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INFLUENCING BEHAVIOR DURING PLANNED CULTURE
CHANGE:
A PARTICIPATORY ACTION RESEARCH CASE STUDY

MICHAEL VALENTINE

A DISSERTATION

Submitted to the Ph.D. in Leadership and Change Program
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in partial fulfillment
of the requirements for the degree of
Doctor of Philosophy

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This is to certify that the Dissertation entitled:

INFLUENCING BEHAVIOR DURING PLANNED CULTURE CHANGE:
A PARTICIPATORY ACTION RESEARCH CASE STUDY

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*A journey is not marked by the starting point or the destination but by those who provide you
gifts along the way.
My Dad*

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I dedicate this work to my sons, Michael Valentine Jr. and Daniel Valentine in the hope that they will always be lifelong learners and inspire inclusive leadership.

Abstract

The study was conducted in a global, for-profit, advertising firm, which initiated a culture change effort focused culture change. The objective of the effort was to manage the negative impact of implicit bias (IB) in the workplace. This type of bias is known to influence behaviors and judgements (Amodio & Mendoza, 2010). It is hypothesized that if employees shift behavior to better understand and manage these biases in the basic work activities that are typical in any organization—like working on a team, making decisions related hiring, developing and promoting talent, and the numerous creative decisions that are typical of designing advertising campaigns—more inclusive practices will result. The case study utilizes Participatory Action Research to understand how leaders and individuals perceive and act on the need to change behavior in the context of the change effort to develop inclusive behaviors. Additionally, the study examined what influences an organizational member to act or resist acting on awareness created by learning event, in this case an implicit bias workshop. Accordingly, the study focused on the path to behavior change. This dissertation is available in open access at AURA: Antioch University Repository and Archive, <http://aura.antioch.edu/>, and OhioLINK ETD Center, <https://etd.ohiolink.edu>

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Chapter I: Introduction, Purpose, and Justification

Challenges With Change

Among the myriad issues that a present day organization may face, culture change may be among the most challenging. As such, it is well represented in management literature (Buchanan, Claydon, & Doyle, 1999): It is noted for its complexity (Stacy, 1996), its impact on organizations (Burnes, 2004), the effect it has on the individuals in those organizations (Elrod & Tippett, 2002), and how hard it is to implement successfully (Kotter, 1996). The ubiquitous and often unpredictable nature of change makes its dynamics hard to understand and, even harder, to master in work organizations. However, organizations that develop the capacity to manage change effectively may be able to differentiate their performance and enhance their ability to achieve strategic objectives (Burnes, 2004), making it a compelling area of study for leaders. According to Gratz (2000), leading change should be a fundamental focus area for organizations, “against a backdrop of increasing globalization, deregulation, the rapid pace of technology innovation, a growing knowledge workforce, and shifting social and demographic trends, few would dispute that the primary task of management today is leadership of change” (p. 550). Culture change, in particular, presents special challenges (Smith, 2002), but it also represents unique opportunities for a firm to create competitive advantages in the market place. For firms that depend on creative talent, developing a culture that encourages and embraces diversity of perspective can result in significant returns on investment, if successful (Barney, 1986).

Importance of Studying Change Dynamics

In dynamic business environments, it is critical for organizations to understand how to enable behavioral shifts that support intentional change efforts. Although it is not always easy to

distinguish discrete types of change or which behaviors are most supportive of the change, an organizational change effort and member behaviors create a key relationship with one another. With some forms of organizational change, failure rates approach 70% (Beer & Nohria, 2000; Burnes, 2004; Elrod & Tippet, 2002), and empirical research on many aspects of a leader's impact on the change environment and the member behaviors is limited (Higgs & Rowland, 2011). Therefore, additional research in this area continues to be relevant and compelling. This study is important because it contributes to the existing theoretical work on the formation of intentions and its role in actual behavior change. The study took place in an environment where the organization designs, communicates, and implements an intentional change program; it may be the first case study of a such a change program that is focused on increasing the level of inclusivity in the culture by managing implicit bias in the workplace.

This chapter provides the foundation for the dissertation. It includes a description of the background for a change initiative taking place in a large global firm, the purpose and objectives for the study, and an explanation of why the research topic is important. Finally, the chapter identifies the research question and addresses pertinent concepts, such as researcher positionality. The chapter concludes with an outline of the dissertation chapters.

