achieving this vision.

These core values drive the work of the task force so that everything it does continuously fosters excellence.

Resource-Based View of Diversity, Equity, and Inclusion with Causal Ambiguity

From a resource-based perspective (that is, considering *all* human resources), how can human relations professionals contribute to the reconstruction of institutions and industries that are currently created and designed in ways that, according to the reported experiences from participants in Evans and Moore (2015), continue to allow for everyday microaggressions, stereotypes, and discriminatory actions? How do we, as human relations professionals, contribute to efforts to overcome the “impossible burdens” presented in Evans and Moore (2015)?

One approach is to consider solution-strategies that do not rely on predictable outcomes. Shifting the focus from outcomes to developing ways to leverage resources that contribute to the creation of a diverse climate is one such approach. Integrating a few solution options that do not rely on predictable outcomes will also help to prevent making inappropriate decisions or misapplications of “what seems to work” in the future.

Konlechner and Ambrosini (2019) identified issues and trends in causal ambiguity research as it applies to competitive advantage and organizational performance. Insights from their work have valuable transfer potential for applications in DEI work. Specifically, Konlechner and Ambrosini identified three streams of evidence for the role of causal ambiguity in the workplace. Causal ambiguity (linkage or characteristic ambiguity) as a barrier to imitation, causal ambiguity as a barrier to knowledge transfer, and causal ambiguity as a potential trigger for organizational learning.

Causal Ambiguity as a Barrier to Imitation

Strategies or initiatives that worked or seem to work in one context or organization may not work well or may not work at all in a different setting with different employee characteristics. This is what Konlechner and Ambrosini (2019) refer to as the “substitution dilemma.” Although they were discussing this in the context of competitive advantage and firm performance, the notion of the substitution dilemma has relevance for DEI work when organizations attempt to implement initiatives that have shown success in a different organization or industry. If the goal is to make equity and inclusion possible, we need to better understand what works, for whom, in what context, and for what duration.

Causal Ambiguity as a Barrier to Knowledge Transfer

Implications of ambiguity for factor mobility follows directly from ambiguity as a barrier to imitation. Ambiguity as to how actions and results are linked moderates the relationship between perception of trustworthiness in the knowledge source and the level of accuracy of reproducing working examples in a new context. In other words, knowledge transfer and the ability to replicate working models is limited to the extent that the level of trust is limited. When causal ambiguity is high, perceived trustworthiness may be counterproductive because it leads to a lack of attention and accuracy in knowledge transfer, ultimately hampering the organization's ability to leverage knowledge. This is what Konlechner and Ambrosini (2019) refer to as the "causal ambiguity paradox." Organizational and individual level approaches are required to reduce the paradox of causal ambiguity.

At the organizational level, the focus is on input characteristics (e.g., implicit values and characteristics of the work environment) as antecedents of causal ambiguity. From a resource-based view, input characteristics include features such as who the organization recruits, retains, and promotes. Again, consider the opportunities for employees to build interpersonal bridges and strengthen bonds across the organization – especially at the intersections of identity affiliations. At the individual level, consider the importance of interpersonal relationships and relationship competencies (soft skills) that facilitate learning and development. This underscores the value of generative interactions and the quality of engagement over and above the frequency of encounters among diverse employees. The more robust the interpersonal relations are within an organization, the more likely there will be higher levels of trust and fewer barriers to knowledge transfer.

Causal Ambiguity as a Trigger to Organizational Learning

The challenge of learning under causal ambiguity also follows from causal ambiguity as a barrier to imitation and knowledge transfer. Causal ambiguity as a trigger to organizational learning has to do with the ability of individuals to manage causal ambiguity through taking actions to stimulate organizational learning. Organizational learning may be in the form of raising awareness or building on awareness for increasing understanding. While raising awareness is a necessary prerequisite for increased understanding that will lead to productive and progressive action, it may also be true that once there is an increase in understanding, intentional action is necessary to broaden awareness and deepen the understanding to elicit more action in a positive direction.

Focus on manager reactions to perceptions of causal ambiguity. Reactions to perceived ambiguity implies that organizational decision makers know that they do not know the links between actions and outcomes. Rational response options include proactively engaging in actions aimed at reducing ambiguity (i.e., improving input

characteristics and organizational structures for better quality relationships). Zollo and Winter (2002) proposed that the accumulation of experience, knowledge acquisition, and knowledge codification serve as learning mechanisms that enable organizations to systematically enhance understanding of causal linkages between actions and performance outcomes.

As a final note on causal ambiguity as a trigger to organizational learning, beware of superstitious learning. Superstitious learning occurs when organizations gain experience and try things that prove successful in some situations but then become overconfident that the “problem is solved” and move on to neglect future issues or apply lessons they *believe* they have learned only to take inappropriate actions that can damage future success.

The next and final section presents a framework for considering the development of interventions and communicating change initiatives.

Interventions to Facilitate Communication of Change Initiatives

Wilton et al. (2020) reported that although 87% of Fortune 500 companies express diversity values explicitly on company web sites, ethnic minorities still experience microaggressions (p. 1171). It can be extremely attractive to a potential employee to see the expressed value of diversity, but this will fade if minorities experience subtle snubs, dismissive tones, or are at a disadvantage in opportunities for advancement to identity affiliation (Wilton et al., 2020). There are at least three classifications or categories of interventions to foster inclusion and the things that make it possible. One category focuses on interventions at different times in the development of diversity climate. A second category focuses on interventions that address either specific or multiple issues. A third category addresses capacity building interventions versus direct mitigation. These categories or classifications for different types of interventions will continue to be an issue for further exploration as we gain better understanding of intersectionality (Cf. Abend, 2020).

Interventions Focusing on Different Time Points in Development of Inclusive Climate

Preventive Interventions reduce the likelihood of an undesirable event occurring (e.g., exclusion, discrimination, microaggression, micro-resistance, and so on), or reduce the likelihood that the occurrence of an undesirable event will result in a loss.

Response Interventions improve response capacity and help people manage the immediate impact of the event. Response interventions are most often beneficial

for people in leadership roles with authority for decision-making but may also appease people who have experienced an undesirable event or action.

Endurance Interventions provide support for people recovering from the aftermath of an experience resulting from undesirable events, actions, behaviors, or treatment while actions are taken to mitigate the immediate situation but also improve the climate such that the workplace environment is less adverse.

Recovery Interventions enable rebuilding and flourishing despite past adversity. Leaders must acknowledge the existential nature of undesirable events and the enabling factors that made it possible. In other words, do not deny, disassociate, or discount lived experiences.

Strategies that focus on prevention are often appealing because when implemented correctly and in a timely manner (i.e., before it is too late) they contribute or enable significantly less harm (or disable the possibility for greater harm). Moreover, because many of the causal mechanisms underlying undesirable events and actions (e.g., implicit bias) are in their early stages related to more frequent risks (e.g., daily microaggressions or personal slights). Some prevention approaches can be integrated with work that addresses diversity, equity, and inclusion efforts/initiatives that have already established support (e.g., some training or educational initiatives). For example, diversity training is important for every member of the workforce, but it cannot be a standalone solution. Indeed, training itself rarely, if ever, actually leads to sustained behavior change (Bezrukova et al., 2016; Chang et al., 2019; Noon, 2018). Rather, training sets the environment for cognitive development (Bezrukova et al., 2016). Behavior change follows when opportunities to put learning into practice are provided. It is recommended that diversity training be followed by mentorship initiatives, guided small group discussions, and other meaningful interactions that allow further growth around the topic.

Interventions Focusing on Specific Versus Multiple Issues (Intersectionality)

Some interventions address specific issues of diversity and inclusion (e.g., women, gender, or race) while others help with multiple or cross-cutting issues (e.g., people who identify with others from a nondominant race, low-income, and non-binary). Both types are important, and the ideal global strategy probably employs a mixture of the two. However, intersectional cross-cutting work is more often neglected or overlooked because it can require coordination between and input from multiple representative stakeholders as well as multiple leaders with decision-making authority which may operate independently.

In general, prevention work tends to be more risk-specific because it engages with a specific causal or enabling process that creates (or threatens) a risk. Examples of prevention work includes climate surveys addressing specific issues within the

organizational context. In contrast, resilience or endurance strategies mentioned earlier tend to be more cross-cutting and observant of intersectionality because the consequences of many experiences of navigating and negotiating risks are similar.

Interventions Focusing on Direct Mitigation Versus Capacity Building

Response, endurance, and recovery interventions discussed earlier might also be thought of as capacity building initiatives for strengthening (building, bridging, bonding) for resilience. Some interventions will directly reduce undesirable actions or increase diversity, inclusion, and equity while others increase the organization's capacity to reduce undesirable events and incidents in the future. This distinction runs along a broad spectrum of possibilities. Towards the direct end of the spectrum are activities or interventions that directly alter the organizational structure or at least restructure membership on leadership and decision-making boards. At the other end are activities that advocate for increased diversity and inclusion such as internal or social media campaigns to promote espoused values and increase awareness and understanding. In between are a range of strategies with varying degrees or levels of directness, such as advocating for modified protocol systems for personnel selection teams (hiring committees) or offering training on inclusive and equitable hiring strategies, or performance management rather than evaluation or appraisal.

There is a critical difference between merely having diversity in an organization's workforce and developing the organization's capacity to leverage diversity as a resource (Roberson, 2006). Capacity building strategies often include assessment and evaluation into risk reduction techniques, policies, raising awareness of and drawing attention to risk, and building organizations agencies and institutions that will work collaboratively to reduce undesirable actions, events, or incidents directly or indirectly. These strategies are often more appropriate for emerging or less well understood risks (e.g., microaggressions, or implicit bias), where the specific steps required to address them are not yet known (or not understood). They also offer the possibility for small groups to improve the efficiency of much larger pools of resources, and they can therefore potentially be more cost-effective.

In the long run, of course, it is direct interventions that will likely make the most difference or impact. Capacity building is valuable only because it enables future direct interventions. In the moment, direct work is especially feasible for the better understood risks (or more explicit ones) such as blatant discrimination and stereotype slurs, as well as to demonstrate the plausibility (or proof of concept) of emerging risk reduction strategies pertaining to diversity, equity, and inclusion.

Organizational Structures that integrate diversity and inclusion as part of its culture is one way to assist with the implementation and success of diversity management. The structure of an organization is highly important to the unconscious influence set within the social context of an organization (Noon, 2018). An

effective way to include this practice is to establish an office which is exclusively dedicated to diversity. Having an office which is solely focused on diversity within the organization supports all measures taken and relates the seriousness of those efforts.

Top Management Inclusion and engagement in intervention processes is critical for capacity building efforts. It is not enough to just have the employees partake in the diversity initiatives established by the organization. Everyone who is part of the organization should be included, and the visibility of top management will have more of an impact on the effectiveness of diversity management in the organization. Therefore, top management need to believe in and apply these concepts which set the tone on why diversity and inclusion matters to the organization and why everyone should care about the necessity of diversity and inclusion.

Diversity in All Organization Initiatives ensures integration and increases the likelihood for ongoing capacity building. There are many initiatives set throughout an organization, but to enable the effectiveness and efficiency of diversity management, the organization should create/adjust initiatives which have diversity efforts built within them. These practices can include, but are not limited to, the hiring process, communication or even retention programs. Practicing diversity in all initiatives highlights the importance of always embracing differences regardless of any situation.

Change Agents are important to have in place when direct mitigation is needed and can also be a valuable resource for capacity building. Therefore, another practice to ensure long-lasting diversity management within the organization is to incorporate change agents throughout the workplace. Various individuals in the organization are selected to act as enablers. Diversity training is most effective when integrated in the daily work environment and change agents can enlighten others with the importance of diversity through simple conversations. These conversations educate others without them being fully aware, and helps to adapt their mindsets to accepting, applying, and believing in these ideas.

Continuous Communication is key to overall development, which is true for diversity as well. Communication can and should come in many formats, but however it is presented.

There are, of course, always some potential barriers to consider. Although the practices discussed above may lead to a long-lasting, effective, and efficient diversity management plan, it does not mean there will be no challenges throughout these efforts. One potential barrier an organization may face when setting up a diversity plan is the clear communication of its purpose. Therefore, it is recommended that transparent communications be delivered throughout all stages of the process. Members of the leadership team benefit from interacting and engaging with organizational members through networking and identifying those who are willing assist and support the implementation of future diversity and inclusion initiatives. Another barrier may arise from the training aspect of diversity and inclusion. Training opportunities for diversity, equity, and inclusion may not always be associated with positive behavioral outcomes and can even elicit a negative response. Diversity training

is often more successful when offered concurrent with other inclusion initiatives. For example, mentorship or sponsorship programs and guided small group interactions can facilitate and foster a positive learning climate.

Key Takeaways

- An availability bias and causal ambiguity can function as a barrier for acting and implementing initiatives to advance DEI in workplace contexts.
- There is evidence for positive, negative, and ambiguous linkages between actions supporting DEI initiatives and organizational outcomes.
- Mechanisms or factors that contribute to leadership decisions about DEI include: internal motivation; recruiting, retaining, and promoting diverse employees; and, opportunities for authentic bridging and bonding among employees.
- Interventions can focus on different points in time as the inclusive climate evolves, or on different types of issues (e.g., specific or cross-cutting), or on direct mitigation as well as capacity building for the future.

Reflective Questions

1. How does availability bias influence judgement and decision making in the context of the development and implementation of DEI initiatives?
2. What evidence is there for positive, negative, or ambiguous linkages between actions and results in the context of DEI initiatives?
3. What are some of the key mechanisms that make DEI possible?
4. How does ambiguity in the linkage between actions and results influence the development of initiatives, the transfer of knowledge, and organizational learning?
5. Discuss the different types of DEI interventions that are possible on the basis of whether the focus is on different time points in the development of the organization, the specificity of the issues being addressed, or the purpose (e.g., mitigation or capacity building).

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Chapter 15

Leading Strategic Change in Organizations Today



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Introduction

Change Management has been widely used to denote several theories, concepts and practices and may not necessarily denote the controlling aspect. Change Management is a strategic activity aimed at getting the best outcomes from the change process. In principle, managing change has to be done consciously through set standards and guidelines as part of a plan of action or strategy.

Strategic change management is a phenomenon to behold. It can be described as the tool that prepares us for the uncertain future by enabling us to create it and by empowering organizations to take responsibility for their future. It is the task of managing change or an area of professional practice where change is planned or as a body of knowledge where the content or subject matter, that is models, methods and techniques, tools, skills and other forms of ‘change knowledge’ are studied. Change is a reality that we all need to be comfortable with because we have little or no control over it (Mutuku S. 2005).

The key aspect about strategic change is that it is difficult to predict and control. Hence, the optimal way to deal with it is to expect the unexpected and be ready for anything. Unless companies embrace change, they are likely to be fossilized and unless companies prepare to deal with sudden, unpredictable, discontinuous, and radical change, they are likely to go the way of the dinosaurs. Finally, many companies proclaim that they are changing whereas the process is superficial and the world

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comes to this realization when it is discovered that their change models were neither broad nor deep. Change must be managed in a strategic manner. Strategic change management is the process of managing change in a structured, thoughtful way in order to meet organizational goals, objectives, and missions. In addition, strategic change managers use models to help move through the change process with purpose rather than haphazardly attempting to change the company. Strategic change as a subject has for a long time become a question of importance, within the strategic management field. The reason why strategic change is important is because it represents the means through which an environment serving organization maintains co-alignment with shifting Political, Economic, Social, Technological, Ecological (geographical), Legal and Competitive (PESTELCO) environments. Strategic change involves the implementing of changes to important characteristics of a business, in response to change. The change is likely to bring about both opportunities or threats.

The planning and implementing of strategic change is an important aspect of the role of the manager. Strategic change is basically having a certain strategy and then making changes to it. A strategy is a long-term plan to achieve certain objectives. Strategies are aimed at the future, and should be aimed at lasting change. This is necessary to stay relevant in a highly evolving market. Thus, Strategic change management is the process whereby the strategy is managed in a structured manner to achieve organizational objectives and missions.

Theory of Strategic Change Management

In response to the fast changing and fluid marketplace and changing industry landscapes, many management thinkers came up with theories of strategic change. The first among them was the legendary Peter Drucker who coined the term Age of Discontinuity to describe the way in which disruptive change affects us (Drucker, 2007). In Drucker's model, the four sources of discontinuity are: globalization, cultural pluralism, knowledge capital, and new technologies. The main idea behind this theory is that extrapolating into the future by using the existing models was ineffective as the rapidity with which change was barreling down on corporations made nearly all change models redundant within no time. Instead, what Drucker proposed was that firms should explore the drivers of change and strategize them according to which aspect was most likely to affect them in the future. Today many forces have come onto the business environment. They include diseases such as Covid 19, increased consumerism, climate change, resource constraints and conflict over resources, and the clamor for freedom and personal choice.

Cameron and Green (2015) posit that everyone has his/her own assumptions about how organizations function. Much has to do with how a person sees the organization as and what it exists to do. The assumptions have a lot to do with how leaders manage change in organizations. The use of metaphor is an important way in which we express these assumptions. Some people talk about organizations as if

they were machines, organisms, political systems, and as flux and transformation. It would appear that metaphors are different ways of describing the 'elephant'. No matter how the elephant is described, one constant is that it will be impacted by change in its operating environment or context. Organizational metaphors are a good starting point for understanding change management models and hence change management.

Organizations as machines When we speak of organizations as machines, we see them as rational enterprises designed and structured to achieve predetermined ends (Morgan, 1998).

Organizations as organisms This metaphor takes the organization as a living, adaptive system. In law, organizations are artificial persons. They can sue and can be sued. Just like human beings they have aspirations, motives and goals that they pursue in their organizational lives. This metaphor suggests that different contexts favor different species of organizations based on the different methods of managing or leading that are practiced. Congruence with the environment becomes the key to organizational success. This metaphor also views the organization as an 'open system'. The needs of individuals and groups and those of the environment are balanced by viewing organizations as groups of interconnected sub-systems. This implies that when designing organizations and when managing change, we should be cognizant of the fact that organizations are systems with many sub-systems that require to be synergized for success.

Organizations as political systems The focus here is how organizations are run and systems of political rule within them. We may refer to 'democracy', 'autocracy', 'dictatorship' and even 'anarchy' to describe what is going on in a particular organization. The orientation adopted by the leaders of organizations is important in terms of how to approach change management especially in regard to communication dynamics that are adopted (Morgan, 1998). Politics is about resources and control over them. Negotiation, competition, resource constraints and so on are important variables to consider.

Organizations as flux and transformation Viewing organizations as flux and transformation takes us into areas such as complexity, chaos and paradox. Rather than viewing the life of organizations as different from the environment, this metaphor allows us to see the organization and its life as part of the environment. In the words of the late US Professor of strategic management, Igor Ansoff, organizations are environment serving (Ansoff & McDonnell, 1990). This view sheds some good light on how change and adaptation happen in a turbulent world.

There are many approaches and models (theories) to managing and understanding change and change management that one can choose from. None of these appear to tell the whole story. Each of the models is convincing up to a point. The main models are examined below but not in any order. However, we begin our discussion with the earliest of them all.

Lewin's three-step model Kurt Lewin (1951) defined organizational change from the viewpoint of the organism metaphor. His model of organizational change is one of the most popular approaches. His traditional model has three steps: Unfreeze, Change, and Freeze. Upon realizing that your company needs to change, the first step is to “unfreeze” your current process and take a look at how things are done. This means analyzing every step and human interaction for potential improvements, no matter how in-depth you have to go and how much you need to unearth. Unfreezing involves diminishing or getting rid of forces or biases that keep things inside an organization in the manner in which they are. Changing or moving refers to moving the organization conduct or behavior. When everyone becomes aware of what is wrong with the current process and systems and why there is need to change, and what changes are necessary it is easier to convince workers to stick to new processes and systems. New systems and processes may engender redesigning organizational roles, responsibilities, and relationships. Training for newly required skills in preparation for the new organization equilibrium is mandatory. Recruiting change agents to promote change management helps a lot and especially in regard to managing resisters within the organization. Refreezing refers to balancing out the organization in another condition of equilibrium. This progression is impossible without a support mechanism. For instance, constructing strong and supportive corporate systems and structures such as, reward systems or aligning pay, reengineering measurement or control systems and new organization structure. Communication, support, and education are vital, as you want to limit any difficulties in the transition and address problems as soon as they arise. Finally, you should be communicating regularly with all members of your team (or at least getting their manager to do so). This is primarily to listen to feedback, as this will quickly highlight any problems you need to tackle. Lewin's change management model is fantastic at the time when your organization or business needs to drastically change in order to succeed. It also excels at uncovering hidden mistakes which were taken for granted, since you have to analyze every aspect of whatever you're changing.

Nudge Theory Nudge theory is odd, in that it really is just a theory. There is no set change management model to be had, but instead, a mindset and tactic which can be used to frame your changes in a more attractive and effective manner. The basic theory is that “nudging” change along is much more effective than trying to enforce it in a traditional sense. So, instead of telling your employees what to do and how to change, you pave the way for them to choose to do so by themselves. The trick is knowing how to present these nudges. However, as for a set method, the theory is incredibly vague, as it's more of a tool to use within another, more structured change model.

The basic principles you need to follow when nudging changes are (i) Clearly define your changes (ii) consider changes from your employees' point of view; use evidence to show the best option (iii) present the change as a choice (iv) listen to feedback (v) limit obstacles, and keep momentum up with short-term wins. Nudge theory also covers the hole many other change management models leave open in

that it deals with change on the employee's side of things and focuses on encouraging them to adopt it. It is a good supplement to more formal approaches. By itself, nudge doesn't provide a model capable of analyzing, managing, deploying, and maintaining change, hence why it serves best as a supplement. Nudge also suffers a little in terms of its predictability. Employees can decide either to support you or not.

The Bridges Model is a model that was Created by William Bridges in 1991. It focuses on transition rather than change. Change happens *to* people and can be considered intrusive. It's usually pushed despite what the recipient wants. Transition on the other hand is more of a journey over time. This makes Bridges' transition model one of guiding your employees through the reaction and emotions they will encounter when dealing with your changes. It does this by detailing three stages of transition, each of which the employee must be guided through for the change to be successful (i) Ending, losing, and letting go and is what is usually expected. Listening and continuous communication are very much desirable here (ii) The neutral zone is the bridge between the old and the new. It is likely to be the time when productivity is at its lowest and your employees most tempted to give up and revert to the old ways of doing things (iii) The new beginning is when the changes have been accepted and energy is high. Here the main aim is to reinforce the changes, keep objectives clear, and to keep up the pace while you can. A constant reminder of what the future holds helps a lot.

The Bridges' transition model closes the gap between management and rank-and-file employees. It is a transition model and is fantastic for guiding your team through a period of slow improvement (transition). Unfortunately, this means that it may not be useful during periods of turbulence involving large-scale change for the organization.

Five Stages of Grief Model by Elisabeth Kübler-Ross She was a psychiatrist who detailed the five stages of grief in her book on Death & Dying. Her model based on the five stages fulfills a specific niche in change management. These stages are: (i) Denial (ii) Anger (iii) Bargaining (iv) Depression (v) Acceptance. The model allows managers and leaders to focus on the emotional response of those affected by change and deal with it. It is a good model to use in helping employees answer the 'why' question and then lent their support to the change management efforts. No matter how hard we try to remain consistent, emotions play a massive role in our productivity, and by knowing and applying the five stages of grief, managers can anticipate their employees' reactions and plan appropriate response well ahead of time. Emotions are usually unpredictable and this means that not everyone will fit into this model. It may also not be able to reach every employee especially in a large organization. The model is thus more applicable in small organizations or in small meetings where there is need connect with employees on an individual level and manage their complaints to any changes.

Satir Change Model is fairly similar to Kübler-Ross', except it applies the progression through the five stages of grief to a general model of performance during the change. In this sense, it's a way of predicting and tracking the effect of changes on overall performance. The five stages of this model are (i) Late Status Quo (ii)

Resistance (iii) Chaos (iv) Integration (v) New Status Quo. This model focuses on tracking rather than affecting performance. Without using a supporting model to tackle these negative effects the manager is left with little more than a way to measure the effect of the change. Like Kübler-Ross, the Satir change model can be good for anticipating the impact of change before it happens, and even for justifying the change to employees as they go through the chaos phase. If they can be adequately educated about what to expect then they will be more willing to stick out the changes.

McKinsey 7-S Model This model has several elements, that is the 7-Ss. These “Ss” are Strategy, Structure, Systems, Shared values, Style, Staff, and Skills. This is a good model where change is all encompassing and there is therefore the need to address many aspects of the organization. If you know that you need to change your act, but you’re not sure what to do, this is the change management model for you to use because it includes many elements. It allows you to look at whether your 7-S’ support each other, and planning incremental changes to make that happen if it isn’t already. For example, you may wish to look at whether your structure supports your strategy, how they are both supported by your systems, and how all three reflect your shared values. Each of the elements would need to be looked in detail to examine issues such as: What, Why, Which, Who, When and How (5Ws & 1 H). Unless you run a small company with very few employees, the McKinsey model is impossible to effectively carry out alone or in a short amount of time in a large organization. It can be time consuming to apply.

Bullock and Batten, planned change Bullock and Batten’s (1985) phases of planned change draw on the disciplines of project management. The phases are (i) Exploration (ii) Planning; whereby technical experts and key decision makers are involved (iii) Action (iv) Integration. This particular approach implies the use of the machine metaphor of organizations. The model assumes that change can be defined and moved towards a planned way. A project management approach simplifies the change process by isolating parts of the organizational machinery in order to make necessary changes at all levels and in various functional areas.

Kotter’s eight-step model (1995) provides eight steps to transforming your Organization. The model highlights the significance of a ‘felt need’ for change in the organization, addresses some of the power challenges which engulf the change management process and emphasizes the importance of communicating the vision and keeping the communication levels open throughout the course of change management. The eight steps by Kotter (2009) are:

1. **Establishing a sense of urgency.** This step involves discussing current competitive truths and detecting potential future scenarios
2. **Forming an influential guiding coalition.** This step entails bringing together a powerful group of people who can work well as a team
3. **Creating a vision.** This involves formulating the vision and the strategies for achieving it. The vision is a mental picture of where the organization sees itself like in future

4. **Communicating the vision.** Communication is critical and has to be kept open and escalated at all times. A variety of different communications ways must be adopted to communicate the vision, supporting strategies and expected new behaviors.
5. **Empowering others to act on the vision.** This step involves addressing imponderables which may prevent change management occurring in a good way even if not very smoothly. Staff are allowed to experiment and try different options.
6. **Planning for and creating short-term wins.** This step allows the identification and advertising of short-term noticeable wins that help to increase hope and motivate workers.
7. **Consolidate improvements and help produce still more change.** This involves promoting and rewarding individuals who are able to get more involved to promote and work towards the set vision.
8. **Institutionalizing new approaches.** This step ensures that every individual is made to understand that the new expected approaches and behaviors will translate into success of the organization.

Kotter's theory focuses less on the change itself and more on the people behind it (albeit from a top-down point of view). By inspiring a sense of urgency for change and maintaining that momentum, Kotter's theory can be used to a great effect in adapting your business to the current climate. While it focuses largely on widespread adoption of your changes, Kotter's model/theory is a top-down approach at heart. Without a little extra effort on your part it doesn't take any feedback on board, and therefore runs the risk of alienating employees by just telling them what to do. Put it this way – if you're small enough to know the name of almost everyone working for you, you need to go one step beyond Kotter and listen to your team. That way they will be more likely to adopt your changes, as they will at least have some say and direct connection to the changes. Kotter's theory is great as a checklist, but lacks the necessary back-and-forth (and, to a degree, actionable instructions) to be taken as a step-by-step process. Smaller companies depend much more on cementing every employee as a champion of each change, meaning that managers need to pay more attention to their feedback.

Beckhard and Harris's Change formula: Organism Beckhard and Harris (1987) developed their change formula from original and background work by Gelicher. The model comes from the organism metaphor of organizations although it has been adopted by those working with a planned change approach to target the management effort.

The key factors can be captured in the following formula;

$$C = [ABD] > X$$

C = Change

A = Level of dissatisfaction with the status quo

B = Desirability of the proposed change or end state

D = Practicality of the change (minimal risk and disruption)

X = Cost of changing

The formula is sometimes written as $(A \times B \times D) > X$. This adds something useful to the original formula. The multiplication implies that if any one factor is zero or near zero, the output will also be zero or near zero and the resistance to change will not be overcome. These factors (A, B, D) do not compensate for each other if any one of them is low. All factors must be assigned weights on the basis of critical analysis. Beckhard and Harris emphasized the need to design interventions that allow these factors to surface in the organization.

Nadler and Tushman, Congruence Model: Political, organism Their model is called the ADKAR change management model. Each letter represents a goal. The goals are: Awareness (of the need to change), Desire (to participate and support the change), Knowledge (on how to change), Ability (to implement required skills and behaviors), and Reinforcement to sustain the change. The model created by Jeffery Hiatt (founder of Prosci) is a bottom-up approach that focuses on the individuals behind the change. It's less of a sequential method and more of a set of goals to reach, with each goal making up a letter of the acronym ADKAR. By focusing on achieving the five goals, the model can be used to effectively plan out change both at an individual and organizational level. The Nadler et al. (1997) model aims to help us understand the dynamics of what happens in an organization when we try to change it. The model is based on the conviction that organizations can be seen as systems with subsystems or sets of connecting sub-frameworks that scan and sense changes in the non-controllable external environment. The model perceives the organization as a framework that draws contributions from both the inner and outer forces and changes them into yields (activities, conduct and execution of the framework). The core of the model is the open door it offers to break down the change procedure in a manner that does not offer prescriptive responses, rather it invigorates contemplations on what requirements may occur in a particular hierarchical setting. The model draws on the sociotechnical view of organizations that looks at their managerial, strategic, technical and social aspects, emphasizing the assumption that everything relies on everything else. This implies that the different elements of the total system have to be aligned and synergized to achieve high performance. Achieving synergy or congruence is a big challenge in change management. The ADKAR model focuses greatly on employees, in turn speeding up the rate at which changes can be reliably deployed. By giving employees set goals to meet without a specific method, the model provides a flexible framework which workers can apply to different situations. While it's suited to incremental change, ADKAR is left lacking when it comes to large-scale modifications. However, it is a great model for cutting through any complicated setups and getting straight to the point on how to improve the employees' reaction to change. The model works best where managers already know what they want to change and why.

Carnall's Change Management Model: Political, Organism Carnall (1990) produced a useful model that brings together a number of perspectives on change. He

says that the effective management of change depends on the level of management skill in the following key areas: (i) Managing transitions effectively (ii) Dealing with organizational cultures (iii) Managing organizational politics. A manager with experience in managing transitions, culture and organizational politics will find this model very useful in change management efforts. The model has merit in that it identifies critical factors that must be considered by experienced managers and change leaders.

Senge, Kleiner, Roberts, Ross, Roth, Smith and Guman (1999): Systemic Model (political, organism, flux and transformation) Those interested in sustainable change, will find the ideas and concepts in the model of Senge et al. (1999) very useful. The model provides a framework for those who are deeply involved in building new types of organizations as is often the case in transforming organizations through change management. Senge et al. (1999) talk about the myriad of ‘balancing processes’ or forces of homeostasis which act to preserve the status quo in any organization. These need to be well understood by the Top Management Team and the internal as well as the external stakeholders. In the work of improving performance in organizations managers must initiate change. They must identify gaps, analyze causes and recommend a wide array of interventions. These interventions are designed to create change that will be beneficial and long lasting. As the authors point, most change efforts fail because they do not produce the hoped-for results. To deal with this problem the managers must be skilled at initiating and sustaining change. The change management agents in the organization must help their clients to deal with the challenges of change so they don’t become discouraged and revert to the original systems. Senge et al. (1999) observe that “Most genuine change activities in the long run face issues inserted in our predominant arrangement of the management. These include managers’ commitment to change as long as it doesn’t affect them; ‘undiscussable’ topics that feel risky to talk about; and the ingrained habit of attacking symptoms and ignoring deeper systemic causes of problems. Their guidelines are: • Start small. • Grow steadily. • Don’t plan the whole thing. • Expect challenges. The authors embrace the principles of environmental systems to illustrate how organizations operate and to enhance our understanding of what forces are at play. Business and other human endeavors are also systems and do borrow a lot from environmental systems. Just like everyone else, it is very difficult for managers to see the entire patterns of change. Instead they tend to focus generally on depictions of confined pieces of the frameworks, and marvel at why their most profound issues never appear to get ironed out. This model is noticeably different from much of the other work on change, which focuses on the early stages such as creating a vision, planning, finding energy to move forward and deciding on first steps. It looks at the longer-term issues of sustaining and renewing organizational change. The authors examine the challenges of first initiating, sustaining and redesigning and rethinking change. The model does not give formulaic solutions, or ‘how to’ approaches, but rather gives ideas and suggestions for dealing with the balancing forces of equilibrium in organizational systems. People working on change initiatives will need extra time outside of the day to day activities to devote

to change efforts, otherwise there will be push back. Managers and their subordinates will need coaching and support to develop new capabilities, they will need to be convinced of the need for effort to be invested, they will look for reinforcement of the new values or new behaviors from management and especially their leaders and supervisors. They will need constant assurance that in spite of apparent challenges, misunderstandings and doubts success will be achieved. There is always need to include and engage people around the deep questions of purpose and strategy in change efforts.

Stacey and Shaw, complex responsive processes: political, flux and transformation Stacey (2003) and Shaw (2002) view organizations by utilizing the metaphor of flux and transformations. The ramifications of this method of intuition for those keen on overseeing and enabling change are huge because (i) Change, or a new order for things, will develop normally from clean correspondence, strife and strain (not all that much) (ii) As a manager, you are not outside of the framework, controlling it, or wanting to adjust it, you are a piece of the entire environment.

Shaw (2002) address the traditional inquiries of ‘How would we oversee change?’ she tends towards the key question of, ‘How would we take an interest in the manners in which things change after some time?’ This composition manages the oddity that ‘our cooperation, regardless of how considered or enthusiastic, is continually developing in manners that we can’t control or anticipate in the more drawn out term, regardless of how refined our planning instruments are’. The issues here are profound and addressing them aids change management experts in profound ways.

All the models described above are many and varied but have similarities. None of them appears to tell the whole story about how to manage change effectively. To be an effective manager or leader interested to engage in change management you need to be able to flexibly select appropriate models and approaches for particular situations. It is good to appreciate the existence of so many models on change management as this shows the efforts that academics and practitioners have put in the discourse on change management. Although the number of change management models on offer (and the time and effort it takes to deploy even a single one) might be overwhelming at first, leaders have ready frameworks to deploy in managing changes that will let them reliably use towards effecting their organizations’ transformation efforts.

Changing Dynamics in the Workplace Today

Organization theory and managerial wisdom suggest that, for an organization to survive, it must be compatible with its environment, i.e., it must be in tandem with all the external political, economic, social, technological, geological (ecological), and competitive conditions (PESTGCO) that can influence the organization’s actions, nature, and survival. The external factors have an impact on the internal

(micro) environment of an organization. These profound changes, some gradual and others rapid, have made the workspace of today a very different place than what it used to be in the past. For example, new technology and more recently the Covid-19 phenomenon have forced organizations to make changes in their modus operandi in order to cater for the changing needs of employees, stakeholders and the organization as an artificial person. Remote working and commuting have become the new ways of working. This is unlike in the situation during the 70s, 80s and 90s where offices used to be made up of cubicles and c-suites and the key focus was employees' independence with very little collaboration and synergy. From around the year 2000 the work environment was challenged to change in order to make employees more comfortable, happy and motivated due to changing paradigms about work and happiness. Today's work place is about social collaboration and the increased use of information communication technology (ICT). New tools and technology have brought about transformation in the way we work. The internet, smart phones, ability to share files online and related developments have made it possible for workers to work remotely from anywhere and forge working relationships with ease. There are some challenges in terms of remote working but as systems become perfected and the internet spreads more widely it would appear that the new normal will be to work remotely with only occasional physical meetings to put the human face on things in a more direct way. Globalization is one factor that has put pressure and brought major challenges in regard to managing the workforce. Some of the challenges can be identified as deployment, knowledge and innovation dissemination, new marketing dynamics, talent identification and development.

Whilst some changes have been with us for some time now, COVID-19 has been a catalyst and has forced organizations to reinvent the future of work; new technologies have defined new roles, which is one reason to encourage workers to acquire new skills, with employees benefitting from learning new mindsets, behaviors and values in the new and quickly-changing workplace.

The world's response to COVID-19 has resulted in the most rapid transformation of the workplace. Working from home and remotely has become the new normal, and we have gone from digitizing the relationship between the firm and customer to digitizing the relationship between the employer and the employee. It would appear that companies that capitalize on the post-turbulence opportunities will be the most successful. Employees must be taught how to build new mindsets, open their minds to change through learning, and they must be quick to adopt new and advanced technology. Modern technology must become everybody's cup of tea.

Changing dynamics have created fear and uncertainty and this requires that human beings must be supportive of one another. In the midst of social distancing, many of us are getting closer. We are building more adaptive teams and systems, and are more consistently in touch with each other and our connections have become a priority. We are learning how to do work disparately and with far less oversight, and are increasingly learning what works and what doesn't work as we work remotely and from our homes. Old mind sets must give way to the new mental schemas and paradigms of work.

Today's changes that are becoming more and more rapid and are putting pressure on employees in ways that test their wellbeing and private lives. Wellness programs have risen to prominence to help deal with stress, depression and other psychological problems. The problems engendered by change today have created a mandate and an opportunity for us to expand our mental health priorities. There is a felt need in every organization for workers to work in more agile ways than was the case in the past. It is increasingly clear that workers are working outside their companies' traditional boundary processes, and COVID-19 is forcing both the pace and scale of workplace innovation. Many workers and organizations are finding simpler, faster and less expensive ways to operate. New strategies about how to deal with the downside of discontinuous change are being devised everywhere. Organization leaders and managers need to be accommodative to the new changes occurring in regard to work and working modalities. Change will force itself on those who do not want to embrace change. We like the adage "if you do not change then change will change you."

Leading Change in Diverse Work Environments

Diversity can be looked at in many ways. Due to technology developments people of different cultures, genders, gender identities, and geographies, time differences, education levels and so on are increasingly coming together in the work space to pursue common goals or vision. This is diversity in essence. Different generations are now increasingly working together creating much more diversity. People enabled differently and women are increasingly assuming significance in the work place mainly because traditional glass ceilings are increasingly being challenged. Today's common factor is leadership that is dynamic and that recognizes diversity. Diversity refers to the existence of variations of different characteristics in a group of people. These characteristics include everything that makes us unique, such as our cognitive skills and personality traits, along with the things that shape our identity including race, age, gender, religion, sexual orientation, geographical location and cultural background. These factors are important in defining diversity in the work space. In addition, other factors such as talents, skills, opinions and personalities are also significant.

Achieving inclusion with diverse employees is not automatic and is usually challenging. Inclusion is a situation where every employee is valued and given opportunities to thrive. Organizations that wish to manage and achieve both diversity and inclusion, assign senior staff the responsibility of forming teams dedicated to designing anti-discrimination policies for their departments and for the organization and ensuring that all workers are exposed to equal opportunities. Some organizations prominently display policies on diversity management in prominent places and in communication with both their internal and external publics to show commitment to this very important aspect in today's life. Discrimination can lead to serious litigation issues. Building a diverse company means that you don't discriminate

against protected characteristics and that you're an equal opportunity employer. This is very important in terms of employee engagement, motivation and sense of pride. It can help build the company's brand and keep employees satisfied and productive. In many countries and nation states the employment and labor laws encourage companies to be unbiased when hiring, managing employees and when disengaging with them but the law does not make it mandatory for organizations to actively aim to build diverse teams.

Leadership theory has increasingly focused on strategic leadership for a long time now. Research has demonstrated the critical importance of strategic leadership to performance, long-term sustainability, and innovation. The literature on leading change emphasizes the critical role of the top executives in leading what is referred to as radical, episodic change or discontinuous change. Radical, episodic change is most often triggered by disruptive events in an organization's external environment. Leading change in diverse work environments engenders the application of strategic leadership principles. Schermerhorn (2010, p. 227) observes rightly that "in our dynamic and often uncertain environment, the premium in strategy implementation is on strategic leadership – the capability to inspire people to successfully engage in a process of continuous change, performance management, and implementation of organizational strategies." Strategic leaders have to apply tools, processes, skills and principles in order to be effective in their change management efforts. The responsibility for managing change is with the management and executives of the organization; they must manage the change in a way that employees can cope with. This means employees have to be engaged and included in the process. The leader has the cardinal responsibility to facilitate and enable change by understanding the situation from an objective standpoint (to 'step back', and to be non-judgmental), and then to help workers understand the reasons, aims, and ways of responding positively according to employees' own situations and capabilities (Yazici, 2009). A good change management practice strategy is a critical success factor in the implementation of change in organizations. Effective change management practices, therefore, require to be approached from both an individual and an organizational perspective. In order to successfully manage change processes, managers need to establish clearly the nature and extent of change, what changes to expect, the types and situations as well as possible problems likely to be experienced including causes of resistance and possible solutions. Change management becomes successful when each employee who must do things differently has awareness, desire, knowledge, ability and reinforcement. This can be achieved through true engagement and inclusion of employees in the change management efforts.

Michael Porter, as quoted in Schermerhorn (2010, p. 227), places great emphasis on the role of the CEO as the chief strategist. He describes some key aspects of the strategic leadership tasks as:

- A strategic leader has to be the guardian of trade-offs in resource allocation by ensuring that resources are allocated in ways consistent with the grand plan or strategy

- A strategic leader needs to create a sense of urgency, not allowing the organization and its members to grow slow and complacent
- A strategic leader needs to make sure that everyone understands the strategy or plan of action
- A strategic leader needs to be a teacher of the strategy to ensure that the plan is made a “cause” and is understood

Training in the dynamics of change management using the models already discussed can be very enriching in the change management agenda.

Role of Engaged Leadership in Change Management

The concept of leadership is complex. Leadership is an interesting social phenomenon which occurs in all groups of people. During the ancient times the Chinese, Romans, Greeks, Romans and even Africans had great leaders. For example, Egyptians, in Africa, attributed specific godlike traits to their Kings (Pharaohs). Ancient Israel had God appointed and anointed kings and leaders such as David, Solomon, Moses and Solomon. Famous writers such as Machiavelli, Homer and military leaders such as Sun Tzu and Alexander the Great are credited with documenting the kind of strategies or plans ancient army leaders used to succeed in battle. Sun Tzu is famous for his book “The Art of War”, Ancient Greeks are credited with the origins of the term Strategy (Strategos in Greek). In today’s context we can conclude that winning business strategies and the influence of leaders account to a large measure to improved company or organization’s performance. Jack Welch of General Electric and Livermore of Hewlett-Packard are often quoted as successful leaders who transformed and greatly improved the performance of their organizations through the application of business strategies and strategic leadership ideals and their personal influence. They inspired, influenced and motivated people to achieve constructive change in their organizations (Dubrin, 2001, pp. 2–3).

Much history is recorded through the lives of famous leaders including George Washington, Abraham Lincoln, Washington Churchill, Clara Barton, Mahatma Gandhi, Golda Meir, John F. Kennedy, Martin Luther King Jr., and Nelson Mandela (Howell & Costley, 2001, p. 3). These visionary leaders influenced their communities towards certain defined future goals particularly during times of social upheavals that threatened to disrupt their communities greatly. Each of these leaders influenced their followers through engagement, inclusion and inspiration and stimulated them to achieve their aspirations and those of their communities. Almost anyone who exerts influence over people to want to move to a given future state as they follow him or her exercises leadership. Thus, leadership is about influence more than anything else. It is strategic when it is futuristic in orientation.

Leadership is a very important factor in an organization because it determines most of its success and failure. It is considered that any company’s success is due to performance, employee job satisfaction and employee affective commitment mostly

brought about by inclusive and engaging leaders (Bass & Riggio, 2006; Drucker, 2007). To increase the organizational performance a leader must have the ability to promote creativity and innovation, stimulate the employees to challenge their own value systems and improve their individual performance. Organizations that attempt to adapt to today's competitiveness using old processes tend to find it difficult to prosper and may even cease to exist. The dire need for transformation in today's global economy places pressure on organizations to not only catch up with changes, but also to foresee them. For leadership to be effective it has to be truly engaging. Engagement is characterized by a set of attributes including respect for others and concern for their development and wellbeing (Alimo-Metcalfe et al., 2008). Engagement by its very nature combines different distinct leadership styles in that it requires application of inclusive leadership attributes, servant leadership, ethical leadership, spiritual leadership, authentic leadership, visionary leadership and transformational leadership. Thus, engagement is born out of a combination of various concepts of leadership.

Conclusion

Today's business environment is dynamic and the demands of people are changing, therefore organizations and their leaders need to be cognizant of these changes. Change agents and champions have to think on their feet in response to the strategic imperatives of the moment. Today organizations know that they need a sustainable competitive edge in order to achieve their goals and satisfy their customers so that customers don't find it necessary to go to the competition. Hence they need concepts that transcend any boundaries and that is why it is advisable to welcome change with open arms. There is always a 'change facilitator' who is in charge of managing people and in charge of the change management strategy. The communication plan and know how on how to manage the resistance to change is important too. Change can be planned and managed in a systematic way where the goal is to implement new methods and systems in an organization or it can be a response to changes where the organization has little or no control over the actions of the competitors or shifting economic events. This is the reactive approach while the former is more anticipative because the change lies within and is controlled by the organization. The change process can be viewed as a problem-solving template, where a solution is sought and the organization brought to the future state they want to be in. The main goal is to empower the organization to take responsibility for their future.

Key Takeaways

1. Today's changes are unprecedented. They demand to be managed in new and novel ways
2. Many theories/models of change exist. None is by itself sufficient to explain change management. They complement each other. However, Kotter's eight stage model is much more comprehensive than the other competing models

3. Profound changes brought about by Covid-19 and other factors have made the workspace a very different place to what it used to be in the past. Most rapid transformation has occurred in the space
4. Working from home and remotely has become the new normal, and we have gone from digitizing the relationship between the firm and customer to digitizing the relationship between the employer and the employee
5. Achieving inclusion and engagement with diverse employees is not automatic and is usually very challenging. It requires the application of strategic leadership
6. Engaged leadership has an important role to play in today's change management efforts

Reflective Questions

1. How has Covid-19 impacted your personal life and the lives of those around you?
2. What adjustments has your employer or your organization made in order to accommodate the new normal of working remotely and what unforeseen challenges have been faced?
3. Which one of the change management models discussed here seems to appeal most to you and why?
4. What are the benefits of diversity in the work place (or in a social unit or place that you know about) and what problems does diversity management efforts expose?
5. Why is self-management and work ethics important in working remotely and away from direct physical supervision?

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Chapter 16

Diversity, Equity and Inclusion as Fertile Foundation for Workplace Well-Being, Optimal Performance, and Planetary Health



Wanda Krause

Prologue

I once had to narrow down over three hundred applications to the top 10 for a position. I created criteria that were as objective and as aligned as possible to the requirements of the position. I then rated each candidate in terms of experience, achievements, and education against each criterion, based on clear, quantifiable, measures. I whittled down the candidates to the ten, as requested. One person stood out on the list. After this task, I was to present the list to the ultimate decision maker. Given the unwritten rules within the environment and already clarified justification that the race of this applicant – comprising about one-fifth of the world’s population – would not be respected by those who would be reporting to them, I already knew this person would be a hard sell. But I went to my scheduled meeting with the selections on a sheet and their CVs in hand. In the meeting, I put this top candidate’s CV in front of my meeting host explaining how this person came out on top pointing to the criteria. It would be apparent that those who ranked second, third, and so on, didn’t come close to the calibre of this one candidate. I didn’t get to explaining this thinking. The decision maker picked up the CV, in the air swiftly flipped it face down and slammed it on the desk, saying one word, “next!”

My interest over the past few decades relates to how to create more integral change processes, leadership, and civil societies, globally. This goal connects to colonization/decolonization, diversity, equity and inclusion, human rights issues, and attention to gender issues. Many of the contexts in which I have conducted research are those of high-risk environments or where human rights abuses put some of these countries at the lower rankings of human rights indexes. However,

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throughout my career one observation has become notable. In European and North American contexts are countless forms of racism and xenophobia in the workplace and communities. In my experience, in Europe and North America these situations are not entirely different from my example above, outside of the “West”. Russia’s atrocious and illegal invasion of Ukraine is one case in point for Europe.

Recent events demonstrate a disheartening trajectory of increasing hate, including in western societies, and not surprisingly increased discussions around DEI (Ferdman, 2017). In 2020 the murder of George Floyd in the U.S., a 46-year-old Black man, by police officer, Derek Chauvin, together with three other officers, sparked nationwide protests against police brutality. In Canada, the killing of a Muslim family in 2021 brought greater attention to the long standing and growing situation of Islamophobia. The province of Quebec became the first jurisdiction in North America to ban religious symbols for public servants, despite U.N. investigators having called the Quebec legislature on violating fundamental rights – the freedom of religion and equality (Maimona, 2019). The family’s killing occurred after the worst mass murder to take place in a house of worship in Canadian history happening in 2017 – the Québec City mosque massacre. Canada has a nine per cent increase in anti-Muslim attacks in 2019 compared to the previous year, according to Statistics Canada (Gilmore, 2021). In the U.S., the FBI’s annual Hate Crime Statistics Act (HCSA) report concluded 2019 saw the highest number of hate crimes recorded since 2008 (FBI, 2019). In the above Canadian example, prohibiting specific religious dress can be seen as example of religious persecution (See Maimona, 2019). Prime Minister Trudeau has said he personally disagrees with the law in Canada but has defended Quebec’s provincial right to put forward its own legislation (Gilmore, 2021).

These trajectories are no surprise to many. In May, Tk’emlúps te Secwépemc First Nation announced that the remains of 215 children had been found near the city of Kamloops in southern British Columbia (BC), at the Kamloops Indian Residential School. This was the largest such institution in Canada’s residential school system. It operated between 1890 and 1969, holding up to 500 Indigenous students at any one time, and between 1969 and 1978, was used as a residence for students attending local day school. May of 2021, subsequently, saw the discovery of the 751 unmarked graves of the by the Cowessess First Nation in Saskatchewan near the former Marieval Indian Residential School, which operated from 1899 in 1996 under the control of the Roman Catholic Church. Added to this discovery are the bodies of 182 found near the grounds of the former St Eugene’s Mission School, BC, which was also operated by the Catholic Church from 1912 until the early 1970s (Honderick, 2021). In Manitoba further graves have been discovered. In an open letter by the Yukon regional chief of the Assembly of First Nations and citizen of the Kluane First Nation, Kluane Adamek (2021), writes:

I cannot help but think of the parents who were never able to kiss them goodnight, hug them when they were hurt, or even lay a flower on their graves. I cannot help but think about the children themselves, or the generations who would have followed but are now gone. But then, that was the plan, wasn’t it? The government’s plan is reflected in the words of residential school system architect,

Duncan Campbell Scott: “I want to get rid of the Indian problem”.

The landmark Truth and Reconciliation Commission (TRC) report, released in 2015, described the government-led policy as cultural genocide.

Such challenges of racism, Islamophobia, xenophobia, colonialism, cultural genocide, and any global leadership challenge, for that matter, requires a holistic approach. Such challenges are imbedded in systems and contextualized in systemic racism, Islamophobia, xenophobia, cultural genocide. A holistic approach, as such, needs to include mindset or worldview change, behavior change, culture shifts, and systems change as critical for wellbeing and planetary health. This means geographically everywhere, and not just those places described as “underdeveloped”. Inequity and exclusion persist across systems – within organizations, society, and in view of increasing global challenges, across the planet. This chapter speaks more specifically to organizational leaders and managers to create culturally safe, equitable, and inclusive environments. Immigration, guest workers, gender, sexual orientation, sex identity or fluidity, religious affiliation, ethnic and racial differences, age, disability, among further intersectionalities, are changing the composition of places. This trend will be amplified in the decades to come (Mor-Barak, 2015). However, greater diversity in and of itself does not mean equity, access, rights, or safety. More significantly, the need is to develop competencies to lead a world more conscious of diversity, equity, and inclusion where a more decolonized mindset and array of practices can set course for healthier trajectories. The workplace is one sphere and therefore fertile ground for this work.

Introduction

This chapter discusses how organizations not only have a role in ensuring diversity, equity, and inclusion (DEI) in the workplace itself but in identifying DEI in the workplace as a fertile foundation for overall well-being, optimal performance, and planetary health. The workplace, here, includes for-profit and not-profit forms of organization. While civil society has long been recognized as essential for supporting a strong civilization, the private sphere has been seen as the sphere that has the potential to sever the ties important for the creation of civil society (Ehrenberg, 2017). The logic is that self-interest of for-profits will come before public interest. However, one way of understanding and measuring the expansion of civil society is through shifts in values that underpin a culture (Krause, 2008, 2012). The focus ought to be whether there are shifts occurring in values around tolerance, cooperation, collaboration, trust, reciprocity, and inclusion, as well practices and policies to facilitate and anchor these shifts. The health and well-being of individuals in an organization are also core. Health and well-being include physical, emotional, and psychological safety.

As such, all workplaces have a responsibility to ensure culturally safe, equitable, and inclusive environments. Leaders and managers have an opportunity to lead and

support DEI initiatives. However, a holistic approach, that is, mindset or worldview change, behavior change, culture shifts, and systems change, is essential to any strategy for DEI. Organizational leaders require the systems thinking and practical steps for implementing DEI within their organizations and to see and map how these changes and shifts may impact on the larger social and planetary systems. This chapter describes the essential qualities, tools, and techniques organizational leaders need to be able to harness the strengths of inclusivity, equity, and well-being for optimal performance and planetary health.

In this discussion, I advance the concept of planetary health, to evolve thinking about change for the macro-global level from the bottom up, including spaces of organization, such as the workplace. The assumption guiding this effort is that change can be influenced through grassroots being, doing, and seeing. If beliefs, expectations, and agency around DEI are embraced at the grassroots, greater well-being is advanced at the more macro-levels. As Prescott and Logan (2019) argued, the role of beliefs, expectations, and agency are core in linking narrative and planetary health. DEI and well-being from the bottom-up lead to optimal performance which has the potential to have an upstream or upwards impact on global well-being and planetary health. In offering such overarching conceptualization, I endeavor to motivate a process that includes decolonization of mindset and organizational space and embracing strategies for empowerment of under-represented peoples in these spaces that is justice oriented.