Study Context

Sponsoring organization. This research study was conducted in a for-profit global advertising firm headquartered in the United States and referred to as KCA or “the agency.” The agency was a fit for this research because of a unique combination of timing, curiosity and established relationships. That KCA was in the early stages of launching an extensive culture change effort and was willing to experiment during the change effort provided the opportunity for co-learning. In the spring of 2015, KCA launched a culture and inclusion (C&I) initiative that

was focused on influencing individual and team behavior. The first phase of the initiative required employees to attend a one-day diversity workshop on implicit bias (IB) in the workplace. The workshop asked leaders and key team members to identify where implicit bias might exist in their operations and how it might affect the quality of the work product. It was hoped that the increased awareness created during the workshop would translate into behaviors that would manage the negative effects of implicit bias in key work practices.

In order to create a culture that is more inclusive, KCA recognized that some employee behaviors would need to change. However, the organization was unsure of the best approach to enable that shift. The focus for this study was on leader and member behavior change (following the workshop) that would support the development of inclusive practices. It examined their experiences and the shifts in behavior that were attributed to the implicit bias workshop.

Study Terms and Definitions

The terminology and relationships associated with organizational change in the academic and practitioner literature can be confusing. The classifications and descriptions often overlap and similar terms are sometimes used inconsistently. In an effort to avoid confusion in describing this study, I provide definitions for terms used throughout the research. Key terms are as follows:

- *Change* is a term used as an umbrella for all types of change. As it is used in this study, change refers to major organizational change and is defined as “any intentional change in the way the organization does business that affects the strategic position of the organization vis-a-vis its competition” (Smith, 2002, p. 26).
- *Change failure* is a term used in many studies that reference change failure rates of up to 70% to illustrate the challenges associated with organizational change efforts. It is unclear what types of change are incorporated in these rates. This study used

intentional *organizational change* as a classification and utilized the definition provided by (Smith, 2002) “any intentional change in the way the organization does business that affects the strategic position of the organization vis-à-vis its competition” (p. 26). Examples of major organizational change include business acquisition or merger; business expansion, such as new territory or line of business; culture change, such as developing a more customer-oriented workforce; a new computer system; process improvement or re-engineering; re-structure of organizational units, such as downsizing; technology change; and total quality management (TQM) driven change, or deployment of new business strategies (p. 26). (For an extensive review of the origins of the 70% success rate, see Huges, 2011.)

- *Intentional change* is a term that refers to an organization’s desire to move from a status quo state to some different state. Although the catalyst may come from internal or external forces, it usually involves a desire for some improved level of performance. Intentional change is used interchangeably with organizational change in many studies.
- *Organizational change* is a term that is often used interchangeably with intentional and planned change. For purposes of this study it refers to the deliberate initiation of any change effort in an organization.
- *Planned change* refers to a type of change approach that has its origins in Kurt Lewin’s work on action research and the three-phase model of change (Schein, 1996). The planned approach to organizational change attempts to explain the process that brings about the change. It emphasizes the importance of understanding the different states which an organization will have to go through in order to move from status quo

to desired state (Elrod & Tippet, 2002). Planned change models focus on the “human side” of the change process through participative and group approaches to change (Burnes, 2004; Schein, 1996).

- *Transformational change* is a term used in organizational development literature when distinguishing types of change by their magnitude. For example, first order change is associated with transactional or incremental change, and second order change is connected with transforming elements of the organization (Anderson, 2012). The best way to understand these differences is to understand that first order change refers to change within existing organizational frameworks; second order change, or transformational change, is focused on changing or modifying the frameworks (Bartunek & Moch, 1987). Other authors distinguish between the two types of change by suggesting that transactional or incremental change is more operational in nature where transformational change represents strategic change in the organization (Burke & Litwin, 1992).
- *Change management* is a term that has been defined as “the process of continually renewing an organization’s direction, structure, and capabilities to serve the ever changing needs of external and internal customers” (Moran & Brightman, 2001, p. 111).
- *Organizational culture* is a term defined as what a group learns over time to be the preferred way a group works to solve problems and challenges emanating from the external environment. It is a pattern of basic assumptions that is (a) invented, discovered, or developed by a given group as it learns to cope with the problems of external adaptation and internal integration; (b) has worked well enough to be