The vision of planetary health and the argument of systems change is to create greater diversity, equity, and inclusion within the workplace. This chapter, thus, begins with the concept of planetary health, DEI and interlinked terms related to justice and decolonization, which some refer to as justice, equity, diversity, decolonization, and inclusion (JEDDI). It ends with key takeaways and reflective questions to further thinking and conversation. Optimal performance within the workplace has everything to do with well-being, success, and the health of all individuals. Greater diversity, especially at the leadership levels, has been correlated with positive performance outcomes, including better economic outcomes (Nakui et al., 2011). Creating an inclusive culture has been correlated with increased retention, commitment, and well-being (Brimhall et al., 2017). Inclusion has been found to lead to increased engagement of individuals in the workplace (Kuknor & Bhattacharya, 2020). Hence, from both a meso-level (workplace/organizational) and a broader, macro-level perspective (environment), we ought to endeavor to decolonize our spaces, that is within the organization and within its environment, to be more diverse, inclusive, tolerant, and collaborative. I describe the overarching conceptualization for how the workplace is nested in larger macro-level arenas, and then focus on the competencies leaders can advance within these workplace spaces.

The following is an invitation to see workplace well-being and optimal performance from a bigger picture lens – a planetary view. In this view, optimal performance in the workplace is aligned with an understanding of well-being and success for which we all have the right. Success, in such sense, “comes from an inner measure of experience in the giving and planting, even when the harvest is delayed” (Krause, 2012, p. 4). The planting we might consider earnestly and intentionally

involves cultivating and growing our inner world, such as through mindset and worldview changes, the collective, such as through culture shifts, and what we do, such as through more mindful practices, embracing diversity, equity, and inclusion in the workplace. It is making these the fertile foundation for systems-wide and upstream well-being for what is needed for the health of all.

Why Planetary Health

“Planetary health” is a relatively new concept in western literature. Although featured strongly in traditional knowledges, such as Indigenous approaches for millennia, and discussed by the scientific community in the 1970s, it was first acknowledged in western thought and more comprehensively defined in 2015 by the Rockefeller Foundation. I offer planetary health as the over-arching concept to guide this discussion because it conceptually connects the individual to the planet (Prescott & Logan, 2019). “Public health” had previously dominated the discourse on macro-level health and well-being over the past two decades (Jamison et al., 2013). However, planetary health then expanded and broadened the term “public health” to be more inclusive of interconnected and interdependent facets to health, such as equity, the political, economic, and social. Similarly, Holst (2020) identified that our global health is established through social, economic and political determinants. The planetary health manifesto and the Rockefeller Foundation–Lancet Commission on Planetary Health defined planetary health as:

... the achievement of the highest attainable standard of health, wellbeing, and equity worldwide through judicious attention to the human systems—political, economic, and social—that shape the future of humanity and the Earth’s natural systems that define the safe environmental limits within which humanity can flourish. Put simply, planetary health is the health of human civilisation and the state of the natural systems on which it depends (2015, p.1978).

The Rockefeller Foundation–Lancet Commission (2015) identified three categories of challenges that have to be addressed to maintain and enhance human health. Firstly, conceptual and empathy failures; secondly, the failure to account for future health and environmental harms over present day gains and, thirdly, the disproportionate effect of those harms on the poor and those in developing nations. The field of planetary health recognizes human impacts on the environment, and specifically, the impacts that the exploitative practices initiated by colonialism and maintained by capitalism have on the natural systems of the planet, ultimately threatening human health. The Commission argued that “a population attains a given level of health by exploiting the environment unsustainably [...and as such] it is likely to be doing so at the expense of other populations—now or in the future, or both” (2015, p. 1978). Exclusion, and exploitation occurs on multiple levels. Planetary health literature most often references exploitation of the planet’s resources for profit and the challenge of climate change. Yet, exploitation has occurred through socially, economically, and politically disenfranchising people, too. Colonizing and

exploiting peoples for social, economic, and political gain and dominance has occurred along similar approaches to colonizing and exploiting the planet and its resources. Hence, it is impossible to talk about optimal performance without considering how the well-being for all is attended to within all spheres, including the organization or workplace. It is erroneous to talk about creating human health in relation to environmental health without considering human health in relation to diversity, equity, and inclusion at all levels. The workplace is a key level where change must happen, without which overarching change will not sustain itself.

Macro-level change must consider the realms of the social, political, and organizational and, hence, this chapter seeks to offer an opportunity for thinking and the steps needed to create planetary health from the grassroots up, inclusive of and central to the discussion – the workplace. When considering all these determinants, it is imperative also to identify the power relationships within those realms that are established and maintained. In addressing power relations and imbalances, it is important, then, to include empowerment of marginalized voices and advance practices for decolonization, thereby promoting well-being, optimal performance, and planetary health. In this way, planetary health is also an approach to life which attempts to address inequalities, with the objective that all people on the globe have the ability to enjoy health and well-being (Gostin et al., 2018), and leave no one behind (Holst, 2020; UN Committee for Development, 2018). As such, it is essential to recognize the interconnections and interdependencies between political, social, and environmental discourses in shaping human perceptions, decision-making, and behavior. We can change course from a trajectory of marginalization and colonization, in its old and modern forms, through decolonization and transformation of systems for greater equity and inclusion at the organizational level, in essence setting course for a renewal.

The Lancet Commission identifies the importance of changing human behavior as the connection to human progress and wellbeing, to which it specifies how the grassroots matter (2015). It calls for the protection of biological and cultural diversity, promotes funding for interdisciplinary research on threats to human health and ecosystem integrity to improve accountability and decision-making, and aims to redefine growth and prosperity away from GDP toward measures that ensure a better quality of life for all (Whitmee et al., 2015; Prescott & Logan, 2019). The Commission has created opportunity to recognize how the grassroots can impact global health by not only protecting biological diversity but cultural diversity.

The above defines planetary health to offer a broader understanding into how important various parts of the system are and, therefore, the role the workplace can play to support our collective well-being and health. The below defines DEI and proposes a road map to embracing DEI for change from the grassroots or the workplace up to impact the health and well-being of all. In this change process, leaders can offer ways for individuals to play a significant role in transforming power relations in promoting and protecting well-being from the grassroots and organization level as potentially a fertile foundation for overall well-being, optimal performance, and planetary health. For such work, it is important to understand how power has been exercised to enable a growing gap between the rich and poor and the

conditions for exclusion of peoples based on gender, sex, race, ethnicity, color, religion, disability, or even way of thinking, as some examples. Planetary health, as such, offers an over-arching framework and understanding for how workplace well-being and optimal performance can be critical spaces for change.

Diversity, Equity and Inclusion

There is no one definition of diversity; however, diversity is often defined as the presence of differences within a given setting (Bowen & Blackmon, 2003). Diversity may be surface- or deep-level diversity. Surface-level diversity refers to observable attributes, such as, sex, age, or race, whereas deep-level diversity includes less observable characteristics, such as, one's beliefs, values, attitudes and culture (Mor-Barak, 2016; Philips & Loyd, 2006; Roberson, 2019; Stephenson et al., 2020), or in thinking, as a colleague, Guy Nasmyth, emphasizes. These are characteristics that make individuals unique and distinct (Ferdman, 2017; Roberson & Perry, 2021; Shore et al., 2018). Furthermore, as mentioned above, identities may include various forms of intersectionalities, comprising of, for example, gender, sex, sexual orientation, race, ethnicity, color, disability, or religion. It is important to note that identity or identities can also shift depending on where individuals locate themselves in relation to potentially multiple identities. At some time, particular identities will become more salient and then, depending on various variables, shift.

Equity is also a term that is often used without agreed upon definitions. Equity is not to be confused with equality. In general, it refers to an approach that ensures that everyone has access to the same opportunities. Fiske and Ladd (2004) define equity as comprising equal treatment for all races, and discuss the term in regards to equal educational opportunities. Equity is the fair and just treatment of all members of a community (Smith & Gorard, 2006). People have different starting places and as such equity is an approach to ensure that all people have the opportunity to develop, participate, be heard, and contribute, regardless of their identity/ies.

Diversity and inclusion are often referenced as interchangeable terms (Shore et al., 2018). However, they are not one and the same thing, and although broadening diversity in the organization is one essential step towards an organization's health or well-being, it is not enough. Workplaces need to go beyond recognizing the significance of diversity (Roberson & Perry, 2021). A focus on diversity can, in fact, serve to establish difference rather than a sense of belongingness with uniqueness (Roberson, 2006). Inclusion refers to the intentional, ongoing effort to ensure that diverse people with different identities can fully participate in all aspects of the organization, including leadership positions and decision-making processes (Mor-Barak, 2015; Randel et al., 2018; Shore et al., 2011). Inclusion, importantly, means contributing without assimilating to established norms or relinquishing any part of one's identity (Ferdman & Deane, 2014). As such, it refers to the way that diverse individuals are welcomed in an organization and/or community and valued and respected. Inclusion is a basic human need (Maslow, 1943) and right and thus it is

the measure of a workplace's success (Mor-Barak, 2015; Randel et al., 2018). Myers stated that “[d]iversity is being asked to the party. Inclusion is being asked to dance” (Verna Mayers Company). Furthermore, being asked to dance means relationship building is of essence. Roberson and Perry (2021) highlight the importance of relational leadership—“specifically, relating to, showing a genuine interest in, and generating trust from others” (p. 1).

A Framework to Guide Change from within the Workplace

A framework can help map how change happens or can happen. Some frameworks tend to offer short-sighted direction where outputs matter most without considering the impact of various variables. Others, stemming from evaluation-related practice, offer short-, medium- and long-term outcomes to achieve an intended impact. Yet, while a stated impact or mission may serve to guide DEI/JEDDI work, leaders also need to consider change processes that work for the context or organization, given its unique mix of diversity, history, geography, purpose, sets of challenges, maturity, place at which tolerance to inclusion might exist, political landscape in which the organization is embedded, economic capabilities and economic context, and various social issues, to name some considerations. Hence, the process must occur through much reflection along the way around whether a plan is working and what conditions need to be taken into consideration, as they exist or emerge. I offer below some strategies from a broader systems awareness.

The goal is to provide a process for leaders strategizing or thinking through how to effect change, or impacts. I suggest this process includes well-being within the workplace (short-term outcomes), optimal performance (medium-term outcomes), and planetary health (long-term outcomes). Changes are cyclical, meaning that when change happens, for example at the macro, planetary health level, those changes impact the workplace, or grassroots level. As such, while change may be focused on the workplace or space level, change ought to be focused on other levels or wherever the leverage points may be in the system, for optimal impact (Wheatley, 2005). A change process can be represented in a visual diagram, as a narrative, and usually both.

In applying systems thinking using an integral framework, I seek to offer a leadership solution to shift mindset, examine values, our behaviors, practices, and competencies, workplace culture and eventually influence the broader systems that colonize and hold practices in place that lead to inequity and inequality. To be successful, DEI initiatives must be holistic. In his work, Wilber (2001) presents an integral, chronological map of evolution of the individual, society, and the biosphere. He defines a framework based on what he refers to as all quadrants, all levels, all states, and all lines (AQAL), through perspectives from religion, psychology, sociology, and Eastern and Western philosophy. He offers that this perspective is, quite simply, everything we know (Wilber, 2001). The utility of such an integral framework is it situates progressive concepts within a larger transdisciplinary web

<p><i>The interior of the individual (I)</i></p> <ul style="list-style-type: none"> ▪ Understanding ▪ How we organize reality, make meaning of the world, reason (action logics) ▪ Values ▪ Subjective process of inquiry ▪ States of being <p>INDIVIDUAL MINDSET/VALUES</p>	<p><i>The exterior of the individual (IT)</i></p> <ul style="list-style-type: none"> ▪ Actions ▪ Skills ▪ Techniques ▪ Roles ▪ Background ▪ Performance <p>COMPETENCY/BEHAVIOR</p>
<p><i>The interior of the collective (WE)</i></p> <ul style="list-style-type: none"> ▪ Shared worldviews ▪ Values we hold (i.e. belonging, trust, reciprocity, tolerance, collaboration) ▪ Process of participation and inclusion <p>COLLECTIVE CULTURE</p>	<p><i>Systems & structures (ITS)</i></p> <ul style="list-style-type: none"> ▪ Rules ▪ Policies ▪ Laws ▪ Economic, social, political structures ▪ Paradigms <p>ENVIRONMENT/SYSTEMS</p>

Fig. 16.1 Integral AQAL theory of change model for DEI

of ideas, which includes culture, psychology, philosophy, and science (Murray, 2009). An integrally or holistically oriented change process would serve to bring together knowledges towards a transdisciplinary and holistic lens including the different dimensions. Such a change model enables leaders a process for how to address issues related to diversity, equity, inclusion, individual health, and wellbeing as connected to the wider systems of planetary health.

As can be seen from this map, the integral model helps reveal and track (a) the internal spheres of the individual where bias resides, (b) the collective or culture, (c) the behaviours and competencies and (d) the macro-level systems or environmental drivers and structures. Each quadrant influences the other; hence, this model’s influence is not to be seen as linear given that environments are dynamic systems influenced by different starting points, such as the values (LL), policies (LR), and practices (UR) of an organization and enacted by people at all levels (Ferdman & Davidson, 2002).

In considering the internal sphere (a), the change process that address DEI sustainably, as such, begins with the self or individual, as in the individual’s awareness, states, perceptions, mindset, and worldviews. One cannot lead others without the capacity to lead oneself first. What this entails is a recognition that individuals are on different consciousness levels that require development “from pre-conventional to conventional to postconventional. . . . The mature adult of postconventional awareness meets the world on its own terms” (Wilber, 2001, pp. 21–22) and that “each unfolding wave of consciousness brings at least brings the possibility for a greater

expanse of care, compassion, justice, and mercy” (p. 22). In considering the collective or culture (b), it is important to recognize that the specific nature of the relationship is socially constructed through interactions (Uhl-Bien, 2006). From this perspective, Robertson and Perry (2021) emphasized, “building environments in which members share and build on each other’s ideas freely and leaders make time and space for leveraging member contributions for decision-making, even when such contributions diverge from team norms” (p. 1).

In considering the behaviors and competencies (c), Sashkin (2012) argued individual leadership behaviors are so important because leaders model their personal values and beliefs through their behaviors. In fact, Sashkin (2012) argued behaviors are the tools through which leaders can demonstrate their visions to followers. Randel et al. (2018) proposed categories of behaviors to be able to support diversity and inclusion. These were behaviors that make group members feel comfortable and supported, support fair and equitable treatment, provide opportunities for shared decision-making, encourage different perspectives and approaches, and reduce barriers to participation.

In considering the environment, systems, and larger structures within and outside the organization that impact upon the capacity to embrace DEI include governance, laws, or policies, that are historically embedded in social and political systems that have over time determined how these laws or policies have been fashioned. Consequently, systemic change requires questioning the very ideologies and world-views that have served to preserve current power structures and barriers to justice, access, inclusion, and equity (Zampella, n.d.). Integrating these perspectives allows one to approach the work of diversity, equity, and inclusion, as well consider justice, decolonization, and renewal. This hard work, I argue, must embrace leadership practice from a holistic perspective, in other words, one that is integral. Integral

means to integrate, to bring together, to join, to link to embrace. Not in the sense of uniformity, and not in the sense of ironing out all the wonderful differences, colors, and zigs and zags of a rainbow-hued humanity but in the sense of humanity-in-diversity, shared commonalities with all our wonderful differences (Wilber, 2001, p. 2).

The following offers a strategy to map change for the workplace, as one critical sphere to evolve change for the macro-global level from the bottom up. To reiterate, to be successful inclusion must be holistic and include all levels of existence from the micro to the macro.

Individual Mindset/Values

There are several ways to start the development-oriented change process. In the quadrant located on the upper-left (UL) of the diagram above is a list of areas to consider, as first starting point. Part of motivating a process for change at the individual level, or self in systems, includes decolonization of mindset. It includes

peeling back layers of bias, and letting go of old ways of thinking that do not allow for new understanding, knowledge, and insight that are at higher levels to those one currently holds. Although tolerance is fundamental, it may be a value that an individual has yet to embrace. If one is living the value of tolerance of others who are different, perhaps the next leadership stretch is learning openness. However, any strategy for or initiative for developing greater DEI in the workplace must critically start with where individuals are at.

We might consider where we are at with each item as first aspect of a reflective practice. We might then consider where we can best grow or what aspects we ought to develop further. This could simply mean considering what further lenses or perspectives we can add to our existing list. This might mean considering which we would rather transcend, or even shed light on to understand better and change. For example, considering the values we hold, if trust is not present, we may well consider developing trust. If a divisive worldview is one that typically colors our lens and by no coincidence we tend to use divisive words to describe people or the world, we may want to transcend a binary worldview by adding on more perspectives or learn to be less judgemental and more tolerant, accepting, and inclusive. Consequently, we can take an inventory of what our values are; that is, the ones that typically determine the way we see ourselves, others, and the world, and make changes to them.

The individual is embedded in systems, whether familial, organizational, political, or economic. From this point in the model above, one can recognize that our behaviors have impact and influence systems that we are a part. Power relations are exercised across groups and hence it is important to understand to what degree we, individually, hold and can wield power. It is important to recognize the responsibility we have to peel back the layers of bias from which we see and interpret the world. It is from here we re-define our personal values, to then add our voice to the collective (lower-left quadrant – LL) to promote justice. A change process is embracing strategies for empowerment of under-represented peoples in these spaces. It is also from here where we can choose to re-evaluate our practices and choose new behaviors (upper-right quadrant – UR), aligned with creating a just world through policies, the legal systems, economic, political, and social structures (lower-right – LR). Through changing thinking, consciousness, worldviews (UL), and our choices, and practices (UR), we are able to shift collective value systems (LL), and promote human and planetary health (LR).

Guiding questions to begin this discovery may include:

- How is diversity, equity, and inclusion understood by individuals within the workplace? How do I understand these?
- To what degree do individuals believe the workplace is diverse, inclusive, and equitable?
- To what degree is DEI/JEDDI important as an individual value?
- Who is being excluded in this discovery?
- What are the areas related to DEI/JEDDI that individuals believe need greater attention and work?

- What would an ideal workplace look like here regarding DEI/JEDDI and well-being?
- What is needed to support better individual capacity to support initiatives for enhancing DEI/JEDDI for the marketplace, or those impacted/potentially impacted by the organization?
- What do I not know about DEI/JEDDI and the needs of marginalized people in my organization, and how/through whom may I learn what I do not know?

Before strategizing how to set direction, leaders need to understand the current state of their workplaces, regardless of how other organizations are doing with respect to DEI or JEDDI. They need to take the first steps by articulating the importance of DEI and by taking a position of support towards greater DEI or JEDDI. At the same time, leaders need to consider how their own identities, intersectionalities, values, background, experiences, power, privilege, unconscious bias, and even triggers may affect this discovery phase, their approach, and effectiveness.

Collective Culture

The workplace, as one form of the collective, is located within the lower-left (LL) quadrant above. Collectives can be families, communities, networks, or various forms of organization, whether located in the theoretical private or public spheres. From this general space, we can consider what the collective or rather the dominant values guiding the culture might be. For our purpose, from here we can seek to ascertain the degree diversity exists, perhaps in relation to society. We might try to understand the degree of belonging individuals express they have in the organization in question. We can explore the degree to which individuals feel they have equal access or rights through inquiry. We might also look to leaders within the organization. Bass (1998) argued that a culture shift must be first articulated from leadership. The first step is observing, asking, and listening. Although best practices in other workplaces may inform the work needed, it is important to inquire into the needs and current state of the workplace in question before seeking to adopt any idea of best practice.

Guiding questions may include:

- To what extent can workplace diversity be ascertained and based on what criteria?
- What types of diversity are observed and identified within the organization or across parts of the organization?
- How is diversity currently addressed in the organization's stated values?
- Do some individuals feel less of a belonging and, if so, why?
- What are the barriers to feeling that one is part of this whole?
- What does inclusion mean for the workplace? What steps may be implemented towards enhancing inclusion?
- What does health and well-being mean to the collective?
- How may physical space be created for all to feel invited and welcomed?

- How might individual participation and engagement with one another be enhanced, so that no one is left behind?
- How can the workplace engage with other groups or institutions outside the organization to create safer, more equitable spaces?

These questions are meant to offer the opportunity to strategize change not only within the LL quadrant but from the LL quadrant with the other three quadrants. It is a good first step to collectively seek to establish a definition of diversity. This definition goes beyond recognizing only a few groups to recognizing the multitude of ways people are diverse and how intersectionality informs how individuals and groups experience marginalization. It is important to identify how power is exercised from the top down and the power relations that exist across groups. It is also essential to acknowledge to what degree we as individuals hold and can wield power. Constraints may be located within mindsets and biases, the actions people take, or the structures, policies, or rules, formal and informal, of the organization. A scan of how each of the three quadrants (UR – actions, UL – biases, and LR – structures, policies, and rules) can reveal where our leverage points exist within the broader system to inform how to create shifts across the system in which the workplace is embedded.

Competencies and Behaviors

Individual actions, as can be located within the UR quadrant above, can contribute to an atmosphere supportive of DEI in the workplace. From this space, we can consider what power we have to take action and what actions we are in fact taking to create a workplace that is welcoming and inclusive of diverse perspectives and people. Here we can consider to what degree equity can be ascertained in rights, responsibilities, training, or various opportunities.

Guiding questions may include:

- What competencies do individuals have around DEI/JEDDI?
- To what degree is individual well-being a value and how is individual well-being promoted?
- What are the skills needed to advance a workplace ethic of inclusivity?
- What can leaders do better in way of advancing DEI/JEDDI?
- How can individual well-being impact this organization's performance?
- What steps can individuals in the workplace take to advance DEI/JEDDI and overall well-being in the community the organization serves?

By exploring the specific actions, skills, competencies, or roles in this sphere, leaders can better understand how to leverage and action change. From these insights, leaders can be in a position to identify the most relevant leverage points or opportunities for change or the roles that may need to be filled to do so. Realistically, those that are most needed or where there is greater opportunity for shifts might well be addressed first. This means that only a few strategic actions might be considered in

a first phase to be able to get buy-in and traction before iterating and contemplating what the next phase might best entail.

Environment and Systems

Broader systems drivers may be identified in the LR quadrant, as described in Fig. 16.1 above (see also Krause, 2021). These may include, for example, the rules, the policies, the laws, the economic, social, and political structures of the country/countries in which the organization exists or serves, or other overarching global determinants, such as climate change or pandemics, as well dominant or other forms of globalization. Considering such systems helps with strategizing what kinds of influences to anticipate, navigate, or address. Some drivers may seem to have little influence but are or will become key considerations for DEI/JEDDI initiatives. For example, a pandemic may create greater inequalities and gaps between rich and poor or access to essential services or other basic rights. DEI/JEDDI initiatives might need to consider these contexts for identifying which groups or individuals may become further isolated or which may become more vulnerable. We can consider how disparities can be addressed and equity enhanced through the changing of rules, policies, laws, or what the existing negative macro-level drivers are on marginalized communities, groups, nations, or regions, and why they exist. Essential, too, is to identify what systems are keeping those privileged in such places. From this quadrant we might also consider the historical specificities that have created contexts of systemic racism and marginalization.

Guiding questions may include:

- What does collaboration between other sectors and entities look like currently?
- What policies, structures, or changes in the environment can offer better capacity for diversity to be embraced and enhanced within the workplace?
- What are the overarching barriers in the political, social, or economic contexts to equity experienced in the workplace?
- How democratic and inclusive is the environment in which the organization operates?
- How does the environment impact to what degree various individuals and groups feel free to express themselves or their ideas in the workplace?
- What are the factors that influence the existence of the dominant culture/s?
- How can the workplace engage with other groups or institutions to create safer, more equitable spaces in this larger context?

Exploring the broader context is meant to ascertain the impact of macro level drivers on well-being of individuals and groups in an organization. Researching and inquiry into macro level drivers and dynamics also allow for understanding how leaders in the organization might consider addressing those drivers that serve to widen the gaps of inequity or serve to exclude and repress groups while potentially also privileging others. Such analysis can provide insights into how to shift systems towards greater inclusion, equity, and sense of well-being.

Conclusion and Key Chapter Takeaways

This chapter offers a framework for embracing DEI (and JEDDI) in view of creating greater well-being and optimal performance in the workplace and for identifying how shifts towards greater diversity, equity, and inclusion might be created. This chapter offers five key takeaways for workplaces, whether for-profit or non-profit, locally oriented, or global, as well government, activist, or educational. The examples of inquiry questions are only to provide ideas for exploring how to create diverse, equitable, and inclusive ways of seeing, being, and practice. The takeaways of this chapter are as follows:

1. Through the creation of DEI/JEDDI initiatives within workplaces, organizations can play a key role in creating safer, more equitable, and inclusive spaces where individuals might, as a result, experience a greater sense of well-being. Such can lead to optimal performance of the organization.
2. Creating DEI/JEDDI initiatives within workplaces is a foundation for the creation of planetary health, given that the health and well-being of all supports the enhancement of health and well-being in the larger, macro-level, socio-economic and political spaces, and given that all is connected, from systems and traditional knowledge perspectives.
3. A holistic lens to EDI/JEDDI in the workplace is critical for a sustainable and effective path to equity and inclusion. Such can be served by applying the Integral framework. This framework allows one to map change from the individual to the collective to the macro-level spaces.
4. Organizational leaders, therefore, require the systems thinking and practical steps for implementing DEI within their organizations for positive impact on the larger social and planetary systems.
5. No one perspective, whether the subjective, culture, behavioral, or systems, alone can be sufficient to addressing DEI/JEDDI.

Reflective Questions

1. Why is focusing on leading change beginning with the self a critical first step to DEI/JEDDI initiatives?
2. What are some key examples of actions and behaviors that align to DEI/JEDDI initiatives and what two further examples might be added?
3. What are some examples of how one might shift a hierarchical culture in which groups are marginalized and racialized?
4. What political, cultural, economic, or environmental drivers might impede the workplace's ability to shift to greater equity and inclusion and how might these be navigated?
5. What is the relationship of DEI/JEDDI initiatives within the workplace to planetary health?

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Part III
Diversity, Equity and Inclusion in
Education

Chapter 17

Inclusive Leadership in Higher Education: An Approach to Encourage Management Innovation and a Climate for Creativity



Mohammed Aboramadan and Khalid Dahleez

Introduction

Challenges in leadership impact the effectiveness of institutions of higher education (Basham, 2010; de Boer & Goedegebuure, 2009; Gigliotti & Ruben, 2017; Hassan et al., 2018; Ivory et al., 2007). More specifically, the literature on higher education management highlights middle manager leadership styles as a major challenge in managing university units and effectiveness (Astin & Astin, 2000; Bryman, 2007; Swanger, 2016). Increased recognition of the importance of leadership in higher education (Findlay et al., 2016; Hassan et al., 2018) has led to a focus on the role of middle managers and/or deans in higher education (de Boer & Goedegebuure, 2009). Middle managers oversee higher education institutions and are tasked with modernizing their managerial structures (Bolden et al., 2009, 2015; de Boer & Goedegebuure, 2009). Furthermore, it has been argued that the role of a dean in higher education is to connect institutional strategies with daily operations (de Boer & Goedegebuure, 2009; Huy, 2001).

Middle managers must ensure the effectiveness of academic work (Sotirakou, 2004) while bridging the integration of cross-cultural differences of their staff (Temple & Ylitalo, 2009). Universities are undergoing several diversity-oriented initiatives, including fostering the inclusion and recruitment of a diverse workforce (Gigliotti et al., 2017). Managers' ineffectiveness comes from a reluctance to learn more about cultural differences (Barkema et al., 2002). In general, the integration of a diverse workforce and academics in institutions of higher education represents a

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barrier because minimal attention is being paid to the management of diversity. Edewor et al., (2014) argued that more people need to be assigned to the task of managing diversity in an academic setting.

In fact, diversity benefits higher education institutions. Fostering inclusive leadership among a diverse workforce is a moral obligation, particularly at the departmental level (Gigliotti et al., 2017; Williams, 2013). To address diversity, leaders must promote an inclusive, supportive, and welcoming climate among faculty members (Gigliotti et al., 2017). Under an inclusive leadership style, middle managers can support individuals, foster fairness and inclusion, and fortify social bonds (Ryan, 2006). Furthermore, inclusive leadership can benefit policies and encourage organizational inclusiveness (Ashikali et al., 2020).

This article proposes a theoretical model on the effects of inclusive leadership in fostering management innovation and a climate of creativity in the academic setting. Furthermore, the article proposes a climate for diversity as a moderating mechanism. First, the article addresses the limited number of studies on effective leadership in higher education (Ivory et al., 2007; Ruben et al., 2016). The literature also uncovers few studies on the roles of deans and/or departmental managers in academia (Davies & Thomas, 2009; Hassan et al., 2018). Therefore, the article's second focus is to shed light on inclusive leadership in higher education, especially at departmental levels. Most higher education research has been conducted on servant leadership (Aboramadan, Dahleez, & Hamad, 2020; Aboramadan, Dahleez, K., & Hamad, M. H, 2021; Dahleez et al., 2021) and transformational leadership in higher education (Al-Mansoori & Koç, 2019; Elrehail et al., 2018; Owusu-Agyeman, 2019). Third, the article provides insight on how inclusive leadership can foster a climate for creativity for faculty and encourage management innovation.

Inclusive Leadership and Management Innovation

Carmeli et al. (2010, p. 4) argued that inclusive leadership is characterized by “openness, accessibility, and availability in interactions with followers.” According to Nembhard and Edmondson (2006), an inclusive leader accepts differences among followers. An inclusive leadership mechanism provides support, improves coordination, facilitates belongings, encourages communication, and overcomes cultural differences among followers (Ashikali et al., 2020; Barak, 2017; Javed et al., 2019; Randel et al., 2016, 2018; Shore et al., 2010; Wasserman et al., 2008). In this type of leadership style, the leader is responsible for inclusion and recognition of diversity in the workplace (Ospina & El Hadidy, 2011). In general, inclusive leadership in the business setting has been viewed as a catalyst for encouraging followers' positive work-related outcomes, such as innovative work behaviors (Javed et al., 2019), organizational citizenship behaviors (Tran & Choi, 2019), creativity (Zhu et al., 2020), and work engagement (Cenkci et al., 2020).

Recent innovative initiatives and reforms in higher education include boosting international collaboration networks, increasing the intellectual mobility of faculty

and students, and creating a management structure (Boroujerdi et al., 2019). In general, it is difficult to implement innovation in higher education (Boroujerdi et al., 2019). Faculty members' behavior and knowledge are viewed as main players in driving innovation (Boroujerdi et al., 2019; Brennan et al., 2014; O'Meara et al., 2008). Innovation has many forms, including product innovation, process innovation, behavior innovation, and marketing innovation (Wang & Ahmed, 2004). This article focuses on management innovation, which refers to the generation and implementation of a management practice, process, structure, or state-of-the-art technique used to further an organization's goals (Birkinshaw et al., 2008).

Vaccaro et al. (2012) argued that management innovation requires a systematic and dynamic reform by an organization's leaders. Management innovation can relate to changes in management practices, processes, and procedures (Hamel, 2006). In their efforts to conceptualize management innovation, Vaccaro et al. (2012) argued that management innovation is characterized by changes in rules, procedures, tasks, functions of employees, and management and compensation systems. In addition, this type of innovation requires a regular restructuring of the organizational and communication structures. Researchers (see Birkinshaw & Mol, 2006; Hamel, 2006; Vaccaro et al., 2012) have argued that management innovation has a positive influence on the competitive advantage of an organization. Furthermore, Mol and Birkinshaw (2008) have shown that the benefit of this type of innovation is not limited to the organization. In fact, it can redefine an industry through the diffusion of novel ideas and solutions.

Management innovation is a reported outcome of leadership styles like transformational leadership (Vaccaro et al., 2012) and servant leadership (Karatepe et al., 2020). However, there is limited evidence on the relationship between inclusive leadership and management innovation, especially in higher education institutions.

Given these arguments, this article proposes that inclusive leadership of deans in higher education creates a positive relationship with management innovation. First, inclusive leaders respect and accept individual differences. This type of leader allows followers to communicate their viewpoints and opinions, values feedback, demonstrates a willingness to collaborate, listens to the thoughts and recommendations of followers, and encourages followers to pursue solutions without fear of being questioned and/or sanctioned (Carmeli et al., 2010; Hollander, 2009; Javed et al., 2020; Nembhard & Edmondson, 2006). This will, in turn, increase the degree to which ideas are produced, promoted, and realized by followers (Javed et al., 2018, 2020). Second, through modeling the oppressed trait, inclusive leaders can stimulate followers to express their ideas and solutions (Ashikali et al., 2020). Carmeli et al. (2010) argued that inclusive leaders can create a work environment that is characterized by tolerance and openness, which provokes followers to generate ideas and engage in innovative behaviors. Third, inclusive leaders motivate employees to engage in learning opportunities (Boekhorst, 2015; Paustian-Underdahl et al., 2017; van Knippenberg & van Ginkel, 2010), which creates an atmosphere in which followers can develop ideas and express differing perspectives (Randel et al., 2018). Fourth, studies have suggested that a leader's open behavior encourages followers to share ideas and diverse viewpoints (Detert & Burris, 2007),

which stimulates employees to engage in creative and innovative behaviors (Javed et al., 2018, 2020). Finally, an environment that encourages innovative behaviors can yield significant management innovation. Karatepe et al. (2020) argued that employees' creative and innovative ideas benefit managers as employees inject their ideas into management systems, practices, and processes at all levels (West & Farr, 1989).

This article argues that deans, as leaders, should provide a collegial work environment within their department (Ambrose et al., 2005; Benoit, 2005; Gomes & Knowles, 1999; Trocchia & Andrus, 2003). An open collegiate environment is characterized by availability, dialogue, and tolerance for a diverse group of faculty (Stefani & Blessinger, 2018; Temple & Ylitalo, 2009), which encourages creative, innovative behaviors and leads to management innovation. Therefore, this study posits the following:

H1. Deans' inclusive leadership is positively associated with management innovation in higher education.

Inclusive Leadership and Climate for Creativity

The term "organizational climate" has received a considerable amount of attention from researchers in management and organizational behavior due to its potential to foster employees' positive attitudes and behaviors. Studies have concluded that organizational climate has a significant effect on job attitude, performance, motivation, and well-being (Carr et al., 2003; Parker et al., 2003). According to Reichers and Schneider (1990, p. 22), organizational climate is "the shared perceptions of organizational policies, practices, and procedures." Organizational climate is a specific manifestation on the culture of an organization (Sopow, 2006). Additionally, it reflects an individual's perceptions of the work climate, which is reflected by psychological needs and personal values (James et al., 2008).

Organizational climate, which has been viewed as a shared social structure, is also affected by organizational factors like leadership (Mumford et al., 2002). The concept of organizational climate received significant attention from scholars in higher education. For instance, Moran and Volkwein (1988) noted that administrative staff in higher education reported higher perceptions of organizational climate than academic staff. Recent research suggests that organizational climate positively influences academic staff job satisfaction and commitment (Schulz, 2013).

This article discusses the concept of climate for creativity as a specific manifestation of organizational climate. Climate for creativity represents a climate in which an organization welcomes and encourages its employees to introduce and embrace creativity and innovation (Martins & Terblanche, 2003). Kim and Yoon (2015) identified three dimensions of climate for creativity: (1) recognition of creativity; (2) flexibility to change; and (3) resources for innovation. According to Kim and Yoon (2015), a creative climate exists in an organization when the organization

recognizes creativity as a reward, shows flexibility to employee ideas and innovative solutions, and provides adequate resources to enhance creativity and innovation.

Regarding the relationship between leadership and climate, the extant literature suggests that leaders have the power to shape employees' perceptions of their workplace climate (Gil et al., 2005; Schein, 2017; Trice & Beyer, 1993). More specifically, research has shown that leadership affects the perception of climate for creativity (Amabile et al., 1996; Karatepe et al., 2020; Mumford et al., 2002). However, the potential effect of inclusive leadership on a climate for creativity has not been discussed. Therefore, this article proposes that inclusive leadership behaviors can boost employees' perceptions of a climate for creativity.

First, inclusive leadership, which is characterized by an openness to others, will lead to transparency and organizational intelligence, causing a positive perception regarding employees' view on organizational climate (Holloway, 2012). Open, honest communication with followers builds a lasting trust between followers and leaders (Hess & Bacigalupo, 2010). Second, when leaders fail to establish an open work environment, they indirectly create a climate that lacks the logic to make sound decisions (Cangemi et al., 2008). In addition, it has been argued that inclusive leaders promote a supportive climate through openness, accessibility, and communication (Hollander, 2009). Through the traits of openness, acceptance of others, and communication, inclusive leaders can create a climate that supports creativity by promoting open communication channels from a diverse workforce. Furthermore, inclusive leaders can create a climate for creativity by supporting multiple levels of collaboration and welcoming many views from its diverse workforce.

Given the previous arguments, leaders at all levels of academia who adopt inclusive leadership will encourage communication and the exchange of ideas between organizational members. These efforts can create a perception among members regarding a climate that fosters and encourages creativity. Thus, this study posits the following:

H2. Deans' inclusive leadership is positively associated with a climate for creativity.

Diversity Strategy as a Boundary Condition

The effect of diversity in an organization depends on the organizational context (Button, 2001; Huffman et al., 2008), in which diversity strategy plays a significant role (Hays-Thomas, 2004). Hays-Thomas (2004) defined organization diversity strategy as "the purposeful use of processes and strategies that make differences among people into an asset rather than a liability for the organization."

According to Lorbiecki (2001), successful diversity management strategies aim to enhance interactions within a diverse group of people. A management-initiated strategy is necessary to optimize gains within a diverse group (Cox & Beale, 1997; Fink & Pastore, 1999; Hays-Thomas, 2004). Building on the models proposed by Richard and Johnson (1999, 2001) and Richard et al. (2006), which incorporate

diversity in their strategic human resources management models, it has been argued that an organization must define a diversity system consistent with the strategy and structure of an organization to manage diversity in an effective manner.

In general, Fink and Pastore's (1999) framework identified four types of diversity strategies: (1) proactive; (2) reactive; (3) compliance; and (4) noncompliance. This article argues that a proactive diversity strategy is ideal for an organization to maximize the benefits of diversity. Organizations that follow a proactive diversity strategy have a comprehensive, inclusive view of diversity (Golembiewski, 1995; Holladay et al., 2003), respect diversity, incorporate concepts of diversity and inclusion into their organizational culture (Allen & Montgomery, 2001; Cunningham & Singer, 2011), provide open communication channels to a diverse workforce that occupies various leadership roles (Doherty & Chelladurai, 1999; Ely & Thomas, 2001), and routinely adopt policies to apply diversity-related positive outcomes (Cunningham, 2004; Doherty & Chelladurai, 1999; Fink & Pastore, 1999). In general, it has been argued that the gains of diversity are more achievable when an organization adopts a proactive diversity strategy (Cunningham, 2009, 2011) (Fig. 17.1).

In the same line of inquiry, the extant research suggests that organizations with diversity strategies are more likely to have positive employee attitudes and increased organizational and team performance (Fink et al., 2001, 2003). More specifically, Cunningham (2009) reported that the positive effect of racial diversity on performance at the departmental level is bound by a proactive diversity strategy. Cunningham (2011) found that the relationship between sexual diversity and organizational performance is moderated by proactive diversity strategies. Therefore, this article suggests that inclusive leadership may translate into positive outcomes (i.e., management innovation, climate for creativity) when coupled with a proactive diversity strategy. Given this, this article proposes the following:

H3. A proactive diversity strategy will moderate a positive relationship between deans' inclusive leadership and management innovation.

H4. A proactive diversity strategy will moderate a positive relationship between deans' inclusive leadership and a climate for creativity.

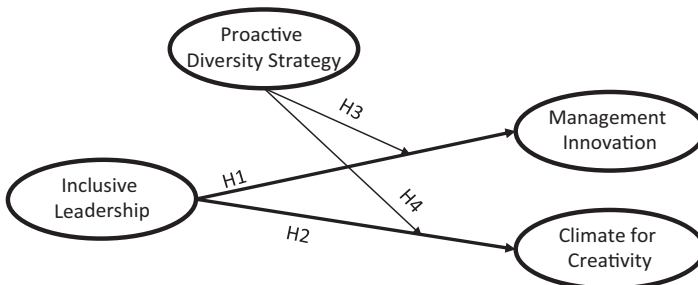


Fig. 17.1 Research model

Discussion

This article proposed a model on the effects of inclusive leadership at departmental levels in higher education. It proposed that inclusive leadership can positively contribute to management innovation and boost perceptions surrounding a climate for creativity among management. Furthermore, the article argued that such effects are bound by the availability of a proactive diversity strategy that respects, values, and appreciates diversity. Overall, this article proposed that inclusive leadership affects management innovation and a climate for creativity, which are positively moderated by a proactive diversity strategy.

Research on inclusive leadership has flourished; however, there are areas of research to address, especially regarding leadership inclusivity in higher education managerial levels. Universities and faculties are becoming more diverse, which requires the adoption of a leadership philosophy on workforce tolerance and acceptance characterized by high levels of diversity. Followers will recognize leaders' positive behaviors like openness, tolerance, and care, as well as mirror their actions regarding listening and communication with others. These behaviors may lead followers to generate positive attitudes, including positive perceptions of a climate for creativity and innovative behaviors in the workplace. These effects are stronger when a diversity strategy is adopted at the institutional level.

To reap the meaningful effects of inclusive leadership, leaders must engage in real dialogue rather than single conversations. Inclusive behaviors should include compassion, listening, and establishing lasting social ties (Dwyer et al., 2014). Inclusive leadership must adopt a body of inclusive practices, requiring managers to build a community of differences characterized by critical engagement and collaboration of staff's intercultural communication (Temple & Ylitalo, 2009). Furthermore, an inclusive leadership philosophy should highlight the importance of collective decision making and participatory problem solving (Ainscow, 1999). The presence of such a culture will stimulate followers to own their decisions, which will generate cooperative action (Thousand & Villa, 1992).

Finally, empirical research on inclusive leadership in higher education is underdeveloped. Therefore, this article calls for more studies on inclusive leadership and explorations on how this leadership style can encourage academic staff outcomes. Furthermore, the paper recommends studies to empirically test this model by collecting data from departments characterized by diversity, specifically institutions that adopt a diversity strategy.

Key Takeaways

- Universities are more diverse than ever
- Traditional leadership styles at the department levels are not so effective in higher education.
- Inclusive leadership is a key to successful diversity management
- Inclusive leadership can promote innovation and creativity outcomes in higher education.
- Inclusion is not a word. It is rather a mindset.

Discussion Questions

1. Why do we need inclusive leadership in higher education?
2. Is inclusive leadership the future of leadership in higher education?
3. Is inclusive leadership more effective than other styles given the diversity at the workplace?
4. What do organizations need to adopt a diversity strategy?
5. How can inclusive leadership promote management innovation and encourage a followers' perceptions of climate for creativity?

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Chapter 18

Decentering Whiteness: A Leadership Strategy for Diversity, Equity, and Inclusion in Higher Education



Yulee Lee and Trevor Cox

Introduction

For decades, leaders across industries have worked to broaden the definition of diversity and inclusion to a catch-all phrase that goes “beyond historical connotations of race and underrepresented racial groups alone” (Jones, 2019, p. 2). While all positive attention and progress towards increasingly inclusive organizations should be celebrated, diversity management practices, such as diversity training or affinity networks, tend to be similar across organizations without consideration for the challenges posed by complex, intersecting identities (Benschop et al., 2015; Foldy, 2002; Janssens & Zanoni, 2014). Higher education is no exception.

Current approaches to the work of diversity and inclusion have emerged due to the variety of challenges leaders tend to face in this field of work (Tienda, 2013). Specifically, two types of challenges can help illuminate the reasons for different approaches to the work of diversity and inclusion and also highlight the need for a complementary approach that shifts the culture of higher education. First, leaders can encounter technical problems. Technical problems (although they may still be complex) can be solved with a leader’s current knowledge and the operational processes already in place (Heifetz & Linsky, 2017; Parks, 2005). The process for solving technical problems is linear because the solution is known. Depending on the context, examples of technical solutions include acknowledging holidays that are meaningful for people from different cultural backgrounds, or including more diverse representation on marketing materials. By contrast, adaptive challenges

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come tangled with complex problems and multiple systems that cannot be solved by the know-how of individuals with the most power within the organizational hierarchy (Parks, 2005). As a result, both the problem and solution for an adaptive challenge require learning from the new discoveries that subsequently emerge. Due to the depth and breadth of their complexity, the process for solving adaptive challenges is iterative and pushes all members of an organization toward transformation of heart and mind by raising the stakes of the solution and challenging the existing deeply held assumptions and values of the organization as a whole (Heifetz & Linsky, 2017; Parks, 2005). We argue that whiteness as a root cause for oppression and inequality in higher education is an adaptive challenge in need of creative solutions because they require us to operate in a different way than we do now.

The relationship between whiteness, oppression, and inequality in higher education is difficult to address when the concept of diversity encompasses differences across identities to highlight common struggles or disadvantages (Jones, 2019). While recognizing shared experiences encourages sympathy, challenges rooted in racial inequality need a different approach. The ever-expanding definition of diversity (Jones, 2019), along with uniform approaches to diversity and inclusion (Benschop et al., 2015; Foldy, 2002; Janssens & Zanoni, 2014), can sideline the uncomfortable, more nuanced conversations about race and racism that are critical to engage in institutions of higher education historically created to develop the academic and social needs of white males (Corces-Zimmerman et al., 2021). As such, leaders who work towards positive change within institutions of higher education can encounter challenges that emerge from a pattern of shared basic assumptions that its initial culture creators (in this case white males) have learned, accumulated, and passed along over time (Schein, 2017). To complement the counter-cultural work already taking place in higher education (Williams, 2013), we propose an additional strategy to decenter whiteness through a dialogic approach to diversity and inclusion that embraces and integrates an intersectional framework to move the experiences of the marginalized from the periphery and elevate the voices of those who are silenced by social power and hierarchy (May, 2015). As a result of the predicted growth in racial and ethnic diversity (Vespa et al., 2018), higher education institutions bear increased responsibility to grow a greater awareness of the degrees of difference between people and can begin with the recognition of and intentional work toward a deeper understanding of “the other.”¹ Moreover, sometimes the assumptions we make about “others” are not formed as a result of firsthand experience, but rather from secondhand information or, even more profoundly, from “what we have *not* been told” (Tatum, 1997, p. 4). As such, language, particularly how it is or is not communicated and who is involved in the communication process, can contribute to creating, maintaining, or changing our relationships with “the other”

¹ This phrase will be defined as used by Miraslov Volf in his book *Exclusion and Embrace* where he states that “the other” emerges as an enemy or an inferior through our acts to “assimilate,” “expulse,” or “subjugate” someone else. We do this while remaining indifferent to the person’s unique value and belonging within the patterns of interdependence that include the “mutuality of giving and receiving,” which leads to collective learning and growth (Volf, 1996, p. 67).

(Dunn & Eble, 2015). The communicative processes that exist within institutions of higher education hold power to spread values and messages, to set agendas for what is discussed, and to determine how the discussions will take place, whose voices are heard and whose voices are silenced (Dunn & Eble, 2015). This communicative influence should be considered by higher education institutions to both create and sustain change over time (Bouwen & Tailieu, 2004).

Before we move too quickly to the solution, however, it is important to look at the challenges for diversity, equity, and inclusion in higher education and how higher education itself prioritizes whiteness.

Technical Responses to Diversity, Equity, and Inclusion in Higher Education

Since the 1950s, American higher education has given much attention to issues surrounding diversity, inclusion, and equity (DEI) (Smith, 2015). As this work has developed, there is a general consensus about the value of diversity in both the faculty and student populations as essential for the growth and development of students (Benitez et al., 2017; Gurin, Dey, et al., 2004; Gurin, Nagda, & Lopez, 2004), the ability to work in an interconnected world, and even the importance of diversity for the health of a democratic society (Gurin, Nagda, et al., 2004, Gurin, Nagda, & Lopez, 2004).

Despite decades of research and practice, inequities still exist in both the student, faculty, staff, and administration populations. While the numbers of women and faculty of color have improved in recent decades within both faculty and leadership positions, research still shows higher education does not reflect the national demographics. Whites still hold the majority of faculty positions and dominate the most senior leadership positions (Ash et al., 2020). White people make up 60% of the American population, but 81% of full-time professors (Newkirk, 2019).

Griffin's (2020) exhaustive review of research on DEI in higher education reveals an even more inequitable view. By drilling down into the numbers, we can further see inequity in the locations of diversity within higher education. For example, while 5.7% of full-time faculty is Black, a majority of Black professors work at Historically Black Colleges and Universities (HBCUs). And while the numbers of people of color continue to climb in higher education, most of these faculty members work at 2-year, private, and special mission colleges and universities that are considered less prestigious in the academic community. Even a look at disciplines reveals certain disparities, especially in the number of women and people of color within the hard sciences. People of color are also well represented in adjunct, non-tenure track, and even pre-tenure positions, but drops significantly in the associate and full professor ranks and even more in top-level leadership (Griffin, 2020). As Griffin (2020) points out, "the professoriate becomes increasingly homogenous as one ascends the academic hierarchy, with white men making up large proportions of

tenured faculty and full professors at 4-year institutions” (p. 33). The demographics of higher education reveal that whiteness defines both what is considered prestigious and the path towards advancement within higher education.

Beyond the numbers, there are also significant issues in campus climate for both faculty and students. Faculty of color are found “less likely to be satisfied with their co-workers and perceive that they were being treated unfairly, and left out of social interactions” (Griffin, 2020, p. 25). Women face challenging perceptions about when and if they have children and negative perceptions about productivity as it has been defined for higher education (Griffin, 2020). Additionally, students continue to report “experiencing both outright racial macroaggressions as well as racial microaggressions on campus” (Ash et al., 2020, p. 3).

While we should celebrate the gains that we have made in the last half-century, there is still much work to be done. Which leads to the question: Why have the advancements in DEI not been more substantive? Why do these inequities persist? A quick sketch of the history and approaches to DEI in higher education helps us understand our current issues. Specifically, it addresses the technical responses attempted for an adaptive challenge.

In the 1950s and ‘60s, the main focus for DEI efforts was on access for underrepresented students. Not only were institutions beginning to examine their curriculum and areas of research to focus more on DEI, but the accompanying policies, laws, and regulations produced as a result of the contemporary social movements created more access for traditionally underrepresented and marginalized students (Smith, 2015). The Civil Rights movement produced desegregation laws and affirmative action, so more people had access to higher education than ever before (Smith, 2015). These efforts were “designed to enhance the demographic diversity of the institution’s faculty, staff and students, and to eliminate discriminatory practices” (Williams, 2013, p. 137). By removing the barriers to higher education that existed for many, and increasing diversity in the institution, the belief was that instances of sexism, racism, and exclusion would decrease (Smith, 2015; Williams, 2013).

By the 1970s, institutions realized they were unprepared to educate diverse students, so there was a shift from access to success (Smith, 2015). While the intention was to help diverse students become more successful, these efforts took on a deficit approach, comparing students of color with white male students and figuring out how to “overcome” the deficits of underrepresented students. Unfortunately, even today, DEI efforts remain focused on the outreach, access, and success of underrepresented students (Smith, 2015), and the heavy admission focus continues to come under scrutiny (e.g. Fisher vs. University of Texas at Austin, where a white woman sued for not being accepted to the university because of her race (Griffin, 2020; Williams, 2013)).

As institutions began to look at what was needed for a diverse student population to be successful, attention turned to institutional efforts to “nurture, promote, and understand the culture of ethnic and racially diverse minorities, women, members of the LGBT community, and other traditionally disadvantaged groups” (Williams, 2013, p. 142). Not only did institutions begin to offer support for diverse students,

but a focus began on campus climate and intergroup understanding. This period also fostered increased scholarly attention to DEI (Williams, 2013). Finally, Williams (2013) argues that in the 1990s, institutions engaged in the Learning, Diversity, and Research Model. In this model, DEI began to be integrated into the curriculum, and research in the area began to expand. DEI was more central to teaching and scholarship, and institutions invested in teaching skills for intergroup relations.

Smith (2015) summarizes it this way:

The early discussions of diversity began with issues of access and developed into discussions about student success, campus climate, curriculum, scholarly research, and institutional domains such as hiring. This way of framing diversity, however, was often reactive, focused on responding to events and being implemented primarily to serve specific populations. Diversity was not necessarily embraced as central to institutional functioning and the building of an inclusive institutional culture (p. 67).

The growing diversity of campuses continues to present unique challenges, yet most institutions employ dated ways of approaching these challenges. Williams (2013) argues that while the above approaches to DEI in higher education correspond to particular historical eras, most institutions are still employing them as a singular approach to diversity. The result is “desperate and distinct capacities sprinkled across campus” (p. 133), offering little more than superficial responses.

Newkirk (2019) says that, too often, DEI initiatives are nothing more than symbolic gestures. Institutions engage mostly during times of unrest, and the responses are to release a diversity statement or even hire a Chief Diversity Officer (CDO). In 2015 many institutions issued formal diversity statements in the wake of student protests, yet did little to change policies or practices (Ash et al., 2020; Newkirk, 2019). Following some of the business models of diversity and inclusion, some institutions pursued organizational-level development specifically by hiring CDOs to “provide institution-wide leadership for diversity and inclusion initiatives and strategies” (Shorter-Gooden, 2014, p. 473). These senior administrators often report directly to the president or provost and are tasked with diversity initiatives, increasing diversity in the institution, and creating inclusive climates that celebrate differences (Ash et al., 2020). However, Ash et al. (2020) argue that the hiring of CDOs often falls short of making real changes because they operate from the same dominant ideologies as the institution and because “no single individual can make the necessary changes for an institution to achieve their diversity goals” (p. 14). Put another way, the historical approach to DEI has been technical solutions to adaptive problems.

White Supremacy Culture and Resistance to Change

Adaptive approaches require asking hard questions and institutional change, yet Tagg (2019) argues that higher education has been designed to resist change. American universities were built by institutions collecting experts in their fields and assigning them to their own unique departments. High faculty power and divergent

areas of expertise led to loose coupling within institutions where “the work of one division of the organization is not dependent on or connects with the work done in another” (p. 91). Such divisions create groupthink within departments and disciplines and an unwillingness to change or listen to the group.

At the same time that these divisions persist and the different silos continue to talk past each other, institutions create rituals and narratives that reinforce the idea that departments actually are working together, and this assumption is rarely examined. Tagg identifies this as a *defensive routine*. Defensive routines serve to reinforce resistance to change through “actions and policies enacted within an organizational setting, that are intended to protect individuals from experiencing embarrassment or threat, while at the same time preventing individuals, or the organization as a whole, from identifying the causes of embarrassment or threat in order to correct the relevant problems” (Argyris & Schon, 1995, as cited in Tagg, 2019, p. 75). When people become highly skilled at this, they can distance themselves from real problems and avoid responsibility.

An embedded resistance to change makes adaptive solutions difficult enough, but adaptively engaging issues surrounding DEI creates an even deeper resistance. Addressing the root causes of inequity can result in feelings of being “newly oppressed” and cause “accusations of reverse racism, challenges to free speech, academic freedom, and a general critique of an increasingly oversensitive faculty and student body” (Ash et al., 2020, p. 23). Yet, to work towards real adaptive change, leaders must address these root causes of oppression and inequity. And perhaps no root cause is as pressing as that of whiteness.

Ash et al. (2020) argue that DEI initiatives fail because “organizations neglect to address why groups and individuals are systemically oppressed and marginalized” (p. 13). Without dealing with the systemic racism inherent to higher education, even the best-laid plans create technical responses to adaptive challenges. In other words, an adaptive response has to address the ways higher education was built upon and maintains whiteness.

Higher education was built upon the assumption that the faculty and students would be white males from its very beginnings. Institutions were built without any intentions of educating people of color, and some institutions actually promoted anti-Black sentiments because they were dependent on chattel slavery. Even as higher education began to desegregate, it only did so when there was a benefit to whites (Ash et al., 2020). While pro-White sentiments were overt in the founding of American higher education, the assumptions continue to run deep (albeit tacitly) through institutions today. Even institutions taking an intergroup understanding approach often “failed to educate about the reality and prevalence of White dominance and supremacy on campuses and have focused on merely changing individuals rather than dismantling structural inequalities that perpetuate systemic racism in college” (Ash et al., 2020, p. 11). Grooters et al. (2019) refer to this phenomenon as a white supremacy culture: “A collection of social norms that serve to reinforce whiteness as the dominant perspective shaping interpersonal and behavioral expectations in various public and private settings – and which reinforce perceptions of non-white cultures as Other and inferior.”

In white supremacy cultures, whiteness is internalized as “the norm,” and a clear hierarchy of dominance and subordination is created. White supremacy cultures create privilege (unearned gains) and immunity (lack of unjust treatment) for white people in the institution and do not guarantee rights, justice, or equitable social treatment for people of color (Ash et al., 2020). White supremacy culture creates defensive routines through the social practices, systems, and norms of the institution, and often even policies and procedures reveal a bias towards whiteness. As such, whiteness drives the majority of decisions within American higher education (Ash et al., 2020).

If there is going to be a truly adaptive shift to make higher education more equitable for all, we have to do more than increase the numbers of diverse students. We have to dig deeper by examining the power dynamics and institutional structures that marginalize people and think creatively and adaptively about how to change them (Ash et al., 2020). We must interrupt the traditional ways of doing things because our traditional ways of doing things are geared towards whiteness. While there needs to be close attention paid to campus climate, access and success for diverse faculty, staff, and students, along with intergroup dialogue, all of these will ultimately be technical solutions unless the larger problem of whiteness is addressed within an institution. “Leaders ought to do more than merely teach communities about cultural appreciation for the purpose of being tolerant of one another” (Ash et al., 2020, p. 4); they must look to dismantle the ways whiteness is embedded into the system.

White supremacy culture shows up in many ways within higher education, but one of the primary ways it shows up is “the reification of a deficit mindset with regard to people of color when approaching the racial challenges” (Ash et al., 2020, p. 13). Even for institutions taking a success and intergroup dialogue approach, deficit thinking still drives much of the work done in these institutions. The assumption is that people who are not White or not male lack something necessary for success in the institution. Rather than looking at the deeper cultural and systemic issues, a deficit approach places the blame for a lack of diversity in an institution on individuals and particular subgroups (Ash et al., 2020). We see this in the language used throughout higher education: “at-risk,” “underprepared,” or even “a lack of qualified candidates” in the hiring process (Ash et al., 2020). Even when students benefit from an access and success approach, they often feel they “must choose between race and academic success due to the perception that academic success indicates abandonment of racial integrity for whiteness” (Blakeney, 2005, p. 124).

Griffin (2020) points out that in the wake of the 2015 student protests surrounding the experiences of racism, marginalization, and oppression of underrepresented students on campus, one of the interestingly consistent messages across institutions was the need to increase faculty diversity. Students recognized the need for underrepresented students to have role models and support from the faculty side of the university to better help them navigate university life. Griffin (2020) goes on to acknowledge that the embedded whiteness within a university is the main contributor to a lack of faculty diversity:

The persistent lack of faculty diversity and underrepresentation of women and men of color in the academy are rooted in the racism and sexism embedded in recruitment and hiring, how work is assessed and allocated, how resources and support are distributed, and the extent to which faculty are welcomed into academic communities and included in departmental networks (p. 52)

In order to make adaptive changes in the diversity of faculty, difficult questions need to be asked about how diverse faculty are attracted, hired, and successfully navigate the advancement of their careers. Higher education leaders “must understand and address how sexism and racism are embedded in academic structures, systems, departments, colleges, and programs in a comprehensive way to truly understand why they have failed to or have made minimal progress towards increasing the number of women and men of color on their faculties” (Griffin, 2020, p. 4). We will explore a few of the technical solutions employed to diversify faculty, paying particular attention to how whiteness shapes the process.

While hiring more diverse faculty is an obvious first step to more equitable institutions, the process of hiring diverse faculty still is subject to whiteness. While faculty (particularly white males) on hiring committees may be committed to hiring diverse candidates in theory, but too often, biases and personal preferences for candidates still reflect whiteness. Concern for the prestige of a school, expertise in areas other than DEI, or certain achievements far exceed a commitment for diversity, which in turn makes committee members more critical of women and people of color in the hiring process. Potential candidates from underrepresented groups tend to mirror the white males already within the institutions rather than bringing a unique perspective to the institution (Griffin, 2020). As such, search committees argue that only a small number of “qualified” faculty from underrepresented groups and various institutions compete for this small group of candidates. Because these candidates create bidding wars between institutions, the process also creates the sense from white faculty members that candidates from underrepresented groups receive preferential treatment (Newkirk, 2019).

When underrepresented faculty do get hired, they also tend to be hired for *revolving door* positions typically held, vacated, and then refilled by people of color. Hiring people to these positions satisfies the numerical requirements of diversity but does not dig at the deeper issues within the institution, specifically the problems underrepresented faculty face in advancing in their careers (Ash et al., 2020). Another technical solution here has been to focus on “pipelines” for faculty of color. The idea suggests that more people of color entering graduate school will create more “qualified candidates” for higher education positions. However, whiteness still maintains the power and privilege in many institutions, which shapes who gets into graduate school and their experiences within doctoral programs. Because of racist and sexist experiences within doctoral programs, many women and people of color do not choose to continue in the academy after completing their degrees (Griffin, 2020).

Just as institutions discovered that student success is as critical as access, diversifying the faculty requires more than examining hiring practices. When diverse faculty are hired, they often face barriers in the campus or departmental climate that

keeps them from advancing in their careers. Multiple studies have shown that people of color “perceive the climate on campus and in their specific departments and disciplines as hostile and exclusionary” (Griffin p. 23). Underrepresented faculty also feel an extra burden to perform well and begin to not only doubt their expertise but “perceive the need to prove their abilities and felt that they were expected to cope without help, support, or complaint” (Griffin, 2020, p. 21) in ways white male colleagues do not.

The classroom also presents issues for diverse faculty. Faculty of color were also more likely to be referred to in informal ways, while white male colleagues almost always were addressed with “Doctor” or “Professor” (Griffin, 2020). Students also “challenged their authority and questioned their competence in the classroom, resisted conversations about social justice and equity, and expected a higher level of caregiving and fewer boundaries” (Griffin, 2020, p 29). Not only does this create an emotionally difficult teaching environment, but the negative responses from students also impact student evaluations and thus tenure and promotion (Cox, 2017).

As mentioned previously, underrepresented faculty have a much more difficult time working through tenure and promotion. The main reason for this difficulty is that much of what counts as legitimate scholarship and service in higher education serves whiteness. People of color often are engaged in applied, problem-based research surrounding issues of DEI and their own communities. However, this research tends to get published in areas outside of what is considered “top tier” publication (Cox, 2017; Griffin, 2020).

Further, institutions tend to hire diverse candidates because of their emphasis on their DEI work. As underrepresented faculty engage in the institution, they begin to receive an elevated rate of institutional demands for their expertise. Increasing demands create *cultural taxation*, “or the pressure to fulfill multiple demands related to an institution’s diversity and inclusion needs” (Griffin, 2020, p. 31). Once again, underrepresented faculty are asked to address and serve whiteness within the institution but do so with little credit.

Faculty of color also tend to engage in more mentoring and relational work with students distinct from their white male colleagues (Griffin, 2020). Cox (2017) found that while faculty enjoy the work they do at the institution as well as their interactions with students, these activities require an incredible amount of emotional labor and become exhausting quickly. Griffin (2020) also found that while this work is challenging and extremely time-consuming, little of this emotional and relational work counts towards service requirements. To further complicate matters, so much time is given to students and the institution, relationships within the department frequently suffer. If relationships and collegiality are a part of one’s evaluation, this can significantly impact tenure and promotion. At the very least, it can create yet another difficult climate where a faculty member has few allies (Griffin, 2020).

While Higher Education presents a great deal of challenges for DEI leadership, the challenges are not insurmountable. We propose a dialogic approach integrated with an intersectional framework as an adaptive strategy for leaders to navigate resistance to change, decenter whiteness, and elevate the voices whiteness seeks to silence within higher education.

Dialogue to Decenter Whiteness: An Adaptive Change Strategy

Dialogic approaches to change are designed to create opportunities for diverse voices to interact. We argue however, that a more intentional connection between dialogic practice with an intersectional framework can be a strategic conduit for change specifically for institutions of higher education designed with systems and structures that serve whiteness. Law professor Kimberlé Crenshaw coined the word “intersectionality” in 1989 to highlight the ignored effects of black women’s intersecting identities (gender and race) that shape their experiences in social institutions (Crenshaw, 1989, pp. 139–67). Crenshaw emphasized intersectionality as an interpretive process using inquiry to provide understanding of contextual experiences of those who are generally overlooked or silenced (May, 2015). This process illuminates specific problems that demand contextualized solutions to intentionally eradicate inequality and pursue justice in our institutions. By valuing narrative ways of knowing, intersectional thinking makes way for sharing stories that then become important pieces to the overall strategy for diversity and inclusion (May, 2015). Listening to different perspectives with the intention to question assumptions that are rooted in the norms of dominant culture, purposefully pursue justice, and embrace complexities and contradictions (May, 2015), can both transform mindsets and systems to create a more inclusive future narrative for institutions of higher education.

Jones and Wijeyesinghe (2011) state, “a core tenet of intersectionality is the connection of these identity dimensions to larger structures of oppression and privilege” (p. 12) that prompt action “to improve society, in part, by understanding and explaining the lives and experiences of marginalized people and by examining the constraints and demands of the many social structures that influence their options and opportunities” (Dill & Zambrana, 2009, p. 3). While dialogue is an interpretive process of communicating with and relating to others that helps us better understand the kind of challenges often found in organizations (Bushe & Marshak, 2015, p. xiii), using an intersectional framework focuses dialogue around the lived experiences of people of color within the systems that oppress and hinder the progress of diverse faculty and staff in institutions of higher education. Focusing dialogue in that direction is important because although the intent of dialogue encourages people to come together as equals to think, reflect, and create as a collective whole to experience “a conversation with a center, not sides” (Isaacs, 1999, 19), the history of higher education teaches us that people of color do not enter the conversation as equals.

In his book *Pedagogy of the Oppressed*, Paulo Freire (2000) writes about the process of humanization that can take place through dialogue between the oppressed and the oppressor. Freire explains that dialogue includes both reflection and action that provide others with the freedom to name the world as they experience it, which is a freedom bound with suspicion and untrustworthiness for people of color whose experiences and knowledge are routinely questioned (Bernal & Villalpando, 2002). In fact, faculty of color experience an “apartheid of knowledge” in institutions of

higher education where epistemological racism influences the range of research legitimacy from other epistemological standpoints (Bernal & Villalpando, 2002; Scheurich & Young, 1997). As such, Freire (2000) shares his belief that dialogue cannot exist without love, humility, faith, hope, and critical thinking - ingredients of posture and attitude that are required for successful dialogue to take place. Similarly, Schein (2013) states successful dialogue requires an attitude of genuine interest and curiosity through the humble act of asking questions rather than telling people what to do. A humble attitude and a spirit of inquiry creates an atmosphere of psychological safety where people can begin to trust one another and build relationships (Schein, 2016). Varying depths of relationships form depending on the level of trust that is present (Schein, 2016) — a difference that is critical to the quality of dialogue that emerges as well as the depth of transformation that is possible. The posture of whiteness will be key when centering experiences of people of color.

When using an intersectional framework in dialogue, of importance is developing practical action steps that move institutions toward systemic change (Jones & Wijeyesinghe, 2011). Discerning the systemic change that is needed will come from the new knowledge that is generated by centering the voices of people of color as they narrate lived experiences within the structures of inequality that exist in higher education (Jones & Wijeyesinghe, 2011). According to Dill and Zambrana (2009), these counter narratives “illuminate the relationships of opportunity and constraint created by the dimensions of inequality so that racism, for example, is analyzed not only in terms of the constraints it produces in the lives of people of color, but also in terms of the privileges it creates for Whites” (p. 6). In addition, an intersectional framework will produce counter narratives that highlight the complexities across the multiple identities that people of color not only hold and make sense of, but multiple identities that also interact and influence each other beyond one’s control (Jones & Wijeyesinghe, 2011). These complexities showcase the spectrum of diversity that exists within racial and ethnic groups to nuance and influence less homogeneous, one-size-fits-all diversity management practices that exist in institutions of higher education today (Benschop et al., 2015; Foldy, 2002; Janssens & Zanoni, 2014).

In addition, dialogues that focus on intersectional realities bring opportunity to talk through power dynamics and the influence of power to shape systems of privilege or oppression, which is a needed conversation in higher education (Ash et al., 2020). Talking about power is a critical part of the dialogic process because “the concept of intersectionality emerged initially as a mechanism for revealing that power works in uneven and differentiated ways” (Chun et al., 2013, p. 922). While understanding intersectional identities is part of the process, institutions of higher education that desire systemic change need to move dialogue toward “learning perspectives grounded in analyses of systemic dynamics and institutional power” (Chun et al., 2013, p. 922). Crenshaw (1991) reminds us of her original intent in coining the word intersectionality: “My focus on the intersections of race and gender only highlights the need to account for multiple grounds of identity when considering how the social world is constructed” (p. 1245). Understanding power dynamics connects the conversation of individual identities to conversations about

larger structures of inequality that also allow for dialogue about how power dynamics shift over time and in different contexts (Warner, 2008; Weber, 2010). Ultimately, the goal is to promote justice by taking action “focused on eradicating [systemic] inequalities and also changing the relationship between higher education and society” (Jones & Wijeyesinghe, 2011, p. 13–14).

In summary, through the presence of marginal voices in discursive spaces, structural inequalities become disrupted and change begins to occur (Dutta, 2011). In other words, voices that have been excluded or even erased are brought into the change arena to engage with voices that typically dominate conversations. In higher education, this means highlighting the voices of people of color and decentering whiteness as the dominant voice. When this happens, all stakeholders within higher education continuously negotiate their own identities in the face of their dialogic interaction with “the other” that challenges the very foundation of mainstream knowledge as well as their own personal assumptions and worldviews (Dutta, 2011; Nagda, 2006; Wheatley et al., 2012). When the process of dialogue is convened well, and when dialogue participants, regardless of social status, intentionally work to apply the principles of relational engagement of dialogue, the combination of voices has potential to impact change on the global scale (Dutta, 2011). As such, dialogic communication that includes follow through in sustained action attempts to transform structural inequalities so that marginalized voices can experience the fruit from projects of redistributive justice (Dutta, 2011). Therefore, this change strategy can be a more inclusive and purposeful way of conversing with and on behalf of other people.

Targeted Ways to Decenter Whiteness in Higher Education

Building on the research presented above, Cox (2017) found that the primary way for organizations to become more inclusive is through dialogic change. A dialogic approach to change not only allows organizations to adjust based on the actual people within the organization (as opposed to just white males) but affects the norms and boundaries of an organization. Critical dialogue enables those involved to reflect on themselves, their responsibilities, their cultural climate, and analyze their culturally conditioned levels of understanding (Freire, 2005). Through critical dialogue individuals and groups are able to reflect on the language and norms of the institutions which can expose the hegemonic discourses taking place and exposes the invisible factors oppressing specific groups, and re-narrates the existing social setting (Berkovich, 2014). As individuals and groups reflect on and take action in their organization, dialogue allows them to take a liberatory role within the organization.

In order to truly decenter whiteness, institutions need dialogic skills such as “active listening, conflict mediation, and conflict management” (Blakeney, 2005, p. 126). Such skills help create a community where fluid and equitable social interactions take place and the real concerns for marginalized groups can be brought to

the forefront (Blakeney, 2005). Further, there needs to be identity work done by the people in the dialogues, especially white faculty (Ash et al., 2020). Better understanding whiteness and its relationship to the self and its impact on others is a critical first step (Ash et al., 2020). Further, the more white people engage in topics surrounding race and ethnicity, the less they experience “white fragility” (DiAngelo & Dyson, 2018) which limits the kinds of dialogue that can take place and the ability to see the barriers within institutions.

Dialogue also requires a sharing of power. Ash et al. (2020) argue that historically, the White dominant mindset in higher education resists any sharing of power. Only when Whites are forced to share power will these dominant ideologies be exposed. The power of dialogic change is that it is a shared and collaborative process. In the process of dialogue, whiteness is exposed and problematized (Ash et al., 2020) and there can be a true sharing of power and decision making.

Dialogic change elevates the voices of those most impacted by the centering of whiteness. Rather than blaming individuals for the ability to make DEI related changes, it listens to the voices of the most impacted and examines the structural issues involved and how institutions and cultures “perpetuate inequality, inhibit their own ability to increase faculty diversity, and sustain barriers that prevent minoritized individuals from gaining access to beneficial resources” (Griffin, p. 6). Prioritizing minoritized voices also helps institutions gain a more full understanding of the institutions climate. As dialogue brings all voices to the table, and even centers marginalized voices, it allows us to rethink and reimagine these issues without the prevailing influence of white supremacy.

Dialogic change cannot be prescribed and what decentering whiteness looks like will vary from institution to institution. However, looking at the ways whiteness works within higher education, allows us to see a few important areas for institutions to create dialogue around. These areas are: access and success, climate, policies and procedures, productivity, and tenure and promotion. In this final section, we offer a few suggestions for what these areas might look like and what questions institutional dialogue should be centered around.

We have looked at some of the technical responses to access and success. Decentering whiteness requires us to ask new questions about access and success: How can we rethink where we hire faculty and staff? How can we create better pathways for women and faculty of color to move up in the institution? How can we create better climates in our departments so faculty will want to stay? True dialogue that prioritizes marginalized voices allows institutions to answer these questions honestly and with a critical eye. As dialogue shifts the narrative in an institution it must also shift the narrative on “efforts to connect with potential candidates and generate interest amongst a diverse pool of potential applicants (outreach); how applicants are reviewed and selection decisions are made (admissions); and how selected applicants are recruited and encouraged to ultimately enroll” (Griffin, 2020, p. 40).

One of the main impacts of dialogic change is that it creates a change in culture rather than a technical or superficial response. As an added benefit, dialogic change also builds interpersonal relationships. As relationships are built, there is a shift in

the climate of the institution. As was mentioned previously, climate is often one of the main reasons for minoritized faculty leaving higher education. Collegiality and positive relationships have an exponential impact on the retention and satisfaction of faculty of color (Griffin, 2020). Through dialogic process, new faculty build personal relationships and current faculty better understand how to avoid stereotypes and microaggressions. As institutions better understand the barriers and issues within the climate, professional development should take place to help all members of the institution engage in combatting these issues (Griffin, 2020). Engaging in dialogic methods of professional development not only builds further skills but continues to change the climate.

Another key component to dialogue is the language we use. As was mentioned previously, our language matters. The way we speak about DEI related issues shapes how we engage the challenges presented. Diversity should be seen as a value which institutions pursue rather than a problem to be overcome and should rid themselves of deficit focused language (at-risk, underserved, etc.). Dialogue also provides a metanarrative to handle conflict and resistance to change. A convincing metanarrative of inclusion allows leaders to reframe conflicts for the advantage of the group or organization, and helps coordinate shared meaning (Chrobot-Mason et al., 2014; Wasserman et al., 2008).

For DEI efforts in Higher Education, Shorter-Gooden (2014) argues that a clear, explicit institutional commitment is critical and that “the words and actions of the president, provost, deans, and other top leaders send an important message to the rest of the college community” (p. 456). While the goal of the training is to engage all levels of the university, Offerman and Basford (2014) suggest these efforts are most successful when top leadership participates in and champions these efforts. The presence and words of leadership communicates the commitment to an inclusive climate and shows it is everyone’s responsibility to create such a climate. Ash et al. (2020) also specifically recommends that the necessary training for DEI efforts should start at the administrative level with boards, presidents, and cabinets.

Dialogic change not only engaging in interpersonal and climate issues, but requires institutions to take hard looks at their policies, procedures, and even their mission and value statements (Cox, 2017). Cox (2017) further argued that the norms, boundaries, and policies should be continuously in dialogue within the institution to continue to make sure they “work” for everyone in the institution. Leaders must also continually ask the question about their dialogues: Whose voice is missing?

All of these issues will most likely lead to a re-examination of tenure and promotion process. As Cox (2017) argued, student evaluations and what count as research and service need to be questioned. How can we take a faculty member’s identities and subject matter into account with student evaluations? How can we honor the emotional labor so many of our underrepresented faculty are engaged in as service to the institution? How can we rethink what is considered quality research to address research focused on DEI issues? One of the most prevalent issues in the literature that must be addressed is redefining “productivity” and “performance” (Ash et al., 2020; Cox, 2017; Griffin, 2020). Dialogue allows institutional members to help

redefines these concepts for the institution in a way that is equitable and promotes a better work-life balance for faculty members.

True dialogic change that decenters whiteness is difficult work. Any kind of adaptive approach to change requires that institutions ask hard questions, listen deeply, and take the required action. The point of dialogue is to create new ways of being for our institutions and their members. By addressing the underlying systemic issues in higher education, we have the opportunity to create agile institutions able to address the pressing needs of our students, staff, and faculty in order to create a more equitable space for all.

Key Chapter Takeaways

- Whiteness as a root cause for oppression and inequality in higher education is an adaptive challenge in need of creative solutions because they require us to operate in a different way than we do now.
- While the numbers of women and faculty of color have improved in recent decades within both faculty and leadership positions, research still shows higher education does not reflect the national demographics.
- The demographics of higher education reveal that whiteness defines both what is considered prestigious and the path towards advancement within higher education.
- Too often, DEI initiatives are nothing more than symbolic gestures. Institutions engage mostly during times of unrest, and the responses are to release a diversity statement or even hire a Chief Diversity Officer (CDO).
- An embedded resistance to change makes adaptive solutions difficult enough, but adaptively engaging issues surrounding DEI creates an even deeper resistance.
- White supremacy culture shows up in many ways within higher education, but one of the primary ways it shows up is “the reification of a deficit mindset with regard to people of color when approaching the racial challenges”
- In order to truly decenter whiteness, institutions need dialogic skills such as “active listening, conflict mediation, and conflict management”

Reflection Questions

1. The authors of this chapter propose a strategy to decenter whiteness through a dialogic approach to diversity and inclusion that embraces and integrates an intersectional framework to move the experiences of the marginalized from the periphery and elevate the voices of those who are silenced by social power and hierarchy. How have you come to understand this dialogic approach?
2. The authors wonder: Why have the advancements in DEI not been more substantive? Why do these inequities persist? How would you answer these questions?
3. The authors mention the case of Fisher vs. University of Texas at Austin, where a white woman sued for not being accepted to the university because of her race. Please read up on this case and explain briefly in your own words what happened in this case and how it was resolved?
4. A frequently made statement is that “Higher education has been designed to resist change.” Why do you think that is the case?

5. Please explain, in your own words, the statement, “DEI initiatives fail because organizations neglect to address why groups and individuals are systemically oppressed and marginalized”?

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Chapter 19

Co-Conspirators: The Journey of Two Educators to Engage JEDI Within Critical Leadership Education



Nicole Dillard and Julia Storberg-Walker

Introduction

The purpose of this paper is to describe how a student/faculty partnership catalyzed a leadership studies doctoral course towards a critically-informed pedagogy with a JEDI (justice, equity, diversity, and inclusion) focus. We combine elements of *Critical Leadership Education* (CLE) (Collinson & Tourish, 2015) with elements of *Student-Faculty Partnerships* (Lips-Wiersma & Allan, 2018) to help us make sense of the processes we used for our JEDI curricular redesign. Scholars in CLE critique traditional leadership curriculum for focusing on an individual heroic (usually white male) leader, the proliferation of multiple decontextualized leadership theories and models, and a superficial focus on followers (Collinson & Tourish, 2015). New directions in CLE illuminate the potential for student-faculty partnerships to challenge classroom power dynamics, research, and pedagogy (Lips-Wiersma & Allan, 2018). Building on the partnership learning described by Lips-Wiersma and Allan (2018), we extend CLE faculty/student partnerships into the JEDI context and describe, in first person autoethnographic style, our personal learnings, challenges, obstacles, and curriculum development in order to offer one way to build a more inclusive and critical leadership studies doctoral level course.

The chapter is organized in three sections. The first section offers first-person auto ethnographic narratives from the two positions represented in the collaboration—the faculty member and the doctoral student. The second section offers a

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deeper look at two key curricular and pedagogical innovations of the course: (1) the creation of ‘cross-cutting issues’ (CCIs) as an organizing mechanism focused on disrupting ‘normal’ leadership content; and (2) the inclusion of ‘identities’ as an embodied pedagogy within the course. The chapter concludes with a summary of lessons learned and suggestions for educators desiring to adopt these types of innovations into their classrooms, as well as a series of reflective questions to help explore the possibilities for engaging and centering JEDI into your curriculum.

First-Person Reflections: Autoethnography as Catalyst for Deepening Personal Mission for JEDI

This section aims to illuminate the ‘thinking behind the doing’ of our JEDI work and at the same time we attempt to model a form of radical vulnerability through courageously writing to expose our uncertainties, fears, and insecurities. This work is ongoing and imperfect, and we firmly believe that JEDI educators are required to, and have the deepest responsibility to, continually radically challenge themselves and how they are enacting critical, emancipatory pedagogies. We are offering the professor story first for the flow of the story.

Julia’s Story

I, Julia (Dr. J), am a tenured professor and I usually teach this particular leadership course twice per year this since 2015. “Tenured” is a key identity for me that has deepened and amplified my commitment to catalyzing JEDI changes in higher education. The course syllabus I inherited in 2015 was well designed, comprehensive (for a particular worldview), and well-tested. At the same time, I quickly noticed that most of the readings and the required texts were written by white male authors. The activities of the course were standard and typical for a doctoral level course—extensive readings, face to face conversations in the classroom about the readings, student projects on leadership. While I never sat in on the class to experience it first hand, I did not see anything in the syllabus (e.g. assignments, course calendar with activities, discussions with students) suggesting that current events or experiential leadership activities were a part of the course. Neither did I see anything in the syllabus that would critically challenge the hidden assumptions behind various leadership theories, models, or frameworks.

The first year I took the course I made steps to include more diverse voices; but to be honest my ‘diverse’ was specifically on gender, and how gender mattered in leadership studies. I had not yet developed a deeper awareness of my responsibility to create an inclusive classroom environment or to work to de-center Whiteness in curriculum and pedagogy. As I reflect on my deepening identity as a catalyst for

JEDI, at the time in 2015 I can see now that I remained in my comfort zone as an educator. I honestly did not know what I did not know about my White privilege, even though in conference panels and presentations I was disclosing myself as a racist born in a culture and system of oppression based on race. For example, I did not know that I was actively perpetuating oppression in my classroom by not including a critical race perspective on teaching leadership. The inclusion of a gender critique was relatively easy and not a stretch for me at all because of my background as a women and leadership educator, researcher, and activist. I see now that adding a gender critique did not require me to fully release ‘control’ in the typical professorial sense; and it did not require me to become radically vulnerable, as I was soon to learn.

During those early years, Nicole (doctoral student) and I started our relationship as a typical faculty/student relationship, and now today I see us as co-mentors and co-champions for each other. Nicole was a student of mine who I now consider a cherished friend, guide, and truth-sayer. At that time, however, I experienced Nicole to be very intelligent and thoughtful, but measured in what she wanted to contribute to class discussions. I was often surprised about the absence of Nicole’s voice in classroom discussions, because I knew she had a lot to contribute. We have had many conversations since then about what I interpreted to be Nicole’s ‘reticence’ at engaging in JEDI-related topics in the classroom, and I learned through her silence and then her explanation later about the silence a bit about the weight and burden Black students feel about educating their White classmates and faculty. What I called ‘reticence’ was not that at all...my emerging understanding suggests it might be more of a self-protecting mechanism; a conscious choice that calls out to be honored and respected and affirmed. This was and continues to be a deep and meaningful space of transformation for me as an educator and friend.

Time moved forward, we continued to explore and discuss JEDI ideas, and I felt our relationship moving into a more trusting, brave space. I remember one conversation in particular that illuminated Nicole’s bravery/willingness to engage with me in my unconsciousness about my White privilege. We were talking about a current (2016) racial event I think, and I asked her “when will you have the conversation about race with your daughter?”, who was about 6 or 7 at the time. She gazed at me just a second, and then in an even voice asked me “when will your sister have the conversation about race with her daughters?” Pow. With this one question, my world turned upside down. It had never occurred to me that my sister would ‘have’ to talk to her girls about race, and I assumed Black mothers ‘had’ to talk to their children. The only way I can explain it is that despite COGNITIVELY knowing that racism was a White person’s problem, Nicole’s question catalyzed me to a more EMBODIED knowing about my personal responsibility as a White-bodied human being and educator. It had never occurred to me that White parents have more responsibility to talk about race than Black parents do. Moreover, because Nicole knew that I personally did not have children, she gave me the gift of using my sister and my nieces as a way to learn/understand more about my unconscious White privilege and about White parental responsibility.

Time moved forward, at one point my program was hiring students to support faculty research and teaching, and I supported Nicole's application. She got the position and started working in that role for me as well as other faculty as she embarked on her post-coursework dissertation journey. While neither one of us can recall exactly how our course development journey started, we started a partnership to re-imagine the leadership studies course as a space for critically embedding JEDI into content and pedagogy. Even though Collinson and Tourish (2015) had clearly justified the need for teaching leadership differently, we were not aware of that work back then. We also had not read about student/faculty partnerships. We were making it up as we went along.

One of the first things I recall doing was to search for a new foundational leadership textbook. Despite the addition of gender I described earlier, we both knew that the leadership curriculum needed to be more inclusive in terms of structures of oppression and power. From that perspective, I knew that I needed to look outside the U.S. for a textbook because the texts that I reviewed by U.S. authors did not adequately address the role of power in leadership. The U.S. authors also did not offer many (if any) non-Euro Western theories, models, or frameworks. I ultimately selected Schedlitzki and Edwards (2014/2018) and came to learn later that it is considered one of the 'best' leadership textbooks in Europe. I appreciated the critical slant of the text, as well as a relatively robust inquiry into power.

As the next sections will describe, the eventual course redesign contained two key curricular innovations. The first, what we call cross-cutting issues (CCIs), is a mechanism for *critique* (students learn valuable critical thinking skills through challenging the assumptions of the leadership theories they are learning about) and *context* (students are challenged to 'place' leadership theories into contemporary problem contexts). The CCIs thus attend to a key critique of traditional leadership education as identified by CLE scholars (Collinson & Tourist, 2015). The second innovation is the inclusion of *identities* as a consistent learning space--both intellectual and somatic. This innovation legitimizes non-rational ways of knowing.

Throughout this entire process, I was experiencing an intentional, deep, and personal learning journey to understand my white privilege, to understand how I personally perpetuate oppression and inequality, and to understand how my ancestors and I contributed to the colonization and genocide of Indigenous peoples. In full transparency—I did not know what I was getting into when I started taking my first steps. Now, I am grateful for everything. At that time, however, I did not fully realize how both the curriculum revisions and my personal journey would destabilize me personally and professionally. Shock upon shock upon shock ensued once I started to see differently. What kept me coming back repeatedly after mis-step and micro-aggression was my yearning for justice, and my yearning for *every* student to feel a deep sense of empowerment and belonging. One of the reasons I wanted to write this chapter was to highlight this journey; illuminate my mistakes and missteps; and encourage other White educators to make the brave leap into decentering Whiteness in their curriculum and become anti-racist educators.

Nicole's Story

I came into the re-design of Julia's leadership course from a place of both deep frustration and hopefulness. I had been struggling with developing a sense of belonging in the doctoral program. In fact, for most of my tenure in the program, there were no faculty who shared my core identities as a Black woman. Furthermore, there were no faculty who shared my worldview as a critical scholar. This lack of representation created a sense of isolation for me, as I could not see myself in the pedagogy, curriculum, epistemology nor physical make-up of the faculty. The frustration deepened as I considered switching programs, after significant financial and temporal investment. To be clear, it was not that the program provided a hostile environment to my research. However, the environment was similar to many neoliberal, predominantly white, academic institutions in that by the very nature of privileging the hiring and visibility of whiteness of faculty, and the centering of certain dominant discourses represents an inherent discrediting of faculty of color and their ways of knowing and engagement in race-based research (Fenelon, 2003).

So, when it was announced that Julia, a critical feminist scholar was joining the faculty at our institution, I was thrilled to finally have a faculty member that shared some representation of my scholar identity, with whom I could hopefully work with to advance my race-based research, which at that point had been unprivileged in what I was being taught. Julia's infusion of a critical lens that centered gender in leadership education was the training that I needed to move my dissertation research on Black mothers and work forward. This began our relationship and was pivotal to my decision to apply for a quasi-fellowship and graduate assistantship role in the program once my dissertation writing began. While I supported multiple faculty in this role, my time with Julia was critical in advancing JEDI work in leadership education and set the stage for my current journey as a junior Organizational Leadership faculty member at a different institution.

The course curriculum work that Julia and I engaged in during our time together was a redesign of the Foundations of Leadership course, which was a core course in the doctoral program. From the onset, I believe Julia's efforts were to add her own voice to a course that she inherited, with a specific interest in embedding a critical and gender lens. In a spirit of full transparency, I will admit I had a more subversive aim - to use this as an opportunity to create a course that by its very existence centered and legitimated the knowledge of scholars of color. How I was to accomplish this, when at the time I was a student with no positional or institutional power, remained unseen! Julia's sponsorship provided the positional power necessary to navigate what Bernal and Villapando (2002) call the apartheid of knowledge in American higher education context, which questioned my legitimacy as a person of color. As such, what emerged, over time, was a powerful relationship and mentoring with Julia that chartered our course to question the control and production of knowledge in leadership education, center identities and power in the curriculum and embody a co-mentoring relationship that deeply transformed our professional personal journeys.

The two different stories above start to shed light on the power of co-mentorship to catalyze a deeper sense of privilege and responsibility in Julia, and the power to make Nicole's subversive dream come true. There was not really a 'grand plan' at the beginning--it happened organically. Key ingredients for a successful faculty/student partnership for JEDI seems to be a joint willingness to grant each other grace and respect; to approach each other with a compassionate curiosity; and the willingness to 'walk the talk' -- for Julia, this meant radicalizing the leadership curriculum; for Nicole, this meant extending and enacting her JEDI goals in partnership with Julia. Julia exercised her position power; Nicole exercised her exemplary capabilities of navigating Whiteness. Combined, the faculty/student partnership generated a JEDI-infused doctoral level leadership studies course that continues to disrupt and destabilize today.

Innovation #1: Cross-Cutting Issues (CCI)

Description of Innovation

This innovation emerged slowly as the vision for the JEDI-infused leadership curriculum began to emerge. Ultimately, the creation of the CCI part of the course enabled students and faculty to challenge hidden assumptions, biases, norms, and values undergirding leadership theories through the critique of contemporary structures and contexts of oppression. Initially we identified three CCIs: gender, race, and class. Except for gender and race, since then the CCIs have changed in response to contemporary events. For this year (2021), they are gender, race, ethics, and sustainability.

A little history/background of the course might illuminate how the CCI activity created a space for JEDI. In the original articulation of the course, the focus was exclusively on learning about the various Western approaches to leadership (Great Man Theory, Trait Theory, Contingency Theory, Situational theories, etc.). However, these theories were largely taught objectively, decontextualized, with limited exploration of how they engage with the chaotic and socially constructed world around us. From a CLE perspective, this approach was problematic in two key ways. First, because the program and students were guided by scholar-practitioner values and norms, we knew from student feedback that many were having a difficult time connecting the theories of leadership to their experiences as practitioners. This was shared to us as they evaluated the program and it was evident as we assessed why some students struggled during their written comprehensive exams (where they were required to link research to practice). Second, the Western, male-centered approach to leadership did not align to the diversity of our students nor the global context many of the students operated in. Some of our students were global leaders, leading in contexts that required a much more nuanced and culturally informed understanding of how leadership is enacted. Many of our students were BIPOC, and

their experiences with leadership were directly related to and informed by experiences connected to their social identities. Finally, many of our students were leading and developing diverse teams using theories that did not adequately represent their needs or experiences.

As we reflected on these dilemmas, we began to envision an innovation that could help transform these challenges while at the same time provide training in what we eventually called ‘scholarly literacies’--e.g., the skills and habits of mind needed to deeply connect research to practice; theory to experience. The development of these skills and habits of mind are embedded throughout the cohort-based program over many semesters, and the leadership studies course needed to contribute to this larger programmatic goal.

A concrete example might illuminate how CCIs both create space for JEDI and develop doctoral-level scholarly literacies. For this example, we will use authentic leadership theory (ALT) and stereotype threat, representing the race aspect of CCI. Students are challenged to ‘apply’ what they learn about stereotype threat (mechanisms, triggers, outcomes) to ALT’s concepts and logic.

In ALT, the concept of ‘self-regulation’ is of critical importance, and the typical ALT literature presents ideas and values about self-regulation uncritically. Self-regulatory processes are “a fundamental element of authentic leadership” (Avolio & Gardner, 2005, p. 325) that enable leaders to “align their values with their intentions and actions” (ibid., p. 325). Self-regulation requires setting internal standards based on perceptions of how to be a successful leader, becoming aware when those standards are not met, and then self-correcting. After learning about ALT, critical questions are posed to students and include: how are the standards determined? who determines them? are the standards the same for different ages, races, genders? how might the standards vary based on identities? based on context?

Then we bring in stereotype threat, representing the CCI. Feeling the ‘threat’ of negative judgement has been shown to diminish performance in a number of domains, including leadership (Hoyt & Murphy, 2016). Stereotype threat is a highly researched phenomena that highlights the impact of “being evaluated through the lens of negative stereotypes” (Hoyt & Murphy, 2016, p. 388) with resulting diminishment of performance (Steele & Aronson, 1995). Research demonstrates that African American women may experience more negative stereotypes (Sanchez-Hucles & Davis, 2010); consequently, there is a greater potential for the judgment of others to generate reduced leadership performance.

After learning about stereotype threats, students are then asked to connect what they learned about stereotype threat to the concept of ‘self regulation’ as found in ALT. Questions could include: how might ‘setting internal standards’ for leadership behavior be connected to stereotype threat? Do you think the experience of ‘setting internal standards’ for a prototypical leader would be the same for a non-prototypical leader? Why or why not? Through these rich discussions, students see the hidden norms/expectations within the concepts and/or logic underlying various leadership theories, and they experience how a critique of the concepts through JEDI ideas exposes these hidden assumptions about leadership.

Simply put, the CCI portion of the course challenges students to reflect on the values, norms, and assumptions that undergird the various leadership theories being discussed in the course. Many times these values, norms and assumptions are unwritten or unspoken, and at times can be identified through an absence or lack of something. Student feedback suggests that taking a critically informed, JEDI perspective to examine these leadership theories has generated transformative learning breakthroughs for students. In addition, the JEDI critique skills and practices learned in the leadership studies course can be transferred to other courses—thus JEDI critique can be embedded throughout the curriculum.

How the Innovation Enhances Diversity and Inclusion

We see at least two substantive ways that the CCI innovation enhances diversity and inclusion. In terms of research/scholarship, the CCI innovation brings in the articles, book chapters, and even podcasts of BIPOC scholars and scholar/activists. The seminal work from BIPOC scholars itself offers BIPOC students' role models and affirmative messages of value, empowerment, and legitimacy. Further, a significant number of BIPOC students have chosen to use CCI type critique as a part of their dissertation research. Students feel more comfortable challenging the hidden norms, values, and expectations of the leadership theories they learn, and have developed 'scholarly literacies' (critical thinking) to expose racial, gender, or class bias.

It terms of leadership practice, the CCI method of critique provides students with a new way to understand the linkages between research and practice, and often feedback suggests that students are more critical of adopting 'top ten' lists for developing leaders--because they see in those leadership development models many ways for the model to continue to marginalize and minimize the contributions of BIPOC leaders. They understand that leadership development models contain values, norms, and expectations that are often unspoken, and they take this knowledge into their workplace, thereby increasing the potential for JEDI to extend beyond the classroom.

Summary of Innovation

As described above, the CCI innovation combines learning about leadership theories, learning about a critical perspective (e.g., stereotype threat), and then critically interrogating the theory with the critical perspective. The process is sequenced and scaffolded, and learning happens through questions and conversations. Students are asked to imagine scenarios and alternatives, different contexts and demographics.

Through these questions and discussions, we have seen students become more open and willing to share their personal leadership experiences, often received with profound empathy from classmates. Students take what they learn in class into their

workplace, and often report back to the class stories of success as well as challenges. The pedagogy is whole-person based; from the start, leadership is presented as head, heart, and hands (thinking, feeling, and doing). Consequently, over time students seem to respond more fully--not just through their intellect--during classroom discussions.

Finally, the CCIs are responsive to external movements or global events. For example, in 2020 both public health (COVID) and BLM were used as CCIs to interrogate leadership theories. The details of the CCI and the critique/questions were modified, and students were challenged to consider what they were learning about, for example, servant leadership, and the issue of BLM or COVID. The inclusion of external events keeps the course relevant and current, with the intention of continual development and change.

Innovation #2: Identities Exercise

Description of Innovation

To provide a greater understanding of how we each are impacted by JEDI, we engaged the students in an exercise called *Identity Signs*. *Identity Signs* is an activity curated by The Social Justice Toolbox as a resource to facilitate diversity and social justice training. The activity is structured around vulnerable conversations related to students' lived experiences that are deeply connected to their various social identity categories (race, gender, class, sexuality, etc.). As such, it is important to have established a strong sense of trust as a collective before engaging in this experience. In setting up the exercise, the faculty member (facilitator) places 'identity signs' across the classroom that represent a myriad of social categories that members of the class belong to. While there are many possible social categories that you can select for the purpose of this activity; for our exercise, we centered our discussions around the following identities: race, gender, ethnicity, class, immigration status, sexual orientation, gender presentation, and religious affiliation. To initiate the discussion, we provided a disclaimer that the students were invited to participate to the extent that they felt comfortable and psychologically safe. We then invited the students to the center of the classroom, so that they could reflect on each of the identity categories that were displayed on the signs across the room. We then began the discussion with the provided list of questions, which asked students to move to the identity sign, which rings most salient to their experience based on the question asked. The questions varied, but the central purpose was to illuminate how similar and how distinct our lived experiences are based on the intersections of our identities. Examples of the questions included:

1. The part of my identity that I am most aware of on a daily basis is ____.
2. The part of my identity that I am least aware of on a daily basis is ____.
3. The part of my identity that I believe is the most misunderstood by others is ____.

4. The part of my identity that I feel is difficult to discuss with others who identify differently is ____.

In between each question, students are engaged in an unstructured dialogue that encourages vulnerability in exploring why they gravitated towards particular signs in response to the question asked. It is through this process students are able to reflect on assumptions and biases they may have had of each other, explore any surprising similarities or distinctions of students who shared similar experiences - yet different identities and vice versa. The exercise provides an embodied practice that helps to explore more deeply the lived experiences of others, with a concluding reflection of how we can apply this level of engagement and introspection in our leadership practices.

How the Innovation Enhances Diversity and Inclusion

The goals and learning outcomes of this activity as outlined by the Social Justice Toolkit enhanced justice, equity, diversity and inclusion in a number of ways. Firstly, the activity *allows a space for participants to talk about their experiences and their identities in a more personal way and to provide an opportunity for others to learn from those personal stories.* This practice creates a deeper level of understanding of members of the community that can provide better insight for the students to take back into their own leadership practices and inform their interactions and engagement with those they manage in the respective workplaces. *Second, the activity highlights that people with similar identities can experience different levels of salience, self-awareness, and can be differently impacted by their intersecting identities.* Oftentimes our diversity efforts remain unsuccessful, because we create very rigid, static and stereotypical characters in which we expect people to inhabit. Through intersectionality, we can more deeply see how people's lived experiences vary across the salience of these intersecting identities and create very unique challenges and opportunities that cannot be resolved in a one-size-fits-all approach to diversity work. *Third, the Identity Signs activity provides an opportunity for the participants to talk about how we experience our identities on a day-to-day basis.* By providing concrete examples of how our identity informs our experiences with leadership and in the workplace, the students reflect on how they themselves might be fostering these same dynamics through their own leadership practices. The sharing of specific experiences illustrates how the various leadership theories can be leveraged to understand, and even be challenged in their inabilities to fully illustrate how the different aspects of a person's life may generate unique experiences with leadership. *Finally, the activity highlights how everyone may experience pain, ostracism, or discrimination, yet feel it within the context of different identities.* Oftentimes, we do not engage in the work of JEDI because we have managed to convince ourselves that this work is about 'the other' or 'those people.' But, one of the deepest values of the Identity Signs activity is that it allows us to draw on our

lived experiences to see the complexity in our identities and how we each have a diversity of identities that need to be included in the landscape of leadership, and once students are able to see themselves in the work, it makes it much more accessible for their learning and creates a greater level of accountability to support the work.

Summary of Innovation

In summary, the Identity Signs innovation was critical as it provided an opportunity to build trust between the cohort. Trust is essential when engaging in any form of JEDI work. You cannot create a space that is open to vulnerability, courage, and safety without trust. This trust is necessary because it allows us to move beyond our defenses to begin to see each other in our humanity and exercise the competencies necessary to reflect on how this new learning can be engaged in our practices as leaders - within the classroom, but also out in the world. This was critical for our students, as many of them were senior leaders in practice.

The activity also helped students to embody the practice of leadership by connecting the experiences of their classmates to potential experiences of the employee's with whom they work and lead. Through the critical reflection embedded in the activity questions, student engaged in a feedback process that not only allow them to reflect on how they use what they were learning not only to transform their understanding and relationships with their classmates, but also how they may be able to glean potential similarities in experiences of those who they manage. As such, the activity provided a regenerative space for change, where students could apply their learnings directly with their classmates as well as with their colleagues and direct reports.

Final Reflections: How This Work has Catalyzed Our Personal Mission for Justice

The process of dialogue, reflection, and introspection that contributed to the birthing of this chapter illuminates what we sense to be a critical component of education for justice, equity, diversity, and inclusion (JEDI): namely, that successful JEDI curriculum design and pedagogy requires the enactment of various forms of humility, courage, truth telling, surrender, and empowerment. Our collaboration generated—and continues to generate—a deeper understanding of what it means to decenter Whiteness; and this de-centering is what we suggest is the critical energy that wants to emerge from our collaboration.

We can name this now, 4 years into our various collaborations, as we reflect on the process of our course redesign. In the beginning, however, the goal was much

more instrumental: to reimagine a doctoral level leadership studies course to include greater representation (of leadership scholars), as well as a more inclusive approach (to students and with the involvement of BIPOC as co-educators). We also shared a commitment to illuminating the assumptions and norms of ‘traditional’ leadership scholarship in terms of its heteronormativity and its silence on important topics such as power and structures of privilege. This work continues to unearth new learnings for each of us as our context continue to change and our students provide a wealth of lived experiences that continue to inform how we adapt this work.

Key Chapter Takeaways

1. *Expect and respect an emergent and iterative process.* The outcomes of this work are not fully transparent at the inception. Allow space for ambiguity and fluidity to thrive as you and your students work to co-create the learning environment.
2. *Move beyond a single-axis analysis.* Embrace the diversity within diversity. Move beyond a focus on gender or race alone, and seek to explore the complexities of the leadership that the whole person experiences.
3. *Adopt a perspective of humility and courage.* It is quite typical in white supremacy culture and neoliberal education for faculty to feel the pressure to exhibit perfectionism in the classroom. This approach is unsustainable for faculty in general and oppressive for URM faculty in particular. Modeling humility and courage in relation with our students fosters solidarity, a curiosity in problem solving together and dedication to brave and safe learning environments.
4. *Engage a robust interpretation of diversifying your curriculum.* There are many ways to include JEDI in your course. Using the texts and works of scholars from URM communities, displaying diverse speakers, adding a service-learning component and engaging in Global South and Indigenous ways of knowing are all examples of diversifying curriculum.
5. *Context Matters.* The course needs to be responsive to the external, larger world. Leadership does not happen in a vacuum. If we are to prepare the next generation of leaders and practitioners, we must be accountable to preparing students to solve real-world challenges. As these new challenges emerge, we, as educators must be ready to adjust in order to support our students’ abilities to navigate these new terrains.

Reflective Questions

1. Consider your own leadership development. What competencies and skills do you possess to contribute to fostering JEDI in your course/program? Where are your gaps? How can you close those gaps? How might you include your students in this process of your development? How might you create a space to co-develop together with your students?
2. Break down each of the concepts in JEDI: justice, equity, diversity and inclusion. How do you personally define each? How does issues of JEDI matter in your life and in the lives of your students? Consider how you can develop a leadership curriculum that can help address the specific issues of JEDI that have the greatest impact on the lives of you and your students.

3. Building out our curriculum was a gradual, iterative process that we undertook with no end result in mind. Think about what initial steps you can take to center JEDI into your course. What are one or two initial steps you can take?
4. Choose to enter into this work from a place of abundance. Focus less on deficits and limitations and more on the possibility of your intentions. What is the biggest impact that your course could have in your wildest dreams? Start with that vision and collectively build towards it.
5. Exercise grace with accountability for you and your students. Rome was not built in a day, and neither will effective and compassionate JEDI-centered leadership education. Make sure you embed practices to help you to remain compassionate to yourselves and your students. These practices can also be built into the curriculum. What is one way that you can extend grace to yourself and students while still holding a space for accountability to the work that needs to be done?

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Chapter 20

Community Cultural Wealth: A Reflective Analysis



Ofelia Huidor

Introduction

Communities of color have historically endured systemic racism and inequality, creating socioeconomic disparities that disproportionately impact the educational opportunities of students of color (Noguera & Banks, 2003). Schools in low-income communities do not offer the same quantity and quality of resources that higher-income communities provide their students (Kozol, 1991). As a result, racially marginalized communities are often associated with terms such as underserved and underprivileged. Implied in these terms are connotations of being deficient and lacking in comparison to other students. As institutions of learning, schools often work with this implied connotation in creating curriculum to help disadvantaged students with these purported deficiencies (Valencia, 1997). Consequently, educational practices create a subtractive schooling process where students encounter apathy to their culture and community (Valenzuela, 1999).

To counter deficit approaches about students of color, the concept of *funds of knowledge* suggests an appreciation for lived experiences as indicative of multiple sources of knowledge found in the home and in the community (González et al., 2005). Tara J. Yosso (2005) examines the concept of community cultural wealth through a critical race theory lens to challenge deficit notions “that minority students and families are at fault for poor academic performance because: (a) students enter school without the normative cultural knowledge and skills; and (b) parents neither value nor support their child’s education” (p. 75). Yosso’s (2005) research calls into question mainstream notions of cultural capital that value upper and middle class cultures by proposing alternative forms of capital to amplify the

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representation of what is valued as capital. Yosso (2005) argues that community cultural wealth changes the perspective from a “deficit view of Communities of Color as places full of cultural poverty disadvantages, and instead focuses on and learns from the array of cultural knowledge, skills, abilities and contacts possessed by socially marginalized groups that often go unrecognized and unacknowledged” (p. 69). Community cultural wealth is inclusive of six forms of capital: aspirational, linguistic, familial, social, navigational, and resistant capital.

In order to center the discussion of community cultural wealth, a first-hand account of my educational trajectory will be included in this chapter. Through a reflective analysis of community cultural wealth, I will share my *testimonio* (lived experiences) to expand on the significance of community cultural wealth. I use the approach of *testimonio* because imparting personal life stories contribute to new knowledge construction (Latina Feminist Group, 2001).

My testimonio

This is my *testimonio*, a documentation of my lived experiences. I grew up in a working class neighborhood of Los Angeles with a predominantly Mexican origin population. At the time, my K-12 education seemed adequate, in part because I did not realize the disparities that existed between public schools. Despite not having a family history of college education, my parents conveyed a high value regarding the importance of school. In retrospect, I now understand how my lived experiences reflected the capital described in community cultural wealth.

As I navigated my undergraduate years, I faced assumptions that qualified me as an underserved and underprivileged student. It was an eye opening experience to come to terms with the misconception that coming from a working class community and low performing high school was often equated with not having the potential to succeed. I persisted throughout my undergraduate years by debunking stereotypes and low expectations.

During my graduate studies, I majored in education with a focus on race and ethnic studies. Graduate studies introduced me to research that provided insight and a new perspective about structural disparities in the educational attainment for students of color. Community cultural wealth contextualized what I inherently knew about my own strengths; it provided the content to understand and articulate the qualities I held as a student of color. In particular, I related to community cultural wealth because it validated my experiential knowledge as a form of capital to encourage my educational goals. The academic path to the doctoral degree taught me important lessons about incorporating diversity, equity, and inclusion into my pedagogy. This is central to my personal perspective and informs my academic work because it reflects the possibilities to make pedagogical practices an inclusive experience for students of color. It acknowledges the skills and lived experiences of students of color as relevant to their educational journey. As such, the reflective analysis of my experiences is meant to depict an understanding of the various forms

of capital from a first-hand perspective. I hope that my story may encourage educators to recognize and acknowledge the lived experiences of marginalized students as assets that can support their educational aspirations.