- considered valid, and, therefore, is taught to new members as the correct way to perceive, think, and feel in relation to those problems (Schein, 1990, p. 111).
- *Organizational climate* is a term used to describe a climate considered to be less permanent in nature and subject to direct control. Unlike culture climate, organizational climate is limited to aspects of the social environment that are “consciously perceived by organizational members” (Denison, 1996, p. 624)
 - *Organizational culture change* is a term used to describe a specific type of organizational change; however, finding a specific definition in the literature is difficult. Generally, most of the literature addressing culture change defines organizational culture as above. For the purposes of this study, culture change involved an effort that reshaped the behaviors of organizational members by shifting organizational values.
 - *Complex* is a term typically used to describe complicated processes; in complexity science *complexity* refers “to a high degree of systematic interdependence, which among other things, leads to non-linearity, emergent order creation, and other surprising dynamics. It is these surprising dynamics. . . that are the focus of complexity research” (Hazy, Goldstein, & Lichtenstein, 2007a, p. 4).
 - *Complexity theories* is a term that “serves as an umbrella for a number of theories, ideas and research programs that are derived from scientific disciplines such as meteorology, biology, physics and mathematics” (Burnes, 2005, p. 74). These theories are increasingly seen as a way to understand organizational dynamics (Black, 2000).

- *Emergent change* is a term used to describe a type of change associated with complexity science. An emergent approach to change “stresses the unpredictable nature of change, and views it as a process that develops through the relationship of a multitude of variables within the organization. Apart from only being a method of changing organizational practices and structures, change is also perceived as a process of learning” (By, 2005, p. 375).
- *Emergence* is a term that refers to “the coming-into-being of novel, ‘higher’ level structures, patterns, processes, properties, dynamics, and laws and how this more complex pattern arises out of the interactions among components (agents) that make up the system itself” (Goldstein, 1999, p. 6).
- *Change agent* is a term that describes an individual who is tasked with an active role in supporting a change effort. The change agent may be involved in the design, facilitation, or coordination of the effort and may also enable others to support the organizational change objectives (Nikolaou, Gouras, Vakola, & Bourantas, 2007). The change agent may be a formal leader responsible for creating the vision for change, or acting as its champion, or an informal individual tasked with managing the processes associated with change or acting as an organizational development (OD) consultant (Saka, 2002).
- *Implicit/unconscious bias* is a term used to describe subconscious stereotypes developed early in life from repeated reinforcement of social stereotypes that have been demonstrated to influence judgment of, and behavior toward, individuals from stereotyped groups. Implicit bias is also called unconscious or non-conscious bias (Devine, 1989). In this study the term implicit bias (IB) is used when referring to the

anchor event for the change effort. It is also highlighted in this study among the many types of bias because it was the focus of KCA's attempt to develop a more inclusive culture.

- *Change supportive behaviors* (CSB) are defined as “actions employees engage in to actively participate in, facilitate, and contribute to planned change initiated by the organization” (Kim, Hornung & Rousseau, 2011, p. 1665).
- *Theory of planned behavior* (TPB) represents the individual's intention to perform a given behavior. The theory describes the elements that are proximal to the formation of intention in an individual. Intentions, according to the theory, are assumed to capture the motivational factors that influence a behavior; they are indications of how hard people are willing to try and of how much of an effort they are planning to exert in order to perform the behavior (Ajzen & Fishbein, 1980).
- *Action research* (AR) is a research approach that is focused on change in a social system. According to Blakie (2010) “the tradition has joint purposes of increasing knowledge and changing some aspect of the world at the same time” (p. 73). Greenwood and Levin (2007) define AR as a “research strategy that generates knowledge claims for the express purpose of taking action to promote social analysis and democratic change” (p. 7). Further, they state that AR must possess three elements: action, research, and participation (p. 7).
- *Participatory action research* (PAR) is a form of action research with a distinctive tradition. It incorporates the key elements of AR but becomes *participatory* (emphasis added) depending on how participants are involved in the research process and at what stages. As the name suggests, PAR involves higher levels of participation by

those with a stake in the outcome of the research. In PAR the participants may be involved in all phases of the research project and take on a co-researcher role (Greenwood & Levin, 2007; Mackenzie, Tan, Hoverman, & Baldwin, 2012).