Community Cultural Wealth

Based on the work of Tara J. Yosso (2005), the community cultural wealth model builds on Pierre Bourdieu's theoretical analysis of cultural capital by including alternative forms of capital as assets for communities of color. It draws from critical race theory to challenge deficit notions associated with communities of color. Yosso (2005) posits that placing "the experiences of People of Color in critical historical context reveals accumulated assets and resources in the histories and lives of Communities of Color" (p. 77). Community cultural wealth has identified the following six forms of capital: aspirational, linguistic, familial, social, navigational, and resistant. The six forms of capital will be explained in the following paragraphs. My personal reflective analysis will be incorporated into the discussion of community cultural wealth.

Aspirational Capital

The act of envisioning possibilities and to keep the faith in those ambitions is central to aspirational capital. Despite the drawbacks of what their current reality may be, marginalized communities understand that their aspirations can be life-changing opportunities. With this keen perspective of their circumstances, marginalized students draw on aspirations as a form of capital to maintain focus on the goal. It is important to note that "aspirational capital overlaps with each of the other forms of capital, social, familial, navigational, linguistic and resistant" (Yosso, 2005, p. 77).

Yosso (2005) affirms that "aspirations are developed within social and familial contexts" (p. 77). This statement rings true to my experience. Aspirational capital is intricately related to my family and community. Growing up I often heard stories of my parents' humble upbringing in Mexico. Completion of a formal education had not been possible due to economic hardships and upper grades not being offered in their home village. These family stories also shed light on the sacrifices faced as immigrants to the United States. The familial history nurtured my dreams to accomplish educational goals beyond that of my parents. I aspired to become someone in life. Although it may sound like a cliché, my parents reiterated to my siblings and I that we should strive "to become someone in life." Those words reflected a sentiment of not being valued in society for doing manual labor. From those words I drew strength to excel in K-12 and persevere in higher education. My parents' life lessons provided the impetus for aspirational capital to be a factor in accomplishing my educational goals. Aspirational capital allowed me to navigate the school system

with the recognition that education was a life-changing opportunity. As I understood it, “to become someone in life” also had a direct implication for giving back to the community. Just as my parents had sacrificed so much to give us a better life, my dreams and aspirations were also inclusive of making a difference in my community by obtaining a doctoral degree. Aspirational capital emphasizes the intent and purpose in making a positive impact through the attainment of educational goals.

Linguistic Capital

Yosso (2005) explains linguistic capital as “the intellectual and social skills attained through communication experiences in more than one language and/or style” as it relates to the “racialized cultural history and language” of communities of color (p. 78). Linguistic capital may also include artistic expressions that are visual, musical or poetic styles.

The ability to speak and comprehend more than one language is a form of linguistic capital. For students who come from homes where English is not the language of their parents, being bilingual is not atypical. Speaking Spanish in the home and using English at school is the norm in my community. I have a solid grasp of both languages which enables me to maximize my linguistic capital. Being able to communicate with multiple groups of people is indicative of a broader set of social skills required to interact across various linguistic needs (Anzaldúa, 1987).

The notion of linguistic capital is also inclusive of variety within language. There are standard grammatical rules in every language, as well as variations that reflect specific community linguistic practices. For example, the fusion of languages, such as *Spanglish* and code-switching can be found in communities of Hispanic origin (Montes-Alcala, 2009). There are also nuances and distinctions that reflect the variety in the Spanish language based on regional, generational, and personal contexts (Anzaldúa, 1987). Moreover, knowing when and with whom to use the appropriate variation of a language is part of linguistic capital. For me, this is especially pertinent when I am in certain spaces that are more apt to using colloquial language or slang instead of academic language.

The Spanish language is a prominent trait of my cultural identity; it is my first language. It is the linguistic vessel that connects me to my Mexican heritage. The Spanish language goes beyond communicating with my parents, but also allows me to learn oral history and cultural traditions. Yosso (2005) points out “that Students of Color arrive at school with multiple language and communication skills. In addition, these children often have been engaged participants in a storytelling tradition, that may include listening and recounting oral histories, parables, stories (*cuentos*) and proverbs (*dichos*)” (p. 78). In my experience, my family’s stories of migration to the United States has served as a foundation to inculcate values of hard work and perseverance. These narratives have also allowed me understand the family histories without having their meaning lost in translation since there are certain words and sentiments expressed that may not be fully captured when translated. Throughout

my life, I have also had to listen and recount information from English to Spanish. In this way, being bilingual adds another layer to the practice of listening and communicating.

Growing up I often took on the role of language interpreter and translator in public settings, such as parent-teacher conferences and medical appointments. These acts are representative of language-brokering as a “cultural practice...in which children take the lead; it is not handed down from parents to children. Rather, it is invented by necessity in the immigrant context” (Faulstich Orellana, 2009, p. 2). In this way, language-brokering is a linguistic skill that allowed me to amplify my vocabulary and broaden my cognitive awareness of interacting with different people (Faulstich Orellana, 2009). I consider my linguistic capital to be a strong asset that enriches my capacity to be a good listener and communicator, as well as enhancing my thinking skills; traits that are important for educational success.

Familial Capital

The family unit is an entity of strength and value. In this light, familial capital embraces the “cultural knowledges nurtured among *familia* (kin) that carry a sense of community history, memory and cultural intuition” (Yosso, 2005, p. 79). Such examples include stories of migration and sacrifice that serve to remind students of color that perseverance is part of the family struggle.

As Yosso (2005) indicates, family is inclusive of extended family and community members. In the extended family unit, relatives (living or passed on) as well as neighbors are considered resources of support. For example, when I was a college student I drew strength from family and neighbors through their encouragement. My parents would often recount stories of hardship that motivated me to stay the course with my studies, despite the challenges encountered. A common theme voiced in my family was that the journey of life was itself a schooling process where lessons of coping were essential for survival. The communication and learning that occur in the familial context are indicative of *pedagogies of the home*, which serve as a cultural knowledge base that helps students succeed within an educational system that often excludes them (Delgado Bernal, 2001). From these moments of cultural knowledge, hope and determination were instilled. I developed a commitment to community and a collective definition of success. Familial capital refers to the notion of lifting others as we take the path to progress. It reflects the concept to give back to the community and inspire the next generation. Yosso (2005) attests, “from these kinship ties, we learn the importance of maintaining a healthy connection to our community and its resources” (p. 79).

As a student of color, familial capital was an important influence in my university experience. I drew strength from the community history embedded in familial capital. It served as a reminder that I was not alone in this academic journey, in particular when community members supported the value of education. There were many times when the parents of college friends helped with transportation to and

from the university. Ridesharing was a way to mitigate the cost of mileage and the time spent on public transportation. I remember the advice and kind nudges of neighbors who encouraged me to stay focused and *echarle ganas* (to put forth my best effort). These actions and words from community members were examples of caring and pride for youth aspiring to succeed; they were also a recognition of the hardships faced by first-generation students in higher education. Familial capital was an asset for my success as a first-generation college student. It enabled me to maintain the focus on my academic aspirations by reminding me that my achievements were tied to a collective effort; the contributions of my family and community. Familial capital was a constant source of inspiration to achieve my educational goals. In this way, the interconnection between familial capital and aspirational capital build on each other.

Social Capital

The support obtained from different groups of people and community resources is indicative of social capital. Students of color may utilize community connections for assistance during times of need. For example, in the case of first-generation students, guidance may be sought from neighbors who have gone to college and can share information about the college process.

In my experience, social capital was manifested by reaching out to other graduate students when I needed to sort out decisions about how to pay for tuition and the stress of student debt. The ability to have these networks of trusted people represents meaningful systems of support that provide encouragement, advice, or serve as role models. Social capital is an important element in the assets that students of color possess; it demonstrates that students of color have people who care about their success and who are there for them in times of need. The social network also serves to share information about processes and policies that new students may not know, such as financial aid and academic support services. For instance, my academic counselor did not inform me about the option of a pass/no pass grade for eligible courses, instead I learned about it from a classmate who shared the information. In that process, the social network was an essential representation of navigational capital because it allowed for a greater rate of success in persisting and completing the educational journey.

In the process of navigating through my higher education, I considered myself an example of social capital through my efforts of sharing valuable advice and guidance to incoming students who were unacquainted with campus policies. I also became a source of social capital for younger students and parents who were about to begin the college application process. I acted upon my social capital to pay it forward as others had done for me. According to Yosso (2005), "Communities of Color gave the information and resources they gained through these institutions back to their social networks" (p. 80). It was important for me to give back with the intent that the social capital would make a positive impact for other students.

Navigational Capital

Navigational capital represents the ability to stay the course in the face of adversity. Social institutions such as colleges and universities can be uncharted territory for students of color. Yosso (2005) states that historically these institutions were “not created with Communities of Color in mind” (p. 80). In addition, students who are the first in their families to pursue higher education may deal with issues of guidance and access to information when it comes to understanding the process.

As a first-generation Mexican American student, navigation capital was a driving force in my education. I was the second of my siblings to attend a university, but I was the first to live on campus and go beyond a bachelor’s degree. I coped with doubt regarding my own merit at a top ranking public university. The inquiry about affirmative action was occasionally directed at me. I had been admitted to college prior to the passage of proposition 209, which ended affirmative action policies in California. Some people felt the need to ask me if I thought I was admitted due to affirmative action. The question was an indirect way of implying that as a Mexican American I did not deserve to be at such a reputable institution of higher learning. To these inquiries I responded that I did not know if affirmative action had played a role in my university admission, but that my academic qualifications would ensure that I was deserving of my university degree. My response was a clear statement that I belonged at the university and that I intended to keep the pace regardless of disparaging speculations.

These prying queries which interrogated my university presence were derogatory and representative of stereotypical slights known as racial microaggressions (Yosso et al., 2009). Yet, I remained focused on my intent to obtain a university education. Navigational capital became a skillset to survive and persist in the face of racial microaggressions and other barriers to success. I learned to seek out resources and draw from other forms of capital in order to navigate the university system. Navigational capital took the form of creating a support system with other students of color. We leaned on each other by forming study groups, discussing research ideas, and talking about our schooling experiences. Conversations about feeling isolated, experiencing racism, and having family or work responsibilities validated our lived experiences and provided collegial support to continue the academic journey. In this way, our unity fortified our resilience and maximized our navigational capital for educational success. The role of resilience within navigational capital is expressed as “a set of inner resources, social competencies and cultural strategies that permit individuals to not survive, recover, or even thrive after stressful events, but also to draw from the experience to enhance subsequent functioning” (Stanton-Salazar & Spina, 2000, p. 229, as cited in Yosso, 2005, p. 80).

Resistant Capital

The ability to challenge social injustice is an intricate part of resistant capital. To be aware of the inequities that marginalized groups have experienced provides a lens by which resistant capital is attained and expressed (Yosso, 2005). Racially marginalized groups draw upon historical memory of discrimination to advocate for systemic change. For example, despite the hostility toward the use of Spanish language, children of Mexican heritage continue to resist racist educational practices by maintaining their linguistic capital of being bilingual (Anzaldúa, 1987). For me, saying my name in the Spanish pronunciation is a form of resistant capital, in particular when people mispronounce my name without making a concerted effort. I assert the Spanish pronunciation of my name because it is part of my cultural identity. Using familial capital, my parents taught me to have pride in my name and in my ethnic heritage. These messages of self-worth are indicative of resistant capital that remind me to stay true to myself and resist the rhetoric that problematizes non-English speakers.

Yosso (2005) articulates, “Parents of Color are consciously instructing their children to engage in behaviours and maintain attitudes that challenge the status quo” (p. 81). For me, challenging the status quo entails sharing my lived experiences in the form of counterstorytelling, which presents an alternative version from the majoritarian story (Yosso, 2006). For example, in a seminar course about poverty and education, I remember a white student affirming that students in graduate school were automatically part of the middle class since higher education was considered a means for upward social mobility. I recall the tense moment when I chose to respectfully disagree by stating that my working class status was not removed from my identity simply because I was a university student. I shared details about my home life to mark the distinction between the white student’s comments and my reality. This experience accentuates the importance of speaking out and resisting generalizations that do not reflect lived experiences. Resistant capital is relevant for students of color because it encourages voices to emerge and share experiential knowledge that contributes to classroom discussions and broadens the scope of race-based epistemologies (Almeida, 2015). Resistant capital also gave me a stronger purpose to persist in academia in order to broaden the representation of scholars.

Diversity, Equity, and Inclusion in Education

The discussion of community cultural wealth includes a reflective analysis of my schooling experiences. My educational trajectory expands on the significance of community cultural wealth by considering how various forms of capital function as assets and skills to support educational goals. The community cultural wealth model offers educators an opportunity to inform pedagogical practices with a focus on diversity, equity, and inclusion. Community cultural wealth encourages educators to

reframe their teaching practices by structuring curriculum to recognize and validate the lived experiences of marginalized students. The lived experiences of socially excluded groups are contributions to new knowledge construction (Latina Feminist Group, 2001). In this way, the community cultural wealth model can be used as a culturally responsive pedagogical approach that addresses diversity, equity, and inclusion. Culturally responsive teaching allows educators to focus their pedagogy on “using the cultural knowledge, prior experiences, frames of reference, and performance styles of ethnically diverse students to make learning encounters more relevant to and effective for them” (Gay, 2010, p. 31).

As a university instructor, I use the community cultural wealth model in my course curriculum. In my classroom, pedagogical approaches that invite self-reflection have been a positive exercise for students to directly experience diversity, equity, and inclusion when discussing the six forms of capital within community cultural wealth. Students reflect by participating in a writing assignment or group discussion. In my experience as an educator, the community cultural wealth model is often new information for students. The discussion of the six forms of capital often resonates with students of color in how they describe their own experiences. Community cultural wealth is a transformative teaching opportunity because it allows students to name the inherent sources of capital that they possess, by providing the terminology to articulate it. Thus, community cultural wealth offers a point of reference that can be used to acknowledge alternative capital that challenges traditional forms of cultural capital. It encourages students to reimagine their lived experiences as strengths that can be drawn upon to succeed in school.

It is important to mention the significance of community cultural wealth as an asset-based model that addresses issues of diversity, equity, and inclusion. Community cultural wealth denotes diversity of capital and diversity of representation by recognizing the existing knowledges and skills held by communities of color. When framed within the context of social justice, the use of the community cultural wealth model is an equitable teaching practice which allows for both educators and students to understand the various forms of capital as measures of achievement, fairness, and opportunity for students who have historically been marginalized within an inequitable educational system. Moreover, community cultural wealth gives voice to marginalized communities by centralizing their abilities, skills and knowledges as assets. In this way, it creates an opportunity for inclusion by bringing their lived experiences to the forefront of the discussion. Community cultural wealth “involves a commitment to develop schools that acknowledge the multiple strengths of Communities of Color in order to serve a larger purpose of struggle toward social and racial justice” (Yosso, 2005, p. 69).

Community cultural wealth is an epistemological shift in the way in which racially underrepresented students have historically been regarded. When students are viewed as at-risk or disadvantaged they may not be encouraged to access their full potential. Community cultural wealth provides an informative lens for educators to amplify their knowledge and understanding beyond traditional forms of capital. The asset-based model presents a needed discussion for identifying the alternative forms of capital within students of color. Educators who intend to address

pedagogical practices with diversity, equity, and inclusion will appreciate “the potential of community cultural wealth to transform the process of schooling” (Yosso, 2005, p. 70).

Key Chapter Takeaways

- Community cultural wealth challenges deficit notions that blame minority students and families for poor academic performance on assumptions that: (a) students enter school without the normative cultural knowledge and skills; and (b) parents neither value nor support their child’s education.
- Through a critical race theory lens, community cultural wealth places emphasis on the array of cultural knowledge, skills, abilities and contacts possessed by socially marginalized groups that often go unrecognized and unacknowledged.
- The community cultural wealth model includes six forms of capital: aspirational, linguistic, familial, social, navigational, and resistant capital.
- Through a reflective analysis, the author shares her *testimonio* (live experiences) to expand on the significance of community cultural wealth.
- The community cultural wealth model can be used as a culturally responsive pedagogical approach that addresses diversity, equity, and inclusion.
- Community cultural wealth as a transformative teaching opportunity.

Reflective Questions

1. In what ways can the community cultural wealth model serve as a resource for educators?
2. In what ways can educators use pedagogical practices that accentuate assets and strengths to support the schooling process?
3. How can community cultural wealth be used to address issues of diversity, equity, and inclusion in education?
4. How can community cultural wealth be used to frame classroom discussions?
5. How can a reflective analysis of community cultural wealth inform educational experiences?

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Chapter 21

The Changing Diversity and Inclusion Landscape of Canadian Universities: The Université de Montréal Case



Michaël Séguin

Introduction

Canadian universities have a strained relationship to ethnic, racial and gender diversity enmeshed in the nation-building of the white settler colonial project that is Canada since its inception in 1867 (Peace, 2016; Stasiulis & Jhappan, 1995). The 1967 shift in the country's migration policy—from a color-based selection system to a less discriminatory skills-based process—coupled with the 1971 multiculturalism policy brought a major change in the demographic make-up of the country (Li, 2003). This change first came true in the composition of the universities' student body, while taking much more time to be visible in the faculty demographics, even with the adoption of the Employment Equity Act—the Canadian version of affirmative action—for federal government contractors in 1986 (Dua & Bhanji, 2012). Since then, many scholars have noted the persistent role systemic barriers and implicit biases play in the exclusion of equity-seeking groups in higher education (Bailey, 2016; Henry et al., 2016; Michalski et al., 2017). The province of Quebec, with its French colonial heritage and slower embrace of ethnic diversity, is no exception.

Considering the slow progress in the representation of minoritized groups, any outsider who has not closely followed their evolution will be stunned, to say the least, to note the Equity, Diversity and Inclusion (EDI) turn initiated by Canadian universities over the past 5 years. In fact, it would be an exaggeration to believe that the universities or even the Canadian government have made this shift without any external pressure. Rather, they were gradually forced to do so, including through a

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landmark court settlement, but also in response to a mounting pressure coming from students and professors from diverse backgrounds (Henry et al., 2017; Henry & Tator, 2009). This chapter looks at this turn from the perspective of the biggest university in the province of Quebec, a mostly French-speaking population of roughly 8.5 million at the crossroad of French, British, and American cultures, known for its ambiguous relationship to otherness (Léger et al., 2021; Létourneau, 2006). It explores the potential of EDI as both a diversity management paradigm and a transformative leadership strategy (Shields, 2010, 2012; Weiner, 2003).

I propose to do so from a triple vantage point: first as a diversity management scholar; second as a member of the Université de Montréal EDI steering committee from 2019 to 2021 and a lecturers' union officer from 2017 to 2020; and third as an anti-racist ally who believes that deep cultural transformations are needed to foster an inclusive academia (Williams, 2020). Of course, no individual outlook makes it possible to fully capture reality and I would certainly see things differently if I were a woman, a disabled or a racialized faculty member. Nevertheless, I think that my professional, institutional, and anti-racist standpoint helps me to identify some key issues and pitfalls at stake. To do so, I propose to proceed in four stages: first, I describe the political background that led to the Canadian universities EDI turn; second, I chart the process that led the Université de Montréal to develop its EDI policies; third, I expose the main goals of its action plan; and fourth, I discuss why and how this EDI turn may promote a wider social change.

The EDI Turn in Canadian Universities

The EDI turn in Canadian universities is the long-run result of what started as a legal struggle. In 2003, eight women academics,¹ with the support of the Canadian Association of University Teachers, filed a complaint against the federal government with the Canadian Human Rights Commission over the Canada Research Chairs (CRC) program failure to reflect the diversity of Canada's university researchers.² They faulted the program of systemic bias in the attribution of its 2000 prestigious research professorships, especially against women, persons with a disabilities, Aboriginal Peoples and visible minorities (protected groups under the Equal Employment Act). A Canadian Human Rights Settlement Agreement was reached among the parties in 2006 putting the emphasis on transparency, openness and equity in the recruitment of chairholders; requiring universities to compile data

¹Those academics are Dr. Marjorie Griffin Cohen, Dr. Louise Forsyth, Dr. Glenis Joyce, Dr. Audrey Kobayashi, Dr. Shree Mulay, Dr. Michele Ollivier, Dr. Susan Prentice, and Dr. Wendy Robbins.

²Started in 2000 by the Government of Canada, the CRC program invests approximately 300 million Canadian dollars per year to attract and retain world-class researchers. The number of chairs each university gets is proportional to the amount of federal research grant funding it has received in the three years preceding the allocation year (Government of Canada, 2019a).

on the status of Chair nominees and set to targets to increase the representation of protected group members; engaging the CRC program to work upstream with universities to identify systemic barriers that equity-seeking group members may face; and committing the CRC program to the federal government's policies on non-discrimination and equity in employment (Government of Canada, 2019b; Side & Robbins, 2007). Unfortunately, those goals were never fully implemented under the Conservative administration of Stephen Harper (2006–2015).

It is only following the swearing-in of the Trudeau administration in November 2015 that those “new” directives were back to the scene. In April 2016, a first letter was sent by the CRC program steering committee urging higher education institutions to make concerted efforts to address the underrepresentation of the four designated groups (Government of Canada, 2016). A year later, in May 2017, it sent a new letter to share with university presidents the new CRC program Equity, Diversity and Inclusion Action Plan responding to the recommendation in the program's 15th-year evaluation. This plan was like a bombshell in the cozy world of university higher management. In short, under this plan, universities had 6 months to draw up an institutional equity action plan and then 2 years to gradually reach these targets. Failing to do so exposed uncooperative institutions to payments withholding of new research Chairs (each bringing in between \$100,000 and \$200,000 per year); the admonition was far from being only symbolic (Government of Canada, 2017). By the same token, the CRC Secretariat published *A Best Practices Guide for Recruitment, Hiring and Retention*, inviting universities to be more inclusive not only in their staffing process (job postings, search for candidates, hiring committees, interview and hiring decisions), but also in their organizational planning (Government of Canada, 2018).

Feeling the tide was turning, a few months later, in October 2017, the presidents of a hundred or so member institutions of Universities Canada publicly committed to complement the principles on Indigenous education adopted in June 2015 with another set of principles considering the challenges faced by other equity seeking groups. This resulted in seven principles of inclusive excellence:

1. We believe our universities are enriched by diversity and inclusion. As leaders of universities that aspire to be diverse, fair and open, we will make our personal commitment to diversity and inclusion evident.
2. We commit our institutions to developing and/or maintaining an equity, diversity and inclusion action plan in consultation with students, faculty, staff and administrators, and particularly with individuals from under-represented groups. We commit to demonstrating progress over time.
3. We commit to taking action to provide equity of access and opportunity. To do so, we will identify and address barriers to, and provide supports for, the recruitment and retention of senior university leaders, university Board and Senate members, faculty, staff and students, particularly from under-represented groups.
4. We will work with our faculty and staff, search firms, and our governing boards to ensure that candidates from all backgrounds are provided support in their career progress and success in senior leadership positions at our institutions.

5. We will seek ways to integrate inclusive excellence throughout our university's teaching, research, community engagement and governance. In doing so, we will engage with students, faculty, staff, our boards of governors, senates and alumni to raise awareness and encourage all efforts.
6. We will be guided in our efforts by evidence, including evidence of what works in addressing any barriers and obstacles that may discourage members of under-represented groups to advance. We commit to sharing evidence of practices that are working, in Canada and abroad, with higher education institutions.
7. Through our national membership organization, Universities Canada, we will work to generate greater awareness of the importance of diversity and inclusive excellence throughout Canadian higher education (Universities Canada, 2017).

It is noteworthy that those universities voluntarily chose to go beyond the federal government injunctions: instead of confining EDI to a small number of research Chairs, they widened it to all university members (students, staff, faculty, administrators, and alumni) and the key fields of all activities (teaching, research, community engagement and governance). Moreover, Universities Canada, as an organization, committed, in a 5-year action plan, to support its member institutions as they strive to implement their EDI shift and to transform their institutional culture.

This breakthrough is far from insignificant. Since then, a Universities Canada survey conducted in February 2019 among its member institutions confirmed that some change is underway as 77% of universities did include EDI in their institution's strategic plan or longer-term planning documents, and 70% of universities already have or are developing an EDI action plan (Universities Canada, 2019). This is especially the case of research-intensive universities (known collectively as U15). Based on the analysis of 50 policy documents from 2011 to 2018—strategic plans, annual performance measurements and federally mandated CRC EDI action plans—, Tamtik and Guenter (2019) found that U15 members have all made EDI a policy priority very recently, although there is no consensus on the definition of those terms.

Nevertheless, despite the growing movement of university administrations publicly displaying their commitment to EDI, the impressive results the CRC program has reached in only 2 years³ and the clearly stated desire of the three federal research councils to do more,⁴ deep concerns remain among racialized and indigenous

³Between April 2016 and December 2019, the share of under represented groups fluctuated as follows: women went from 28.9% of chairholders to 37.6%, visible minorities from 11.7% to 21.0%, persons with disabilities from 1.1% to 5.4%, and Aboriginal peoples from 0.4% to 3.2% (Government of Canada, 2021). Bolder representation targets were also set for the 2019–2029 period, including the LGBTQ2+ communities, as result from an agreement reached in May 2019 among the parties involved in the 2006 Canadian Human Rights Settlement Agreement (Government of Canada, 2019b).

⁴In May 2019, the three Canadian granting agencies, in collaboration with Universities Canada and Colleges and Institutes Canada, launched the Dimensions Charter. By voluntarily endorsing this statement, Canadian higher education institutions are committing themselves to uphold equity,

faculty and students. “For many racialized and Indigenous faculty, whose numbers have increased only slightly over the past three decades, the policies and diversity initiatives are only a foil to deflect criticism of a system that is doing little to change itself” (Henry et al., 2017, p. 8). Some go as far as calling the EDI turn a neoliberal trap where racialized faculty play the role of baits. That is what sociologist Sirma Bilge calls *diversity clickbaiting*,

which is a double entendre in that the contemporary university clickbaits diversity to enlist scholars assigned to embody diversity into its hegemonic project, at the same time, these “diversity scholars” become the bait used by the institution to attract new “clienteles”, i.e. students, that would become future generations of experts governing difference for the state and capital (Bilge, 2020, p. 317).

Undoubtedly, there is still a long way to go to dispel these doubts. In the meantime, it may be useful to observe how a university, the largest in the province of Quebec and a U15 member, navigated the crafting and implementation of its EDI policy.

An Unexpected Entry of EDI at the Université de Montréal

For most of its faculty and staff, the move from the Université de Montréal direction to join the EDI bandwagon came as a surprise. Its then president, Dr. Guy Breton, chose the Senate to make this announcement on October 15, 2018, insisting that it is now time to tackle issues of equity, diversity and inclusion as a whole rather than one group at a time (Université de Montréal, 2018). In other words, the problem is not that the University has been totally inactive in the last decades. After all, it has adopted a policy on equal access to employment and education for women in 1994, a framework policy on the integration of disabled students in 1994 (updated in 2016), a policy on adaptation to cultural diversity in 2002, and an anti-harassment policy in 2003 (updated in 2015).⁵ But in a mega-structure of thirteen faculties and two affiliated schools, comprising over 10,000 employees—including 5000 professors, researchers and lecturers—and around 45,000 students, things can change rather slowly when they are not tightly monitored (Université de Montréal, 2021).

The results of the equal access to employment programs imposed by the provincial legislature in 2003 speak for themselves. Although designed to counter systemic discrimination in employment, this affirmative action program did not favor significant progress at the Université de Montréal in its first decade of implementation. For example, while the number of female professors improved between 2003 and 2012 (from 31%—439 out of 1434—to 37%—560 out of 1514), that of

diversity and inclusion in their research activities, especially when it comes to women, Indigenous Peoples, persons with disabilities, racialized groups, and LGBTQ2+ (Government of Canada, 2019c).

⁵Those policies can be found, in French, on the webpage of the General Secretariat of the Université de Montréal at <https://secretariatgeneral.umontreal.ca/documents-officiels/reglements-et-politiques/>

racialized faculty members largely stagnated (from 6%—82 out of 1434—to 7%—100 out of 1514). Considering the pool of highly qualified labor available in the greater Montreal region, the Commission des droits de la personne et des droits de la jeunesse⁶ (2012) estimated that the underrepresentation of women among the University's faculty had decreased during this decade (from 17% to 13%) while it had increased among radicalized people (from 8% to 10%). The result is clear: in 2003, there should have been 115 more racialized professors; by 2012, 151 were required simply to get a fair representation of Montreal racialized populations. Not to mention the representation of Native professors who rose from zero to... two! Considering the non-binding value of both Quebecois and Canadian legislations on equal access to employment, it is not surprising that this program has yielded very little (Chicha & Charest, 2013).

Except for the hiring of (mostly white) women faculty, real changes started with the CRC program call in May 2017. The Office of the Vice-President, Research had no choice but to address the underrepresentation of the four equity-seeking groups, and to adopt a more transparent and inclusive CRC allocation process in line with best practices (Government of Canada, 2018). A new action plan, *Diversifier l'excellence*, was submitted to the CRC Secretariat in December 2017. While this program changed little for Aboriginal researchers and researchers with a disability based on available data (stopping in April 2019), it resulted in a significant increase for female researchers—from 19 chairholders out of 90 chairs in 2017 to 37 out of 106 in 2019—and for racialized researchers—from no chairholder in 2017 to 12 in 2019 (Université de Montréal, 2019a).

We may never know why the president of the Université de Montréal chose the last year and a half of its second 5-year mandate to launch a large-scale EDI turn. For sure, the EDI turn initiated by the CRC program in 2016 and Universities Canada in 2017 is certainly worth considering. In addition, the *#MeToo* movement, which received a great deal of media attention in October 2017, has had many repercussions in the Quebec university community, with the Minister of Higher Education going so far as to impose by law that institutions adopt a stand-alone policy to prevent and combat sexual violence on campus, as other provinces did (Shen, 2017). Otherwise, it is somewhat surprising that Dr. Breton did not push for this shift earlier, the province having been split in half during over a decade of debates about the place of religious symbols in the public sphere, reasonable accommodations and state secularism (Bakali, 2015; Bilge, 2012; Peker, 2017). Before another scandal involving a minoritized group broke out, or before he found himself completely behind the decisions made by the federal or provincial governments, the president may have thought it was time to act.

What we know for sure is that he chose the right person—Dr. Marie McAndrew, a well-known Quebec scholar of diversity in education—and gave her a sufficiently powerful status—special EDI adviser to the president—to engage all the relevant

⁶A free translation would be “Human Rights and Youth Rights Commission of Quebec”. This paragonovernmental organization monitors and investigates human rights and youth rights violation, in addition to its role of educating the public and advising the government.

stakeholders and to carry out her mission. From the start, Dr. Breton chose to give her a broad mandate: to look at diversity from the vantage point of recruitment, career development, research, study and work environment. Putting aside the already existing institutional committees (that did not meet for a few years anyway), he also gave her *carte blanche* to build her team and develop an appropriate consultation process. The process took a little over a year (which is surprisingly quick for the academia). It was carried out in two main stages: the first established the principles that should guide the diversity and inclusion management at the Université de Montréal, and the second provided a detailed diagnosis of the situation, paving the way for a complete prognosis. Since it involves two parallel processes, one for First Nations and the other for non-native equity-seeking groups, I focus here on the second process for lack of space.⁷

In more concrete terms, the first stage started with the creation of three main committees: a drafting committee made of six professionals from different services (HR, Student Life, Research, Institutional Data, etc.); an advisory committee bringing together sixteen stakeholders representing diverse equity-seeking groups and sectors (services representatives, faculty, staff, and student representatives involved in EDI); a forum of external partners (University-connected leaders engaged in society to defend the status of women, LGBTQ2+, racialized people, people with disabilities, the poor and the elderly). After consulting EDI scholars and initiating many rounds of discussion among the drafting committee, the advisory committee and the University's leadership, a statement of vision was endorsed by the president and his management team in May 2019. This statement proposes five basic principles: (1) considering EDI as an essential prerequisite to the University development; (2) addressing the past and present inequalities that are still reverberating in the university and in society; (3) recognition of each individual's unique identity; (4) relying on coordinated efforts to reach all of the university's missions; (5) taking diversity into account in the light of the mission's requirements—which implies other values such as freedom of expression and academic freedom, scientific rigor and the francophone character of the institution (Université de Montréal, 2019b). The document also specified that the University definition of diversity includes gender, sexual orientation, gender identity and expression, social condition, disability, age, First Peoples, migratory status, ethnic origin, language, religion and membership in a racialized group.

The second step began in May 2020 with a tour of the main stakeholders (faculties, services, student and union associations) and a consultation of the partners' forum to evaluate where they were at in terms of EDI and what they saw as the

⁷Decolonizing and Indigenizing Canadian Universities are important tasks by themselves that must be carried out, but that involved a different kind of conversation—more than including different people, they imply establishing and nurturing egalitarian nation-to-nation relationships (Gaudry & Lorenz, 2018). After all, Aboriginal Peoples were present on what became Canadian territory long before the arrival of European colonizers. The action plan on native peoples, whose title can be freely translated by *Make Way for the First Peoples*, can be found on the Université de Montréal website: <https://www.umontreal.ca/premierspeuples/>

burning issues to address. In the meantime, a massive data collection effort—that took a few months—was conducted with the assistance of those same stakeholders to get a comprehensive portrait of the human community that makes up the University. The exercise was easier for employees—because of the data required by law under the equal employment opportunity programs—than for students—as much of the self-identification questions (e.g. ethnicity, handicap, or sexual orientation) were never raised during their registration process. All possible ways—including surveys, focused groups, and secondary analysis of other research data—were used to complement the University’s administrative data. A new round of exchanges between the drafting committee, the advisory committee, the partners’ forum and the University’s leadership took place to get an accurate diagnosis and an action plan that was both realistic and daring. This complete diagnosis and the action plan turning words into deeds were adopted in February 2020 by the University higher management (Université de Montréal, 2020a, 2020b). The COVID-19 pandemic delayed its official launch by a few months, but the implementation phase of this transformative process was nevertheless well underway by fall 2020.

An Action Plan Promising a Comprehensive Change

Having outlined the process that led to the adoption of this blueprint, the time has come to look at its actual content. In a nutshell, this action plan is structured around eight objectives deployed over a 3-year period: (1) ensuring an equitable access to higher education, (2) sustaining vulnerable students’ success, (3) preparing students to deal with diversity’s multiple forms, (4) making the University a diverse and inclusive workplace, (5) making the university an inclusive living environment, (6) promoting EDI among researchers and in research, (7) strengthening partnerships with equity-seeking groups, and (8) ensuring a long-term impact of the action plan on the university. A quick overview of each of these goals can help to better understand their scope.

The first goal is “[t]o identify and address barriers to equitable access to higher education affecting students from under represented groups at the University or in certain disciplines” [free translation] (Université de Montréal, 2020b, p. 4). Because of the lack of reliable data, this goal entails first and foremost to develop the tools to know who the students coming to the Université de Montréal are. Once those data are gathered (and we already know that men, newcomers and non-native French-speakers are globally underrepresented), it becomes possible to analyze the causes of certain groups underrepresentation at admission, whether it is a question of reviewing the recruitment strategy, revising admission criteria that may be less equitable than they appear to be, or removing entry barriers (such as lack of financial resources or fears related to the lack of mastery of French).

The second goal is “[t]o support the retention and the success of students with academic, personal or social vulnerabilities” [free translation] (Université de Montréal, 2020b, p. 8). With the extensive data collected on admission, an

intersectional analysis needs to be conducted to understand which equity-seeking groups persevere the most, the least, and why. In parallel, student services must be tailored to assist those students in their academic journey and support them as they face various challenges. Already, the focus group discussions conducted with students with disabilities indicated that a renewed effort must be made to adapt services and pedagogy to their reality. The same goes for parent students whose status is still not recognized. More generally, a vast campaign of awareness raising to inclusive pedagogy will have to be carried out to bring faculty members to question the inclusiveness of their way of teaching.

The third goal is “[t]o maximize the contribution of training programs in preparing students from all disciplines to interact and work in contexts of multiple diversities” [free translation] (Université de Montréal, 2020b, p. 14). This involves reviewing curricula to consider in which courses it is important to address diversity or to enhance what is already being taught, and from what perspective. Since diversity markers are multiple, supporting faculty with training and tools (capsules, guides, textbooks, etc.) and fostering collaboration among them, are just as important as supporting trainers who are likely to encounter resistance from some faculty.

The fourth goal is “[t]o make the University an inclusive workplace that is representative of the diversity of the community in which it is located” [free translation] (Université de Montréal, 2020b, p. 17). As for students, the reliability of data on equity-seeking groups among faculty and staff needs to be improved. Based on those data, efforts need to be made in recruitment to ensure a fair representation of equity-seeking groups in all employment corps and levels. This involves, first of all, training academic leaders in diversity management, but more generally raising their awareness about EDI, their legal obligation under the Equal Access to Employment programs and the undesirable effects of unconscious bias in hiring and promoting colleagues. Moreover, systematic analyses of career pathways for women faculty that have been conducted locally and that indicate the existence of systemic sexism need to be extended to other equity-seeking groups and other categories of personnel. Based on those analyses, actions will have to be taken to address barriers to equitable employment progression.

The fifth goal is “[t]o make the University an inclusive living environment, free of discrimination and representative of the diversity of its community.” [free translation] (Université de Montréal, 2020b, p. 23). Concerted efforts must be made to increase the representation and inclusion of equity-seeking groups in decision-making and advisory bodies, especially the representation of racialized people and ethnic minority groups. The same goes for the day-to-day campus activities that need to reflect and honor the various forms of diversity. Special support has to be given to activities that foster coexistence as well as to student clusters that speak out for equity-seeking groups (e.g., African, Muslim, disabled, etc.). Since micro aggressions are a daily reality for many, it is important to establish a clear complaint process that allows victims to report them and be accompanied.

The sixth goal is “[t]o diversify excellence and promote equity and inclusion in research” [free translation] (Université de Montréal, 2020b, p. 30). It entails actions on two fronts. First, EDI needs to become more than a specialists’ issue, but a

concern that all researchers (especially in the social sciences and humanities) can integrate in their investigations with the right support. Second, more work must be done to identify and address the barriers to career progression in research, especially for graduate students and researchers from equity-seeking groups. For a career progression that is fair for all, more thoughts need to be given to the concept of inclusive excellence.

The seventh goal is “[t]o intensify partnerships with the vulnerable or underrepresented groups at the University and increase the involvement of alumni and donors in these partnerships” [free translation] (Université de Montréal, 2020b, p. 35). This objective entails taking diversity seriously in the University outreach activities and making it a partner of various communities—instead of only wealthy ones. More concretely, it involves building new partnerships in the neighborhoods where it is located and with civic organizations representing vulnerable populations. It also implies to build new initiatives with alumni and philanthropists from a diversity of groups to give the University the financial means for a sustainable EDI turn.

The eighth and last goal is to ensure “that the equity, diversity and inclusion action plan has a structuring impact on the transformation of the University” [free translation] (Université de Montréal, 2020b, p. 40). To achieve this goal, the University higher management chose to add a new section to the General Secretariat dealing with EDI and First Peoples relations. An associate secretary-general and five professionals have been appointed to lead this change. The entire organizational structure established for the action plan drafting was maintained and improved. Finally, a communication plan was set up to inform the university community of the changes to come.

The Making of a Local and National EDI Leader

It is, of course, too early to assess whether this EDI action plan has delivered on its promises. Nevertheless, nothing prevents us from reflecting on the transformative effects those promises might have and on the new possibilities they open up, both at local and national levels. In other words, by asking, “What is this action plan already doing?” and “What socio-institutional transformations can it bring about?”, it becomes possible to circumscribe the transformative leadership role the Université de Montréal might play if its EDI commitment remains steadfast.

Conceptually, it is important to remember that unlike transactional and transformational leadership, transformative leadership does not focus only on the needs of an organization or its stakeholders. It is concerned with “[m]aterial realities and disparities outside the organization that impinge on the success of individuals, groups, and [the] organization as a whole” (Shields, 2010, p. 563). To reduce these disparities, transformative leadership puts the emphasis on “[d]econstruction and reconstruction of social/cultural knowledge frameworks that generate inequity” (Shields, 2010, p. 563). This kind of emancipatory leadership is challenging but can be significantly rewarding. Transforming oneself, one’s classroom or one’s

department becomes a way to open pathways to change in the society as a whole. I propose to sketch some of the taken-for-granted knowledge frameworks that this action plan might deconstruct and reconstruct. In fact, I see three of such reframings at play on a local scale, opening avenues for a new relationship to otherness at the nation's scale.

A first issue at stake is the embodiment of authority. Taking EDI seriously redefines one's relationship to the other by placing the recognition of his or her identities and needs at the center of this same relationship. We are no longer in an equality paradigm, whose slogan could be "one size fits all," and where the simple fact to be in a position of authority allowed the superior to dictate his or her conditions. Entering the equity paradigm, whose slogan could be "different sizes for different people," we see the authority relationship (teacher-student, boss-employee, dean-professor, etc.) as an enabling one, the goal being to create the conditions that allow everyone to give the best of his or herself (e.g. Brennan & Naidoo, 2008; Savage, 2013). Less unilateral, this relationship makes space for an ongoing negotiation while keeping in mind the collective goals.

A second issue to be reconsidered is the idea of meritocracy. As many works on systemic racism have shown (e.g. Galabuzi, 2006; McNamee & Miller, 2018), people do not succeed only on their own merits in a society where social and racial privileges are inherited. If people do not start with the same chances and are not facing the same obstacles, why should they be evaluated on the same ground upon admission, when applying for a position or competing for a research chair? Although it easily translates into a tote bag, the idea of inclusive excellence is an interesting alternative as it points toward the shallow foundations of what is considered academic success—especially when reduced to a number of papers in top international journals—and extend the realm of what is a praiseworthy scholar (Acker et al., 2012). The same question can be raised about praiseworthy students (Michalski et al., 2017). There are many possible answers, but to put it bluntly, it begs the question: who is excluded and why in the "inclusive university" of the twenty-first century?

Finally, a third issue at stake is to reconsider the way of teaching and researching. Teachers can no longer transmit their knowledge without adapting it to the plural society from which their students come and in which they will work. They cannot mentor graduate researchers without themselves being living models of inclusiveness—that is, transformative leaders sensitive to the needs of others, especially those of individuals from equity-seeking groups. It is the faculty members' responsibility to be outward looking and to prepare their students for a world different from the one they have known. This leads to transformative teaching, a teaching that is less magistral, more collaborative, and where attention to the needs of diverse students is also a way to broaden their outlook on the world around them (Sanger, 2020; Shields, 2010).

Reframing those issues—authority relationships, meritocracy, and ways of teaching and researching—can make a big difference in a few years from now when graduates will enter the job market. This can only help them to believe in their right to be different and in the value this difference bears. In the meantime, living in an

academic environment, where systemic racism is recognized and combated, opens a loophole in a society where the government stubbornly iterates that Quebecers are not racist and that it is a “polemical” concept that does not “meet with consensus.” Or else, dwelling in an institution where religious otherness is welcomed as a richness rather than a threat can provide a desperately needed breath of fresh air in a province where French-style secularism seems to be considered by many as the only way to protect “them ” against “others.” Better still, bringing back in the classroom the forgotten underdogs of the epic of Quebec nationalism—Aboriginals, Blacks, Muslims, and many others—is a way to build a society where everyone has a real place.

Conclusion

In a rapidly changing demographic landscape—e.g. racialized persons now make more than one fifth (22.3%) of the Canadian population (Statistics Canada, 2017)—Canadian universities have to adapt. Even if Quebec has been more inclined to follow the example of France rather than the United States in recent years, the province is living the same demographic changes, especially in university cities such as Montreal, Quebec and Sherbrooke. Moreover, because the lion’s share of research grants is coming from the Canadian government, Quebec universities had no real choice but to enter the EDI dance initiated by the CRC program, then completed by Universities Canada and the three federal granting agencies.

The Université de Montréal, as the biggest French-speaking university in the province, is an interesting place to look at these transformations. On the one hand, its 3-year action plan is striking both for its depth and breadth as it seeks to address the day-to-day experience of nearly all the university’s stakeholders (students, faculty, staff, managers, alumni, donors, etc.) in what constitutes the university’s mission: teaching, research, governance, and community outreach. On the other hand, it seems to make the best out of the Universities Canada (2017) principles of inclusive excellence and the good practices of the CRC EDI experts (Government of Canada, 2018).

What will come out of this commitment? Will the Université de Montréal simply be one more university paying lip service to a new trend imposed from above? Or worst, will it use its increased diversity to “clickbait” (Bilge, 2020) new student clienteles without really ensuring their inclusion? Or will it entail a real transformative leadership and propel the institution into a new era where a “diversity climate” (Cox, 1994) prevails? Only time will tell.

Key Chapter Takeaways

- Canadian universities did not come spontaneously to EDI. It took strong pressure from the equity-seeking groups, starting in 2003 in the courts, for the government to follow suit and press higher education institutions to act—more than 10 years later.

- The real EDI wake-up call came from the Canadian Research Chair (CRC) program when it threatened to withhold research chairs from universities that did not develop and comply with a corrective plan to address the underrepresentation of equity-seeking groups.
- The Université de Montréal is fairly representative of the attitude of Quebec universities toward EDI: until recently, their commitments remained mostly theoretical and few resources were invested to achieve them (even though the Canadian and Quebec laws require them to favor equal access to employment).
- The Université de Montréal EDI action plan attempts to bring about an organizational cultural change. In order to break with a color-blind meritocracy and achieve a truly inclusive excellence, it must rethink the way it fulfills its missions: teaching, research, governance and outreach.
- The EDI turn, in Montreal and elsewhere, is an interesting test of the majority academics' openness. To perform a leadership that is transformative, they must accept to let go of the homogenous academia as they have known it and make space not only for equity-seeking groups, but also for their different outlooks.

Reflective Questions

1. What led Canadian universities to take EDI seriously in 2017 and make it, at last, a real policy priority? Was it for the right reasons?
2. Will the EDI shift in Canadian universities, and especially that of the Université de Montréal, last? What are the conditions to make it sustainable?
3. What is the best way to put equality, diversity and inclusion on the academic senior management agenda?
4. What does a comprehensive EDI policy entail? Which issues must it imperatively address and with whom?
5. Why can we consider a higher education institution adopting a strong EDI strategy as playing a transformative leadership role?

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Chapter 22

Ethos of Diversity, Equity and Inclusion in Leadership Strategy for Sustainable Quality and Standard Education in Higher Ed Institutions in Kenya



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Introduction

Leadership in higher institutions of learning is deteriorating due to lack of diversity, equity and inclusion. That is why this context and its consequences are forcing particular issues onto national and international agendas. Foremost among these issues are: economic competitiveness and market share; sustainability; identity within globalization (including information, commerce and people and their cultures); equity; and, increasingly, the role of public institutions, including education, in helping make the most of the concomitant challenges. In fact, “Education has moved up the political agenda ... [and] is seen as the key to unlocking not just social but also economic problems” (OECD, 2001b). Leadership style is significant for sustainable quality and standard education in higher institutions of learning worldwide. Therefore, leadership should include diversity, equity and inclusivity of ethnicity. Aguirre and Martinez (2002), noted that “The association between diversity and leadership is synergistic because diversity promotes change as an emergent agent in the structuring of higher education, while leadership promotes practices that identify diversity as a nested context for achieving balance in the social relations between higher education and society” (Aguirre & Martinez, 2002).

The concept of diversity in leadership involves additional consideration regarding the management of recruiting, mentoring, and promoting minority faculty within the three areas of higher education (Portugal, 2015). According to Keating (1982), leadership is service, in the sense that it seeks to meet the needs of another or of the group by performing needed functions. Sometimes strong directive power is effective leadership, such as when a group has lost its sense of direction or

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purpose; with another group, or at another time when the group is functioning well in its relationships and has its directions clear, on-directive styles of leadership are needed. Sometimes the group needs to be encouraged and supported; at other times it may need to be reoriented, so that leadership serves the needs of the group (Keating, 1982). As Greenleaf (1977), noted that, a mark of leaders, an attribute that puts them in a position to show the ways for others, is that they are better than most at pointing the direction. As long as one is leading, one always has a goal. It may be a goal arrived at by a group consensus, or the leader, acting on inspiration, may simply have said, "Let's go this way". But the leader always knows what it is and can articulate it for one who is unsure. By clearly stating and restating the goal, the leader gives certainty and purpose to others who may have difficulty in achieving it for themselves (Greenleaf, 1977). That is why effective leadership is needed which incorporates the ethos of diversity, equity and inclusion in higher institutions of learning in Kenya. Efforts to meet obligations under the Kenyan laws and international commitments have been demonstrated in the implementation of Education for All (EFA) and millennium Development goals (MDGs) in an effort to make education more responsive to the needs of all its citizens in Kenya. The reforms process is re-aligning education to the constitution of Kenya and all the country's development blue-print, the Kenya Vision 2030, which are highly responsive to inclusion, equity and diversity and education and leadership by extension.

Statement of the Problem

The problem of Kenyan institutions of higher learning is leadership that promotes ethnicity ignoring diversity, equity and inclusion leading to conflicts, poor administration and management, between council members, community members and politicians. As a consequence, some higher institutions are under acting leadership capacities, leading to corruption, poor quality and low standards of education. According to Okebiro (2018) quality and standards of education in Kenyan universities is low due to the fact that the lecturers embark only on the teaching pillar and forget about other pillars of research and community outreach. Those who teach part time have no time in research due to their financial constraint resulting into being unable to research and publish (Okebiro, 2018). This has been a significant factor in the higher education redefining academic freedom, autonomy and accountability (Akuno et al., 2017). It is justified by Wolpe et al. (1995), that this contributes significantly to the governance and democratization of the institutions of higher education (Wolpe et al., 1995:113). The university in Africa as a whole, has been accused of inefficiency in many areas, such as leadership lacking diversity, equity and inclusion. This 'lack of efficiency is created in part and maintained by state control of top administrative organization and management' (Assié-Lumumba, 1996:7). Politicians also promote ethnicity by supporting a candidate for Vice-chancellors posts in universities where the university is located and promoting regionalization of leadership without considering, merit, competencies, experience

and ability of leadership in public universities. This was even prevalent in Kenya before the year 2002, when the Chancellor of the public universities was the President of the Republic, and the Vice-chancellors were appointed by the Chancellor. In this scenario, merit was not the determinant of appointment to leadership, nor was ability or experience necessarily considered (Akuno et al., 2017). When the appointee leader was inadequately prepared for the job, the activities and output of the institution suffered a great deal. The appointee leader was perceived, and in fact leaned more towards a political role, instead of efficient management of services in the institution of higher learning like university (Assié-Lumumba, 1996). There are still reports of ‘undue political interference in institutional management’ (Report of Task Force on Education, 2012:173) despite new legislation that ensures a level of autonomy in public universities. This has led to tension at times, between top management and staff or top management and students, especially when there are disagreements between staff or students and the state. The university atmosphere is often marked by instability due to polarization of students and staff against top management and government on matters that lead to mass action and unrest. Today, top management positions are filled through competitive selection, and it is expected that the appointee leader brings in relevant academic and experiential qualifications (Akuno et al., 2017). This mode of appointment reduces the alienation previously felt, where the chief executive was not perceived as a member of the institution, but an imposition of the dominant political establishment. However, nowadays there is delay in giving out the results of the appointed leader, leading to some universities operating in acting capacity of leadership. The competitive selection is expected to tap into the nation’s top academic administrators, a move that should ensure that governance and leadership of the university facilitate a healthy relationship with industry and society. The expectation has been contrary to many scholars, where there is no diversity, equity and inclusion.

The Objective of the Study

The objective is to investigate whether the variables of diversity, equity and inclusion are adhered to in recruiting and promoting top leadership in higher education institutions in Kenya.

Research Questions

The study is guided by the following five questions:

- Does leadership in higher in institution of learning consider diversity, equity and inclusion in recruitment of top management?

- Is there commitment and good will by leadership in top management for development and promotion of an institution from college to university status?
- Does leadership in higher institution of learning encourage and promote cognizance?
- Does leadership in higher institution of learning trigger curiosity for research and development through talents?
- What are the benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya?

Literature Review

Good leadership is effective to effective good management standards of any higher institutions of learning. Leadership is the process by which an executive influences the work and behaviour of subordinates in choosing and attaining specified objectives (Saleemi, 2014). These ensure the equity practice of fairness and justice in the recruitment of top leadership in higher institutions of learning to access and control resources and execute duties without any form of discrimination. That is inclusive leadership is the practice of leadership that carefully maximizes the contributions of all stakeholders in the community or organization. Inclusion means being at the table multiple levels of the organization, being a valued contributor and being fully responsible for your contribution to the ultimate result. Inclusive leadership unites human capital by developing “a united team of leaders”, who cultivate and harvest new ideas and innovative strategies to resolve issues and advance an organization’s mission. Inclusive leadership is the “essential ingredient for success” for colleges and universities to realize excellence. This expresses the following components: **Diversity of leadership markets**-demand is shifting to emerging leadership abilities. With their growing class of people with qualification, experience, training and competencies these new colleges represent the single biggest growth opportunity in the portfolio of elevation of a college to university status. **Diversity of Candidates**-candidate’s demographics and attitudes are changing because of ethnicity, corruption and nepotism. A leadership empowered through godfathers in council members, and with greater choice of their preferred candidate, that is being limited to poor leadership. **Diversity of ideas**-digital technology, hyper-connectivity, and deregulation are increasing awareness in leadership weaknesses and abilities in higher institutions of learning. Few would argue against the need for rapid innovation. **Diversity of Talent**-shifts in age profiles, education, and migration flows, along with expectations of equality of opportunity and work or life balance, are all impacting employee populations in higher institutions of learning in Kenya. Inclusion is increasingly seen as a key challenge for educational leaders. For example, Leithwood et al. (1999) suggest that with continuing diversity, schools will need to thrive on uncertainty, have a greater capacity for collective problem solving, and be able to respond to a wider range of pupils. Fullan (2001) describes five mutually reinforcing components necessary for effective leadership in times of change: moral purpose,

understanding the change process, relationship building, and knowledge creation and sharing, and coherence making. Sergiovanni (1992) also points to the challenge of student diversity and argues that current approaches to school, college or university leadership may well be getting in the way of improvement efforts. He suggests two main reasons for the failure of some approaches: there is a tendency to view leadership as behaviour rather than action, as having to do with persons rather than ideas; the emphasis on bureaucratic, psychological and technical-rational authority has led to the neglect of professional authority. Adopting a similar perspective, Lambert et al. (1995) argue for a 'constructivist' view of leadership, defined as "the reciprocal processes that enable participants in an educational community to construct common meanings that lead toward a common purpose about schooling". From their perspective, leadership involves an interactive process entered into by both students and teachers. Consequently, there is a need for shared leadership, with the principal scene a leader of leaders.

Hierarchical structures have to be replaced by shared responsibility in a community that becomes characterized by agreed values and hopes, such that many of the control functions associated with school leadership become less important or even counterproductive. Riehl (2000) develops "a comprehensive approach to school administration and diversity", focusing specifically on the work of school principals. She concludes that school leaders need to attend to three broad types of task: fostering new meanings about diversity; promoting inclusive practices within schools; and building connections between schools and communities. She goes on to consider how these tasks can be accomplished, exploring how the concept of practice, especially discursive practice, can contribute to a fuller understanding of the work of school principals. This analysis leads the author to offer a more positive view of the potential for school principals to engage in inclusive, transformative developments. She concludes: "When wedded to a relentless commitment to equity, voice, and social justice, administrators' efforts in the tasks of sense making, promoting inclusive cultures and practices in schools, and building positive relationships outside of the school, may indeed foster a new form of practice" (Riehl, 2000).

In the ancient time, the higher institutions of learning in Africa were effective in leadership due to diversity, equity and inclusion. These approaches did not produce the expected wide-scale improvements as the academic achievement gap between diversity, equity and inclusion. According to Mulford (2003) it is shown that there is a growing shortage of school, college or university leaders and a suggestion, but little evidence, of declining quality of candidates for school, college or university leadership positions. The reasons for this shortage can be grouped under societal, system and school influences and include unrelenting change, increasing and sometimes conflicting expectations, mandates and accountability, bureaucracy (especially excessive paper work, the increase in intermediate bodies and new approaches such as whole-of government), budget cuts, an emphasis on administration rather than leadership, and a 'conspiracy of busyness', that is the way time, space and communication patterns are structured (Mulford, 2003). These influences result in the job of school, college or university leader being seen by potential candidates as too demanding, stressful, lonely, lacking support, and only for particular groups in

society. One result of these influences and perceptions of the role of school leader is a shortage as well as a possible declining candidate quality, except perhaps for those schools, colleges or universities in 'non-challenging circumstances'. That is why Mulford (2003) noted "We need to be very careful here that we are not 'eating the seed corn' – consuming our own future by frightening off the brightest and best from leadership of our schools and compromising leadership in higher institutions of learning" (Mulford, 2003). Research by Spillane et al. (2001) expands upon these issues and influences. Their work examines the complexity of school leadership and provides a theoretical framework for the research. Their study of 'distributed leadership' challenges the notion that school leadership resides in any one individual. They point out that although tasks may be performed by a single person, the impact of his or her action on the organization reflects a variety of socio-cultural features and demonstrate how "...social context is an integral component, not just a container, for intelligent activity" (Spillane et al., 2001). Leaders often find themselves in a dilemma because they are people with unique patterns of confidence and fear that come from their life influences, education, experiences, and personal needs (D'Souza, 2010).

One of the most consistent findings from studies of effective university leadership is that authority need not be located in the person of the leader but can be dispersed within the university faculties' schools, departments, between and among people. There is a growing understanding that leadership is embedded in various organizational contexts within school, college or university communities, not centrally vested in a person or an office. The real challenge facing most universities is no longer how to improve but, more importantly, how to sustain improvement. Sustainability will depend upon the university's internal capacity to maintain and support developmental work and sustaining improvement requires the leadership capability of the many rather than the few. This needs inclusivity leadership in universities. Therefore, inclusive leadership in education can be seen as a process of addressing and responding to the diversity of needs of leadership abilities through increased participation in access to leadership diversities and capabilities in universities.

Nowotny et al. (2003) observe a fundamental change in knowledge production in the last 50 years. The authors' description of Mode 2 knowledge entails a socially distributed, application-oriented, trans-disciplinary phenomenon that is subject to multiple accountabilities. They also allude to its flexibility in aligning with the changing times and therefore it is not restrictive to particular disciplines. It is probably in this context that Etzkowitz et al. (2012) speak of a 'tectonic shift' in the operations of higher education institutions in terms of revising governance structures, academic programmes, diffusion of new technologies and relationship with the markets among other things, despite challenges that come with that 'shift'.

Brankovic (2011) states that the way universities are organized and run is affected by the ideologies and policies to which they are exposed to and which can penetrate their structures and affect internal dynamics to a varying extent. While Brankovic (2011) addresses the concept of ideology and policy differences in the management of the affairs of tertiary institutions, one should be able to appreciate Provan and

Kenis's (2008) ideas about the sustainable use of resources and ability to deal with ever rising complex issues which can only be well grounded in the leadership ideologies to which tertiary institutions' leaders subscribe. Provan and Kenis (2008) include the element of pragmatic ideologies in generating efficiency and capacities to address problems in formulating good management policies from the ideologies that shape leadership. Provan and Kenis (2008) argue that there is an important form of multi-organizational governance. One can deduce from their argument that where leadership undertakes an inclusive approach towards management of people and resources, the governance approach leads to 'enhanced learning, more efficient use of resources, increased capacity to plan for and address complex problems, greater competitiveness, and better services for clients and customers'. Considering the arguments advanced by Provan and Kenis (2008), it should be observed that although governments have continued to be the supervisors of higher education, the institutions are allowed to make decisions on programmes and growth strategies that are in alignment with the market they serve as illustrated in the model in Fig. 22.1.

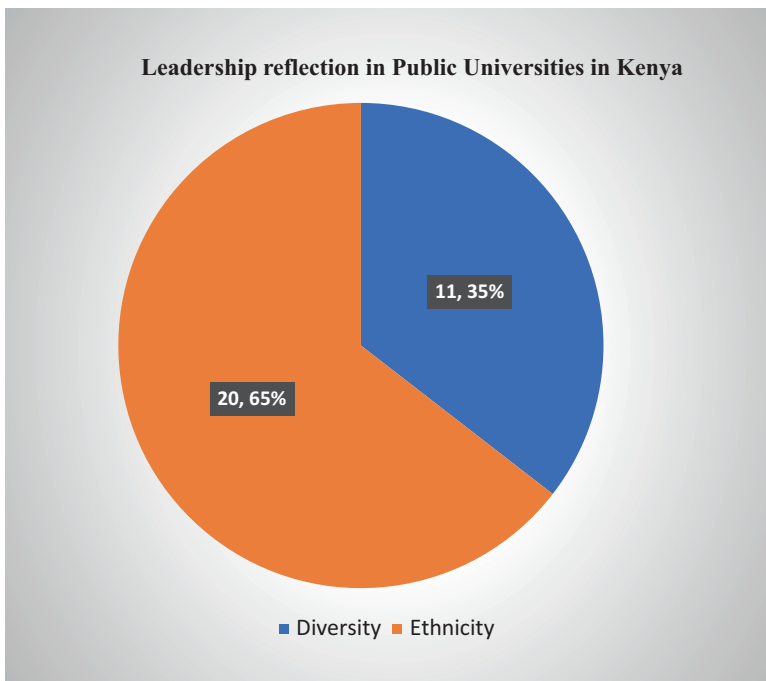


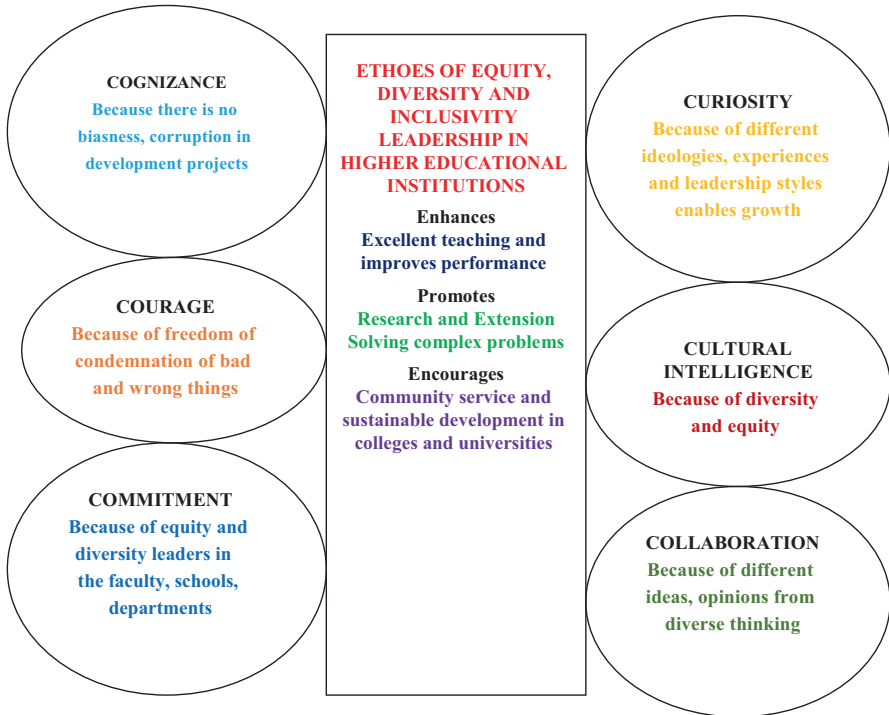
Fig. 22.1 Leadership reflection in Public Universities in Kenya. (Source author (2021))

Methodology

The research employed survey method; data collected by questionnaires from employees in higher institutions of learning through simple random sampling. The research considered two variables vice chancellors and deputy vice chancellors in Kenyan public universities to measure the ethos of diversity, equity and inclusion in leadership Strategy for sustainable quality and standard education higher institutions in Kenya. Survey research is a self study which requires the collection of quantifiable information from the sample (Mugenda & Mugenda, 2009). This survey research was exploratory on the public universities in Kenya.

Data Collection Procedure

The research investigated on leadership basing the five questions of the research study on three variables of equity, ethnicity and inclusion in higher institutions of learning in Kenya. The variables will be measured by use of four Likert scale: strongly agree(4), agree(3), disagree(2), strongly disagree(1). The study is guided by the following five questions: (i) Does leadership in higher in institution of learning consider diversity, equity and inclusion in recruitment of top management? (ii) Is there commitment and good will by leadership in top management for development and promotion of an institution from college to university status? (iii) Does leadership in higher institution of learning encourage and promote cognizance? (iv) Does leadership in higher institution of learning trigger curiosity for research and development through talents? (v) What are the benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya? Equity is the quality of being fair and impartial in top leadership in higher institutions. It is a fair and reasonable way of behaving towards people, so that everyone is treated in the same. Diversity refer to the fact that very different people within a group or place of work. Inclusion is a belief that all people should feel that they are included in the leadership in higher institutions even if they lack some advantages. The research collected secondary data from 31employees in public universities through simple random sampling in all 31 universities and looked at the top management that is the chancellors and vice chancellors. The respondents were chosen from all public universities to give their opinions on their institutions regarding the three variables of the study.



Model: Ethos of equity, diversity and inclusivity leadership in higher educational institutions (Source: Author, 2021)

Key Findings

The key results show leadership conflicts in some institutions between employees from different tribes and council members are compelled to appoint leaders from the ethnic tribe in which the institution is located as evidenced from vice-chancellors in public universities leading to ethnicity. Secondary data available indicates that the variable of diversity in chancellors’ leaders in public universities in Kenya is well covered as illustrated in Fig. 22.1 (Table 22.1).

Table 22.2 shows that 38% of staff employees were between the age of 41–50, 25% of the respondents were between 51 and 60 while 19% were between the age of 61–70, and 6% were 30 and below.

Table 22.3 shows that 39% of the respondents have Doctorate degree, while 26% have Master’s degree, 19% of the staff have Bachelor’s degree while 13% have Diploma from Tertiary Institutions and 3% have secondary certificates.

Table 22.4 illustrates the opinion respondents on whether leadership in higher in institution of learning consider diversity, equity and inclusion in recruitment of top

Table 22.1 Gender of the respondents (N = 31)

Respondents	Distribution	
Gender	Frequency	Percentage
Male	19	61
Female	12	39
Total	31	100

There were 61% of male and 39% of female respondents in the sampled higher institutions of learning

Table 22.2 Age of respondents (N = 31)

Respondents	Distribution	
Age	Frequency	Percentage
Below 30	2	6
31–40	4	12
41–50	12	38
51–60	8	25
61–70	6	19
Total	31	100

Table 22.3 Level of education of the respondents (N = 31)

Respondents	Distribution	
Level of Education	Frequency	Percentage
Secondary	1	3
Tertiary	4	13
Bachelor's Degree	6	19
Master's Degree	8	26
Doctorate Degree	12	39
Total	31	100

management. One Therefore, 65% of the respondent strongly disagree; 23% agree; while 6% disagree and strongly agree respectively.

Table 22.5 shows the opinion of respondents on commitment and good will by leadership in top management for development and promotion of an institution from college to university status. 48% strongly agree, 32% agree, 13% strongly disagree and 7% disagree.

Table 22.6 shows the opinion of respondents on leadership in higher institution of learning encourages and promote cognizance. 36% strongly disagree, 32% disagree, 19% agree and 13% strongly disagree.

Table 22.4 Consideration of diversity, equity and inclusion in recruitment of top management (N = 31)

Respondents	Distribution	
Opinion	Frequency	Percentage
Strongly Agree	2	6
Agree	7	23
Disagree	2	6
Strongly Disagree	20	65
Total	31	100

Table 22.5 Commitment and good will by leadership in top management for development and promotion of an institution from college to university status (N = 31)

Respondents	Distribution	
Opinion	Frequency	Percentage
Strongly Agree	15	48
Agree	10	32
Disagree	2	7
Strongly Disagree	4	13
Total	31	100

Table 22.6 Leadership in higher institution of learning encourages and promote cognizance (N = 31)

Respondents	Distribution	
Opinion	Frequency	Percentage
Strongly Agree	4	13
Agree	6	19
Disagree	10	32
Strongly Disagree	11	36
Total	31	100

Table 22.7 shows respondent's opinion on leadership in higher institution of learning trigger curiosity for research and development through talents and 62% strongly disagree; 22% agree; 10% strongly agree and 6% disagree.

Table 22.8 shows respondent's opinion on the benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya. And 65% strongly agree; 19% agree; 10% disagree and 6% strongly disagree.

Table 22.7 Leadership in higher institution of learning trigger curiosity for research and development through talents (N = 31)

Respondents	Distribution	
Opinion	Frequency	Percentage
Strongly Agree	3	10
Agree	7	22
Disagree	2	6
Strongly Disagree	19	62
Total	31	100

Table 22.8 The benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya (N = 31)

Respondents	Distribution	
Opinion	Frequency	Percentage
Strongly Agree	20	65
Agree	6	19
Disagree	3	10
Strongly Disagree	2	6
Total	31	100

Conclusion

Basing on the key results, the study concludes and recommends for progressive and transformative leadership with diversity and equity, qualifications and competence skills irrespective of ethnicity. Effective governance is a factor of leadership, commitment and support from higher levels of authority. Good leadership is crucial but it is not all that is needed (Akuno et al., 2017). Individuals involved with the leadership of institutions of higher learning must develop transformational leadership qualities and attributes to lead with commitment, passion, vision, and integrity. Table 22.5 shows 48% of the respondents strongly agree that commitment and good will by leadership in top management for development and promotion of an institution from college to university status. As transformational leaders have the ability to develop, change, adapt, and reinvent their own skills and abilities but more importantly, a good leader needs to have the ability to direct and affect these initiatives in others so that a progressive academic community follows successfully. Highly effective higher education leaders possess the ability to operate within political, symbolic, structural, and human resources frameworks (Bolman & Deal, 2003). According to Akuno et al. (2017) “The effectiveness of a governance system relies on a well-defined and appropriate organizational structure and clearly articulated roles and responsibilities of all players or participants in the organization, such as

the university council members, administrative staff, academic staff and non-teaching staff.

There is a need for clarity of the relationships among these participants, as well as respect for the same in higher institutions of learning. A clear articulation of roles and responsibilities ensures commitment and accountability at each level of operations. There is also a need for clear communication, so that information moves seamlessly from one level to another, and outcomes of processes are conveyed to inform the next level of activities. Where approval is sought, it can be frustrating when the same is not forthcoming, and that is often because the need for approval has not been articulated in communication. Such is part of the frustration reported by both the top and middle-level staff in the studied institutions, where the latter complain of lack of support and bureaucracy that delays decision-making, while the former voice issues of clarity of requests (Akuno et al., 2017). There are universities in Kenyan where leadership has been on acting capacity for 3 years due to the fact that there are wrangles between the council members and the community who take over leadership, where the university is located and this promotes ethnicity leadership exclusivity, as illustrated in Fig. 22.1. This is, in several cases, a clear demonstration of unclear instruction or even lack of training and information on what is expected of the various players in the institution's structure. The chief benefit of clear governance structures and policies is accountability and control. Monitoring and follow-up are made easy when there is an articulated path of communication. Supervision is possible when clear reporting structures are in place.

As Akuno et al. (2017) noted there is integrated process of competitively hiring Vice-chancellors in fair and free exercise. This is seen as a welcome introduction to leadership in institutions that were micro-managed by the state for a long time. It is perceived as a hopeful beginning to a more responsive leadership that designs and manages its own programmes for posterity, and only answering or proposing to Council its intended development plans for approval (Akuno et al., 2017). However, though the system now has elected deans of faculties, control over the Senate appointed by the Vice-chancellor continues to raise concerns. In addition, the fact that Council possesses the monopoly to pick a candidate from among three qualifiers presented to it by recruiting professionals raises exigent questions of fairness. Akuno et al. (2017) pose questions of concern: is this yet another question of absolute patronage rephrased in a quasi-democratic irony of a recruitment process? With the Council's monopoly powers, where is the guarantee that the least qualified is not selected based on historical patronage, business links or even family or ethnic relations? These might sound hypothetical concerns. Middlehurst (2011) provides some indicators that could be used in the vetting of candidates to the position namely: (1). one's own knowledge of experience of leadership as well as credibility and knowledge; (2). self-awareness with regard to capabilities of areas you intend to lead; (3). an analysis of the internal and external contexts of leadership in higher education; (4). understanding of leadership role; (5). routes to leadership including the developmental activities and selection practices. This indicators of Middlehurst (2011) raises pertinent questions that determine a leader and governor, and what they prioritize based on the resource available. If, for example, one's knowledge and

experience will favour certain disciplines while discriminating against others or if internal and external contexts view some disciplines as irrelevant and a waste of time, then exclusivity emerges (Akuno et al., 2017), as illustrated in Table 22.7, show 62% of respondents strongly disagree that leadership in higher institution of learning trigger curiosity for research and development through talents.

As observed by Locke et al. (2011), this requires appropriate leadership, defined as ‘seeing opportunities and setting strategic directions, investing in and drawing on people’s capabilities to develop organizational purposes and values’ (Locke et al., 2011). Good leadership calls for skills and abilities that are focused on opportunities and people. It encompasses the knack of matching people and opportunities, resources and needs in higher institutions of learning in Kenya. It calls for an acute awareness of the context of operation, sensitivity to dynamics, and openness to ideas from those in the organization. According to Ramsden (1998), “the concept of academic leadership as a process analogous to university teaching” is one in which leaders learn from listening to colleagues about how to lead effectively (p. 245). Capable administrative leaders must adopt followership qualities when dealing with academics who are highly qualified leaders as well. Practicing followership skills is an asset that masterful leaders possess and this attribute allows one the ability to step aside and follow when other individuals in the organization have skills that are better matched for specific tasks (Ramsden, 1998). Table 22.6 illustrate 36% of respondents strongly disagree and 32% disagree, that leadership in higher institution of learning encourages and promote cognizance. That is why Herbst et al. (2006) indicate that leadership requires a strong personal ethic and a compelling vision of the future. Such were not necessarily the attributes looked for, or seen, in the vice-chancellors appointed during the years of state-control. Yet, perhaps appointing authorities still focus more on academic achievement, which is necessary, without giving much thought to proven leadership ability or capacity: a ‘shortage of skilled leadership and lack of management capacity... identified... as some of the major failings of... higher education’. As observed by Akuno et al. (2017) “though writing about South Africa, Herbst et al. (2006) describe a situation that applies to Kenya”. There seems to be a need for university leaders who are not only credible scholars, but also effective leaders, as seen in the wording of advertisements for university leadership positions. In this sense therefore, an effective leader seeks to channel the institution’s efforts towards finding significant ways in which it could impact on society, guided by the abilities of its personnel, and at the same time growth in terms of physical facilities and human resource development.

Table 22.4 shows consideration of diversity, equity and inclusion in recruitment of top management and 65% of the respondent strongly disagree and 23% agree. It implies that the achievements and capacity of staff are harnessed to generate an institutional agenda. This demands a level of cognitive ability, a capacity to process complex information in order to make valid decisions (Herbst et al., 2006). Educational leadership is needed today in Kenya because of the educational challenges of changing demographics, social, cultural, political and economic environment. There are today a lot more highly qualified academics who believe they can do the job of the vice-chancellor better than the sitting administrator. This can

provide an emotional challenge to those in leadership positions (Akuno et al., 2017). The leader is expected to be capable of providing the requisite emotional stability for the institution to move forward, not getting involved in corruption they require support from community leaders and who not privy to the mistakes committed in the reign. Such a role requires leadership that is people-building and that works towards higher levels of staff motivation and morality. An effective leader ‘enhances subordinates’ satisfaction with, and trust in leadership, as well as employees’ emotional commitment to (the) organization’ (Herbst et al., 2006). This is partly achieved through the free exchange of ideas, and the sharing of the organization’s inspiring vision, a vision that must first be developed in master and strategic plans. The process of sharing a vision with personnel who feel they are better placed to do what the leader is doing is a daunting task. It requires deep insight, stamina and patience to cultivate a good working academic team that will see the institution grow as a unit, despite the diverse outlooks and attitudes of its employees (Akuno et al., 2017).

Higher education institutions in Kenya require leadership that will transform the education sector into a formidable contributor to the national good and be referred to as “panacea of knowledge for research and development”. As noted by Akuno et al. (2017) ‘The greatest want of the world is the want of men—men who will not be bought or sold, men who in their inmost souls are true and honest... men whose conscience is as true to duty as the needle to the pole’ (White, 1952 [1903]:57). However dated this quote, it remains true today. Governance and leadership are challenges of commitment, steadfastness, vision and courage to take charge in a manner that develops the total institution – its philosophy, activities and personnel. This requires effective governance in higher institutions of learning which demands for diversity, equity and inclusivity and courage because one is often travelling uncharted ground. Innovation and creativity are instruments with which the effective leader must be familiar with in order to meet challenges and negotiate obstacles systematically (Akuno et al., 2017).

Recommendation

Basing on the conclusion it is recommended that inclusive leadership program should be introduced in universities which is centered on the university’s core values of diversity and inclusivity, integrity, innovation and entrepreneurial action, and partnerships, and will build a pipeline that will not only further diversify leadership but will also advance innovative collaborations aimed at creating inclusive workplaces, student learning, curricula, and partnerships. The collaborative nature of inclusive school, college or university culture has clear implications for the nature of leadership and decision-making. First, it leads people to conclude that strong school, college or university leaders, committed to inclusive values, are crucial to promoting and supporting collaboration. The importance of collaborative processes point to the importance of distributed leadership and participative decision making.

Attitude and structural changes are necessary within institutions of higher learning if significant changes are expected in diversity leadership practices. Researchers Smith et al. (2004) outline several recommendations for implementing a successful diversity leadership initiative that would be apply effective leadership in higher institutions of learning in Kenya:

- (i) On-going support for scholars of color entering faculty ranks.
- (ii) Urging current faculty to become involved with programs addressing diversity, equity and inclusivity issues.
- (iii) Changing and addressing hiring/search practices for diversity, equity and inclusive employment.
- (iv) Developing job descriptions that are relevant to institutional diversity, equity and inclusion.
- (v) Employing institutional interventions such as target of opportunity hires and incentive programs.
- (vi) Using strategies that allow a department to bypass the usual search process or that alter the composition of search committees and that are employed by any field or subfield.

Table 22.8 illustrates 65% of respondents strongly agree and 19% agree that the benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya. Therefore the following are benefits realized from ethos of diversity, equity and inclusivity leadership in higher institution of learning:

- (i) Increased and sustainable performance-inclusive habits elevate the collective intelligence quotient because of teams and lead to improved results always.
- (ii) Strong team identity for development-create teams that actively seek to help each other and participate in development by building habits that internationally include others.
- (iii) Psychological safety-ensures the employees feel safe to take risks for the development and growth of the institution.
- (iv) No godfathers-ensures employees are free to work without intimidation and express their skills and knowledge required.
- (v) Retention of experienced workers-creates a culture of belonging where new experienced employees feel engaged and included.
- (vi) Identify talents-employees are assigned management roles according to their talents exposed from their previous known performance and experience.

Key Chapter Takeaways

- The concept of diversity in leadership involves consideration regarding the management of recruiting, mentoring, and promoting minority faculty within the areas of higher education.
- The problem of Kenyan institutions of higher learning is leadership that promotes ethnicity ignoring diversity, equity and inclusion leading to conflicts, poor administration and management, between council members, community members and politicians

- The university atmosphere is often marked by instability due to polarization of students and staff against top management and government on matters that lead to mass action and unrest.
- The objective of this study was to investigate whether the variables of diversity, equity and inclusion are adhered to in recruiting and promoting top leadership in higher education institutions in Kenya.
- The key results show leadership conflicts in some institutions between employees from different tribes and council members are compelled to appoint leaders from the ethnic tribe in which the institution is located as evidenced from vice-chancellors in public universities leading to ethnicity.
- The study concludes and recommends for progressive and transformative leadership with diversity and equity, qualifications and competence skills irrespective of ethnicity.
- Basing on the conclusion it is recommended that inclusive leadership program should be introduced in universities which is centered on the university's core values of diversity and inclusivity, integrity, innovation and entrepreneurial action, and partnerships, and will build a pipeline that will not only further diversify leadership but will also advance innovative collaborations aimed at creating inclusive workplaces, student learning, curricula, and partnerships.

Reflective Questions

1. The authors state that Kenyan institutions of higher learning often promote ethnicity, and ignore diversity, equity and inclusion. Unfortunately, this tendency is a widely recurring one. How could this trend be corrected in hiring processes, especially in cases of highly educated candidates?
2. University atmospheres are known for recurring instances of polarization of students and staff against top management and government. Why would this environment be so prone to such trends?
3. The study discussed here finds that there is a tendency to hire members from the ethnic tribe in which the institution is located. Please consider and share some pros and cons of this trend.
4. In the study recommendation, the authors assert that progressive and transformative leadership should be implemented with diversity and equity, qualifications and competence skills *irrespective of ethnicity*. Please consider and share some pros and cons to this strategy?
5. Considering any workplace: what do you consider some of the main drivers toward innovation?

Appendix

Questionnaire

Ethos of Diversity, Equity and Inclusion in Leadership Strategy for Sustainable Quality and Standard Education in Higher Institutions in Kenya

Strongly Agree (4) Agree (3) Disagree (2) Strongly disagree (1)

Gender: tick appropriately

Male	
Female	

Age: choose from the age pyramid

Below 30	
31–40	
41–50	
51–60	
61–70	

Indicate your Level of Education

Secondary	
Tertiary	
Bachelor's Degree	
Master's Degree	
Doctorate Degree	

Does leadership in higher in institution of learning consider diversity, equity and inclusion in recruitment of top management? Choose one.

Opinion	
Strongly Agree	
Agree	
Disagree	
Strongly Disagree	

Is there commitment and good will by leadership in top management for development and promotion of an institution from college to university status? Choose one.

Opinion	
Strongly Agree	
Agree	
Disagree	
Strongly Disagree	

Does leadership in higher institution of learning encourages and promote cognizance? Choose one.

Opinion	
Strongly Agree	
Agree	
Disagree	
Strongly Disagree	
Total	

Does leadership in higher institution of learning trigger curiosity for research and development through talents? Choose one.

Opinion	
Strongly Agree	
Agree	
Disagree	
Strongly Disagree	

What are the benefits of ethos of diversity, equity and inclusivity leadership in higher institutions of learning in Kenya? Choose one.

Opinion	
Strongly Agree	
Agree	
Disagree	
Strongly Disagree	

Thank you for your cooperation.

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Visitors Are Welcome

The Silk Road runs through Los Angeles
Inner body awareness dwells in the present moment
Geographic literacy is wilderness listening
The bell is ringing, heed your calling
Visitors are welcome, accept energetic consciousness
Steeped in deep ecology, surrender to a higher purpose

When action, feeling & spirituality unite there's a deeper connection with life
Beyond the scientific method, ecology cannot be measured,
together we are the Earth, a super organism of living systems
linked by sacred underpinning connected by decisions
that ripple across the planet: Gaia is the granite,
a foundation far bigger than a microcosm

The tree of life, a fresh worldview, you are I,
I am you, we are one despite those who attempt
To build barricades, their lemonade is toxic
Deep ecology is the process of facing Earth's problems
With a holistic platform, breathing in
We all walk on

The crows, the lizards, the dogs, the frogs, the rocks,
The pepper trees, the sycamores, the eucalyptus,
The dirt mounds, branches on the ground, the cactus,
The ferns, the berries, the spiders, the manzanita,
The sage, the ants, the rabbits, the roots, the burnt brush,
The foothills are all us

Citizens of the land know their watersheds & ecosystems
Biological exploitation and Imperialism propagated
Through flawed traditions promote tone deaf demons
Extracting life force from the source;
we are all composite beings
with shared ways of seeing

~ Mike Sonksen

Part IV
Diversity, Equity and Inclusion:
Interdisciplinary and Global Deliberations

Chapter 23

The Intersectionality Frame: #SayHerName and Exposing the Overlapping Double Discrimination of Racism and Sexism



Emerald M. Archer

Introduction

In her 2016 TED Talk, Kimberlé Crenshaw begins by asking all those in the audience who are able to stand up (Crenshaw 2016). She instructs audience members to take their seat when they hear a name they do not recognize. She starts with Eric Garner, Mike Brown, Tamir Rice, and Freddie Gray; more than half of the audience remains standing after this first roll call. She begins again – this time with Michelle Cusseaux. At the mention of one Black woman’s name, most of the audience sits down. Only four people in the audience are left standing after Crenshaw offers the names of Tanisha Anderson, Aura Rosser, and Meagan Hockaday. All of those named in the introduction of Crenshaw’s talk are African Americans who were killed by police officers, either in their homes or while in police custody, between 2014 and 2016. In the years since 2016, Breonna Taylor, Atatiana Jefferson, and several others have been added to the list, but they continue to be less familiar to us than the names of George Floyd, Eric Garner, or Rayshard Brooks. Crenshaw’s exercise compels us to ask why we – the American citizenry – are less aware of the police violence against Black women as compared to their male counterparts. Why are their stories lesser known?

This chapter seeks to answer this critical question. Put simply, when we do not have the appropriate frame to understand violence against Black women specifically, it becomes harder for us to acknowledge these women or remember them. Violence against Black women specifically cannot be understood when using the singular frames of violence against African-American people or violence against women, respectively. Intersectionality, a term used to describe how race,

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socio-economic status, gender, and other individual attributes “intersect” with one another and overlap to create modes of discrimination and privilege, is instructive. The intersectionality frame allows us to more clearly see the compounded effects of race and gender discrimination, which create multiple levels of social injustice. This chapter begins by providing a very brief history focused on the contemporary period as it relates to state-sanctioned violence against Black bodies. A discussion on intersectionality is offered to illustrate that it is only through this frame what we can begin to make space for remembering Black women who died as a result of state-sanctioned violence. Intersectional thinking gives rise to the #SayHerName campaign, a movement launched in 2014 to raise awareness about Black women victimized by police brutality and bring their names into the public discourse. The #SayHerName campaign, among other intersectional feminist movements, offer several leadership lessons. Overall, understanding the power of double discrimination can make visible social problems and their specific impact on marginalized groups, allowing us all to become better problem solvers and more inclusive community members.

Violence Against Black Women

It is beyond the scope of this chapter to provide a comprehensive history of state-sanctioned violence against Black bodies generally, and those of Black women specifically.¹ A thorough account would require an interrogation of America’s history with slavery, which set the stage for racial inequality and gross injustice. Part of this legacy is “the narrative of racial difference [and] the ideology of white supremacy” that we constructed to make ourselves feel comfortable with enslaving Black people (Stevenson, 2017). At the turn of the twentieth century, W. E. B. DuBois (1903) straightforwardly acknowledged the pervasiveness of anti-Black violence in his seminal text, *The Souls of Black Folk*, claiming that “the problem of the twentieth century is the problem of the color line” (p. v). Indeed, the problem of the color line is stubborn. More than a century later, the era of the Movement for Black Lives has shone a light on the disproportionate number of Black people killed by police officers (Lindsey, 2018). The crushing reality is that “the rate at which black Americans are killed by police is more than twice as high as the rate for white Americans” (Tate et al., 2021).

Contemporary media coverage and discourse on policing in the United States gives the false impression that men and boys are uniquely vulnerable to deadly police force and that gender protects women and girls from similar threats (Harris, 2020). However, African American women have a long history with police brutality. Lawshawn Harris (2020) elaborates:

¹For more on this history of violence against Black women, see Ritchie (2017) and Crenshaw and Ritchie (2015).

“From slavery to freedom, multiple forms of race, gender, and class prejudices and denial of citizenship rights made working and middle-class women and girls prime targets for police harassment. Police brutality was a chronic phenomenon that forced women and girls to navigate the unpredictable terrain of American life. Drawing from turn-of-the-twentieth century racist and sexist caricatures and Black crime statistics, state and federal lawmakers and enforcers mounted derisive attacks against women and girls, identifying them as anticitizen, pathological and hypersexual, and as moral and legal threats to American civilization.”

The ideology of white supremacy permitted police violence against Black women in order to exert power over Black bodies and terrorize these communities. Police brutality has been used as a tool to protect the privileges of whiteness particularly, but also race, gender, and class hierarchies (ibid). This tool continues to be used today.

The Washington Post has tracked fatal shootings by police officers since 2015. At the time of this writing, 247 women are known to have died at the hands of police officers; “of the 247 women fatally shot, 48 were black and seven of those were unarmed” (Iati et al., 2020). While women generally account for fewer than 1% of the fatal shooting cases, this small population of women uncovers a startling reality when data are disaggregated by race: Black women account for 20% of women fatally shot and 28% of unarmed fatalities despite only representing 13% of the female population (ibid). Moreover, the deaths of Black women are often understood as “collateral damage” if they died while police officers pursued another person. *Washington Post* analysis indicates that “twenty of the 247 women were killed in that kind of situation...[and] in 12 of those 20 shootings, police said the women killed were caught in crossfire or shot accidentally” (ibid). The stories of two women in recent times – Atatiana Jefferson and Breonna Taylor – provide clear examples of these tragic statistics.

Atatiana Jefferson, a 28-year old Black woman, was shot in her home in October 2019 by a police officer in Fort Worth, Texas after a neighbor called a non-emergency number, stating that Jefferson’s front door was open. Officers searched the perimeter of Jefferson’s home and opened fire when they identified a person near a window. Jefferson’s nephew witnessed the shooting (Ellis et al., 2019). Similarly, Breonna Taylor, a 26-year old Black woman, was fatally shot in her Louisville, Kentucky home in March 2020 after Louisville Metro Police Department officers in plainclothes forced entry into her home as part of a drug dealing investigation (Browne et al., 2020). Taylor and her boyfriend (Kenneth Walker) were asleep when officers knocked on the door and then forced entry. Having not heard the announcement, Walker fired a warning shot believing the officers were intruders. The officers fired more than 30 rounds in return, five of which struck Taylor. Taylor died, but Walker survived. The offending officer in Jefferson’s case resigned from the Fort Worth Police Department after the incident and was later indicted on a murder charge (Ortiz, 2019). Two of the offending officers in the Taylor case were fired from the Louisville Metro Police Department and one was indicted on a “wanton endangerment” charge for firing into a neighbor’s apartment and not for the involvement in

her murder (Booker, 2021; Lussenhop, 2020). These consequences hardly look like justice.

Overall, women are generally excluded from the public discourse focused on policing and the use of force against Black Americans because they make up a small share of those killed by state-sanctioned violence. By comparison, the 48 Black women who have died since 2015 looks quite small against the 1274 Black men who have died under similar circumstances (Iati et al., 2020). The names of Black women are largely unknown or missing from our collective memories. Crenshaw and Ritchie (2015) make clear why this is the case:

“The resurgent racial justice movement in the United States has developed a clear frame to understand the police killings of Black men and boys, theorizing the ways in which they are systematically criminalized and feared across disparate class backgrounds and irrespective of circumstance. Yet Black women who are profiled, beaten, sexually assaulted, and killed by law enforcement officials are conspicuously absent from this frame even when their experiences are identical. When their experiences with police violence are distinct—uniquely informed by race, gender, gender identity, and sexual orientation—Black women remain invisible” (p. 1).

There has been until recently no adequate frame to hold the stories of Jefferson and Taylor, among many others, in our consciousness. Crenshaw’s intersectionality frame provides the vocabulary to better understand why this is the case, and was central in precipitating the #SayHerName campaign.

The Intersectionality Frame: Exposing Multiple Interconnected Discriminations

Three decades ago, Kimberlé Crenshaw (1989, 1991) coined the term “intersectionality” in order to illustrate more effectively the experience of Black women in the United States.² A 1976 discrimination case brought by Emma DeGraffenreid against General Motors revealed that subordinating forces like gender and race are often viewed in a compartmentalized way, where sexism is only understood to impact women and race is only understood to impact African Americans. Crenshaw reasoned that race and sex are interlinked and that the intersecting quality of these identities create new and complex modes of discrimination (Paxton et al., 2021). Crenshaw (2015) explains and names the core problem:

“...Emma DeGraffenreid and several other black women sued General Motors for discrimination, arguing that the company segregated its workforce by race and gender: Blacks did one set of jobs and whites did another. According to the plaintiffs’ experiences, women were welcome to apply for some jobs, while only men were suitable for others. This was of course a problem in and of itself, but for black women the consequences were compounded.

²It is worth noting that Black female thinkers before Crenshaw pointed to double and triple oppressions by black women, poor black women, and black lesbians. For more on Crenshaw’s predecessors, see Cooper (1893), Combahee River Collective (1977), Davis (1983), and Lorde (1984).

You see, the black jobs were men's jobs, and the women's jobs were only for whites. Thus, while a black applicant might get hired to work on the floor of the factory if he were male; if she were a black female she would not be considered. Similarly, a woman might be hired as a secretary if she were white, but wouldn't have a chance at that job if she were black. Neither the black jobs nor the women's jobs were appropriate for black women, since they were neither male nor white. Wasn't this clearly discrimination, even if some blacks and some women were hired?"

"Unfortunately for DeGraffenreid and millions of other black women, the court dismissed their claims. Why? Because the court believed that black women should not be permitted to combine their race and gender claims into one. Because they could not prove that what happened to them was just like what happened to white women or black men, the discrimination that happened to these black women fell through the cracks."

Emma DeGraffenreid fell through the proverbial cracks of the law because there was no existing and accepted framework with which to understand her particular experience.

Intersectionality, then, is an analytical framework or lens that allows us to think about power and its relationship to identity (ibid). This framework makes visible the experience of Black women who feel the effects of racism and sexism simultaneously, and as a result, have a different experience than their Black brothers or White sisters. While this analytic tool was developed with Black women in mind, it extends far beyond their experience and describes how identities such as socio-economic status (SES), sexual orientation or expression, ability, and other individual attributes "intersect" with one another and overlap to create modes of discrimination and privilege. Intersectionality has provided researchers and advocates with a way to frame a particular circumstance at the intersection of identities in order to more effectively fight for visibility and inclusion of a marginalized group or person.

Intersectionality research focused on women typically have five elements in common (Paxton et al., 2021). First, the intersectionality frame focuses on the differences among women. The framework challenges the notion that women have a shared set of characteristics, interests, and attributes. Because women are not a monolith, intersectionality demands the question "which women?" be asked when starting an investigation (Smooth, 2011). Second, systems of stratification are understood as conjoined, where "...gender and race and forces of oppression such as sexism and racism are seen as 'interlinked,' 'interlocking,' and 'mutually constructed'" (Paxton et al., 2021, p. 94). Third, intersectionality is connected to power through the acknowledgement that not all women are located on the same rung of the social hierarchy ladder. Differences in identification (e.g. gender, SES, race, religion, nationality, sexuality, age, etc.) dictate where women are positioned on the hierarchy. Where identities intersect creates a "matrix of domination" through which individuals will experience privilege, discrimination, or multiple forms of oppression (Collins, 2000). Fourth, intersectionality is complex. As the case of Emma DeGraffenreid suggests, "...one cannot simply average or add up the experience of being a woman and the experience of being Black to equal the experience of being a Black woman" (Paxton et al., 2021, p. 94). How individuals experience multiple and various forms of oppression are contingent on time and space, and as

such, are not often straightforward. Fifth and finally, the intersectionality frame acknowledges that the social inequities that are produced by compounded forces of oppression are unjust (Collins, 2015). This complex frame and the questions it creates allow what is too often invisible to become visible, amplifying voices that have been silenced by hegemonic narratives. Without the intersectionality frame, for example, the experience of Black women highlighted by the #SayHerName campaign would run the risk of being subsumed into the broader Black Lives Matter movement which in turn would be threatened by a reduction to only the experience of Black men.

The Necessity of the #SayHerName Campaign

The Black women who have perished at the hands of police in the United States are largely unknown due to the fact that our regular frame in which to understand police brutality is connected with men and masculinity. The fact that we know a few of their names – specifically, Breonna Taylor – is more a credit to the fact that her untimely death was positioned in the same season as two high-profile killings of Black men, Ahmaud Arbery and George Floyd (Young & McMahon, 2020). Because Taylor was grouped among these men, her name became a national rallying cry for change used in the Black Lives Matter movement.

The Black Lives Matter (BLM) movement was launched in 2013 by Alicia Garza, Patrisse Cullors, and Opal Tometi as a response to the acquittal of George Zimmerman, a white man who killed Trayvon Martin, a 17-year old Black boy a year earlier (Black Lives Matter, 2021). Over the last 8 years, the movement has expanded – both nationally and globally – with the goal of organizing and bringing awareness to violence brought to Black communities both by vigilantes and by the state. The BLM movement has been incredibly important in raising the alarm and galvanizing diverse groups of people – from politicians and grassroots activists to professional sports teams – around the imperative of holding individuals accountable for the killing of Black people. Importantly, BLM organizers recognize that there have been significant gaps in antiracist movements historically, centering men and their stories within a movement and relegating the stories of others to the periphery:

“Black liberation movements in this country have created room, space, and leadership mostly for Black heterosexual, cisgender men — leaving women, queer and transgender people, and others either out of the movement or in the background to move the work forward with little or no recognition. As a network, we have always recognized the need to center the leadership of women and queer and trans people. To maximize our movement muscle, and to be intentional about not replicating harmful practices that excluded so many in past movements for liberation, we made a commitment to placing those at the margins closer to the center” (Black Lives Matter, 2021).

This commitment in moving the BLM movement forward is critical, but arguably their mission is to bring awareness to *all* Black people irrespective of gender. A

major consequence of this broad focus is that the stories of Black women have remained silenced because racial justice movements like BLM rely on the frame that enables our understanding of "...police killings of Black men and boys, theorizing the ways in which they are systematically criminalized and feared across desperate class backgrounds and irrespective of circumstance" (Crenshaw & Ritchie, 2015, p. 1). Ray and his colleagues (2017) illustrate this point in a study that investigates how the message of the BLM movement evolved when it became a hashtag on Twitter. After studying 31 million tweets focused on Ferguson posted between August 2014 and August 2015 after Michael Brown was slain by a police officer, they found that "opponents to police violence used hashtags for multiple reasons, one of which was to name Black people killed by police. However, of the nearly 300 phrases used as hashtags..., not even one named a Black woman or girl!" (Brown & Ray, 2020). This research suggests that even when Black women's stories are available and part of the public record, the male narrative frames that we use to understand a problem leads individuals to exclude their stories and names from online advocacy efforts. Police body camera footage or videos taken by bystanders provide evidence that underscores the fact that Black women and girls are subject to the same state-sanctioned violence that Black men and boys experience – from racial profiling and excessive force to murder – and yet, they remain absent from the primary frame.

The body of intersectional thinking, research, and advocacy is largely responsible for the #SayHerName campaign that the African American Policy Forum and Center for Intersectionality and Social Policy Studies launched in 2014. A hashtag campaign is an initiative intended for social media to categorize and track conversations, user engagement, and drive internet traffic to a particular topic or idea (Katschthaler, n.d.). Individuals and organizations can use the "#SayHerName" tag to create social media awareness (which can then drive legacy media attention) about Black women who were victims of state-sanctioned violence and yet not referenced in the larger Black Lives Matter movement. By using the hashtag #SayHerName, social media users can find and interact with posts that are relevant to the specific issue of Black women and police brutality. Crenshaw and Ritchie (2015) are explicit about why #SayHerName is critical in the ever-evolving United States racial justice movement landscape – specifically, that it "...sheds light on Black women's experiences of police violence to support a gender-inclusive approach to racial justice that centers all Black lives equally" (p. 2). However, Crenshaw is clear that she sees #SayHerName as part of the BLM movement. Her hope is that the campaign broadens "the conceptualization of what vulnerability to anti-Black police violence looks like" beyond the experience and conflicts between men. The stories we know – of George Floyd and Philando Castile – do not encapsulate the full expression of anti-Black police violence. It tells a partial story, but the stories of Black women who are pulled over for a traffic violation, threatened with a taser because of her particular response, and killed because the incident escalated must be considered. The stories of Sandra Bland and other Black women that #SayHerName has publicized are "moments of anti-Black police violence, but they happen in different spaces than we imagine, they happen to different bodies than we

can see, and so we want to insert awareness of these other moments so that the movement and the reforms can actually be more inclusive” (Kelly & Glenn, 2020).

Intersectional Feminism & Leadership Lessons

Intersectionality has become a feminist cornerstone in the twenty-first century (Khaleeli, 2016). While the idea of intersectionality has a longer history, the way intersectionality is summoned, integrated within mainstream conversation, and centered in contemporary social justice movements is relatively new. The term feminism generally describes “political, cultural, and economic movements that aim to establish equal rights and equal protections for women” (Drucker, 2018). When describing the history of feminism in the West, the metaphor of “waves” is used as a way to link different eras of feminist movements together to show that more recent generations of feminists are building off of the previous generations’ work. First-wave feminism describes the period between 1848–1920, where feminists focused on achieving political equality through winning the right to vote. Second-wave feminism focused on issues of equality and discrimination between 1960–1990, where the phrase “the personal is political” galvanized the movement (Grady, 2018). Feminists in this period argued that issues outwardly personal – specifically related to sex, relationships, healthcare access, and experience in the workplace – were political and essential to women’s equality. We are currently situated in the third wave of the feminist movement, which is generally associated with Anita Hill’s testimony (1991) before the Senate Judiciary Committee during the Supreme Court nomination process of Clarence Thomas and the emergence of the riot grrrl groups in the 1990s (ibid). Feminists in this era “challenge the definitions of femininity that grew out of the ideas of the second-wave, arguing that the second-wave over-emphasized experiences of upper middle-class white women. The third-wave sees women’s lives as intersectional, demonstrating how race, ethnicity, class, religion, gender, and nationality are all significant factors when discussing feminism” (Drucker, 2018). Crenshaw’s scholarship and advocacy, among others like Judith Butler (1990), created an intersectional feminism that expanded the frame in which to understand the various expressions, experiences, and injuries of women.

Intersectional feminist thinking, illustrated in the #SayHerName campaign, among other intersectional feminist initiatives, thus offers several leadership lessons. First, the #SayHerName campaign makes clear that an individual’s unique experience is contingent on her particular background, which includes multiple intersecting identities. A broad frame that tries to capture the lived experience of every woman, or every Black woman, will fail because the range of experience is so vast and diverse. Someone’s story or experience will be silenced at the expense of another’s. As such, the intersectionality frame allows leaders to catch the individuals who fall through the proverbial cracks to ensure that their voices are heard and their experiences of injustice and discrimination are appropriately addressed. Organizations could easily implement an intersectionality audit to see how Black

women (or any group that is multiply marginalized) are faring in the organization, which will give much more nuanced information than simply investigating Black people or women separately. The findings of a such an audit would be the first step towards creating policy and practices that work for everyone in the organization.

Second, and related to the first point, is that the experiences of women at an intersection (e.g. race and gender) is not summative in the sense that one can add up her experience of being Black and of being a woman to understand her experience as a Black woman. The forces of oppression that she feels and faces in a workspace or organization have a compounded effect, adding complexity to the creation of workplace policy or practices that might meet the needs of a particular group. Intersectionality points us to the realization that existing practices do not serve all groups equally, and as such, leaders must find a different approach that addresses the reality of multiply marginalized groups. Organizational pay practices provide a good example. The gender pay gap continues to be a problem in the United States, and Black women earn some of the lowest wages when data is disaggregated by race and gender – specifically, Black women who work full-time, year-round make 62 cents for every dollar a White man earns nationally (National Partnership for Women and Families, 2020). In order to address this reality, leaders can commit to establishing an “equal pay ‘right to request’ or ‘bill of rights’ [that] would help ensure that all employees – [and particularly Black women] – have access to basic information about pay practices and policies within an organization” (Frye, 2020). Leadership can be transparent about the organization’s equal pay policy, the salary range for specific positions, a clear description of the process used to determine pay raises, “information on gender and racial pay gaps within the company, and information on how frequently compensation audits are undertaken” (ibid). This would empower multiply marginalized groups to advocate for themselves and establish a baseline understanding of the organization’s commitment and fair pay practices that attempt to be absent of bias.

Third, intersectional thinking can help individuals be better allies to one another if we are willing to move beyond the discussion of intersectionality and begin to do the actual work (Crenshaw, 2020). As leaders, we can be more introspective about our own personal narratives, especially with respect to our success, in order to better understand the social capital to which we have had access that helped us navigate the gender-based issues that all women face. The deployment of social capital and the cultivation of organizational relationships represent opportunities individuals have to be mentored inside an organization or to socialize outside of it. These in turn often lead to more prestigious assignments and eventually promotions. Research suggests that Black women have less access to these opportunities and greater exposure to microaggressions and stereotypes, evidence of diminished access to advancement within a given company (Parks-Yancy, 2010). Reverse mentoring, or intentionally pairing an individual at the intersection of multiple identities with executive team members so that a junior employee can mentor the executive on various topics of strategic and cultural relevance, could be a strategy that uncovers the obstacles facing some groups of employees while also exposing them to leaders in the organization for more direct dialogue (Jordan & Sorell, 2019). Crenshaw (2020)

notes that one of the challenges of allyship is to figure out how to take our social capital and distribute it downward. Reverse mentorship may be one strategy that leaders embrace in order to equitably lead in an organization. Overall, understanding the power of intersectional discrimination can make visible social problems and their specific impact on a marginalized group, allowing us all to become better problem solvers and more inclusive community members.

Conclusion

American social justice movements and organizations continue to work toward more inclusive initiatives and environments. The problem of police brutality and state-sanctioned violence experienced by Black communities has plagued the United States since its founding. The last several years has reaffirmed that Black Americans are more vulnerable to state-sanctioned violence than their white counterparts, and when they are killed by police officers, those officers are rarely held accountable. This has, predictably, inspired movements such as Black Lives Matter. Movements as big and successful as BLM inspire other, subsidiary movements that ensure that the full story is captured in the ever-evolving social justice landscape. The #SayHerName campaign is one such movement that was launched by Kimberlé Crenshaw, the same scholar and social justice advocate who coined the term “intersectionality” decades ago. Intersectionality provides a frame that allow individuals to see how social problems impact particular members of a targeted group. This chapter has focused on Black women who have died as a consequence of state-sanctioned violence and has demonstrated that an intersectional approach amplifies voices that are silenced and allows the stories of marginalized people to register in our larger consciousness. Without the prism of intersectionality, it would be much harder to uncover the stories, and as a consequence, the systemic issues that allow the tragedies of Breonna Taylor, Sandra Bland, Atatiana Jefferson, and so many others to materialize. The body of scholarship now available on intersectional thinking offers lessons to leaders so that they can curate more equitable organizations. If leaders do the work that intersectionality requires, American communities and workplaces will be transformed for the better.

Key Chapter Takeaways

- The state-sanctioned violence experienced by Black women in the United States today is a result of the long legacy of American slavery and white supremacy.
- Intersectionality is a framework or prism that can be used for telling different kinds of stories about what happens to marginalized groups in our society.
- Intersectionality research focused on women typically have five elements in common: intersectionality (1) explicitly recognizes difference between women, (2) sees systems of stratification (e.g. gender, race) as connected, (3) openly references power and hierarchy, (4) is complex, and (5) is tied to social justice issues.

- Feminism has a long history in the United States, but it has not always been intersectional. Crenshaw’s work has influenced third-wave feminism, demonstrating how particular identities (e.g. race, SES, gender, sexuality, ability, and so forth) are all significant factors when discussing feminism.
- Intersectional thinking can transform the way leaders think about their workforce, organizations, and policies by considering the various expression of experience under their purview.

Reflective Questions

1. Why do you think the death of Black men at the hands of police officers garners more national media attention than Black women who are killed by police officers?
2. What prompted Kimberlé Crenshaw to coin the term “intersectionality”? What gap was she filling?
3. Using #SayHerName as a intersectional campaign exemplar, are there other movements you can think of that are similarly intersectional?
4. What would our workplaces and communities look like if we took intersectionality seriously?
5. Consider your own success story. What types of social capital was at your disposal as you navigated gender-based issues in the workplace? How can you provide social capital to those who might not have access to it?

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Chapter 24

Freedom and Accountability: Leaders' Lived Experience of the Challenges Connected to Covid-19



Erla S. Kristjánsdóttir and Sigrún Gunnarsdóttir

Introduction

The COVID-19 outbreak in late 2019 led to a global disaster disrupting the functioning of societies, their infrastructure and workplaces with consequent challenges for leaders and employees such as uncertainty, fear of losing their job, risk of infection and anxiety (Forman et al., 2020). In such disastrous times leaders have an important and complex role to keep things going. Their employees expect them to handle crisis based on multiple competences such as being prepared and strategic, quick to respond and being team players while helping them to stay well, continue their jobs and be productive despite multiple challenges (Gilstrap et al., 2016).

Recent investigations into the response to Covid-19 indicate the importance of transparency, solidarity, coordination, decisiveness, clarity and accountability (Forman et al., 2020); such successful path is dependent on institutional, political and cultural contexts and the ability to turn weakness into strength (Petridou & Zahariadis, 2021). With effective positive and consistent communication in responding to crisis, it is possible to inspire confidence and social solidarity (McGuire et al., 2020).

Bundy et al. (2017) point out the importance of internal crisis leadership building on strategic flexibility and adaptation where leaders frame crisis as opportunities rather than threats, focusing on crisis communication as well as engaging with employees and being open for employees' opportunities to step forward. Communication is foundational to efficient crisis leadership and important competencies are crisis perceptiveness, humility, flexibility, presence and cooperation with focus on instructing information where leaders are primarily focused on keeping

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people physically safe and informed (Liu et al., 2020). Similarly Dirani et al. (2020) point out that during the Covid-19 pandemic, organizations need leaders who can provide clear role and purpose, share leadership, make sense of the situation, enable necessary use of technology, provide emotional stability, safeguard well-being of employees, enable innovative communication as well as maintaining financial health and resilience of the organization. These qualities correspond to the characteristics of inclusive, distributive, supportive and servant leaders who are able to listen, are self-aware, humble and aware of the needs of others and are able to foresee future and react to unforeseen events (Dirani et al., 2020; Eva et al., 2019).

In Iceland the Covid-19 pandemic has been a challenge for the infrastructure as well as the work-life. Governmental authorities aim to provide professional and scientifically based information in different languages via regular press conferences and a dedicated website (covid.is) to minimize uncertainty regarding preventive measures to promote solidarity among the public under the slogan of ‘we are all civil protection’ (covid.is; Icelandic Directorate of Health, 2020). From the beginning of the pandemic, late February 2020, a team of three leaders has been in the forefront of civil protection, referred to as the *civil protection trinity* being the director of health, the chief epidemiologist and chief constable of national commissioner of police. The team has gained respect among the public for their solid professionalism and modest confidence (Gunnarsdóttir, 2020). The aforementioned team and their leadership through strategic public communication, guidelines to public institutions and the widely watched press conferences has provided frequent and transparent updates about information and restrictions to enhance public safety. This approach has gradually led to general trust and solidarity among the public and general commitment towards governmental strategies against Covid-19 (Bernburg et al., 2020).

Previous research about organizational crisis leadership in Iceland shows that among important factors are information and co-operation with stakeholders as well as solidarity and quick response based on knowledge within the relevant organization and community (Ásdísardóttir & Smáráson, 2013; Bird et al., 2018). Given the enormous impact of Covid-19 on organizations and their workplaces (Forman et al., 2020) it is important to obtain an insight into how leaders experience the challenges and hindrances at work due to the pandemic during its first wave (March to May 2020) and shed a light on how the communication processes on their jobs function with the aim of answering the research question: *How do leaders in the Icelandic labor market experience the rapidly-shifting challenges in times of Covid-19?*

Theoretical Background

Crisis Leadership and Interpersonal Behavior During Crisis

Crisis leadership refers to a process where a group of people is led through unanticipated and serious circumstance where important tasks of leaders is to gain understanding of events, strive to foresee what will happen in near future and to provide effective and trustworthy leadership (DuBrin, 2013). Dirani et al. (2020) present five important leadership competencies in response to a global crisis: (1) modelling the way, clarifying values and being a sense-maker; (2) inspire a shared vision, finding a common purpose and enable the use of new technology; (3) searching for opportunities, learning from experience and foster employee well-being; (4) enable others to act, foster collaboration and innovative communication and (5) expecting the best, creating a spirit of community and maintain health of the organization. Similar factors were useful for Canadian nurses to limit their uncertainty at work following the Covid-19 pandemic where education, ability to contribute, team cohesiveness, and community support enabled the nurses to be less affected by uncertainty and challenges during the pandemic (Nelson et al., 2021).

Successful response to crisis relies heavily on communication, in which individuals verbalize and make sense of contingencies, establish a common purpose and take action (Helsloot & Groenendaal, 2017). Kinzig and Starrett (2003) point out the importance of helping the public to become aware of the uncertainty by effective communication to advance the public understanding of the complex problem and public media communication may be supportive to cope with emotional challenges during crisis (Iglesias-Sánchez et al., 2020). Communication during crisis needs to be innovative, frequent and transparent in a clear manner and it is important for leaders to provide information about resources for employees to deal with stress, to provide positive reinforcement, appreciation and willingness to listen and foster empowerment (Dirani et al., 2020). For governmental leaders to communicate effectively they need to be primarily focused on keeping people physically safe and informed as well as to guide to return to stability and the communication needs to aim mainly at information updates, followed by information on organizational efforts to solve the crisis, and on collaboration between organizations (Liu et al., 2020). Investigation about crisis communication approach of one prime minister during the first phase of Covid-19 showed the importance of reassuring people in relation to leadership's decisiveness and evidence-based approach and that information about responsibilities and success can co-create crisis experience (McGuire et al., 2020).

In their response to crisis leaders are expected to be ready to take responsibility for unexpected situations, communicate with openness, use credible sources, acknowledge diversity and show genuine concern for employees (Veil et al., 2020). Crisis may call for increased speed and reduced bureaucracy to enable quick responsiveness based on delegated decision making resulting in increased empowerment for employees (Brower, 2020). Staff members will be more able to sustain and

increase their work effort if they perceive their leaders to be reliable when they make decisions, are willing to take personal risks, and when they are sources of anxiety-reduction, sense-making and create perception of safety during stressful times Hasel (2013).

Inclusion and Servant Leadership

Inclusive leadership focuses on diversity and active participation of many and is important to develop inclusive, healthy and sustainable work environment. In this regard, inclusive approach is used in decision making, in taking initiative and in problem solving where everyone has the possibility to take a leadership role (Lowe, 2020; Mor Barak et al., 2011). Dirani et al. (2020) argue that during crisis distributing leadership is needed to tap onto the collective leadership potential in the organization, to create motivated teams and to improve decision making through means of shared and democratic leadership (Bolden, 2011). Distributing leadership is linked to inclusive and servant leadership characterized by actively motivating and empowering employees to contribute to improving how work is done through shared responsibility and shared leadership (Bolden, 2011; Eva et al., 2019; Lowe, 2020).

Servant leadership is a philosophy and holistic approach of inclusive, participative and supportive leadership where the leader meets fellow individuals and organizational needs by being a servant first (Eva et al., 2019; Greenleaf, 2008). Moreover, servant leadership aims to address employees' needs for belongingness and uniqueness and to nurture sense of community and inclusiveness (Gotsis & Grimani, 2016). Based on Greenleaf's (2008) foundational writings, servant leadership can be described by three key elements, that is, sincere interest in others, self-knowledge and foresight. The key elements are linked and intertwined through an opposite hierarchical triangle or by a circle in line with Greenleaf's (2008) emphasis on circle and community of equals with the optimal goal of creating many leaders within the organization (Gunnarsdóttir et al., 2018).

Servant leaders' sincere interest in others is characterized by listening to employees and fostering their empowerment and servant leadership is significantly related to structural and psychological empowerment where structural empowerment is measured as access to information, resources, support, and opportunities and results in feelings of psychological empowerment related to enhanced perception of ability to influence work roles and feeling of meaning, impact and intrinsic motivation and thus enhancing sense of freedom (Allen et al., 2018; Asag-Gau & van Dierendonck, 2011). The leader aims to balance sincere listening and clear accountability and foresight built on self-awareness, inner strength and humility (Gunnarsdóttir et al., 2018) where accountability is integrated in daily life of all staff members underpinning the balance of freedom and responsibility; service and leadership in an inclusive work environment (Ragnarsson et al., 2018). This approach of balancing freedom and accountability seems to be relevant and useful during times of remote work and Covid-19 and referred to as a model of 'tight-loose-tight' where

employees are initially provided with clear accountability in relation to the job at hand (tight), then given freedom to perform the job as best suited (loose) followed by delivering as expected (tight) (World Economic Forum, 2020).

In the context of crisis, the approach of servant leadership may be useful given the focus on individual freedom, effective communication, inner strength, a common purpose and shared accountability (Greenleaf, 2008) corresponding to key elements of effective crisis response (Helsloot & Groenendaal, 2017). Servant leadership has similar characteristics as transformational, authentic, and ethical leadership (Hoch et al., 2018) but the unique characteristics of a servant leader is the ability to serve and meet the needs of others while providing clear direction, develop meaningful purpose and accountability of all (Blanchard, 2018) which leads to the wellbeing of staff and organizational success (Kaltiainen & Hakanen, 2020).

Methodology

The research objective was to obtain an insight into how leaders experience the rapidly-shifting challenges and hindrances at work due to the first wave of Covid-19 (13th March – 25th May 2020) and shed a light on how the communication processes on their jobs function. To achieve this objective and to acquire in-depth descriptions of this experience that gains the essence of people's lived experiences, phenomenological methodology is appropriate (Martinez, 2000). Twelve in-depth interviews were conducted with managers in the Icelandic labor market. Of the twelve managers that were interviewed, six were female and six males, all of them were highly skilled, most of them with university degree and they ranged in age from 33 to 55. Most of them had extensive work experience and their workplaces were hospitals, university, post office, travel office, kindergarten, retail outlet and a department store. All the interviews were conducted via zoom and they lasted from 60 to 75 min. Interviewees were asked about their main responsibilities on the job, their experiences, for example, of the challenges related to communication, interaction with their employees and colleagues, and decision making due to the covid-19 pandemic. Finally, they were asked about what went well and what did not go well and what they learned from this process. Probing questions were used to acquire the essence of the leaders' descriptions of their experience. Interviewees' names were changed into pseudonyms to ensure confidentiality.

The interviews were conducted during the period 27th May to 23rd June 2020 and were recorded, transcribed verbatim and analyzed according to phenomenological methodology using three steps of analyzation: description, reduction and interpretation (Lanigan, 1988). The first step is the phenomenological *description*, which involves the interview process and transcription of the interview. The researcher needs to be aware of her opinions and biases and put her judgments and beliefs aside (Orbe, 1998). The second step is *reduction*, which involves exploring the narratives from the interviewees for essential themes. The researcher needs to determine and select the parts of the description that best respond to the research

question and objective (Lanigan, 1988; van Manen, 1990). Finally, is the *interpretation*, which is the third step in the analyzation process in where themes from the reduction are reduced once again to identify the most essential feature of the phenomenon but also to relate to the themes to one another and to the research question.

Findings

The interviewees in this study have an important role during the Covid-19 outbreak. Five themes that emerged out of the interviewees' experience of managing effectively during the pandemic will be discussed below: "You are in some rowboat out at sea"/Uncertainty; "... you were never safe"/Insecurity; "You just managed by listening to people"/Communication; "These meetings made everything for me"/Communications; and, "People experienced, yes, everybody is in the same situation"/Solidarity.

1. "You are in some rowboat out at sea"/Uncertainty

The interviewees in this study all experience enormous challenges in their work as leaders during the unprecedented times. At the beginning the fear of losing their jobs, uncertainty at work, risk of getting infected, tension, and other factors had a great impact on the leaders and their employees. Elín describes: "This was certainly very much of a chaos ... something like a rollercoaster. We were all trying to understand, it was a flow of incoming information from all directions."

During the first weeks of the pandemic there was much uncertainty among leaders and employees about how to react to the problems at hand. The workload increased significantly, demands and stimuli increased, and the work environment changed over a night. Karvel says:

This sure is in complete uncertainty and you are just in some rowboat out at sea. You can of course say: 'We are going to sink' but you know you can also say: 'Well, ok, what can we do to prevent sinking?'

The situation at the beginning of the pandemic created tension and irritation and employees became afraid. Elín says: "There was such a fear about what was ahead. What will it mean for us? These angry questions came up: 'wait, isn't anything going to be done with this'. There were great unease among the people."

Interviewees talked about the uncertainty that followed the outbreak and all of a sudden things that used to be very clear became unclear. This uncertainty created insecurity and discomfort and during the first few weeks of the pandemic limited information were available about how to respond at the workplaces and consequently responsibility was unclear. Ólafur describes:

All of a sudden ... everything is in fact unclear, it was tiring and difficult to be in that position not knowing whether everything was going the worst way, to think ahead about the business at the same time as the foundation for the business had been swept away, three and a half leg gone, due to Covid.

Interviewees experienced that during this first period their role and goals were unclear due to uncertainty and they felt difficult to evaluate the situation and to plan the work in front of their employees knowing that the next day their evaluation could be wrong and their plan would no longer be relevant. At the beginning it was difficult for the interviewees to seek guidelines regarding necessary changes of the work, about risk of infection and restrictions as these were not available and nobody had previous experience to build on. Katrín says:

Nobody knew anything. And nobody could realize what was happening. And there were no right answers. For sure there is uncertainty, for sure the workload is high, triple workload, you can not say with certainty that the business will continue. These were new rules and we were somehow creating them. Without really knowing whether they would work. Next day there were new rules and then we needed to adjust and to do something else.

2. "...you were never safe"/Insecurity

Interviewees experienced anxiety and fear among the employees in relation to the risk of infection, in particular among employees in welfare services, and afraid of getting infected on their way to and from work. Katrín says: "The fear. What will happen? You may be a person who is afraid of diseases." Some interviewees were worried about not doing the right thing in case of infection at work, how to react if many employees would get infected and about ensuring enough staff if many would be infected. These experiences created insecurity they had not previously experienced. Lovísa describes:

You were never secure about how to respond if infection would have occurred. And I was also afraid that if infection would occur at the unit, that half of the staff would not show up for work. We were all afraid of infection. My concern was always about how are we going to react. ... I was very concerned about whether I would react correctly and how we would tackle it when and if infection would occur, I am still afraid, and then this is followed by stress.

Interviewees experienced a great deal of insecurity among their employees, they worried about losing their jobs and felt anxious. This insecurity and fear had an impact on the interviewees and created increased workload. Bolli describes: "They did not feel good about being laid off in their own company, that was a really bad moment, it was completely an impossible situation, there is nothing you can do."

Interviewees emphasized clear communication with their employees to counteract uncertainty and insecurity. But sometimes the demands and workload was so much that it created stress and fear of doing mistakes. Edda says,

For sure there was more workload, more worries and then you start doing mistakes, endless demands, and we did not get any notice beforehand, crazy workload, enormous time pressure. We simply did not have time to think.

The interviewees focused on having directions as clear as possible and even though they faced time pressure, high demands and many uncertain factors they focused on trusting people. Despite all their effort, they still experienced a sense of insecurity among employees. Helga says:

Then, when we had made decisions and such, then, of course employees were insecure. You get these questions: 'how about this and this?' If it was not totally crystal clear how to do the job then insecurity emerged.

3. “You just managed by listening to people”/Interpersonal communication

Interviewees agreed that frequent and efficient communication with employees were key matters during the pandemic. They met with their staff daily at work or through telecommunication to check the situation and to hear how employees felt. They talked to their employees every morning about the plan for the day and employees often had the freedom to decide when to do their job. Árni says: “I do not care when they do the job. Only that they do it properly. They then have all the freedom to do it.” Many of the interviewees display updated information through the computer systems and display it on shared screens at the workplaces. As a follow up, they talk with employees in their offices, on the phone or through web-based communication. Elín describes:

The management team of the company had their daily meetings, where both store managers, CEO and safety unit, – where we met every day, all weekdays. And then the situation was reviewed, and the situation was estimated and re-estimated from one day to another.

The interviewees had in common that they strived to support their employees, showed undivided attention and listened to them. They were concerned about being present and available and focused on asking everybody about how they felt and how things were going. Birgir says: “I just focused on being available, focused on asking about if there was something lacking or if something needed to be done. I was, for sure, in constant contact with people.”

The interviewees experienced some relief among employees when they were trusted to do their job at their own pace, even away from the workplace. They had freedom to do things within a certain timeframe and some of them could also chose to work from home. The interviewees tried their best to have all directions as clear as possible and to show their employees emotional support. Karvel describes this:

We tried all the time, to tackle things following the ‘Pollyanna principle’. Yes, we are doing our best, and then you just need to trust common sense. We were often like, during lunch time, then we stayed somewhat longer, just to chat and to give people the opportunity to debrief.

The interviewees were committed and ambitious and did their best in sending clear messages to employees. They felt that with time they had reached the goal of improving the structure and they believed that they had managed to develop clear purpose in relation to the outbreak and make communication more efficient. Elín describes:

If the purpose is not clear, if the goals are not clear, if the people do not know what is expected of them, if the communication is not good. You do not know where all the ‘balls’ are. If we are always talking about them [the balls] but nobody knows who owns them, then we always rise and fall due to the same thing. So, I just learn from all this that my vision is right. You know, that what I see, will be functioning.

In general, the interviewees were positive regarding how they kept their employees informed and the web-based communication proved to be a very efficient and useful and many were surprised to find out how well it functioned. Elín says: “To keep everybody informed, to draw all the threads together. It was a great challenge. But it went unbelievably well.” Karvel added: “I think it was just the flow of information, we put all the cards on the table. ‘This is what we are doing to secure our safety and yours and the customers’, so people were just informed.”

4. **“These meetings made everything for me”/Communications**

Interviewees spoke often about the daily press conferences being watched by the majority of the population. Many interviewees watched the meetings with their employees and when something new came up the information was further introduced and forwarded. Interviewees talked about the importance of these meetings which were led by team of three leaders known as the ‘civil protection trinity’. They felt that by time employees became more at ease and they started to trust the guidelines presented. Katrín emphasized how useful these meetings were, both for leaders and their employees:

When someone was uncertain about something and when I needed to tell something to someone, if I referred to them [the trinity], then it just became ‘law’. Because, then people just: ‘ok, so it is that way’. You used them because they were some kind of a rock. They told you and you trusted them. If someone was asking about something, I listened to all their meetings and then I went back and told what had been told in relation to the schools and such. That way the waves get calmer.

The interviewees experienced a great support by watching the press conferences held by the team, ‘the trinity’. The team provided thorough information and guidelines about preventive measures against infection, restrictions and risk of infection. This information enhanced solidarity among leaders and employees, and the general public. Katrín describes how these conferences impacted her work at school:

We were updated very thoroughly. We received a list of priorities about how to help the children to come inside and we received all that. And we received a lot of information. How the frame should look like. There you received good information and there you get to know what is happening in Iceland.

5. **“People experienced, yes, everybody is in the same situation”/Solidarity**

At the beginning of the pandemic the interviewees experienced a great deal of uncertainty and followingly many rules and restrictions emerged. But gradually and within a few weeks, mutual trust was established by means of frequent communication interactions and meetings with employees. In this regard, the press conferences became very useful as Elín describes: “Then, we had this enormously good role models. We had ‘the trinity’ who praised and thanked, and lay the ground, you for sure had them in front of you all day. Both on television and then we had those update meetings with them every morning at nine.”

The interviewees started to experience stronger solidarity among employees than before and they felt that employees did better in receiving difficult decisions and even in a more relaxed way than they did before Covid. A common understanding

emerged about the situation and the potentials at hand. Through increased trust, better understanding of the situation and as people became clear about the purpose, employees showed stronger willingness to join forces and to act in solidarity by means of shared accountability. The interviewees felt that employees learned to rely more on common sense, and they showed more responsibility. Karvel says:

There was stronger solidarity than in relation to many other things. Often when you introduce difficult decisions then most often there is this kind of 'blame game'. But there was just this: 'Hey, this is a situation and we need to do this together.' So, we felt immediately that everybody was on board, right away.

The interviewees felt they had succeeded in cultivating trust and solidarity by telling employees that they were doing their utmost to keep everything going and to keep employees at work. Ólafur says: "I felt it, somewhat, that people experienced, yes, everybody is in the same situation." Interviewees also talked about that they were able to trust their people to do their jobs even though they were not present at work every day. Árni says: "It was also a relief to see that you could trust people. I experienced that for me, that I felt relieved, just, yes, they can just do this, 'I do not need to always be so close to them and breathing down their neck.'"

The interviewees experienced some kind of victory and felt that they had managed to increase awareness of the situation, sense of shared accountability and solidarity. Karvel says: "'Ok, these are external conditions'. This is nobody's fault. So, there was this strong solidarity." The interviewees also talked about the success in delegating tasks to employees and to enhance their responsibility. Thus, employees were ready to do what was needed and it was not necessary to tell people what to do. Elín says:

What you were thinking was just, how am I going to get everybody on board, how are we going to gather everybody, so everybody feels responsible, everybody is ready to, in fact, to help. Not only to take orders. Yes, I felt like, maybe, that was what really went unbelievably well. There was so much solidarity.

The interviewees experienced also sense of satisfaction among employees in relation to their freedom which they see as their opportunity to grow. This was the case despite the high workload and demanding rules and restrictions. Elín explains:

I heard from the clinical staff: 'we just got the opportunity to flourish, top management was just on a pause'. But still, the top management sent out messages every day, and in reality, orders. So, this was a little bit particular.

The interviewees experienced that the satisfaction among staff was linked to the growing common understanding of the situation and the emerging solidarity and this came as a great surprise to the leaders. Karvel describes: "I expected more drama. I expected, that people would be angry and would just somehow return to their own corner, but so much solidarity emerged. People just understood this."

Discussion

This study sought to understand leaders' lived experiences of the challenges and hindrances at work due to the first wave of Covid-19 and to shed light on their interactions with their employees. Findings indicate that the interviewees experienced tremendous challenges at work as leaders. They and their employees were afraid of losing their jobs, getting infected and at the beginning there was much anxiety and uncertainty. This global disaster disrupted the functioning of societies and such uncertainty and anxiety impacted the workplaces of the interviewees (Forman et al., 2020).

Initially the interviewees experienced uncertainty and that their objectives and leadership roles were unclear as they had limited knowledge about the nature of the situation. They struggled with evaluating tasks and projects with their employees, still realizing that their evaluation might turn out to be wrong and irrelevant the following day. This is in line with previous findings about the importance of understanding the nature of the complex problem to be able to cope with uncertainty during times of crisis (DuBrin, 2013; Kinzig & Starrett, 2003). Moreover, the first days of the outbreak were extremely difficult due to uncertainty regarding necessary precautions in relation to risk of infection and the interviewees had to remain calm and handle the situation strategically while supporting their employees. These findings correspond to recent findings about how cohesiveness and support at work minimized the effect of uncertainty following Covid-19 among Canadian nurses (Nelson et al., 2021). In such disastrous times, leaders are expected to be prepared and strategic and handle crisis management while also helping their employees (Gilstrap et al., 2016).

To minimize uncertainty and insecurity among their employees the interviewees aimed at being concise and clear in their communication. However, sometimes the stress was overwhelming, and they feared making mistakes. They did their utmost in staying informed, supporting and informing their employees. Moreover, they put their trust on governmental authorities providing them scientifically based guidelines through daily press conferences and a website to reduce uncertainty about risk of infection, preventive measures and restrictions (Icelandic Directorate of Health, 2020). Governmental guidelines were experienced as a key element in the interviewee's attempt in keeping employees informed. The interviewees put their trust on daily press conferences led by *the civil protection trinity* which provided guidelines in a trustworthy manner. The interviewees forwarded the guidelines to their employees to ensure that everyone was on the same page and to support unity and fellowship. This experience is in line with previous research on the importance of effective crisis communication by governmental leaders focusing mainly on information updates and to keep people informed and physically safe (Liu et al., 2020; McGuire et al., 2020) and to help them returning to stability (Iglesias-Sánchez et al., 2020; Liu et al., 2020).

In addition to fear of infection, the interviewees worried about how to fill up posts if many employees would get infected. Moreover, tremendous insecurity was

related to the thought of they themselves would be laid off or if they would have to lay off their employees due to consequences of various restrictions impacting businesses. Despite these challenges, the interviewees attempted to stay optimistic, focus on opportunities, strive to be in good contact with their employees, provide them with information and necessary resources, such as technology, and to keep focus on the overall purpose of safety for all (Dirani et al., 2020; Liu et al., 2020). Time pressure and stress forced the interviewees to take risks, even with very short notice. Hasel (2013) states that during crisis situations employees are able to sustain and continue their work if they trust their leaders, if leaders are willing to take personal risks, are able to reduce anxiety, and to be supportive during stressful times (Dirani et al., 2020).

Frequent and sincere communication with their employees was experienced as the key to finding common ground, creating stability and to cultivate trust between people. The interviewees met with their employees daily at the workplace or via telecommunication to check up on them, to discuss the tasks at hand, to delegate and to motivate them to be active participants in letting the work continue. This approach is in line with the principles and potentials of inclusive leadership (Mor Barak et al., 2011) and inclusive workplace having positive impact on individual and organizational outcomes (Lowe, 2020). The inclusive approach enhanced trust as well as freedom and responsibility making it easier to work at home which was appreciated by employees. This supports previous findings about how effective consistent communication by leaders during crisis inspires confidence in their followers (Petridou & Zahariadis, 2021). The focus on trust, freedom, accountability and active participation of many reflects both an inclusive (Mor Barak et al., 2011) and servant approach in leadership (Eva et al., 2019) and supports how this approach can result in enhancing positive outcomes for wellbeing and the organization (Kaltainen & Hakanen, 2020).

Listening, providing their undivided attention and trusting their employees became core to how the interviewees responded to the situation. The interviewees did their utmost to support their employees and due to limiting restrictions it was necessary to perform some jobs in a new and often more flexible manner, also in terms of time and location. This reflects findings from Bundy et al. (2017) about the importance of framing crisis as opportunities by focusing on crisis communication while including employees and providing them with opportunities to step forward. The regular and clear communication, quick response, clear purpose and willingness to involve employees is linked to Brower's (2020) point that during crisis leaders need to enable quick reaction with the potential to enhance employee empowerment. The effective communication and the increased sense of freedom among employees enhancing their empowerment and accountability further reflects the practice of servant leadership (Ragnarsson et al., 2018) and the practice of inclusive leadership (Mor Barak et al., 2011) and supports previous findings about the link between servant leadership and employee empowerment and employee wellbeing (Allen et al., 2018; Asag-Gau & van Dierendonck, 2011). Interestingly, this approach, of enhancing individual freedom and accountability, which was developed as a response to a crisis situation, corresponds to a model referred to as

'tight-loose-tight' and has been presented as a useful approach for productive organizations open for remote work and flexibility (World Economic Forum, 2020).

Gradually, through trust and frequent communication, the leaders managed to enhance common understanding of the situation, to accomplish objectives and to develop a clear purpose shaped by the optimal goal of securing safety for all. This experience supports Dirani et al.'s (2020) findings about the importance of providing employees with clear purpose and role, ensuring access to technology and provide emotional support through positive reinforcement and listening. Moreover, these efforts supported solidarity among employees. The leaders in this study and their employees put their trust on governmental guidelines which helped to enhance trust within their group leading to increased active participation in letting the work continue and to share accountability with focus on safety for all. These corresponds to recent findings about useful communicative strategies during the Covid-19 and how positive and consistent communication can support confidence and social solidarity (McGuire et al., 2020). Furthermore, these efforts correspond to inclusive and servant approach to problem solving, in activating people in decision making and to take initiative in important matters (Eva et al., 2019; Lowe, 2020; Mor Barak et al., 2011).

The interviewees managed to deal with great uncertainty and insecurity in an inclusive manner with effective communication based on inner strength, openness and a common purpose (Greenleaf, 2008; Helsloot & Groenendaal, 2017). Through striving to meet the needs of employees while providing clear directions (Blanchard) and by the support of clear governmental directions (Gunnarsdóttir, 2020) the leaders in this study managed to lead their employees through the first wave of Covid-19 by means of service, inclusion, shared accountability and individual freedom resulting in an increased sense of solidarity with consequent positive outcomes for individuals and organizations (Ragnarsson et al., 2018; World Economic Forum, 2020).

Conclusion

Leaders have an important role, especially in times of crisis. The objective of this research was to shed light on leaders' experiences of the challenges and hindrances at work due to Covid-19. The main findings of this study indicate that initially the leaders were anxious due to unprecedented circumstances, but due to daily governmental directives regarding necessary precautions and regular communication with employees, they were gradually better able to respond to the situation. Furthermore, through accurate information, trust, perception of freedom and participation along with shared accountability, the interviewees managed to minimize uncertainty and to empower their employees. This study is not without limitations as the findings are based on the experiences of twelve leaders during the first wave of Covid-19. Thus the findings cannot be generalized that all leaders during crisis situation will have the identical experience during the first wave of Covid-19, nor during the following waves.

However, these research contributions provide important insights into the interviewees' experiences of what it was like to lead and support their insecure employees during the first wave of the pandemic. Moreover, this study demonstrates in what way they managed to develop inclusion and solidarity by making sure that everyone was well informed from daily governmental directives, maintaining active listening, and delegating responsibility and freedom leading to safety and continued work at their organizations.

Key Chapter Takeaways

- In disastrous times leaders have an important and complex role to keep things going. Their employees expect them to handle crisis based on multiple competences such as being prepared and strategic, quick to respond and being team players while helping them to stay well, continue their jobs and be productive despite multiple challenges
- Among the important factors in organizational crises are information and cooperation with stakeholders as well as solidarity and quick response based on knowledge within the relevant organization and community
- Crisis leadership refers to a process where a group of people is led through unanticipated and serious circumstance where important tasks of leaders is to gain understanding of events, strive to foresee what will happen in near future and to provide effective and trustworthy leadership
- In their response to crisis leaders are expected to be ready to take responsibility for unexpected situations, communicate with openness, use credible sources, acknowledge diversity and show genuine concern for employees
- Servant leaders' sincere interest in others is characterized by listening to employees and fostering their empowerment and servant leadership is significantly related to structural and psychological empowerment where structural empowerment is measured as access to information, resources, support, and opportunities and results in feelings of psychological empowerment related to enhanced perception of ability to influence work roles and feeling of meaning, impact and intrinsic motivation and thus enhancing sense of freedom
- To minimize uncertainty and insecurity among their employees, leaders should focus on being concise and clear in their communication

Reflection Questions

1. Recent investigations into the response to Covid-19 indicate the importance of transparency, solidarity, coordination, decisiveness, clarity and accountability. How would you combine these concepts together toward a rewarding and appreciated leadership approach?
2. The authors state that the Covid-19 pandemic has been a challenge for the infrastructure as well as the work-life. In reflection: how has it affected you and your professional life?
3. In the chapter, the authors cite five important leadership competencies in response to a global crisis. Of these five competencies, which do you intuitively consider the most appealing? Please explain.

4. The authors explain that crisis situations may call for increased speed and reduced bureaucracy to enable quick responsiveness based on delegated decision making resulting in increased empowerment for employees. However, employees may consider this approach undemocratic. How do you think that you, as a leader in a crisis, could apply this necessary approach while maintaining support from most workforce members?
5. Anxiety and fear in workplaces is not only induced by pandemics. List one or two other factors that may cause anxiety and fear within workforce members outside of pandemic situations, and how would you recommend them to cope with these?

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Chapter 25

Sheik Zayed in Psychobiography: A Transformational Intercultural Competent Leader



Claude-Hélène Mayer

*To treat every person,
no matter what his creed or race,
as a special soul,
is a mark of Islam. – Sheikh Zayed*

Introduction

Psychobiographical accounts have, in the past, often focused primarily on extraordinary white, male, Western individuals and have recently been criticized for this rather monocultural approach (Mayer & Kovary, 2019; Wegner, 2020). Mayer et al. (2021) have recently argued that the focus in psychobiography needs to become more inclusive in terms of diversity criteria, such as race and gender.

In this book chapter, it is argued that psychobiographies not only need to balance gender and racial criteria in psychobiographic research, but they should also become more inclusive with regard to culture and cultural origins of the subjects of research.

The chapter focuses on the leadership, cultural and intercultural competence of Sheikh Zayed who was the youngest of the four sons of His Highness Sheikh Sultan bin Zayed Al Nahyan (1855–1909), Ruler of Abu Dhabi from 1922 to 1926 (Embassy of the United Arab Emirates [UAE], 2020). Ahmed et al. (2016) comment that His Highness Sheikh Zayed is viewed as one of the most charismatic leaders, founders and architects of the UAE.

Ahmed et al. (2016, p. 123) highlight that the UAE was founded to “stand for its people and nature and Arab and human brotherhood.” Accordingly, Sheikh Zayed focused on the importance of unity, a better life for the people, the stability of the

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country and the realization of the hopes and aspirations of the UAE people. Hughes et al. (2015) point out that Sheikh Zayed represents for the Arab world a visionary leadership which is comparable with historical leaders such as Mahatma Gandhi (India) and Nelson Mandela (South Africa) or Martin Luther King (the US). Through his leadership, Sheikh Zayed managed to place “the UAE at the forefront of the Arab nations’ league” (Ahmed et al., 2016, p. 125). He brought people of different origins together and made them work for the common goal of advancing the UAE, while building an integrative, diverse, peaceful and equal nation (Chaudhary, 2016). Since then the UAE has become a role model of cohesion in which 200 nationalities are living in harmony as global citizens. According to Sheikh Zayed, the spirit behind the progress is the human spirit which is based on intellect and capability (Chaudhary, 2016).

The aim of the chapter is to explore the life of Sheikh Zayed who has set an extraordinary example of promoting diversity, equality and inclusion in the UAE for the greater good of his people. The chapter will use a psychobiographical approach and in particular two selected theoretical foci to analyze the life and work of Sheikh Zayed from a transformational leadership and a cultural and intercultural competence perspective.

The United Arab Emirates in the Middle East

The UAE is constituted of Abu Dhabi, Dubai, Sharjah, Ras al-Khaimah, Ajman, Fujairah, and Umm al Qaiwan. These emirates all date back to the 3rd century BCE and compose a state since their unification 1971. In the 19th century, the British government declared some of the sheikhdoms “Trucial States”, namely Abu Dhabi (1820–1971), Ajman (1820–1971), Dubai (1835–1971), Fujairah (1951–1971), Kalba (1936–1951), Ras Al Khaimah (1820–1972), Sharja (1820–1971) and Umm Al Quwain (1820–1971), with whom Britain set up a series of treaties connected to British protection and exclusive British rights in the area (Balfour-Paul, 1984).

Historically, India, as well as the European countries, were important trading partners during the 16th to 19th centuries, while in the 1760s, the sheikhdoms signed an agreement with the British naval forces and became their protectors on the route to India. The Trucial States then decided to become the UAE in 1971 (The Report Dubai, 2015).

The UAE has seen a major change during the past decades, moving from a desert state towards being regarded as one of the most attractive countries, a global name and an international brand (Rehman, 2008). The UAE has become a popular tourist destination during the past years owing to its well-established international communication, attractive winter climate, absence of taxes, low import duties, corporate income and visionary leadership (Sharpley, 2008) and it is now a rising star in the global tourist destination market. The ruler of Dubai, His Highness Sheikh Mohammed bin Rashid Al Maktoum, is widely recognized as the driving force behind the Emirates’ successful tourism development strategy (Nagraj, 2014). He is

also the Vice President and Prime Minister of the UAE and heads the Department of Tourism and Commerce Marketing (Zaidan & Kovacs, 2017).

One of the main attractions in the UAE is the Sheikh Zayed mosque which celebrates Islam and represents the life of the late Sheikh Zayed (Corder, 2019). The mosque symbolizes the modern values of the UAE and is a place of diversity where people from around the world can come together and speak different languages, have various religions and coexist with each other peacefully (Galeeva, 2017). The mosque was built with the vision that it would stand at the heart of the UAE and would bring thousands of people together while worshipping during the Friday prayer (Galeeva, 2017). It represents the values of Sheikh Zayed and his idea of a peaceful and diverse nation, valuing the virtues of tolerance and coexistence and it was strongly influenced by impressions he got when travelling to other places, such as Paris in 1953. His travels informed his ideas that the UAE needs to progress for its people to live a better life, unify the UAE and its relationships with other nation states. As Sheikh Zayed himself explains (1982 in Galeeva, 2017): “[the] first priority is to unite for the sake of Islam and the Arab world, then we extend our relationship with the Third World and finally the international community of nations as a whole.”

Transformational Leadership

Several psychobiographies have in the past and at present explored the life and work of political leaders (Schultz, 2005; Mayer & van Niekerk, 2020). Particularly in past years, the psychobiographical investigation into political leaders’ lives seems to have increased (e.g. McAdams, 2020; Mayer, 2021).

The study of leadership has a longstanding research tradition (Day et al., 2014; Hughes & Denison, 2019). This research tradition, however, still suffers from male domination, overwhelming patriarchal structures (Acker, 1990), and a lack of diversity, equity and inclusion (Sharma, 2016; Mahadevan & Mayer, 2017; Vito & Sethi, 2018). This is particularly true when one focuses on Western leadership concepts and the inclusion of minorities in the Western world of work (Mahadevan & Mayer, 2017).

The UAE leadership is driven by the focus on its people, by the ideal of achieving happiness for its people and by making the government a central part of the society (Ahmed et al., 2016). Topics of major concern for the UAE and its leaders during 2019 were cultural diversity, coexistence, mutual understanding and tolerance (Eli, 2019). During this “year of tolerance” in 2019, the UAE started many initiatives for cultural and religious tolerance, enabling the UAE to become a global capital and pioneer with regard to creating an identity and a sense of belonging, as well as a nation of the visions of its leaders who “have generated a secure, diverse, tolerant, inclusive, safe and welcoming environment” (Eli, 2019, 48).

The concept of transformational leadership was originally developed by Burns (1978). Various researchers such as Bass (1985), Avolio (1999), Avolio et al. (2004),

Bass and Riggio (2006) have worked with the concept, developing it further. According to Zhu et al. (2011), transformational leaders usually transform organizations based on their personal mindset, turning their followers into moral agents as a direct result of their own moral leadership, grooming followers for joining in leading others and performing well. Bass (1985, p. 25) defines transformational leaders as those “who raised their awareness about issues of consequence, shifted them to higher-level needs, influenced (others) to transcend their own self-interests ... and to work harder than they originally had expected they would.”

It has been pointed out that transformational leadership supports the follower in moving beyond immediate self-interest by using the charisma of the leader to create inspiration for the task or cause (Avolio & Bass, 1995; Bass, 1995, 1999). Bass (1985) proposes four components of transformational leadership, which are inspirational motivation, idealized influence, intellectual stimulation, and individualized consideration. I discuss each of these in turn.

1. Inspirational motivation is the ability of the leader to motivate others to perform beyond their expectations (Jain, 2015) while constructing meaning and motivational challenges for the followers (Bass & Riggio, 2006). Through inspirational motivation, followers usually enjoy following the vision of the leader encouraging people to follow their mission and stay committed to the common goals (Metwally & El-Bishbishy, 2014).
2. Idealized influence includes leaders who act as role models owing to their high ethical and moral values and actions (Bass & Riggio, 2006). These leaders are often viewed as icons and role models and influence through their charisma.
3. Intellectual stimulation usually supports followers to become creative, innovative and develop ideas. So, further on, transformational leaders often support followers to think and reflect on their own abilities to empower followers and to improve their abilities and skills (Seloane, 2010).
4. Finally, individualized consideration focuses on the individual’s needs for achievement and personal growth (Bass & Riggio, 2006). Accordingly, the needs and desires of the followers are placed in the center of attention (Das, 2017).

Other researchers such as Podsakoff et al. (1990) have extended this work to date. Various studies have shown that transformational leadership produces positive and productive organizational outcomes (e.g., Keung & Rockinson-Szapkiw, 2013) and several researchers have requested global leaders to become more culturally aware, competent and intelligent (Elenkov & Manev, 2009; Manning, 2003). Usually, in transformational leadership, the leader empowers followers, creates a strong vision and motivates followers to work towards this vision by raising their personal potentials (Bass & Riggio, 2006). Transformational leadership is intended to satisfy basic and higher needs as well as creating higher awareness and acceptance of the purpose and mission of the leaders and their followers (García-Morales et al., 2012). According to Bass and Riggio (2006), transformational leadership also aims at creating achievement, self-actualization and well-being of others in organization and society. Through empowerment and care, transformational leaders attempt to create emotional links with the followers and inspiration for higher values (García-Morales

et al., 2012). Recent research has demonstrated that transformational leadership impacts positively on the well-being of followers by increasing confidence, motivation and the feeling of personal value (Isohanni, 2020).

Cultural and Intercultural Competence in Leadership

During recent years there has been a significant increase in interest with regard to building cultural and intercultural competence in leaders in response to the growing cultural diversity within societies (Ang et al., 2020). These authors define cultural competence as “an individual’s potential to function effectively in intercultural situations” (Ang et al., 2020).

Nearly two decades ago, Earley and Ang (2003) were investigating why some leaders are more successful and effective than others in leading across cultures. The concept of the cultural competence plays an important role; Plum (2009) observes that “the art of leading cultural complexity” is part of cultural intelligence which gains in importance when individuals work across diverse situations. Ang et al. (2007) affirm that cultural intelligence is associated with cultural judgment and decision-making, cultural adaptation and task performance, and—according to Ang and Van Dyne (2015)—with the concept of a global identity and the ability to lead multicultural teams and build interpersonal trust.

Ang et al. (2020) emphasize that cultural competence can be understood and defined in the following way:

The myriad conceptualizations of cultural competence can be broadly classified as intercultural traits (enduring personal characteristics that describe what a person typically does in intercultural situations); attitudes (perceptions and evaluations of other cultures); and capabilities (what a person can do to function effectively in intercultural contexts).

According to the authors’ latest definition of cultural competence, the present chapter explores the concept of cultural competence in a selected leader. Ang et al. (2020) further point out that “cultural competence is at an exciting nexus of globalization, increasing diversification within nations, and technological advancements.”

The concept of intercultural leadership has been discussed since the 1990s (Cushner & Brislin, 1996; Kim, 1991) and is still an important contemporary subject of research (Tangalycheva, 2019). Kim (1991) defines the concept as “an individual’s internal ability to cope with the challenges of intercultural communication, namely: cultural difficulties, uncertainty, the position of local residents, as well as the accompanying stress and cultural shock.”

Green (2019) finds that if leaders do not have cultural and intercultural competence, group decision-making and progression of common projects are at risk. Accordingly, de Waal and Born (2020) point out that there is an increasing demand for global leaders who practice transformational leadership with “intercultural ease.” Bass and Steidlmeier (1999) describe authentic transformational leaders as those who have moral presence, serve as representatives of change, and who can

transform individuals, organizations, and nations into mirrored reflections of morality and mission effectiveness. Rivers (2019, p. 8) emphasizes that transformational leaders with a high cultural intelligence will be able to “identify, examine and understand the places of cultural convergence and dissidence within their followers and articulates vision (using culturally appropriate language) in a manner that unifies the group.”

In the following sections, the psychobiographical method will be explained and used to explore the life and leadership of Sheikh Zayed bin Sultan Al Nahyan, the founder of the UAE. The analysis will mainly refer to the transformational, cultural and intercultural aspects of his leadership.

Psychobiography as a Research Method

Psychobiography is a relatively young research method, with the first psychobiographical investigations dating back to Sigmund Freud’s analysis techniques in 1910. Since that time, psychobiographical research has undergone significant developments and is becoming a recognized research method in psychology (Schultz, 2005; Mayer & Kovary, 2019).

Research Approach

The present study uses a hermeneutical approach to psychobiography (Dilthey, 2002). Case studies (Yin, 2018) using psychobiographical approaches usually focus on the life histories and biographies of extraordinary individuals. The aim of such investigations is to describe, explore and interpret the life of an exceptional individual. According to Long (2014), psychobiographical approaches can assist in exploring and understanding extraordinary leadership.

By using the psychobiographical method, the author of this chapter focuses on the life history of Sheikh Zayed, explores his life and recreates it within the context of selected theories (Fouché & van Niekerk, 2010, p. 2), contributing to the advance of psychobiography as a research method (Fouché & Van Niekerk, 2010; Schultz, 2005).

The Sample

In this case, purposeful sampling was used as a sampling method (Musarrat Shaheen & Pradhan, 2019). The subject of research, Sheikh Zayed bin Sultan Al Nahyan, was chosen for the following reasons:

1. To expand psychobiographies which often focus on extraordinary individuals born and bred in the Western world, Sheikh Zayed bin Sultan Al Nahyan was chosen as an outstanding and important leader in the Middle East. This psychobiography was undertaken to expand the diversity of subjects researched, since a recent criticism of the approach is that most psychobiographies still focus on the white, male, Western extraordinary individual (Wegner, 2020).
2. In the Middle East, and particularly in the UAE, Sheikh Zayed is viewed as an extraordinary leader, with high transformational and ethical leadership potential, and one who is inclusive in terms of cultural and religious diversity (Eli, 2019).
3. The author chose to explore and analyze Sheikh Zayed's life, thoughts and actions in a systematic way, showing his leadership approach and cultural and intercultural competence in detail.

This psychobiographical investigation contributes to filling the void of qualitative methodologies in the fields of transformational leadership, cultural and intercultural competence and psychobiographical research which focuses on and promotes leaders not only in Western parts of the world (Wegner, 2020).

Data Collection, Analysis, Interpretation and Reporting

The researcher collected data using primary sources (autobiographical accounts and interviews) and secondary sources (biographical accounts, magazine and newspaper articles, videos, biographies), as explained by Allport (1961). Further, the researcher conducted a content analysis based on the five-step process of Terre Blanche et al. (2006) which involves familiarisation and immersion, inducing themes, coding, elaboration, and finally interpretation and checking.

Ethical Considerations

The study followed ethical criteria, such as using public resources about the research subject, not intruding into their private sphere (Runyan, 1988). Further, the research refrained from potential harm or embarrassment with regard to the subject of research and/or the subject's relatives (Runyan, 1988). Additionally, the researcher strove to remain objective and be respectful of the research subject's friends and family (Elms, 1994; Ponterotto, 2017). Finally, a respectful attitude towards the subject of research and his life history was applied with empathy and responsibility (Ponterotto, 2017).

Transformational Leadership, Cultural and Intercultural Competence in Sheikh Zayed's Life

Sheikh Zayed ruled the UAE for 33 years and is one of the outstanding leaders and role models, not only in the Middle East (Al-Yamani et al., 2019), but also globally. For this psychobiographical account, the biography of Sheikh Zayed is presented according to his chronological development, while analysing it with regard to his transformative leadership and cultural and intercultural competences.

Childhood, Teenage Years and Young Adulthood (1918–1946)

Sheikh Zayed was born at the end of the First World War in 1918 and received a traditional education based on the Quran (Mabrouk, 2018). He lived among the local nomadic ethnic group, the Bedouin, in Al Ain, a desert oasis, 120 kilometers inland from Abu Dhabi, in an area where nomadic Bedouins traditionally live.

Sheikh Zayed was named after his grandfather, Sheikh Zayed bin Khalifa Al Nahyan (“Zayed the Great”), who ruled the emirate from 1855 to 1909 (Naduzhko, 2020). He grew up with his parents and his siblings in the Al Ain oasis and was strongly interested in tribal affairs (Mabrouk, 2018).

It is argued here that his first and early intercultural encounters with the Bedouins in his childhood contributed through his personal life experiences to his empathetic understanding of the importance of cultural and intercultural diversity in modern societies (Ang et al., 2020). During his early encounters with individuals of different cultural backgrounds, he gained cultural empathy and intelligence as well as intercultural competence which supported him in later life to develop a global identity and build trust across cultures (Ang & Van Dyne, 2015). Sheikh Zayed gained the ability to function effectively in intercultural situations based on his keen interest in tribal affairs, and showed this ability all his life, but primarily during peaceful negotiations with neighboring countries and in collaboration with the British and other Arabic states (Naduzhko, 2020; Abeb & Hellyer, 2001).

Since there were not many schools in the area where Zayed grew up, his father, Sheikh Sultan bin Khalifa Al Nahyan—who was the ruler of Abu Dhabi from 1922 to 1926—organized a private teacher to give him Islamic education. This education, in combination with his life experiences with the Bedouin tribal leaders, seems to have contributed to building his ability to lead across cultures, and to “the art of leading cultural complexity” (Plum, 2009).

Sheikh Zayed’s mother was Sheikha Salama bint Butti. She strongly influenced her four sons by asking them never to use force or violence against each other (Naduzhko, 2020). Keeping the peace between family members consequently became an important learning base for Sheikh Zayed to would later create peace with neighboring statesmen, across the Trucial States and by building the UAE based on “Arab and human brotherhood” (Ahmed et al., 2016).

Political Growth (1946–1971)

Zayed was appointed the governor of the Eastern Region of Abu Dhabi in 1946 and was based in Muwaiji fort in Al Ain, his home region. During this time, the area was poor and ridden by diseases, conflict, and foreign occupation (e.g., in 1952 the area was occupied by Saudi Arabian forces during the so-called Buraimi Dispute.) It is argued in this chapter that Sheikh Zayed grew as a transformational leader (Burns, 1978; Bass, 1985; Avolio, 1999; Avolio et al., 2004; Bass & Riggio, 2006), since he had a significant impact on the different sheikhdoms and the Trucial States and their integration into the UAE.

After oil was discovered in the region, Sheikh Zayed was offered, and rejected, a private bribe of about 30 million British Pounds to allow the company Aramco to explore for oil (Naduzhko, 2020). Instead of fostering individual wealth, Sheikh Zayed focused on the importance of a better life for all, stability of the country and region, and unity (Ahmed et al., 2016). This major, extraordinary event demonstrated Zayed's transformational leadership qualities, displaying a strong moral and ethical attitude, grooming his followers for moral leadership and high performance. In terms of Bass's (1985) view that transformational leaders influence others to transform and transcend their own self-interests, Zayed became a role model for the UAE, showing that he cared more about others and the nation–state than about himself. He instilled inspiration as a transformational leader (Avolio & Bass, 1995; Bass, 1995, 1999) for the UAE to become a nation–state and a global player in the world economy. He constructed meaning and inspirational motivation (Bass & Riggio, 2006) and encouraged different leaders to follow his mission (Metwally & El-Bishbishy, 2014) to build the UAE. Zayed was often declared a visionary leader, as well as one of the most charismatic leaders (Hughes et al., 2015; Ahmed et al., 2016), and it is argued here that throughout his political leadership, he was a charismatic, transformational leader with growing influence in his sheikhdom, in his nation and globally.

President of the United Arab Emirates (1971–2004)

When oil was found in the region in 1958, the citizens became frustrated with Sheikh Shakhbut's rule of Abu Dhabi, who was then finally replaced by Sheikh Zayed in 1966. Sheikh Zayed was the emir of Abu Dhabi and the president of the UAE from 1966 to 2004 and exercised administrative and financial powers (Encyclopedia Britannica, 2020). However, Sheikh Zayed was not focusing only on administrative and financial development; one of his strengths was in bringing people together by building an integrative, diverse, peaceful and equal nation (Chaudhary, 2016). Zayed fostered individualized consideration for his followers and his people, whom he placed at the center of his attention (Bass & Riggio, 2006; Das, 2017).

The bringing together of the different sheikhdoms and the Trucial States was based on Zayed's cultural, intercultural competence and intelligence as defined by Ang et al. (2007) in making culture-adequate decisions, performing his tasks as a leader and adapting culturally. This is, for example, shown, when oil was discovered. At that time, Sheikh Zayed took valuable decisions to reinvest the new riches into his country for building a new infrastructure, investing in freedom for all, and fostering diversity and peace even within the region (Rashed, 2003; Mabrouk, 2018). He focused on building an equal multicultural society (Ang & Van Dyne, 2015) in which minorities are supported and societies are transformed with "inter-cultural ease" (de Waal & Born, 2020). All of his actions in this regard played into his role as a charismatic leader and a role model for individuals of different cultural groups. He later promoted inspirational motivation and meaning through his decisions and actions and idealized influence.

Sheikh Zayed was first appointed president of the UAE in 1971 and was reappointed five times between 1976 and 1997. During his reign, he initiated change and transformed the nation, as described in Bass and Steidlmeier (1999) and managed the talks with other nations with "culturally appropriate language" (Rivers, 2019). In 1974, for example, Sheikh Zayed, settled the border conflict with Saudi Arabia, again supporting his idealized influence, his inspirational motivation, intellectual stimulation and individualized consideration (Bass & Riggio, 2006; Seloane, 2010).

As according to Naduzhko (2020), Zayed further advocated successful dialogues with the Persian Gulf states, also with Iran. During the "Umma al Zamul" dispute in 1964, Sheikh Zayed showed his generosity and invested into a peaceful nation by agreeing to the conditions of his dialog partners, and in negotiations with other leaders such as His Highness Sheikh Rashid bin Mohammed bin Rashid Al Maktoum, the ruler of Dubai (Naduzhko, 2020). His generosity added to his sculpture as a role model and an iconic leader (Bass & Riggio, 2006).

According to Naduzhko (2020), Sheikh Zayed followed his overall vision to create a peaceful UAE nation and was therefore prepared to share the riches of oil for the greater good of the people and the nation, thereby creating cultural convergence (Rivers, 2019). He showed clear idealized influence, since he always acted on strong ethical and moral values (Bass & Riggio, 2006) while improving the abilities and skills of others, which is one important aspect of idealized influence (Seloane, 2010).

As the president of the UAE from 1971 to his death in 2004, Sheikh Zayed had a policy vision to "green the desert" and used 10% of the groundwater for forestation projects, which will project the country running out of groundwater in about 55 years (Al-Yamani et al., 2019). His wish to green the desert required transformational leadership skills to fulfill the dream of making Al Ain into a green oasis and providing water, medical care and education for everyone (Maitra, 2016, p. 29). He showed individual care and individualized consideration while focusing on the needs of the people, their achievements and their personal growth (Bass & Riggio, 2006). His actions, at the same time, reconstituted him as a role model and icon of the UAE and he gained extraordinary idealized influence (Bass & Riggio, 2006). Henderson (1960) also emphasizes Zayed's particularly beneficial attitude and his ability to provide free water to every person in the UAE, which again played into his idealized influence and individualized consideration (Bass & Riggio, 2006).

Together with his brother, Sheikh Zayed restored the falaj water system, a network of water channels which contributed greatly to the irrigation and fertilization of the Buraimi Oasis (Ahmed et al., 2016). He used traditional cultural knowledge and transformed it by adjusting it to the modern lifestyle with effectiveness as part of his transformational leadership approach (Bass & Steidlmeier, 1999). This action can be seen as an intellectual stimulation for the citizen and as idealized influence in the context of transformational leadership (Seloane, 2010), since, again, he acted as a role model and provided original and new ideas for followers, empowering them to improve their own abilities and skills (Bass & Riggio, 2006; Seloane, 2010).

Zayed has been praised as one of the world leaders who managed to build a new, modern nation while maintaining a traditional identity by using consultative and consensus-orientated governance practices (Antwi-Boateng, 2020). He constructed meaning for his followers and the nation. From a transformational leadership perspective, this can be viewed as the successful application of inspirational motivation (Bass & Riggio, 2006; Jain, 2015). According to Antwi-Boateng (2020), he is further known for his “adherence to an unwritten social contract between rulers and citizen, and the promotion of philanthropy as a tool of foreign policy,” while encouraging tolerance, empowering women and providing a safety net for the vulnerable. Zayed not only spent his riches on the minorities and the poor in his nation, but he also shared billions with other countries, particularly supporting other Islamic states in Asia and Africa over his decades as a ruler (Naduzhko, 2020). He accordingly assisted globalization and increasing diversification within his nation and in other nations, as well as promoting technological advances (Ang et al. (2020), as part of his intercultural competence.

At the time of Zayed’s death, his fortune was estimated to be 20 billion British Pounds (Naduzhko, 2020). During his 33 years of political presidential life (1971–2004), Sheikh Zayed implemented policies of international cooperation with neighboring Arab countries and with the US. Additionally, he worked towards “reducing the UAE’s economic dependence on oil and gas extraction” (Al-Muttahida, 2020) and became the “Father of the Nation” with his passion for environmentalism, philanthropy and a deep devotion to family life. Sheikh Zayed had six wives and twenty-nine children.

The year 2018 was dedicated to him as the “Year of Zayed.” In 2019 the “Year of Tolerance” was celebrated in the UAE to follow his thoughts and ideas of inclusion, diversity and tolerance (The Founders Memorial, 2020) and was based on Sheikh Zayed’s promotion of a common ground of equality and a common vision for the nation (Eli, 2019). Sheikh Zayed is praised for the strong rise of the UAE nation, and for being an important unifier, believing in the slogan “united we stand, divided we fall”, and empowering (Mabrouk, 2018).

All of these aspects of his leadership support his interculturally competent, transformational character and leader. Sheikh Zayed’s ability to peacefully unify people of different origins, cultures and religions was built on a humanitarian approach, using creative ideas and the ability to lead and empower others through his strong faith and intuition. He also demonstrated wisdom in reconciling with neighboring countries with empathy (Mabrouk, 2018). According to Mabrouk (2018), Sheikh

Zayed showed an immense tolerance towards various religious groups and acted with flexibility regarding the country's huge expatriate community. He promoted religious education and peace and acted against extremism. In addition, Naduzhko (2020) points out that Sheikh Zayed distributed land among the citizens according to the status of the families. He opened the *majlis* (traditional Arab consultation councils) to the public, allowed the erection of non-Muslim buildings, was in favor of rights of women, and promoted education for all, as well as labor rights throughout his political leadership. He can therefore be viewed as a transformational leader with great cultural and intercultural competence—qualities which supported his ultimate position as the founder of a peaceful and culturally diverse UAE.

After Zayed's death in 2004, his eldest son Sheikh Khalifa bin Zayed Al Nahyan became the new president of the UAE. He continues the legacy of his father in promoting inclusion, equality and diversity in the UAE (Naduzhko, 2020).

Conclusions and Recommendations

By analysing the life of Sheikh Zayed, this psychobiographical account contributes to new and original findings on the transformational leadership approaches of Sheikh Zayed, as well as cultural and intercultural competence development throughout his life as a UAE leader. This study shows the strength of Sheikh Zayed's transformational leadership (termed idealized influence by Bass & Riggio, 2006) based on his strong moral values, his meaning in life and leadership, his implementation of his mission and his acting as a role model. Besides these transformational qualities, he displayed a strong charisma, but was also an inspirational motivator and supported individualized consideration. Finally, in terms of Bass and Riggio's (2006) four components of transformational leadership, Sheikh Zayed also supported intellectual leadership in promoting care and education, as well as innovative ideas and developments. His entire leadership approach aimed at empowering others and at bringing diverse people together in an inclusive and equal manner.

Finally, this chapter expands psychobiographical research by including an exploration of the life of a non-Western leader in the more usual realm of exceptional white male leaders. This psychobiography contributes to the diversification of contemporary psychobiography by reaching out beyond the study of extraordinary Western leaders, towards a global and highly successful founder of the UAE nation and leader of the Middle East. It further contributes to leadership theory and in particular focuses on the new exploration of cultural and intercultural competence development throughout an extraordinary person's life development. Hardly any psychobiographical studies have focused previously on cultural and intercultural competence developments during an individual's lifespan.

For future research it is recommended that more studies in psychobiography need to focus on non-Western extraordinary individuals in psychobiographical research, focusing on women and non-Western individuals. Psychobiographical leadership research should further investigate cultural and intercultural theories to

contribute to building life-span theories of cultural and intercultural competence development in extraordinary individuals as part as their identity development. This is clearly a research area that has been left unattended during the past years of psychobiographical research and needs to be expanded. Psychobiographical accounts in the context of leadership theories which follow the development of individual leaders' lives and their individual developments within their specific socio-cultural environments need further investigation.

In terms of practical implications, it is important that current leaders and managers learn from the lifelong leadership approaches of extraordinary leaders with regard to their positive and negative leadership decisions and their consequences. It is assumed that, particularly during the contemporary global leadership crisis, psychobiographical studies can identify the ethical and transformational approaches of successful world leaders in order to provide practical examples for future leaders and to guide their followers on the right paths through challenging times ahead.

Key Chapter Takeaways

- Psychobiographies can provide in-depth information on selected leaders' approaches, strengths and weaknesses throughout their lifespan.
- Transformational leadership strongly relates to ethical issues and role model scenarios.
- Cultural and intercultural competences are strong in transformational leaders, as in Sheikh Zayed.
- To contribute to inclusion, diversity and equality in the world, one needs to look at positive examples of global leaders from different parts of the world. It is particularly important to see how and at which life-changing moments these exceptional leaders made the most important leadership decisions, contributing to the betterment of their people and humanity and strengthening their leadership through decisions in transformational and cultural and intercultural competent ways.
- Western leadership often focuses on leaders in the West; however, it would be more effective, creative and innovative to explore global leadership in different parts of the world and be more inclusive and diverse in terms of one's perceptions of leaders.

Reflective Questions

1. What are the most important aspects of transformational leadership?
2. What is cultural competence?
3. How is intercultural competence defined?
4. What makes Sheikh Zayed a transformational and cultural and intercultural competent leader?
5. Based on this psychobiographical example, what could you recommend to other contemporary leaders in terms of what they should change in their leadership to become a better version of themselves as leader? Choose a contemporary leader and discuss his/her actions in socio-cultural context and Sheikh Zayed's actions in his spacio-temporal context.

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Chapter 26

The Board Needs More Courage to Make the Decision to Hire a Woman CEO: Women Directors Call for More Inclusive Hiring Procedures



Thora H. Christiansen and Ásta Dís Óladóttir

Introduction

Many look to Iceland and how its Prime Minister, Minister of Health, and Director of Health, who all are women, have been successful in their response to the COVID-19 pandemic. The country has played a pioneering role in women's political leadership with the first woman president, and women have been both prime ministers and mayors. Icelandic women's labor market participation is the highest in the world and labor market inclusion is aided by parental leave and child-care policies underpinned by gender equality. However, the upper echelons of the labor market remain highly gender-segregated. In March 2022, 20 companies are listed at the Nasdaq stock exchange in Iceland. The score is 19 – 1 when it comes to the ratio of men to women CEOs. In the 35 years since the stock exchange opened in Iceland, four women have headed a listed company. In 2021, women represented 25% of all CEOs in the country and if we look at companies that are classified as outstanding companies, female CEOs are 18% (Statistics Iceland, n.d.).

Steps have been taken to further the progress towards gender balance at all levels of the organizational hierarchy, such as the enactment of gender quota laws on corporate boards. This has resulted in closing the gender gap on the corporate boards, but has not had the expected spill-over effect on CEO appointments (Óladóttir et al., 2021). Only one woman is CEO of a listed company and despite efforts to diversify, the top management teams of Icelandic corporate hierarchies remain very homogeneous, largely comprised of men of similar age, from similar backgrounds, similar education, similar origins and who even tend to reside in the same neighborhoods (Einarsdóttir et al., 2020; Óladóttir et al., 2019).

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The study aims to understand how the CEO recruitment process is experienced by the women who sit on the boards of listed companies and participate in the decision making; how they explain the lack of women CEOs and what action they believe should be taken. These are the women who were expected to push through the changes and improve the gender ratio of CEOs at listed companies and who have faced criticism for failing to do so (Óladóttir et al., 2019). We first describe the Icelandic context, followed by a review of the literature on CEO recruitment, diversity and inclusion, before reporting on the methods and findings of our study. We focus on the different opportunities or obstacles faced by men and women seeking CEO positions, but our findings may have implications for individuals of other genders or minority status.

Icelandic Context

Gender inequality remains a global phenomenon and according to the World Economic Forum Global Gender Gap Report 2020 it will take more than 100 years to reach full gender equality in the world (WEF, 2020). Equality is assessed on a scale, where 100% stands for perfect equality and currently the world average is 68.6%. Iceland is leading the list and has made the greatest progress towards closing the Gender Gap, 87.7% (Óladóttir et al., 2021). Norway is in second place with 84.2%, then Finland, Sweden, Nicaragua, New Zealand, Ireland, Spain, Rwanda and Germany (The Prime Minister's Office, 2020; WEF, 2020).

Despite the advancement of women in various areas of society, formal gender equality, increased education and employment in recent decades, the power and influence of women in the private sector remained limited. Women make up only 25% of company executives in Iceland in 2021, indicating a persistent glass ceiling that women have repeatedly encountered when it comes to positions of power within companies. Women have historically been significantly underrepresented on boards of directors in Icelandic companies, spurring demands for gender quotas (Óladóttir et al., 2021).

In March of 2010, Icelandic law was amended such that either gender should constitute at least 40% of the board of directors in companies with more than 50 employees. These changes entered into effect forthwith for Official Public Limited Companies, but Public Limited Companies were given a grace period until September of 2013. A law setting the same requirements for boards of directors of Pension Funds was passed in September 2011 and allotted the same grace period. This made Iceland the second country in the world, after Norway, to implement such quotas and more countries have followed suit. These gender quota laws have had significant effects on the gender composition of corporate boards; in 2010, the proportion of women on the boards of listed companies in Iceland was 16% but went up to 48% in 2013 when the law had entered into force (EIGE, 2019). While the proportion of women on the boards has never been higher than the year the law

came into force, the legislation has achieved the intended effect (Statistics Iceland, [n.d.](#); Óladóttir et al., 2019).

Men nonetheless continue to outnumber women as board chairpersons. In 2000, women chaired 10% of the boards at medium sized companies, i.e. with 50–99 employees, and that proportion increased to only 13% in 2017. The greatest increase was at the largest companies where the proportion rose from 6% in 2000 to 18% in 2017, and in the very largest companies where no woman chaired a board in 2000 but 13% were chaired by a woman in 2017 (Statistics Iceland, [n.d.](#); Óladóttir et al., 2019).

Since the gender quota law was passed in Iceland in 2010, various things have changed at the listed companies in Iceland. In 2010, the proportion of women on the boards of listed companies was according to data from the European Institute for Gender Equality (2019) almost 16%. It is therefore clear that the law has had the desired effect on the proportion of women. In 2021 women represent 46% of board members of listed companies in Iceland as can be seen in Fig. 26.1. Two of the boards are chaired by women and all of them fulfill the quota, at least 40% women on boards.

At 46%, Iceland has the highest percentage of women board members in publicly listed companies according to OECD statistics in 2021. France comes second with 45.3% and third is Norway with 40.2%. The proportion of women board members among the OECD countries is between 3.3% and 46% and the OECD average is 25.5% (OECD.Stat, 2021). Non OECD economies are all well below the OECD average, except South Africa, where women are 27.4% of the board members at listed companies.

The change in the ratio of women in top management positions is not changing in line with the situation in Icelandic society because the labor market participation of both men and women has consistently been very high in Iceland and is one of the highest among the OECD countries. Women started entering the labor market at an increased rate in the 1970s and in 2018 the ratio of women in the labor market was 78% while the ratio of men was 85% (Statistics Iceland, [n.d.](#)). This development has been met with generous parental leave system, guaranteeing the legal right for parents to return to their jobs after childbirth, and the right to childcare for pre-school children. All of this aims at giving both parents more chance for equal opportunities.

In 2021 women represented 25% of CEOs of all companies in Iceland. According to data from Statistics Iceland ([n.d.](#)), although women are more commonly CEOs of small companies with 1–10 employees, but as companies get bigger, their numbers

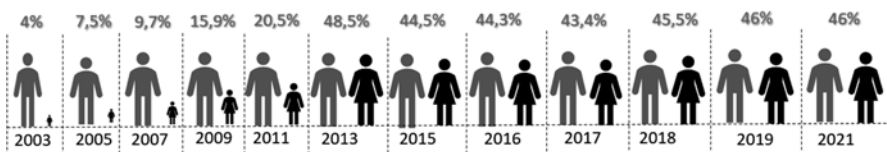


Fig. 26.1 Proportion of women as board members of listed companies in Iceland 2003–2021

decrease. Women represent 19% CEOs of companies with 10–19 employees, 16% of 20–49 employees, 17% of 50–99 employees, 12.7% of 100–249 employees and 14.6% of large companies with 250 or more employees (Statistics Iceland, n.d.).

Women represent 24.3% of the executive management team of listed companies in Iceland and hold only one CEO position. It is therefore clear that in the decade since the enactment of the gender quota laws on company boards there has been no spillover effect on the number of women CEOs at the listed companies in Iceland.

CEO Recruitment

The board of directors hires CEOs and CEO hiring is one of the most important tasks of corporate boards (Noe, 2020; Balsmeier et al., 2013). According to Charan (2005), the majority of boards fail at this task; they hire CEOs who perform poorly and do not last long on the job. During the transition period of new CEO hiring, firms' are in a vulnerable position in the stock market and subject to rivals' opportunistic exploitation of the situation (Burchard et al., 2020). This experience of vulnerability may be part of the reason why fewer women are appointed CEOs or the perception that hiring a woman as CEO may have a detrimental effect on stock prices. There are indications that the market tends to react negatively to the announcement of a woman taking over as CEO, but less negatively if it is through internal succession (Lee & James, 2007). The negative reaction thus appears to some extent to be fueled by the perception of risk that is offset if the woman is an insider with firm-specific knowledge and experience. Martin et al. (2009) did not find any difference in the markets' valuation reactions to announcements of male or female CEOs, but there were indications that women CEOs were expected to be more risk averse. Despite extensive research into women's leadership and company performance, there is scant evidence that the lack of women CEOs can be explained by poor company performance; moreover, there are indications that the presence of women in senior leadership positions may in fact improve company performance (Nolan et al., 2016).

Lack of Diversity Among CEOs and CEO Candidates

Despite considerable research on many aspects of CEO recruitment, limited research focus has been aimed at the labor market for CEO talent (Donatiello et al., 2018). Donatiello and associates find the pool of candidates to be small and their study reveals that those who make the hiring decisions for CEO positions perceive the talent pool to be exceptionally small. Directors considering CEO candidates worry that only very few individuals have the extraordinary qualifications that they deem necessary to succeed in the CEO role and they are even more concerned with cultural fit (Donatiello et al., 2018), which may further restrict their focus.

Business elites are lacking in diversity and CEOs tend to come from quite similar backgrounds (Ellersgaard et al., 2013). Elements of homosocial reproduction (Kanter, 1977) are apparent in the business elites of different countries (Holgersson, 2013; Holgersson et al., 2016) and while the characteristics of elites may vary from country to country, within each country they tend to be homogeneous (Ellersgaard et al., 2013). Furthermore, the board composition has been shown to influence the choice of CEO; the board is likely to select and hire a candidate who shares the same characteristics as the board members (Zajac & Westphal, 1996). Similarly, the likelihood of the appointment of woman as a CEO increases as the number of women on the appointing board rises (Elsaid & Ursel, 2011). However, the increase in number of women on the corporate boards in the Nordic countries has yet to deliver the expected increase in number of women CEOs (EIGE, 2019).

Diversity and Inclusion in Executive Search Processes

According to The Human Resource department of Faculty of Arts and Sciences at Harvard Business School (2021) diversity recruitment is not only the right thing to do, it is the smart thing to do. Nonetheless, Panteia. (2015) finds that various studies indicate that recruitment and selection procedures are often not sufficiently inclusive, meaning, they mainly attract and select candidates whose background and characteristics match the profile of the existing staff.

The executive search process typically involves headhunting or executive search firms. Headhunting is a definite method of hiring managers and has been increasing considerably in recent years. Companies do not advertise positions but seek specific individuals who usually already have a job with another company. This means that the process is closed and many would-be potential candidates cannot apply. Chamorro-Premuzic (2013) has criticized the executive search processes, finding further explanations for the lack of women in senior positions in the tendency of decision makers to fall for candidates' displays of confidence and overlook their competence. Not only does this result in the selection of less competent leaders, an apparent result is also a lack of diversity, meaning the preference for men over women (Chamorro-Premuzic, 2013).

Fernandez-Mateo and Fernandez (2016) find that executive search firms do not contribute to gender inequality in top level positions. This is contrary to the findings of Meriläinen et al. (2015) who find that executive search practices disadvantage those who do not fit the ideal, such as women and other minorities. Tienari et al. (2013) identified the three core practices of head hunting and how women are excluded at all stages of the process, in profiling, shortlisting and presenting the candidates to the client firm. They found that the women were measured against the masculine ideal rather than being valued on their own merit; men were the default standard and women who differed from the standard were devalued. Although Fernandez-Mateo and Fernandez (2016) did not find gender bias in the practices of the executive search firms; although there were much fewer women in the talent

pool, they did not stand a worse chance of being hired than the men. But the fact that there are fewer women than men in the talent pool for CEO positions indicates that the root of gender inequality in top management positions lie much lower in the hierarchy.

Diversity Management and Inclusion in Succession Planning

There are strong indicators that announcements of internal promotions to CEO positions not only strengthen the market performance but also the success rate of the internally promoted CEO (Shen & Cannella, 2002; Zhang, 2008). Groves (2007) emphasizes the importance of internal succession and the need to set aside the “replacement planning” mentality and focus on leadership development in organizational succession planning processes (Groves, 2007). With a focus on leadership development on all levels of the organizational hierarchy, a comprehensive leadership pipeline may be developed, and in turn, such a pipeline may deliver internal candidates for CEO positions that reduce the risk factor in CEO selections (Griffith et al., 2019). Focusing on leadership development in and of itself does not guarantee diversity; for over a decade, scholars have pointed out the need for the incorporation of diversity into succession planning (Greer & Virick, 2008). When it comes to gender equality, those in power must prioritize and proactively implement the achievement of gender balance in senior leadership positions (Arnold & Loughlin, 2019), rather than rely on women rising through the pipeline. The role of the predecessor CEO can also play an important part in this process, as the incumbent can be an important ally and gatekeeper for a woman taking over as CEO (Dwivedi et al., 2018).

Furthermore, it is important to also consider the opposite of exclusion, inclusion, or “employee perceptions that their unique contribution to the organization is appreciated and their full participation is encouraged” (Mor Barak, 2015, p. 85). Thus it is important not only to consider whether the ratio of women to men at every level is an indicator of gender bias, but also to consider second-generation gender bias that may exclude women’s contributions (Ely et al., 2011). Second-generation gender bias is the aggregation of subtle, unintentional tendencies to, for example, view men and masculine behaviors as more fitting for senior positions. If organizations acknowledge the existence of such tendencies, they can proactively incorporate gender inclusive approaches into their leadership development. According to Ely and associates, this can be achieved first of all, through education about second-generation gender bias. Second, create groups or relationships for women to support and coach each other in tackling leadership roles. Finally, to aid women in negotiating the conflicting demands of the likability-competency dilemma, providing them with leadership development that focuses on their core values and the purpose (Ely et al., 2011).

Succession planning can combat gender bias by paying active attention to the career paths of women within the organization and ensuring that women and men get equal chance to take on the high-visibility and functional assignments that lead

them to interactions with the directors who select CEOs (Virick & Greer, 2012). An inclusive organization appreciates the different competencies that men and women may bring to the table and affords them opportunities to broaden and develop their talents, rather than casting them into the ideal mold (Ely et al., 2011; Mor Barak, 2015; Nishii, 2013). Opportunities for training, networking and mentoring in inclusive organizations are equally available and aim to enhance the unique contributions of diverse individuals.

Methodology

The aim of the study is to gain understanding of the experiences of women who sit on the boards of listed companies and have participated in CEO recruitment in that capacity. Under focus is their experience of participating in the recruitment process and their views on what explains the lack of women in CEO positions, such as why the increase in the number of women on company boards has not had a spillover effect on CEO positions and how they feel about ideas such as gender quotas for executive positions. Emphasis was placed on gaining understanding of the insights of the participants and the meaning they gave to their experiences (Martinez, 2000). The research question was posed: What do women board members experience as the reason for the lack of women CEOs; and what do they feel should be done?

The application of phenomenology affords the opportunity to get close to the lived experience of the participants and the analysis and reflection on the experience in turn gives us a chance to gain understanding of the essence of the experience (van Manen, 2016). In phenomenology, the study participants are not viewed as subjects, but as participants in the study, or even “co-researchers” (Orbe, 1998, p. 38). The researcher thus approaches the participants as equal contributors. Phenomenology rejects the notion of the researcher as an objective outsider and instead researchers must recognize their preconceived ideas and attitudes and be aware of how they could influence the interpretation and consciously try to set them aside or bracket them (Orbe, 1998). Furthermore, the researcher does not predict or hypothesize about what the research may reveal but instead is open to discovery; the questions aim at discovering possible meanings.

Study Participants and Procedure

To elicit responses from women who have experience of CEO recruitment at listed companies, women on the boards of all of the listed companies in Iceland were recruited by convenience sampling (Katz, 1972). Interviews were conducted with 22 women board members. The average age of the participants is 52 years, the youngest is 38 years old, the oldest is 69 years old. The vast majority of them hold a business or economics degree or 13 and 7 are lawyers and 2 are engineers. The majority of them work in the private sector and most of them have had a long career.

Their average number of years on the board of listed companies is 4.5 years, and they have all served on the audit committee or remuneration committee of the companies on which they sit on the board, and some have been on both committees. They also have many decades of experience as directors, but the one who has served on the boards the longest, has been a director for almost 30 years. Interviewees received information on the purpose of the study and a signed document on confidentiality regarding sensitive information and permission to withdraw at any time. The in-depth interviews lasted 60–130 min and were recorded and transcribed verbatim. To ensure the anonymity of this easily recognizable group of women, the quotations are not attributed to individual speakers.

Analysis

The phenomenological analysis is a three-stage process; starting by re-listening to the interview recordings and the transcription of the interviews culminated the description phase (Nelson, 1989). The next stage, reduction, involved reading the transcripts through, several times, highlighting the phrases and descriptions that stand out as most relevant and meaningful. The researchers reflected on the phrases, starting the thematizing by considering and contemplating which parts were essential (Orbe, 1998). The reduction process involved reviewing the themes, considering connections or culling possible redundancies, resulting in the themes that reveal the essence of the phenomenon (Orbe, 1998). The third and final stage in the process is interpretation, which aims to discover the meanings that may not have revealed themselves in the previous steps of the process (Nelson, 1989). The researchers work with the themes that emerge as significant in an attempt to allow us to understand the meaning of the participants' lived experience of the phenomenon (van Manen, 2016).

Findings

Four themes emerged in the analysis. The first three themes describe the interviewees' experiences of the CEO selection process. The final theme looks towards possible solutions, what the interviewees believe will increase the diversity of CEOs. The first theme, "*I wanted to ensure that the process would be professional,*" manifests the emphasis on the importance of the quality and integrity of the process. The second theme, "*Women always lose when the process is like this,*" reveals how exclusionary they felt the practices were for women. The third theme, "*those who pull the strings are mostly men,*" emphasizes that both at the boardroom table and outside of the boardroom, they felt that men are the decision makers and men side with other men. The fourth theme, "*the board...as a whole must have more courage,*" illustrates how the interviewees envisioned the changes needed for improved

practices and gender balance in CEO recruitment and how the ultimate responsibility lies with the board.

“I Wanted to Ensure that the Process Would be Professional”

A clear thread running through the answers of most of the women board members was their emphasis on the importance of the quality and integrity of the process. They did describe instances of recruitment processes that had been meticulous, based on valid criteria and methods, and clearly felt that such processes resulted in the hiring of the most qualified candidate. They tended to distance themselves from any flaws in the processes that they had participated in, and highlighted their own efforts to ensure the integrity of the process. When one interviewee stated that she “*wanted to ensure that the process would be professional,*” she was discussing a recruitment process where she had known that the chairman had already decided who was to be hired as CEO. She was dissatisfied with this approach and felt responsible for ensuring the quality and integrity of the process even though she knew that the outcome had already been decided and the process thus futile. She continued: “*I thought to myself that it would at least be important that I would ensure that this would be done really well.*” Similar comments by some of the other women highlighted that they are well aware of what a good recruitment process should entail but most of their experiences were of processes that were faulty and biased. They felt responsible for trying to ensure the quality and integrity of the process, even in situations where they knew that the outcome would be biased.

Many descriptions depicted rigged outcomes and they frequently felt that the quality of the process was disregarded. The women distanced themselves from these questionable decisions and practices and described them using passive voice: “*Just speaking of the stock exchange...everything has always already been decided ahead of time.*” When they generalized, they were very critical of how CEOs are recruited and they felt disappointed in the outcomes. Yet, when asked directly about the processes that they had participated in, they were ambivalent. They could find excuses for the choices that had been made, but they did not take ownership of those decisions and described them in passive voice: “*He really checked all the boxes...because of what the circumstances were like, it was decided to expedite the process rather than enter into a wider search.*” Although they excused such decisions to some extent, they also were aware that the pressure to make quick decisions meant that the first candidate to fulfill the requirements would typically be selected and no effort would be made to seek out a more diverse pool of candidates.

“Women Always Lose When the Process is Like This”

The women experienced three main flaws in the process that tended to exclude women. First, they described processes that frequently were very informal and advertising tended to be viewed as unnecessary or undesirable. They realized that not advertising means fewer women will be in the pool of candidates because this lack of formality and overreliance on board members' networks is exclusionary for women: *“Women respect more these formal approaches...they sit and wait for the job advertisement.”* They also criticized the lack of advertising for CEO positions at the listed companies because that meant that the pool of candidates who would be considered was overly reliant on the board members' networks:

The search is always focused on the same pool...and there are more men in the pool because you have more men who know more men...but it would be really important to advertise these positions because then you will receive names that you didn't think of.

They tended to defend the boards' decisions to not advertise, but there was a certain contradiction in the descriptions of why the positions had not been advertised. They supported claims that advertising can be risky as it exposes the firm's weakness, while also claiming that advertising is quite irrelevant anyway because in this small market, everyone knows when a position opens up.

A second issue that they had with the process was how the profile of requirements was used. They had experienced that requirements such as previous experience in a CEO position were used to reject the female candidates, but at the same time the male candidates who also lacked this experience were still being considered for the position:

The number one requirement is that the individual must have CEO experience and you start the process and suddenly some guys have appeared who most often have no CEO experience but somehow are hired in spite of that and I feel...like men receive more breaks.

Third, they experienced the interactions with candidates during interviews and presentations as problematic. Many of them agreed that men and women tend to present themselves differently, but that was not what they found problematic: *“We [women] do in fact believe in our abilities, we are just often more reserved when we are selling ourselves... When I'm listening to those less-experienced lads...stage some McKinsey sales pitch, you know, it makes me cringe.”* Identifying with and recognizing women's different approach to how they present themselves in the interviews, as well as realizing the problem with men's overconfidence in interviews, however, did not appear to be enough for them to make any changes to the process.

“Those Who Pull the Strings are Mostly Men”

Even though the number of women on boards is growing, and in a few instances women are in the majority, the interviewees still perceived the power to be in the hands of men. They described experiences of decision making apparently happening away from the boardroom table and a feeling of not being included as real decision makers: *“Even though there are women on the boards...those who pull the strings are mostly men.”* They felt frustrated by the men who sit on the boards with them and described how the men blocked all efforts to include more women: *“No matter which woman I proposed, the reaction was always no.”*

They described what they felt was cronyism prevalent in men’s networks and how it works to exclude even very competent women, both from decision making and from getting CEO positions. *“The old boys’ club also has its effect and the guys are so damn effective in it...there are of course many women who have become phenomenally competent...but they somehow are not getting a seat at the table.”* This experience of men banding together and supporting each other made them feel like it was irrelevant how competent and accomplished women could become, a man would always be selected over a woman: *“I think there is this informal network of men who look after other men because there are more men in business and who control the money.”* They described a situation where by virtue of their financial clout and their networks, men promote and protect the interests of other men.

“The Board ... as a Whole Must Have More Courage”

All of the interviewees agreed that the gender ratio in the executive teams should be more balanced. A few of them were somewhat willing to wait for the pipeline to deliver the right women candidates, but most of them called for more proactive measures. They clearly felt that the boards must decide to prioritize more gender equality and that fear is holding the boards back: *“the board...as a whole must have more courage. It’s not enough that one person is fighting for the selection of a woman, you know.”* The women felt that they had been making efforts to promote women, but that the rest of the boards had not dared to support them. They experienced the barriers to women’s succession as systemic and in need of disruption: *“you have to make the decision to disrupt the system so these changes can happen.”*

One disruptive action that they discussed was a board decision to implement a gender quota on the executive management team. This would increase the number of women with exposure to the board as executive managers:

This idea of gender quota on the executive level, because executive managers interact a lot with the board and as an executive, you can make yourself known to the board... so when the time comes to select the next CEO...then the board has had the opportunity to get to know you.

When they discussed the gender ratios at the executive level, it was clear that those who had experienced a more equal ratio at that level were more optimistic for future gender equality at the CEO level.

Many of the interviewees discussed the idea of succession planning, although only a few of them stated that their organizations were already working with the concept. They appreciated active succession planning as it entails a review of talent at all levels of the organization and recognition of diverse abilities and development needs: *“Succession planning is such a great tool, there you all of a sudden see the women.”* They realized that this tool could level the playing field for women: *“women are nowhere near 40-60 percent of executives in these big companies...that is where you are cultivating the future leaders because if you are looking for a CEO, you are looking for executive management experience.”* They felt that the responsibility for recognizing and developing talent lies with the organization and they want the boards to stop being afraid of hiring women, even if their experience does not match that of men’s: *“It takes more courage to say, ‘hey, I really like this one, she has this education, experience and vision that we want, you know. But she hasn’t been CEO before. It takes more courage to hire like that.”*

Discussion

In an effort to gain understanding of how women on corporate boards experience the role that corporate boards play in creating, maintaining or eradicating the uneven gender ratio in CEO positions, the following question was posed: What do women board members experience as the reason for the lack of women CEOs; and what do they feel should be done?

The findings reveal the women’s underlying dissatisfaction with the prevailing hiring practices that they find exclusionary for women. They view CEO recruitment as predominantly a fast-paced and closed-process, heavily reliant on board members’ networks and head hunters’ lists. Their feelings are conflicted, they have participated in the process of defining and following selection criteria that they acknowledge are exclusionary for women, but they appear to feel disempowered to enact the necessary change themselves. The women appear to come to terms with their own participation in the process by distancing themselves from what they deem to be questionable practices. They emphasize their efforts to propose women candidates but avoid discussing how they have participated in decisions that have excluded women. Nevertheless, they do place the responsibility for making the necessary changes squarely on the shoulders of the corporate boards.

In line with previous research (Óladóttir et al., 2019, 2021), the women described experiences of gender bias in the Icelandic business environment. The findings also revealed an experience of an often flawed and exclusionary process (Meriläinen et al., 2015; Tienari et al., 2013) where the interviewees juxtaposed men’s reliance on the old boys’ club and backroom decision making against their own efforts to ensure the quality and integrity of the recruitment process. Their experiences of

male candidates being hired based on how confidently they present themselves, despite lacking the required experience and competence are in line with previous research (Chamorro-Premuzic, 2013; Holgersson, 2013). They experienced the recruitment practices as exclusionary (Tienari et al., 2013) but the feelings of being outnumbered at the table or not being part of the actual decision making body, despite sitting on the board, hamper their effort to make changes.

Despite the overwhelming majority of the interviewees experiencing the processes as biased and exclusionary, they tend to have a positive future outlook for gender balance and outlined a number of possibilities for enacting change. They realize that changing women is not the solution, systemic changes are needed. It is clear that many of them feel that they lack support in their efforts to increase gender balance and emphasize that decision making must be brought from the backrooms of the old boys' club and to the board and senior leaders of organizations. On the organizational level, senior leaders, and in that they include the board of directors, must make the decision to eradicate gender bias (Arnold & Loughlin, 2019). Once that decision is made, the firms can pave the way for more diversity by implementing succession planning and developing leadership (Groves, 2007; Griffith et al., 2019). They also see the implementation of succession planning as a decision that should be made by the board, and that an effective board must be proactive in requiring the organization to embark on this project. Many of them support the idea of a gender quota on the executive level as a step towards ensuring more inclusion at the top of the hierarchy, but they do not favor legislative action, rather, they want the boards to endorse such quota.

With succession planning and a comprehensive leadership pipeline in place, the firm will be much better prepared to react quickly and implement CEO succession when the need arises (Shen & Cannella, 2002; Zhang, 2008). Thus many of the perils of the transition period (Burchard et al., 2020), and flawed execution (Chamorro-Premuzic, 2013; Charan, 2005) of CEO appointments could be avoided. The findings reveal that these women directors are aware that many highly competent women are rising through the pipelines, and they want to implement inclusive succession planning and leadership development that benefits both the firm and those women.

Their focus on the need for courage indicates that the women directors experience some doubts or distrust from other board members in the abilities of women to take on CEO positions. The homogeneity of the upper echelons in Iceland (Einarsdóttir et al., 2020; Óladóttir et al., 2019) may be reflective of homosocial reproduction (Kanter, 1977), but the increase in the number of women directors at listed companies has not had the expected spill-over effect of increasing the number of women CEOs (Elsaid & Ursel, 2011; Zajac & Westphal, 1996). All of the directors interviewed voiced a desire to see more women CEOs leading the listed companies. They are disappointed when they find that in the discussions among board members, women candidates are devalued and not trusted to take on CEO positions. Their view is clear, that the boards and senior leaders must make the decision to achieve gender balance. That entails that all stages of the recruitment process must

be professional, ensuring quality and integrity, not just going through the motions with the outcome already decided.

Conclusion

This study is based on findings from interviews with 22 women; we do not intend to generalize or claim that other board members experience things in the same way. What is presented here is the essence of the experiences of women who sit on the boards of all of the companies listed on the Icelandic stock exchange. We thus gain valuable insight into how they have experienced the CEO hiring practices of all of the listed companies.

Our main contribution is to enhance the understanding of what it is like to be a woman on the board of directors, participating in the CEO hiring process, and how they desire to promote more women but feel their efforts thwarted by the old boys' club. We present these women's vision for increased diversity and inclusion in CEO recruitment. They want the boards to take the responsibility for making systemic changes. They want the boards to make the decision to eliminate gender bias, even to implement a gender quota on the executive level. They want the boards to require the organizations to establish inclusive succession planning programs to diversify the talent pool. Finally, they want the boards to develop the courage to select the most competent individual to lead the company, irrespective of their gender, ethnicity or origin.

Key Takeaways

- Despite progress towards closing the Gender Gap, societies around the world have a long way to go. Forty two years ago, in 1980, voters in Iceland showed unprecedented courage when Vigdís Finnbogadóttir was elected president of Iceland, becoming the first woman in the world to be democratically elected as head of state.
- Vigdís served as president for sixteen years and remains a role model for women worldwide.
- Similarly, voters around the world trust women to play pivotal roles in leading their nations in pandemic times. People are looking for true leadership examples. When given a chance to apply their leadership skills, it seems that these women have what it takes to lead their nations through crisis.
- According to our findings, boards have lacked the courage to do the same as many voters around the world, to select women to lead, to give them a chance. The time has come for boards to trust women and vote for them to take over CEO positions in listed companies in the gender paradise, Iceland.

Reflective Questions

1. Why are the upper echelons of the labor market, almost anywhere in the world, still so male-dominated?
2. What did the gender quota law in Iceland prescribe, and what has been the effect?

3. The authors state that women are predominantly leading small companies, and as the companies grow, their numbers decrease. What do you think might be the reason behind this trend?
4. The fact that business elites are lacking in diversity is ascribed to homosocial reproduction. Please review this term and explain in your own words what you understand it to be? Also, share your opinion as to whether you consider this to hold truth in your own country or not?
5. Various studies indicate that recruitment and selection procedures for leadership positions are often not sufficiently inclusive, meaning, they mainly attract and select candidates whose background and characteristics match the profile of the existing staff. Could you consider and share at least three pros and three cons of applying this strategy?

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Chapter 27

Establishing a Solid Foundation for Understanding Diversity, Equity, and Inclusion: Pivoting from Confrontation to Discovery to Action



Mirella Baker Bommel and Howard Housen

The Big Picture

Visualize a map of the world, locate the United States on that map, and imagine lines of different thickness that all lead to the United States. The thickness of the lines suggests the size of the group and the lines represent men, women, and children of varying ages all converging in the United States. These vastly different people are bringing with them their own traditions, values, customs, beliefs, to the United States where there are people whose way of life are notably different. We do not have to stretch the imagination to conclude that this is the recipe for conflict and varying other possible outcomes. The extent, severity, and type of outcome is affected by a number of intervening variables and conditions, and the time frame in which all of this is taking place.

The Noel Hypothesis

Social scholars have attempted to isolate the factors that tend to predict a particular outcome when unlike groups meet. In 1968, sociologist Donald Noel advanced, what is now popularly known as the Noel Hypothesis to explain what happens when unlike groups occupy the same geographic area. Noel contends that when ethnocentrism, competition, and power differential are present the result will inevitably be racial and ethnic stratification (Noel, 1968). The first pre-eminent condition is ethnocentrism which defines the situation when a group uses its own cultural ways and values as the measure for judging the way of life of another group. Invariably, in the

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eyes of the culture doing the judging, the culture being judged never measures up to its standards and there a negative perception of the other culture is established. When ethnocentrism is present, it often times leads to individuals using easily identifiable physical characteristics, such as skin color, to place individuals in a particular group thus setting up a “us vs. them” situation. The second condition of the theory is competition which describes the struggle over valued resources. It was previously believed that competition developed only if the resource is scarce, but it was later found that the groups would compete even when the resource is adequate to sustain all the groups involved. The value placed on a particular resource is what makes it important, hence such things as land, money, labor, housing, ivy league education, governmental position, number of cows owned in a pastoral society, would have to be considered in the context of a given situation. The competition must be such that one group has the capability to subjugate the other group. This reality makes the third condition, power differential between the groups, relevant. Power differential defines the situation when one group exercises control over another group and this control is usually acquired in three ways: (a) larger group size in terms of numbers, (b) better organization, leadership and training, and (c) greater acquisition and accumulation of the valued resources. When combined with another theory, Techniques of Dominance, to create a template, we have a useful tool to study this highly complex phenomenon that exists in the United States today (Keirns et al., 2016).

Techniques of Dominance

The practice of the group that acquires the power to keep the losing group subjugated can be conveniently categorized on a continuum ranging from extreme intolerance to tolerance as Fig. 27.1 demonstrates.

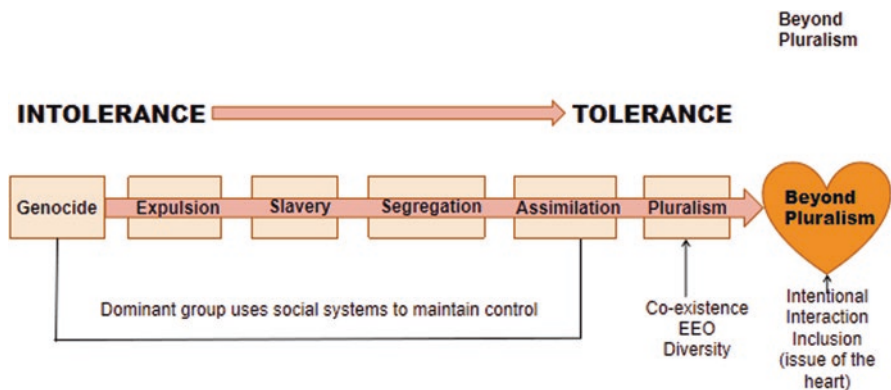


Fig. 27.1 Techniques of Dominance

Note: This figure demonstrates techniques that have been used to dominate groups of people. While the direction often reflects progress towards beyond pluralism, regression is also possible

Figure 27.1 outlines the stages a society goes through once a group establishes dominance. The practices range from the most extreme form of intolerance to the most tolerant.

- Genocide: Intentional attempts by the dominant group to exterminate the subordinate group.
- Expulsion: Deliberate removal of a group from an area they once occupied.
- Slavery: Subjugating a group to forced labor without compensation.
- Segregation: Physical separation of the groups usually by confining the subordinate group to designated areas.
- Assimilation: Requiring a group of people to give up their customs, language, and traditions, and adopt those of the dominant group.
- Pluralism: Groups co-exist with each retaining its own customs, language, traditions, and practices but operating under a common set of rules, norms, and shared beliefs.
- Beyond pluralism: Groups coexist, respect and intentionally interact with each other because by so doing they enhance their own culture and benefit society as a whole.

The progression is not necessarily a linear one and so, from time to time, a society will regress to a previously intolerant stage. Neither is the rate of progression a uniform one: that rate is affected by such factors as the degree of resistance from minority groups, the demand for changes from within and outside the society, and changes initiated by the dominant group itself. Pluralism, the stage in which the groups coexist, is indeed a desirable stage, but it is not the most preferred. The more excellent stage is Beyond Pluralism when the groups fully respect each other and intentionally interact with each other because by so doing they enhance each other's culture and benefit the society as a whole (Keirns et al., 2016).

The American Story

When applied to the United States, the template uncovers a pattern of competition, conflict, dominance, subjugation, exploitation, cooperation, and revitalization. Upon reflection, the connection between different types of struggles becomes clear because at their core, they all have in common people who compete for power. To understand the lack of diversity in the workforce, implicit bias, or micro-aggressions, it is essential to take a look at the historical trends that were the major contributors to strained intergroup relations. Groups that were pitted against one another since the years of early immigration, slavery, and segregation, established strategies that are still widely used today, though they manifest themselves in other ways. The following overview highlights US immigration patterns that marked the beginning of tension, discriminatory practices, and ongoing oppression.

Arrival of the British Settlers in the Americas

The arrival of British settlers in the new world set in motion a series of events that were to forever change the landscape of the region. The eventual Declaration of Independence was not merely to celebrate freedom from the tyranny of British rule, but rather to consolidate the fervent intentions of the settlers to create a new England, where the English language, English institutions, English customs, and English cultural norms would form the essential foundation of the new society. It is against this backdrop that their interaction and consequent treatment of the Native Americans can be viewed. It was of no consequence that these indigenous peoples had occupied this land for centuries, establishing distinctive cultural forms including language, societal structures, norms, familial patterns, and a viable means of subsistence (Farley, 2005). There were indeed distinct differences between the two cultures including:

A unifying belief among the various Native American people that humans are to live in concert with nature. As Farley (2005) explained, this view was in direct contrast with the British settlers who held that nature should be subjugated to serve human needs.

- The concept of ownership of private property was almost foreign to Native American whereas property ownership was a basic tenet of British life.
- Rugged individualism, embraced by the settlers, was in stark contrast to the group and community orientation of the Native Americans.
- In Native American communities, women played a central role in the overall function of the tribe but that was not true for the settlers' women.

When we apply the Noel Hypothesis, we find that except for larger population size initially, the other conditions for dominance were met. The above differences were indeed a source of tension between the two groups, but the central conflict was over land ownership and this eventually led to the genocidal practices carried out by the settlers against the Native Americans. It is estimated that prior to the arrival of the British, the population of Native Americans stood around 10 million but by the time of the last Indian War of 1890, the Native American population had been reduced by 75% through a combination of massacres, diseases, and starvation (Farley, 2005). The practice of genocide, expulsion (population transfer), slavery, and segregation, directed at the Native Americans, were in concert with those used in other British colonial exploits, notably in Australia, New Zealand, Africa, the Caribbean and Asia. In fact, some scholars (McDonnell & Moses, 2005) contend that colonization was in itself intrinsically genocidal and frequently occurred as a two-stage process. The first stage defines the deliberate destruction of the indigenous population's way of life, while in the second stage the newcomers impose their way of life on the remaining indigenous population and on subsequent arriving groups. The underlying genocidal motivations are frequently fueled by the desire to clear territories of their original inhabitants in order to facilitate resource extraction or the establishment of colonial settlements which more often than not included the use of forced labor. It should be said though, that the British Crown did attempt to curb the blatant

confiscation of Native American land by issuing a decree in 1763 stating that the various Indian tribes were to be considered sovereign nations and therefore treated as nation states. The decree stipulated that the colonists could not just confiscate land, they had to enter into negotiations with the individual tribes. The outcome of the negotiations would be the signing of a treaty that stipulated the boundaries of Indian land. The treaties were frequently violated by the new American government whenever the settlers felt the need for expanding territory or when a previously designated territory was later found to be valuable. In 1830, President Andrew Jackson, signed the Indian Removal Act which expedited the confiscation of Indian lands by requiring that all Indian tribes living east of the Mississippi move to designated Indian territory west of the Mississippi. As a result of this Act, the Cherokee nation was forced to relocate to a designated Indian territory marching over 1000 miles in the dead of winter. It is estimated that 4000 of the 15,000 tribal members died of hunger, disease, cold, and exhaustion on that march known famously as the “trail of tears” (Farley, 2005).

There is little debate over the atrocious treatment that was meted out to the Native America population, and so today the reservations carry the scars of substandard life experiences such as high rates of poverty, unemployment, violence, suicide, poor quality of housing, limited educational opportunities, and inadequate health care. Once the British settlers established dominance in the region, all the social, political, economic, and other key institutions were set up to provide advantages for the dominant group while denying benefits to the subordinate group. This dominance has been exerted over all the succeeding groups entering the United States.

Immigrant Groups

The immigrants who now make up the population of the United States are different from one another in a variety of ways and they have followed varied pathways to get here. Their experiences during their sojourn here are shaped by their race, gender, culture, class characteristics, their countries of origin, and the timing of their arrival in the U.S. (History.com Editors, 2019). The significant takeaway from the contact between the Native Americans and the British settlers was that the settlers won the conflict and therefore became the dominant group, and that allowed them to install their way of life, control the social institutions and dictate the terms of interaction with all the other groups arriving in the United States.

White Ethnics

Northern and Western European immigrants were primarily English, Germans, Norwegians, Swedes, Welsh, French, Dutch, and Danes. These groups shared many similarities with the dominant Anglo-Saxon group including racial and religious

characteristics along with cultural and ideological values. These similarities played a major role in the overall positive reception they were afforded by the dominant group. Assimilation for them therefore was far less painful than for other incoming groups. The second wave of immigrants came from Southern and Eastern Europe and included the Irish, Italians, Poles Russians, Hungarians, Greeks, and Serbs. The relative ease of assimilation experienced for Northern and Western Europeans was not extended to the immigrants from Southern and Eastern Europe who were non-protestant, less educated and less skilled. They were the product of rural life and had not yet experienced the industrialized wave that had swept through Northern Europe. They settled in the cities and found work in plants, mills, mines and factories. The group experienced a high level of rejection and discrimination (Thompson et al., 2017). It should be noted that this wave of immigrants also included Jews who were specifically escaping religious persecution in Europe. Because of this they came as intact family units with the purpose of becoming citizens of the United States.

Latinos

With an estimated 16.3 percent of the total United States population, the Latino population is currently the largest minority group in the United States having surpassed the African American group for that distinction (Census Bureau, 2011). Latinos influence on United States culture dates back to the early days of **colorization** when a large portion of Mexico became part of the United States territory. However, the greatest impact has come from recent migration of various ethnic groups with diverse histories and cultures including Mexicans, Puerto Ricans, Cubans and other groups from South and Central America. Members of these groups do not want to be categorized as one homogeneous group; instead they prefer to use their national identity such as Colombian, Venezuelan, or Nicaraguan (Lopez, 2013).

African Americans

Contrary to popular belief, all ancestors of African Americans did not come to the United States as slaves; instead the first set of Africans started as indentured servants just like many White settlers at the time. The change of status to slaves was precipitated by the high demand for labor required by the plantation system at the time. White indentured servants had a contract that stipulated that at the end of the contracted time they would be free to start their own homestead with some help from their former owners. This high turnover of labor proved rather unprofitable for the plantation owners, so slavery was legalized, and all incoming Africans became the property of the plantation owners. The institution of slavery in the United States is well documented and the stain of this legacy has continued to haunt this nation until today (Equal Justice Initiative, 2018).

Asian Americans

As explained by Thompson et al. (2017), “the Asian American label lumps together more than a dozen ethnic groups with diverse histories, national origins, languages, religions and customs” (p. 269). Included in the label, Asian American, are over a dozen ethnic groups with diverse histories, national origins, languages, religions and customs. This group includes, Chinese, Japanese, Filipinos, Koreans, Indians, Pakistani, Sri Lankan, Vietnamese, and Cambodian. The astounding success of the Asians is widely recognized, particularly in business and education and they have been described as the “model immigrants”.

Recent Immigrants

Regardless of their country of origin, all recent immigrants share one important characteristic: they were not demanded to give up their native language and unique customs in order to live in the United States. They did not feel the burden of assimilation or, more precisely, Anglo Conformity. A major contributing factor is that these immigrants were able to consolidate the creation of ethnic enclaves which became self-contained communities where individuals who share a common heritage, language, and background elect to live together in the same neighborhood. Such enclaves are found all over the United States; from China-towns in New York and San Francisco, Little Italy in New York, Orthodox Jews in Brooklyn, Middle Eastern community in Detroit, Little Havana in Miami, Jamaica Hill in Lauderhill, the Venezuelans and Colombians in Weston, Florida. These enclaves are among the forces pushing the society to a more inclusive existence (Harvard Political Review, 2012).

The preceding historical account attempts to explain the diverse mix of groups that now call the United States home and traces the pathways the groups have followed to get here. It briefly outlines the patterns of relationships that existed among the groups and highlights the challenges the society now faces in its desire to have these diverse groups coexist to the extent where they can maximize the benefits of their unique cultural attributes. With the historical background and the universal principles as a firm foundation, it is easier to understand the social issues that remain in businesses after years of growth and setbacks. Attempts to uphold power continue on a political level, and evidence of such control in the economic social institution is widespread. The common notion of not being able to fix what you don't understand rings true in this situation, as ignorance about these significant patterns of control leaves room for misguided practices in every social institution. As we shift our focus to the business world, we find ongoing struggles for dominance through patriarchy and superiority in largely homogeneous workplaces where leadership positions continue to be disproportionately held by the same group that dominates the rest of society. In order to achieve any measure of success, concerted efforts

must be made to: (a) reduce ingrained racial, ethnic, religious, gender prejudices, stereotypes and discrimination, (b) assist individuals in moving away from an ethnocentric orientation to a cultural relativistic one, (c) dismantle structural racism that has sought to use the social institutions to generate benefits for the dominant group while at the same time denying those same benefits to minority groups, (d) provide viable educational and economic opportunities for individuals from disadvantaged groups, (e) ensure equal justice for all members of the society. These are some of the challenges that any worthwhile DEI initiatives must address. Through deliberate attempts, steps have been taken to help change the landscape and make **businesses** environments more diverse. While DEI training programs continue to be offered, they often miss the mark of having a lasting impact, because they typically serve as a **band-aid** that covers up the depths of the historical wounds. A comprehensive approach of personal and professional development deepens understanding and only then will proverbial bridges between people who in a diverse workforce stand strong. Embracing people of many different backgrounds, cultivates shifts from ethnocentrism to cultural relativism and White privilege to a racially and ethnically diverse shared existence. The next section will illustrate how businesses in the US have dealt with societal demands to become more diverse, equitable, and inclusive.

DEI in the Context of Employment

The focus on diversity in the workforce has shifted in recent years as awareness of its contribution to the workforce on different levels is spreading, and companies continue to abide by regulatory obligations which prohibit discrimination. Increased awareness about diversity should be no surprise because of changes in the population that result in an elevation of feelings of social responsibility, but also the pressure to abide by corporate and federal mandates (Katz, 2011). Historical efforts to define discrimination go back to the Civil Rights Act of 1964, when Congress created the US Equal Employment Opportunity Commission (EEOC) which was tasked with evaluating and defining what it actually entailed (Cloutre, 2019). The result was an Affirmative Action mandate in the US, which required employers to hire minorities, but the initial focus on race slowly shifted when the Americans with Disabilities Act was introduced in 1990 (Cloutre, 2019). The mandates resulted in work environments with people of diverse backgrounds which include, for example, categories of age, sexual orientation, and educational background.

When companies suffer financial hits because of lawsuits, they are quick to implement changes to prevent future repetition. New hires might have to sign arbitration documents that prevent them from joining class action suits which can cost the companies millions (Dobbin & Kalev, 2016). While companies in the US have diversified their workforce, widespread misunderstandings about equity and inclusion have resulted in a lag of the last two. Educating employees on diversity is often to abide by government regulations and avoid costly litigation. Companies usually

offer training modules that cover a basic overview of language and case studies as examples, but they only scratch the surface. While diversity training is important and a diverse workforce is a step in the direction of higher productivity, researchers point to the critical nature of a shift in focus to equity and inclusion. Companies need to go beyond diversity efforts to recruit and hire a more diverse looking workforce (Banham, 2018; Pullinger, 2020; Pleasant, 2017). Banham (2018) points at the benefits of more inclusive companies, that includes a more confident group of employees who increasingly share ideas that contribute to the success of the business. According to Banham, many companies have failed to create inclusive environments, despite becoming more diverse. Men are still 30% more likely to be promoted, regardless of the superior qualifications of their female counterparts. The reputation of the company can greatly suffer if lawsuits are filed and won, which is why companies often settle outside of court. According to Anand (2020) and Banham (2018), a proactive approach will also help the company prevent legal issues that could arise from discrimination lawsuits.

Anand (2020) stresses the importance of companies taking their efforts to the next level by not stopping at adjusting hiring practices to become more diverse, but by ensuring they also focus on inclusivity. Women should not just be hired, but they should be included in the decision-making process. Once the company embraces both, they will reap the benefits from the added creativity and innovation from the workers. In fact, Anand (2020) listed “productivity, quality, revenue, market share, absenteeism rates, employee retention and safety” as positive impacts of inclusion (p. 18). While there have been expanded efforts by companies to change policies, Anand warns that these are only effective if concerted efforts are made to implement them and when workers have an increased sense of belonging experienced.

Management Training for Effective Results

To successfully change the culture of the company, those in leadership positions should be trained (Banham, 2018) and structures of oppression within the company need to be dismantled (Chandler, 2020). Understanding ethnic and gender nuances within the organization will help leaders determine what they can put in place for improvement. Coaching might help to empower employees to bring their authentic selves to work, instead of attempting to conform to the “dominant paradigm” (p. 34). But as Bartlett (2017) and Chandler (2020) point out, single training sessions on implicit bias, which are sometimes offered to check off the box for diversity training, don’t seem to have a lasting effect on participants. Some dispute the effectiveness of measuring implicit bias, even though the IAT on the Harvard’s Project Implicit website is commonly used to provide evidence to respondents of their unconscious bias. The point is that these tests offer a great conversation starter, but they may not be a definitive source on how to measure it (Bartlett, 2017). Effective programs focus on management training first, to equip them with the tools to improve morale among employees. This, in turn, will boost their motivation and

at the same time ensure that the training programs are well received and don't evoke defensiveness and resentment (Chavez & Weisinger, 2008). Chavez and Weisinger strongly suggest that training should not only focus on physical identity differences, but they should include interpersonal variants like values, culture, behavioral or cognitive differences. In addition, Chandler (2020) cautions that race and gender tend to be the common metrics addressed in trainings that could be misconstrued as being tied into affirmative action requirements, but that it's essential to explore all the talent that employees bring to the table because of their differences.

Overall Benefits and Pitfalls of DEI Training

There are many benefits of DEI training, but Bezrukova et al. (2016) compared various types of diversity training over a span of 40 years and identified several factors that need to be in place in order for them to truly be effective.

- Simply offering one training has a short-term effect on the participants, and it is therefore critical that workshops combine discussions with lectures, and activities and are offered continuously for long term benefits. Such an integrated approach appears to be effective because it underlines managerial commitment which serves as motivation for the participants.
- Third-party contractors are better able to offer a non-biased approach to their training, but they need to conduct a preliminary investigation into the company to ensure that they will successfully target the relevant elements of diversity for that organization.
- Diversity training contributes to long term cognitive gains and may even get stronger over time when participants are exposed to cues.
- Behavioral and attitudinal changes are short lived and must therefore be refreshed over time.
- The length of training makes a difference in its effectiveness, and longer training allows for a more comprehensive approach as it allows the participants opportunity to practice and develop necessary skills and awareness.

An internal focus of companies on DEI is frequently highlighted, but the importance of who companies do business with can not be overlooked. Companies should expand their efforts to working with diverse vendors, such as minority-owned businesses. Katz (2011) highlighted a successful model of working with small businesses, which are not only easier to work with because there is less red tape, but they can also offer fresh innovative approaches that could increase the company's bottom line. The holistic approach of dealing with employees and seeking out diverse suppliers is the winning combination of social responsibility that boosts the image of the corporation, improves their bottom line, while at the same time creating a supportive employee base (Katz, 2011).

The pitfalls of DEI programs could come from rebellion by managers who feel that they are being forced to comply with corporate and federal mandates, and

Dobbin and Kalev (2016) explained that this resistance could have adverse effects. They suggest that managers are more likely to buy in if they are not blamed for failed practices, but instead their social accountability is promoted, and they are included in the development of successful programs. Dobbin and Kalev (2016) suggest that companies should relinquish some of their control and shift that to the managers, rather than follow old standards that mandate diversity trainings and enforce punitive action if such trainings are not taken. The result of a punitive approach is resentment and defensiveness that only makes the problem worse. Dobbin and Kalev (2016) mentioned that voluntary participation in the trainings yield more positive results as participants don't feel singled out or forced, but instead they feel motivated especially if they attribute their participation to personal values.

McKinsey (2020) outlined best practices from companies that have financially outperformed others in the field. The areas they had in common were that they all ensured that they had diverse talent on their teams; they didn't tolerate discriminatory behavior; their advancement opportunities were fair and transparent; leadership presence in diversity, equity, and inclusion (DEI) efforts; and they promote a culture of inclusivity.

Personal, Organizational, and Societal Benefits of DEI Training

Personal

The surprising benefit from DEI training, according to Chang et al. (2019), is that the exact focus on a particular metric for the training might not be the most critical aspect, but that employees who belong to these disadvantaged groups feel more empowered to seek out ways to get mentored and trained in order to prepare for the next advancement. Their research on the impact of DEI training showed significant attitudinal changes overall, and that marginalized groups were more empathetic towards other marginalized groups after going through training. For DEI training to be effective, Taylor (2017) suggests that a significant shift is required, which she calls "transformational diversity" training (p. 5). It is a mental shift whereby one becomes culturally competent and starts to rely on filters, which recognizes people as complex in their differences and contributions but doesn't qualify them as good or bad. Once this shift is widespread, Taylor explained that there will be rapid changes in benefits. When the work environment is perceived as non-hostile, employees are more likely to show up with their whole selves are more likely to share their creative ideas, be more innovative, feel more appreciated, which leads to higher retention (Banham, 2018).

Organizational

The 2020 McKinsey and Company Report on diversity and inclusion addresses the importance of companies taking steps towards more inclusion and diversity. Especially during times of societal crises, such as the global pandemic that started in 2019, the success and recovery from downturns of businesses are enhanced in companies that prioritize DEI. This is because diverse teams are better equipped to come up with radical innovation during unpredictable shifts in the company. The benefit of creating a work environment where minorities' feelings of being marginalized aren't perpetuated is critical, said Pleasant (2017). For this to be done successfully, companies should identify prejudicial practices of power and privilege, like racism and xenophobia, and implement ways to eliminate them. The result for the organization will be increased performance if all employees are engaged and feel included (Pleasant, 2017). Additionally, companies avoid lawsuits and a tarnished reputation by not enhancing their DEI practices, but more importantly, true gains come from having an inclusive environment that encourages unique ideas which ultimately contributes to business growth (Banham, 2018).

Diversity, equity, and inclusion efforts should be measured, and companies be clear about their commitment in their recruitment (Pullinger, 2020). A successful DEI program puts in place a written plan, implements strategies to achieve stated goals, and institutes monitoring mechanisms to measure and maintain goal achievement. Not only will the company's reputation benefit and be more profitable, they will also notice increased employee retention, engagement, innovation and decision-making. Tesla's (Tesla, 2020) approach to attract diverse talent is achieved by their intentional hiring efforts that include recruitment at, for example, Historically Black Colleges and Universities, as well as offering training through an internship program designed to enhance technical and professional skills. Banham (2018) warns though, that the long-term benefit of being more inclusive might be difficult to measure but keeping track of original ideas offered by the diverse workforce might create a good written record to evaluate frequently. While many organizations have adopted policies for change, the managers have to model change in their behavior and internal audits should be done to evaluate the success of DEI programs (Chandler, 2020).

Societal

Unjust treatment of individuals that make news headlines serve as reminders that societies have a long way to go. Organizations in the United States tend to have knee jerk reactions by offering racial sensitivity and implicit bias workshops. But as Weissmark (2020) explained, participating in cancel culture and finger pointing only leads to posturing and shame, but doesn't make the culture more inclusive. Her solution is to encourage conversations by people who hold different views, and to

engage in scientific reasoning by exploring both sides and researching facts. This can create a more inclusive culture, where finding the truth through scientific reasoning leads to better understanding. As McKinsey pointed out in their 2020 report, a time of crisis offers an incredible opportunity for companies to enhance their dedication to diversity and inclusion by supporting minority employees that might be disproportionately affected by the risks caused by the pandemic.

Recommendations for Successful DEI Programs

After the initial DEI process is set in motion, follow-up activities are required to implement the remaining steps.

1. Because the primary social institutions play such a critical role in systemic (structural) racism, further discussion is warranted especially in the implementation of staff development programs.
2. The company should continue its efforts to integrate DEI policies in its day to day business practices, so the process remains holistic.
3. Any staff development training should be preceded by a comprehensive survey to establish baseline measures both in terms of diversity characteristics and inclusive profile.

Conclusion

Unfortunately, a perfect conclusive DEI training program will never exist, because of the evolutionary volatility of its components. The geopolitical climate and characteristics of the business environment should dictate the focus of such programs, but success can only be achieved with a long-term, customized approach that gets adjusted along the way as shifts happen. Sustainable, transformational workplace changes require intentional and consistent efforts that move beyond diversity to equity and ultimately inclusion.

Key Chapter Takeaways

- The Noel Hypothesis explains what happens when unlike groups occupy the same geographic area. Noel contends that when ethnocentrism, competition, and power differential are present the result will inevitably be racial and ethnic stratification.
- Societies go through various stages once a group establishes dominance. The practices can range from genocide, expulsion, and slavery, to segregation, assimilation, pluralism, and beyond pluralism. In the last mentioned stage, groups coexist, respect and intentionally interact with each because by so doing they enhance their own culture and benefit society as a whole.

- In the business world, we also find ongoing struggles for dominance through patriarchy and superiority in largely homogeneous workplaces where leadership positions continue to be disproportionately held by the same group that dominates the rest of society. In order to achieve any measure of success, concerted efforts must be made to: (a) reduce ingrained racial, ethnic, religious, gender prejudices, stereotypes and discrimination, (b) assist individuals in moving away from an ethnocentric orientation to a cultural relativistic one, (c) dismantle structural racism that has sought to use the social institutions to generate benefits for the dominant group while at the same time denying those same benefits to minority groups, (d) provide viable educational and economic opportunities for individuals from disadvantaged groups, (e) ensure equal justice for all members of the society.
- Understanding ethnic and gender nuances within the organization will help leaders determine what they can put in place for improvement. Yet, single training sessions on implicit bias, which are sometimes offered to check off the box for diversity training, don't seem to have a lasting effect on participants.

Reflective Questions

1. The life chances, as reflected by such indicators as; poor housing, high rates of unemployment, limited educational opportunities and inadequate health care, are clearly quite dismal for Native Americans. What can be done to improve conditions on the reservations and in the larger society?
2. Given the history of race relations in the United States, what are your expectations that organizations can provide a productive, fair, and equitable work experience for all their workers?
3. What key indicators would you use to measure the effectiveness of an organization's DEI program. Explain why you have chosen those indicators?
4. How should a manager respond to comments that are perceived as micro aggressions? How can micro aggressions impede inclusion efforts?
5. To what extent have you (or others) attempted to hide your true self in order to be accepted by colleagues?
6. What is your commitment to supporting DEI efforts on a personal, professional, and societal level?

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Chapter 28

Taking Meaningful Action Against Racism in the Time of Climate Change



Elizabeth Gingerich

Introduction

Even as the dust began to settle after COVID-19 sent most of the world indoors, two issues facing humanity for immediate action and remediation became well-defined: the scourges of racism and climate change. Indeed, these topics have been around for decades, even centuries. But witnessing the 9-minute tortuous death of George Floyd in Minnesota on May 25, 2020, and shortly thereafter the destruction of nearly 9 million acres in the Southwestern U.S. by wildfires began to reveal the insidiousness of delay and disregard.

Incontrovertibly, displacement and exploitation of people of color and the increased funneling of carbon and other greenhouse gases into our shared atmosphere, were well established at the time of the Industrial Revolution (1880–2010) and have now propelled the U.S. – and the world – to adopt a reform-or-perish plan of action. As a captive audience, we are besieged by weather reports indicating unprecedented heat waves, hurricanes, droughts, and flooding, but any progress to implement authentic mitigation efforts remain forthcoming. Concomitantly exposed is the disparate treatment of, and opportunities available to, historically-marginalized communities. The ascendancy of the *Black Lives Matter* movement became a mainstay worldwide, exposing the inequities of healthcare services, housing opportunities, and educational initiatives to people of color which have only been exacerbated by extreme weather events. Data demonstrate that these same underserved communities are often more harshly impacted by climate-related disasters – from Hurricane Katrina’s devastation in 2005 throughout the Lower 9th Ward in New Orleans to the streets of Houston flooded by Hurricane Harvey in 2017.

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While climate change and racism have multi-faceted origins, their inextricable linkage today is undeniable. One inescapable conclusion from even a peripheral review of the dual subjects is that climate action and racial justice must be implemented alongside those people who are most affected and vulnerable. As the primary victims of a warming planet are largely marginalized communities, regions, and even nations, lowering carbon levels and building regenerative economies must involve their input and guidance.

Climate Change Indicators

Given the dire predictions of unmitigated climate change – i.e., the death and displacement of millions of people across the globe, abject poverty, famine and drought, floods, and rising ocean levels – both public and private stakeholders agreed to join together in Paris in 2015 to craft universal climate action, an integral part of which addresses racial disparities. According to the United Nations Framework Convention on Climate Change (UNFCCC), the primary objectives of the Paris Agreement were to:

1. *Hold the increase in the global average temperature to below 2 °C above pre-industrial levels and to pursue efforts to limit the temperature increase to 1.5 °C above pre-industrial levels;*
2. *Increase the ability to adapt to the adverse impact of climate change and support climate adaptation and low greenhouse gas emissions development; and*
3. *Make financing consistent with a pathway towards low greenhouse gas emissions and climate-resilient innovation.*

The Paris Agreement's signatories left with a commitment to expedite efforts to move to lower-carbon economies. Those nation-states regarded as emerging economies were not expected to design and deploy similar strategies at coordinated time-tables as many were themselves the greatest victims of climate change. These least developed nations additionally face the multi-faceted challenge of controlling greenhouse gas emissions while reducing dependence on foreign sources of energy, growing their own economies, and solidifying national security interests. Although the U.S. left the Paris commitments in 2017, on January 20, 2021, newly-inaugurated President Joseph Biden signed an Executive Order bringing the U.S. back into the Agreement. On April 22, 2021, the new administration pledged even further to reduce U.S. greenhouse gas emissions by at least 50% by 2030 in order to aggressively combat climate change – while involving its most vulnerable citizens in the process (Newburger, 2021).

Years of unregulated extraction and fossil-fuel use have marked the emergence of routine, often cataclysmic weather events. Present-day fossil fuel gluts and shortages, catastrophic oil spills, poisonous methane leaks, and fracking-based earthquakes have created an existential threat throughout the world, but is concurrently triggering the widespread acknowledgement of planetary degradation and species.

Anthropogenic climate change, a term commonly used interchangeably with “global warming” as well as “the greenhouse effect,” specifically refers to the buildup of man-made gases (primarily carbon dioxide, methane, and nitrous oxide) in the atmosphere that trap the sun’s heat, causing changes in weather patterns on a global scale. The effects include changes in rainfall patterns, drought, biomass loss, extinction of animal and plant species, the bleaching of marine reefs, sea level rise, and heat stress.

According to world climate scientists and bodies including the National Oceanic and Atmospheric Administration (NOAA), the National Aeronautics and Space Administration (NASA), the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Environment Programme (UNEP), the World Health Organization (WHO), and myriad scientific groups:

- CO₂ levels are greater now than at any time in the last 800,000 years, predominantly caused by anthropogenic (man-made) activities (NOAA, 2021).
- Every ecosystem in the world is currently in decline, and traces of mercury have been found in fish from every body of water on Earth (NASA, Global Climate Change, 2021).
- Asthma rates in children are increasing precipitously and over 80% of all new cancers stem from nonhereditary factors, disproportionately impacting minority populations (WHO, 2021).
- Extreme weather events have increased in intensity and frequency and have killed or displaced millions of people worldwide, causing billions of dollars in physical damages with insured losses in 2020 in the U.S. rising to a record high. [With respect to economic losses alone, the National Centers for Environmental Information (NCEI), the agency charged with putting severe weather events into historical context, reported that a new U.S. annual record was reached in 2017 when there were 16 separate major disasters, with losses exceeding \$1 billion per event (NCEI)] (NCEI, 2021).
- Sea levels are rising due to melting ice sheets diminishing coastal shorelines with whole island chains, especially in the Indian and Pacific Oceans, on the brink of disappearing altogether (UNEP, 2021).
- The last decade was the world’s hottest on record with 2016 listed as the hottest year yet. Both NASA and NOAA reported that 2019 was the second hottest year in world history with global temperatures, rising, on average, a full degree Celsius over that of the mid-1900s. July of 2021 was the hottest month ever recorded. On June 22, 2020, temperatures in the Arctic Circle hit an all-time record, reaching a blistering 100 °F (38 °C) in Verkhoyansk, a Siberian town. In the U.S., Death Valley National Park reached 131 °F (55 °C) on August 17, 2020 – a new record (NASA, 2021; NOAA, 2021).
- The world population of 7.8 billion is predicted to reach 9.7 billion by 2050 – with the majority of population increases occurring in minority-populated nations (UNFCCC, 2021).

- Deforestation has resulted in intense crop destruction and has additionally brought humans and animals closer together, resulting in more zoonotic-related diseases (UNFCCC, 2021).

An unprecedented number of hurricanes hit the U.S. in 2017. The greater Houston area, one of the primary places used for resettlement for many Black victims of Hurricane Katrina in 2005, was swamped with over 60 inches of rain dumped by Hurricane Harvey. Then Hurricane Irma slammed onto the state of Florida – the death toll there alone registered at 123. Closely following on the heels of Irma, was Hurricane Maria, the strongest storm to hit Puerto Rico in 85 years. After rolling into the lesser Antilles in the Caribbean as a Category 5 storm, on September 20, 2017, Maria made direct landfall on the island and the U.S. Virgin Islands, heavily damaging the power grid system and causing entire power outages throughout the two territories. Even by mid-2018, only 65% of power had been restored. Landfills, already at capacity before the storm hit, were overwhelmed with no place to put the overflow (NOAA, 2017). The death toll from this hurricane in Puerto Rico alone was initially listed as under 500 but raised to 4600 by a Harvard research study, released on May 29, 2018 (Harvard FXB Center, 2018). By far, these collective events hit populations of color disproportionately hard.

The growing devastation of climate change was reflected by the destruction of lives and property in the 2020 Western U.S. Wildfires. While each year brings the risk of wildfires to many areas of the United States and Canada, especially between the months of August and November, the 2020 season was record-setting for the states of California, Oregon, and Colorado. Collectively, there were over 52,113 wildfires that burned close to 9 million acres (approximately 2.3 million more acres burned than the 10-year average) (Center for Disaster Philanthropy, 2020).

During this same period of time, the 30th named storm in the Caribbean Sea landed on the Gulf Shores, propelled by warming ocean temperatures and rising sea levels – all indicating a more intense pattern for the future. The 2020 season broke early, triggering storm surges, flooding from the Yucatan Peninsula of Mexico to North Carolina's coastal shore, and spinning off tornadoes. Hardest hit was the Gulf Coast of Louisiana, especially in the predominantly-Black populated Lake Charles area, where Hurricane Laura landed in late August as a Category 4 hurricane, killing 77 and overall causing at least \$16.1 billion in damage. A substantial portion of the city was left without drinking water and power for months and operations at its substantial oil refineries were temporarily halted (Rojas et al., 2020).

Origins and Markers of Racism

The colonization of the Americas, Asia (including Oceania), and Africa – gained either through settler migration or direct commercial control and imperialistic rule – revealed a time when Western colonizers exploited both indigenous peoples and their natural resources while forging key trade routes with minimal infrastructure

spending. Local populations were expelled, enslaved, or killed and resources such as mineral deposits, raw materials, pelts, lumber, rubber, ivory, precious stones, and agricultural products were confiscated and placed into the stream of cross-border trade with little to no benefits inuring to native peoples (Hoogvelt, 2001). In America, indigenous populations were killed and their land stolen – those who remained were confined to reservations consisting of largely worthless land. Even treaties were systematically breached – as evidenced by the federal government’s agreement violations when the prospect of gold extraction in the Black Hills of present-day South Dakota was realized.

From a global perspective, the result of colonization and wholesale economic and political dominance subjected citizens of many least developed countries to the involuntary tutelage of larger sovereign powers. They now find themselves the greatest victims of climate change – largely due to the consumption practices of wealthier nations. Researchers and intergovernmental agencies have classified “more than 10% of countries as ‘free riders,’ ranking in the top fifth in terms of emissions and the bottom 20% in terms of vulnerability. These countries include the United States, much of Europe and Australia” (Worland, 2016). Moreover, they face the collective challenge of controlling greenhouse gas emissions while reducing dependence on foreign sources of energy, growing their respective economies, and solidifying national security interests (Gingerich, 2018).

In the US, this confluence of racial injustice and climate change exigencies is shown in several service sectors.

Housing

Access to affordable housing alludes a disproportionate percentage of minorities of color. Even when gains have been made, they have been devastatingly vanquished. *Black Wall Street* is a prime example within the last century of this tragic phenomenon. Here the acquisition of business and home ownership by Black community members was violently thwarted by white armed rioters on May 31, 1921 in Tulsa, Oklahoma. Black residents had created the Greenwood District in Tulsa, developing land formerly designated as Indian Territory and creating a bustling economic and cultural hub. On that day, over 300 Black residents were murdered, 10,000 left homeless, and 35 square blocks of homes, businesses, schools, and churches looted and burned. To this day, no arrests have been made nor reparations provided (Sullivan, 2021).

Currently, there is a housing shortage in the U.S., propelled by speculative buying and the rising cost of supplies. Those fortunate to capitalize on existing inventory and historically-low mortgage interest rates have largely excluded minority participation. The pandemic revealed the stark existence of low opportunities for home ownership by people of color with higher rates of evictions and homelessness than compared to non-whites. These circumstances expose many to situations of greater outdoor exposure and/or lack of proper ventilation, air conditioning, and

heating systems to cope with ever-increasing heat waves and cold spells. The unprecedented, massive winter storm which impacted substantial areas of Texas in February 2021 exposed its victims to the lack of back-up generators (to supplement a failed independent energy grid), carbon monoxide poisoning (mainly from those attempting to derive heat from their vehicles), poorly-insulated and constructed homes, and even hypothermia, claiming the lives of at least 200 people from predominantly underserved minority populations (*Houston Chronicle*, April 1, 2021).

Income inequality directly contributes to the disparities in homeownership rates. The economic disruption of the pandemic has shown that the rise in sales in the housing market is largely a result of millennials, mainly white, who are creating new households primarily outside of urban centers. That same disruption has concomitantly widened the already substantial inequalities in income and wealth in America which, in turn, has reduced longer-term demand for housing (Harvard, 2021). Individuals who weathered the crisis without severe financial distress are snatching up the limited inventory of homes for sale, driving up prices, and further excluding less affluent buyers from acquiring homeownership. Concurrently, millions who sustained income losses during the economic shutdown are behind on their housing payments and even on the brink of eviction or foreclosure, despite the rounds of government economic assistance distributed. A disproportionately large share of these at-risk households are renters with low incomes and people of color, comparatively “with the median household income of white renters (\$45,000) in 2019 some 40 percent higher than that of Black renters (\$32,100) and 7 percent higher than that of Hispanic renters (\$42,000)” (Harvard, 2021). With respect to other income comparisons, data show that among households earning 50–80% of area median income, just 38% of Black, 43% of Hispanic, 56% of Asian, and 53% of Native American households owned homes, compared with 64% of white households (Harvard, 2021). Saving for a down deposit and closing costs is made all the more difficult for renter households of color – regardless of assistance from family members. Pursuant to a *Survey of Consumer Finances* data, the median net wealth of Black renters was just \$1830 in 2019 – “a fraction of the \$6000 median for Hispanic renters and \$8300 median for white renters.” Additionally, only 8% of Black renters and 12% of Hispanic renters had more than \$10,000 in cash savings, compared with 25% of white renters (Harvard, 2021).

The number of people experiencing unsheltered homelessness in America was on the rise even before the pandemic. In January 2020, the US Department of Housing and Urban Development (HUD) released its household figures, showing the number of homeless persons at 580,000, “up nearly 13,000 from a year earlier and up more than 30,000 from the post-recession low in 2016” (Harvard, 2021). The majority of people experiencing homelessness was centered in the Western and Sunbelt states, including Florida, Texas, and California. The government response has been, in part, to create shelters, both temporary and permanent, often from converted hotel rooms. Part of the *American Rescue Plan of 2021* does allocate funding to extend this program.

Improving the energy efficiency and resiliency of housing is a critical priority as the full ravages of climate change surface, and especially since residential energy

use accounts for a fifth of all the U.S.'s greenhouse gas emissions (EPA, 2021a). Additional government support is needed for climate mitigation programs that support at-risk communities in efforts to improve the resiliency of their housing inventories. Federally-backed home mortgage companies Freddie Mac and Fannie Mae – historically entities which have dominated the secondary mortgage market – together with the residential insurance sector, are collectively attempting to quantify climate change. They are reducing to numerical calculations what mortgage default risks would exist in certain areas more prone to extreme weather events, including hurricanes, flooding, droughts, sea level rise, and wildfires.

Today, people of color are experiencing a plethora of obstacles making entering the housing market nearly impossible. Interest rates have generally ticked up for those with poor credit histories and Fannie Mae and Freddie Mac have not substantially intervened with more equitable initiatives and incentives. With such high housing prices and a dwindling inventory, the cost of even insuring premises is formidable, especially when most standard insurance policies do not offer flood insurance. Those in the Lower 9th Ward in New Orleans discovered this way too late and many became the first documented climate change refugees in the U.S., with many migrating to the greater Houston area. Twelve years later, Harvey slammed into the Gulf Coast in late August 2017, dumping 27 trillion gallons of water and submerging nearly a quarter of the entire metropolitan area. Those positioned closest to coastal areas and without insurance protection suffered the heaviest losses and were primarily communities of color (Sadasivam, 2021).

On climate and housing, the Federal Housing Finance Agency (FHFA) has been overseeing the operations of Freddie Mac and Fannie Mae since the financial crisis of 2007–2008 to formally examine the risks climate change is bringing to the housing market. Its current challenge is to propose a workable solution that both delineates climate risks “while fulfilling its mandate to ensure the availability of affordable housing for low-income borrowers” (Sadasivam, 2021). The creation of uniform mortgage lending standards in response thereto could lead to property values declining in high-risk areas that are often home to people of color, thereby channeling at-risk homebuyers into the very communities most susceptible to climate change. Declining home valuations might severely impact existing homeowners of color “who purchased their houses when these risks were not as well understood could experience downward mobility” (Sadasivam, 2021).

Undoubtedly, there is a need for transparent and standardized data on risks stemming climatic change as it specifically impacts the housing industry. But a history of housing discrimination, now exacerbated by the forces of climate change, may make meaningful progress short-sighted. Several instances in the past help to clarify that working reality today.

Watts, Los Angeles, CA Lack of equitable housing opportunities for people of color traces its roots back to slavery. After years of Jim Crow laws and redlining, the disparate situation has been further revealed. The gap in access to decent housing was brought to the surface in Los Angeles during the Watts Riots. Massive street protests in 1965 were ignited after Dr. Martin Luther King, Jr. declared that “the

struggle of those living in and around the neighborhood was an ‘environmental and not racial’ problem stemming from ‘economic deprivation, social isolation, inadequate housing, and general despair’” (Mahoney, 2021). Over half a century later, the problems are still widely prevalent as the *California Office of Environmental Health Hazard Assessment* reported that over the last 5 years, the area’s poverty rate had ballooned to 2.5 times more than the national average with life expectancy being 10 years shorter compared to more affluent enclaves within West Los Angeles. It is this same region which is beset by the state’s most volatile environmental hazards (CA OEHHA, 2017).

One section of this neighborhood houses a 20-mile-long freight rail line leading to the Port of Los Angeles which involves more than 14,000 trains, which collectively are responsible for thousands of tons of air pollution each year. This is adjacent to the Jordan Downs Housing Project within the larger Watts area. Southern Los Angeles is also home to Atlas Iron and Metal, an industrial site that is currently part of the federal EPA Superfund program – devised to clean up sites of large-scale hazardous contamination. The housing complex is marked by foul, undrinkable water and substantial swaths of its walls, roofs, and railings have been found to contain high levels of lead paint and asbestos. According to *Environmental Protection Agency* data, the region’s air pollution is worse than 98% of the country (EPA, 2021b) “and its proximity to harmful industrial polluters has been the center of multiple lawsuits from community members, state agencies, and the local school district” (Mahoney, 2021). It was this historically majority-Black public housing site that was at the center of both the Watts rebellion and the 1992 L.A. riots. Currently, the community demographics of the larger Watts area are 64% Latino and 35% Black, with a number of Black residents having left the region altogether (Statistical Atlas, 2020).

Better news might be on the horizon, however, for the housing complex in Watts. A venture has been created, funded by several state and federal agencies along with two private companies to turn the Jordan Downs into a mixed-income community housing project to provide affordable housing for more than 700 additional families. Part of the plan includes the installation of additional green space, the replacement of older, lead-laden structures, the introduction of fresh food options (including funding for a 2.5-acre urban farm), and updated and increased public transit to various employment hubs across the city (Mahoney, 2021).

Healthcare

Many of the minority-based communities in the U.S. who have been most impacted by COVID-19 as well as by air pollution-causing respiratory ailments, have coincidentally been those most impacted by extreme weather events. COVID-19, a respiratory ailment itself, proved to be deadlier with people of color, many of whom were already suffering from compromised immune systems often caused by air pollution.

Impoverished, minority communities are long-term victims of the early repurposing and development of America, marked by the removal of carbon-absorbing trees, the tainting of water systems, and the disturbance of ecosystems. This exploitation of both people and resources began the endeavor of building a capitalist society – channeling resources and power to affluent, largely white sectors while leaving millions in precarious situations.

Ever present, but continually glossed over, is the disparate treatment of, and opportunities available to, people of color. The filmed killing of George Floyd in the Spring of 2020 – with the whole world watching – brought to light centuries of abuse and denial of rights to those who originally established the American economy. This systematic pattern of injustice has extended to the unequal provision of basic services – housing (as discussed above), education, transportation, occupational choices, workplace treatment as well as healthcare services. The pandemic has been deadlier in people with preexisting health conditions, particularly those comorbidities which weaken lungs and disable immune systems. Thus, it is not surprising to learn that the virus has disparately impacted the poor and communities of color – a large percentage of whom were already afflicted by respiratory ailments associated with exposure to air pollution.

Environmental degradation has been manifested throughout the country as indicated by EPA Superfund clean-up sites. Residents of these areas have largely been people of color and have been left to bear the brunt of environmental contamination, including the treatment of serious health impediments. For example, in 2014, the U.S. Department of Health and Human Services (HHS) reported that Americans were already more than 3 times likely to die from asthma-related causes and three years later, the NAACP reported that Blacks were exposed to air that was 38% more polluted compared to white Americans (NAACP, 2017).

As temperatures climbed across the West-Northwestern states in late June, 2021 – breaking temperature records over a century old – so did pollution readings in places including Southern California and Texas as well as the cities of Seattle, Portland, Spokane, Phoenix, and Denver (Denver in the middle of June peaked at near 100 degrees for 5 consecutive days – more than 20 degrees above normal). Over 40 million Americans were affected by temperatures soaring above 100 degrees Fahrenheit. In fact, in Phoenix, the *Arizona Department of Environmental Quality* advised that people limit their time outside as ozone pollution levels reached marks dangerous for public health, potentially increasing the number and severity of asthma attacks (ADEQ, 2021). Those partially or fully exposed to the elements, including the homeless and those without air conditioning or adequate ventilation, were disproportionately people of color (Root, 2021).

According to the EPA, ground-level ozone pollution forms when heat and sunlight trigger a reaction between two other individual pollutants, nitrogen oxide and volatile organic compounds (VOCs). These elements emanate from vehicles, industrial facilities, and oil and gas extraction activities. This, in turn, produces heat domes and sustained high temperatures, making ozone pollution areas more likely to form and more difficult to remediate. Severe drought and heat have also increased the risk of wildfires – as has been witnessed throughout the Southwest in the past

decade – which render air quality worse as smoke elevates levels of fine particulate matter (i.e., soot). Higher ozone and soot levels can trigger acute respiratory ailments, increasing the risks of severe asthma, heart attacks, and diabetes (EPA, 2021c).

NOAA reports that heat waves are now the deadliest weather phenomenon in the U.S. as compared to both hurricanes and floods, causing an average of 138 deaths per year since 1991 (NOAA, 2021). One of the deadliest documented heat waves occurred in Chicago in 1995, claiming 739 lives – predominantly those who were Black, elderly, had compromised immune systems, and lacked access to air conditioning evacuation centers (Cusick, 2020).

Rising temperatures throughout the world have shown that on average, more than a third of all heat-related deaths globally are due to a changing climate. These effects have not been mitigated and are not equally distributed in the world. The most obvious public health risk from heat waves is the risk of heat exhaustion or heat stroke, especially for those who work outside, including agricultural and construction workers, people experiencing homelessness, and those living with poor ventilation or without air conditioning, and residents of nearby petrochemical and fossil-fuel-burning industries. Again, as heat typically produces bad air quality, myriad dangers are posed (Osaka, 2021). People of color have disproportionately shouldered the burden of serious medical problems which are being compounded by rising surface temperatures. America's legacy of extraction, exploitation, and racial injustice has exposed the dual need to fuse climate action with racial justice as a “transition to a low-carbon future is connected to workers' rights, land use, [and] how people are treated” (Gardiner, 2020).

Documented cases of health risks due to increased air, water, and land pollutants include what has recently occurred following the 2019 wildfires in California. Throughout the summer and fall months of that year, California's largest utility, PG & E, took preemptive measures to avoid further wildfire destruction in areas where the company's grid operations were located. The planned blackouts have had – and will have – far-reaching effects on households that lack back-up generators, directly impacting those with health conditions who are treated with oxygen, medical apparatuses, and refrigerated medicines (PG & E, 2020). These planned power outages are not predicted to subside, especially as heat waves are occurring in the middle of a decade-long drought.

Also in California, the cities of Bakersfield (according to the Census Bureau, predominantly Latinx, 2020b) and Los Angeles continue to rank among the nation's leaders in ozone pollution – primarily due to tailpipe emissions – pursuant to American Lung Association data (ALA, 2021). In recent years, efforts are being made both in and around these urban areas to battle harmful pollution levels with the construction of new solar and windmill farms and energy-storing substations.

On the East Coast, other incidences of air pollution are wreaking havoc on certain minority communities. For instance, in 2019, one Philadelphia neighborhood experienced an oil refinery explosion that discharged thousands of pounds of dangerous hydrofluoric acid into the atmosphere, forcing many to evacuate their homes. Levels of these deadly chemicals, known to cause both leukemia and lymphoma especially in children, are still present today (Phillips, 2021).

Environmental Racism

To properly and accurately assess the full impact of climate change in order to effectively tackle rising greenhouse gas levels, the disparate impact of its consequences on communities of color must be examined. The planet has been destabilized by anthropogenic or human activity, producing planet-warming gases, and both the perpetrators and victims must be accurately identified. Scientific studies throughout the world indicate that those who are being negatively impacted are people of color (Kaplan, 2020). Kaplan notes that:

One study published last year in the Proceedings of the National Academies of Sciences found that Black and Hispanic communities in the U.S. are exposed to far more air pollution than they produce through actions like driving and using electricity. By contrast, white Americans experience better air quality than the national average, even though their activities are the source of most pollutants. Another paper in the journal Science found that climate change will cause the most economic harm in the nation's poorest counties; many of those places, like Zavala County, Tex., and Wilkinson County, Miss., are home to mostly people of color.

There is an ostensible inexorable connection between climate change and racial injustice. The devastation in New Orleans in 2005 bears this out. According to a study by the *Joint Center for Political and Economic Studies*, more than 30% of Black New Orleans residents did not own cars when Hurricane Katrina hit – making it almost impossible to evacuate. Following the storm's aftermath, the city's Black population suffered substantial losses and many of those who did manage to flee could not afford to return. Over 1100 people were killed and many more displaced by the hurricane. The Lower 9th Ward was decimated and largely Black bodies were retrieved as the waters subsided. Race invariably matters with respect to the effects of climate change. America alone has witnessed the disproportionate harm experienced by both Black and Brown victims of major weather events; the high percentage of Latinx farmworkers and construction laborers who suffer from, and often succumb to, excessive heat conditions; and the high percentage of Indigenous lands contaminated by fossil-fuel infrastructure projects such as the Keystone Pipeline.

The common origins of racial subjugation and increasing environmental degradation date back to colonial times. From the time of colonial rule to the present day, predominantly white populations have engaged in the exploitation of natural resources and the enslavement of domestic peoples. The dual rise of global warming and racism has been deeply embedded in a philosophy of superiority – the dominator's sense of absolute privilege justifying the relegation of minorities to an inferior status and resources to unlimited use. This *modus operandi* necessarily restricts opportunities for growth and participation and stymies the comprehensive input needed to adequately address these coexisting evils.

The conviction of their own claims of racial and cultural superiority and the justified need to “civilize” peoples throughout the centuries have further created a numbness to the suffering inflicted upon marginalized communities. Colonization by largely Western Europeans displaced or killed millions of Indigenous peoples,

degrading and dismantling their sustainable way of life that existed in harmony with the natural world. The Industrial Revolution – and its associated greenhouse gas emissions – arose from the labors of an enslaved or indentured Black workforce. These phenomena were the unmistakable outcome of unbridled greed and unregulated capitalism. Today, unchecked consumerism persists and has generated “spectacularly high carbon footprints both in terms of personal lifestyle and professional influence on consumption culture” (Andrews, 2021). With historical origins firmly rooted in the pursuit of extraction, materialism, dominance, and individualism, today’s wealth accumulation, increased spending, and high consumption rates have generated a drastically high carbon footprint. According to *Oxfam* and the *Stockholm Environment Institute*, currently, the richest 1% percent of the world’s population is responsible for more than twice as much carbon pollution as the 3.1 billion people who comprise the poorest half of the planet, with approximately half of these top emitters residing in North America or European Union (SEI, 2020). While people of color (excluding those from Middle Eastern nations) are ill-represented in this upper echelon, they inordinately make up the largest sector of victims: “The trade-off for this economic treadmill is you basically sacrifice those who are at the bottom and not part of the consumption patterns ... And those who have the keys to success, they are pushing the pollution back off on others” (Andrews, 2021).

In the present day, communities of color continue to suffer the environmental consequences of the unbridled consumerism of the very wealthy. “Asian, Black, and Hispanic Americans breathe more polluted air than white people do – which is by design. Highly polluted shipping warehouses, industrial facilities, and highways have all been systematically installed in non-white communities. And it is no secret that white-controlled governments have worked very hard to suppress votes from people of color to keep them from reshaping this system” (Andrews, 2021). And Americans are indeed witnessing this systematic approach to restrict access to the polls, state by state.

In many communities, overpopulation and overconsumption are exacerbating the consequences of climate change. The U.S. Census Bureau revealed in 2019 that while the United States had a population of approximately 329 million (about 4.5% of the world’s population), it consumed more than 20% the world’s nonrenewable resources, making it one of the highest greenhouse gas emitters in the world. (While China moved beyond the United States in 2007 as the country with the highest carbon emissions, it has a population of 1.39 billion, roughly four times that of the United States) (US Census Bureau, 2020a). Energy consumption is also high in Canada, Russia, Australia, and the EU countries – predominantly comprised of white or Caucasian populations (BP, 2020). This changing market of consumption is a direct by-product of the Industrial Revolution, demarcated by a series of transitions including the move from wood to fossil fuels and horse-drawn carriages to combustion-based vehicles.

Cases

Detroit (2021) In June 2021, residents protested the construction of a new automobile-manufacturing facility in southeast Detroit, as the predictions were that this new assembly line would compound air pollution levels in largely Black neighborhoods. Already housing a recently expanded Detroit Assembly Complex, local residents complained of foul-smelling air, loud noises throughout the day and night, earth-shifting vibrations (which are apparently destabilizing structural foundations), and exacerbated respiratory issues. These auto lines are owned by Stellantis, the fourth-largest automaker in the world, which had been created from the merger of Fiat Chrysler Automobiles (FCA) and Peugeot-maker PSA Group in early 2021 (Brooker, 2021).

While the new facility is predicted to create about 5000 jobs, “the complex sits within a low-income and majority Black community in southeast Detroit that is already plagued by pollution from nearby industry, including a General Motors assembly plant, two metal processors, and two major highways that run through the area” (Brooker, 2021). And as part of the approval process for this expansion, Stellantis had to ensure that its operations were not increasing overall emissions in the area. The EPA has classified this area of Southeast Michigan as a nonattainment region for ozone levels. Thus, regulations have prohibited any additional activities to occur which would produce ozone. In compliance, Stellantis pledged to reduce emissions from its existing plant in nearby Warren, Michigan, a mostly white, higher-income city. Specifically, Stellantis agreed to reduce its emissions in Warren by 10% “plus the amount the expanded Detroit facility will produce” (Brooker, 2021). The company has basically chosen to reduce harmful air pollutant emissions in a mostly white-populated suburban area in order to increase them in a majority Black neighborhood in Detroit.

Residents remain skeptical about green initiative plans announced by the company. Although Stellantis is required by state and federal regulatory authorities to prove its compliance with emissions limits of pollutants at all of its factories, its efforts have been, and remain, self-reported. This reality helps to explain why in 2019 the company was sued by federal regulators for “tampering with technology to produce lower emission results, culminating in an \$800 million settlement. FCA was also recently found guilty of bribing union leaders, resulting in a \$30 million dollar settlement” (Brooker, 2021).

Flint, Michigan The City of Flint had formally earned the reputation of being a bustling residential and commercial area outside of Detroit, housing a large portion of General Motors’ operations. As GM downsized, however, much of the populace migrated, leaving the remaining citizens to impoverished circumstances and crumbling infrastructure. Over the last decade, the racial composition of Flint has been shown to be over 55% Black (U.S. Census Bureau, 2021).

As each metropolis in Michigan traditionally has had its own comptroller to decide the financial decisions for that particular town, Michigan took an unusual

step in 2011 by appointing a new head in the wake of the state's reported \$25 million deficit. Specifically, the decision to construct a pipeline from Lake Huron directly to the city was made, purportedly as a cost-savings measure. But corruption led to a series of fateful decisions in 2014. During construction, the city decided to use the Flint River as its main water source but failed to treat the water with a necessary anti-corrosive agent. Flint River water quality was already compromised and was not monitored throughout the transition (Kennedy, 2016).

The failure to use the additive was in direct contravention of federal law. Residents immediately noticed the difference and reported a discoloration, odor, and bitter taste to the water flowing to their homes and businesses. By 2015, the EPA and Virginia Polytechnic Institute in Blacksburg, Virginia independently conducted tests which indicated dangerous levels of lead and a number of carcinogenic byproducts in the water. As a result, many of Flint's citizens were poisoned; the lack of the additive partially eroded the pipes, destroying both iron ore mains and lead service lines. To date, many of the children of Flint have tested positive for lead levels greater than 7 times allowed by EPA limits, with the Virginia Tech study showing nearly 19 times the amount (Kennedy, 2016).

Keystone XL Pipeline, Amherst, South Dakota The Keystone XL Pipeline is an oil pipeline system owned by TransCanada (TC). It originates in Alberta, Canada and has various extensions through several U.S. Great Plains States. Its primary purpose is to carry carbon-heavy petroleum extracted from the oil sands in Northern Alberta – the same area engulfed in flames throughout the month of May in 2016. Nicknamed “The Beast,” the fire which broke out on May 1, 2016 in Fort McMurray, Alberta, and came dangerously close to the tar sands mining sites. The fire caused the largest evacuation in Canada's history, burned nearly 1.5 acres, and cost over USD \$9.9 billion (Denchak, 2021). Other crude oil carrying pipelines that would have cut across Northern British Columbia to port cities were temporarily halted when Indigenous tribes in B.C. (“First Nations”) successfully challenged ownership of some of the lands upon which the pipelines would be constructed. Segments had already been built without any input from, or any consultation with, First Nations' tribal communities.

In November 2015, former President Barack Obama accepted the advisory opinion from then Secretary of State John Kerry that the 1200-mile, Canada-to-Texas pipeline would not comport with the security interests of the U.S., would compromise its role as an emerging leader in renewable energy production, and constituted an affront to Indigenous peoples. On January 20, 2021, newly-inaugurated President Joe Biden signed a broad executive order to tackle the climate crisis, including a part that revoked the permit for the Keystone XL pipeline's construction in the U.S. TC Energy suspended operations on Keystone that very day and on June 9, 2021 formally terminated the project (Keystone XL, 2020).

The pipeline pathway, in its partially constructed state, crosses territory close to waterways and sacred lands claimed by several American Indian tribes who have been forecasting the dire ecological effects of a spill. Other landowners had previously joined a legal battle to halt further construction, especially when on November

16, 2017, over 210,000 gallons of oil leaked from a portion of the pipeline onto agricultural land in northeastern South Dakota. The full environmental effect has yet to be determined (Denchak, 2021).

USS Lead Superfund Site, East Chicago, Indiana The U.S. Smelter and Lead (“USS Lead”) Refinery Superfund Site is located on a 79-acre tract of land in East Chicago, Indiana and includes both the former USS Lead facility and nearby contaminated commercial, city, and residential properties. East Chicago in Northwest Indiana Smelter operations began at the site in 1906, with the smelting of copper. In 1920, title (ownership) to the property was transferred to USS Lead. Between 1972 and 1973, the USS Lead facility primarily extracted lead from used automobile batteries. USS Lead operations ended in 1985 when it declared bankruptcy. The primary contaminants of concern at the site are lead and arsenic – extremely toxic to human beings and ecosystems. The USS Lead site was listed on the National Priorities List of the worst contaminated sites in the U.S. in 2009 and main affected area, the West Calumet Housing Complex, was formally declared an EPA Superfund clean-up site (Jan, 2021). According to the U.S. Census Bureau, at the time the Superfund site was declared, the demographics of this area was stated as 58% Hispanic and 35% Black (U.S. Census, 2012).

In November 2016, for the first time, soil samples were taken from a part of the site where the West Calumet Housing complex was located. The results showed dangerously high levels of lead and arsenic in both the ground and water. As many as 1200 residents of East Chicago, Indiana – about two-thirds of them children – had been told it would be safer if they temporarily relocated because of health risks posed by lead in the soil around their homes. Less than 1 year later, the residents of this housing complex were informed to vacate the premises immediately, without alternative housing offered. The Department of Housing and Urban Development (HUD) and the East Chicago Housing Authority ordered the demolition of the housing complex in the Spring of 2017. By the end of June of that year, all residents of one of the Superfund zones had moved out. HUD continued to relocate these former residents while partnering with Region 5 of the EPA in Chicago to monitor the demolition of the complex (Jan, 2021). With respect to the personal residences located in several other zones within the Superfund site, the EPA has agreed to implement certain safety measures including air-quality monitors, dust-control tracking, mowing and raking of affected areas, and storm-water run-off measures.

More recently, an internal intergovernmental report cited HUD for lead poisoning in the plagued area and in February of 2021, the EPA formally began the first five-year review of the USS Lead Superfund site cleanup in East Chicago. The agency will determine whether the cleanup efforts have been protective of public health and the environment (Bassler, 2021).

Conclusion and Potential Solutions

Both historical and present-day injustices have left people of color exposed to far greater environmental health hazards than whites. The centuries of colonization throughout South America, North America, Central America, Oceania, and Africa, by largely white Western European settlers and entrepreneurs began the widespread exploitation of resources and human capital. The unchecked growth of capitalism and the Industrial Revolution produced higher levels of carbon and other greenhouse gases. The lure of oil and gas and other minerals – including gold – led to the wholesale genocide and displacement of Indigenous peoples. Centuries of reservation confinement, redlining, and disparate housing opportunities have left communities of color at a distinct disadvantage to the attainment of wealth through home ownership. And many state legislatures are determined to keep these social and economic realities entrenched.

Yet, there has been a resounding and long overdue racial justice and climate awakening. As planet degradation and disparate treatment based on race, color, and nationality are all borderless issues, the world's international agencies must continue to sound the alarm. National policies and individual community and business initiatives fashioned to address environmental racism head-on must be accompanied by international efforts. In an article for *Foreign Policy*, Georgetown University's Olúfẹ̀mi Táíwò and Beba Cibralic suggest that climate reparations are best understood as a systemic approach to the redistribution of resources and the revision of policies and institutions that have traditionally perpetuated harm. In this vein, they call upon wealthy countries to house migrants rather than deny them entry or relegate them to refugee camps. Additionally, they advocate the advanced funding by industrialized nations of the Green Climate Fund to help resource-deficient and more climate-frontline countries mitigate and adapt to the effects of a changing climate (Táíwò & Cibralic, 2020).

There is also noticeable diversity present in the global youth climate movement. In the U.S., a 2019 *Washington Post-Kaiser Family Foundation* poll indicated that at least twice as many Black and Latinx teens joined in school walkouts protesting climate change than their white counterparts (Hamel et al., 2019). And with more diversity has come an increased focus on issues of environmental justice — something that has strengthened the movement by bringing moral outrage to the conversation.

On a world stage in December 2020, United Nations Secretary General António Guterres emphasized the disproportionate impact of climate change on marginalized societies as a result of the excesses of wealthier nations and individuals. Rallying the developed countries to squarely confront this reality, he declared that humanity's survival would be impossible without achieving net zero carbon emissions by 2050. Reiterating scientists' warning that humanity faces "a climate emergency," Secretary General Guterres said that achieving carbon neutrality by 2050 was imperative to avoid "irreversible" impact that would be "absolutely devastating

for the world economy and for human life.” He iterated the governmental actions that need to occur to alter the future:

- Invest trillions of dollars to revive pandemic-battered economies in a “green” way, eliminating all subsidies to fossil fuel industries.
- Reduce taxes on businesses that commit to green energy investments.
- Hasten the shift to renewable energy sources and cease all construction of new coal plants, phasing out existing ones.
- Reform tax and subsidy policies and practices, abandoning income taxes in favor of carbon taxes which making polluters – not taxpayers – pay for damages caused.
- Encourage all countries to join the “Net Zero by 2050” coalition – already joined by 110 countries and prominent private sector businesses (UN, 2020).

Acknowledging the unequal impact of unfettered climate change on minority populations is a first step. With a racial and climate change co-awakening, there is an opportunity to begin to focus on regenerative economies. The Green New Deal is an example of how to direct resources to the communities to target reforms in infrastructure and food security. New York’s new *Climate Leadership and Community Protection Act* represents local legislation aimed to invest resources in historically-marginalized communities. The termination of the Keystone Pipeline project is also a semblance of hope that grass-roots efforts can indeed produce meaningful climate action to reduce carbon and other pollutants. Native Americans successfully fought for the integrity of their drinking water and sacred lands. Installing solar in public housing and growing healthy food in urban gardens can also help disadvantaged communities to thrive while addressing the forces of climate change (Gardiner, 2020).

The *American Jobs Plan (AJP)* as currently drafted does address home ownership disparities, proposing more than \$210 billion to “construct, preserve, and retrofit two million housing units, including retrofitting the homes of low- and moderate-income owners to improve energy efficiency and resiliency” while earmarking \$40 billion to repair and update the energy efficiency of public housing. While the fate of this legislation is not known at this time, there is an unquestionable need for substantial investment “in the nation’s housing stock to reduce the residential sector’s contributions to greenhouse gas emissions, safeguard homes and residents against severe weather, preserve the existing supply of affordable housing, and prepare for a rapidly aging society” (Harvard, 2021).

In late June, 2021, the EPA announced its plans to distribute funds from a new \$50 million source authorized by Congress back in March. This funding is dedicated to helping economically-underserved areas and communities of color, who are facing the greatest risks from air pollution and climate change. To date, \$2.8 million of the fund has been distributed for 14 projects across the U.S., including \$200,000 for mentorship programs, engaging new trainees to prevent and reduce sources of water pollution (*The Beacon*, 2021).

Key Chapter Takeaways

- The ascendancy of the Black Lives Matter movement became a mainstay worldwide, exposing the inequities of healthcare services, housing opportunities, and

educational initiatives to people of color which have only been exacerbated by extreme weather events. Data demonstrate that these same underserved communities are often more harshly impacted by climate-related disasters.

- Climate action and racial justice must be implemented alongside those people who are most affected and vulnerable.
- Income inequality directly contributes to the disparities in homeownership rates. The economic disruption of the pandemic has shown that the rise in sales in the housing market is largely a result of millennials, mainly white, who are creating new households primarily outside of urban centers.
- Today, people of color are experiencing a plethora of obstacles making entering the housing market nearly impossible. Interest rates have generally ticked up for those with poor credit histories and Fannie Mae and Freddie Mac have not substantially intervened with more equitable initiatives and incentives.
- COVID-19, a respiratory ailment, proved to be deadlier with people of color, many of whom were already suffering from compromised immune systems often caused by air pollution. Impoverished, minority communities are long-term victims of the early repurposing and development of America, marked by the removal of carbon-absorbing trees, the tainting of water systems, and the disturbing of ecosystems.
- In the present day, communities of color continue to suffer the environmental consequences of the unbridled consumerism of the very wealthy. “Asian, Black, and Hispanic Americans breathe more polluted air than white people do – which is by design. Highly polluted shipping warehouses, industrial facilities, and highways have all been systematically installed in non-white communities.

Reflective Questions

1. Reflecting on the fact that underserved communities are often more harshly impacted by climate-related disasters: why do you think that is the case?
2. Many of the challenges our world is currently facing are not only depressing, but also occurring on a global scale. Nonetheless, we can all make efforts toward improvement. Please review the concerns mentioned in the section, “Climate Change Indicators,” then, read up on and consider some of the efforts each of us could undertake to help reduce the issues, even if on a micro scale.
3. What is “environmental racism”? Explain in detail.
4. In the section “Conclusions and Potential Solutions,” the author mentions several steps the U.S. government could take toward improvement. Select among the five actions from the UN-list the one you consider most effective. Conduct additional reading on the topic to help answer the query, what drives your opinion?
5. Read up on “The American Jobs Plan.” Do you think it has merit in reducing home ownership disparities? Why or why not?

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