Purpose of the Study

The purpose of this study was to understand what influences leader and member (non-leader) behavior change during an intentional change effort centered on developing inclusive behaviors. The purpose incorporates a participatory action research approach to achieve the research objectives. The study was grounded in the relationship among the change initiative, the behavior change that occurred after the learning event and the impact on leader and non-leader recipients of the event. Specifically, this study explored the unique challenges presented by managing implicit bias and how these challenges influenced the ability of the leader and non-leader to change their own behavior in support of the organizational change expectations.

Much of the existing literature that focused on the human side of change examined attitudes at the early stages of the change process, such as change readiness, resistance to change, or intention to support change (Madsen, Miller, & John, 2005; Meyer, Srinivas, Lal, & Topolnytsky, 2007). These studies generally looked at how the early reactions to a change initiative surfaced, but generally stopped short of following these reactions and attitudes through to the actual behavior change (Jimmieson, Peach, & White, 2008). The KCA study examines shifts in behavior following a triggering event that attempted to raise awareness about certain behaviors, thus creating new understanding of how to enable and support behavior change during a culture and inclusion change effort. Using the implicit bias workshop as the anchor learning event, the study examined how the leader responded after the workshop to set conditions for a more inclusive culture on their teams or in their units, the experience of the leader in setting

those conditions, and the experiences of non-leaders in this environment to understand what enables or inhibits their actual behavior change.

Study objectives. With this as a backdrop, the research study had three key objectives:

1. to examine what influences an individual, both leader and non-leader, to change behavior in response to an organization's intentional change effort.
2. to examine how a leader takes action in response to an intentional change initiative focused on managing implicit bias in the workplace.
3. to understand how to influence the sustainability of an organizational diversity and inclusion effort to develop a more inclusive culture.

From that understanding it was hoped that the study would:

- inform a framework of assessment and intervention that can be applied to support behavior change.
- through a participatory research approach, create a learning environment that would allow the sponsoring organization to apply lessons learned from this work to later phases of the change initiative.

Research Questions

The research questions for this research project align with those of the sponsoring organization. Through the case study of KCA's planned culture change effort, I will address the following:

1. What key elements influence a leader to change behavior during an intentional culture and inclusion change initiative?
2. What key elements influence an organizational member (non-leader) to change behavior during an intentional change initiative?

3. How do leaders apply increased awareness about implicit bias (IB) to develop more inclusive behaviors in themselves and their members?
4. What actions result in sustaining an organizational change effort to develop more inclusive behaviors?

It was intended that the study would contribute to existing knowledge by extending existing theoretical work, applying existing theory on managing change and behavior change across the various phases of a planned organizational change initiative, adding an implicit bias (IB) oriented culture change case study to the literature, and demonstrating the value of a participatory action research approach to organizational change efforts.

To examine behavior in the study, the theory of planned behavior (TPB) served as the framework for understanding how the intention to change behavior was formed, and, by extending its principles beyond the formation of the initial intention to the formation of a plan (implementation intention), to act on the initial intention. The literature views the TPB as a predictor of behavior change. Its predictive strength lies in the relationship between intention to change and action. The theory posited that a strong formation of intention increases the likelihood of actual behavior change occurring (Webb & Sheeran, 2006). This study attempted to extend the theory's application to an organizational setting, thus supplementing the existing link between intention and behavior by examining the theory's application over the initial span of the change effort. By collecting data from various individuals in an organization that had participated in the same implicit bias workshop over a period of one year, I was able to assess the TPB over the arc of that time frame. For example, individuals that attended the implicit bias (IB) workshop at the beginning of the year would be further along the change curve than individuals that attended later in the year. By collecting data from individuals who attended at different

times, a comparison could be made not only to changes in their behavior post workshop, but how the TPB applied over time. The objective was to provide insight on how TPB worked over the course of implementing a change effort, thus extending the theory's usefulness.

Researcher Stance

As an experienced organizational development practitioner, I have participated, led, and supported change in a number of organizations. Some of those change efforts achieved the objectives set by the senior leadership, and in some cases the efforts fell short. In each situation the change effort aspired to change behavior in some way. I have come to accept that change is a process that has many dimensions, some of which are more clearly defined and understood than others. The interrelationship between member behavior and the influences change can have on behavior is multidimensional and compelling. It is this interrelationship that drives my curiosity about the forces that affect behavior change in organizations during a change process.

The ability to examine an active change effort at different times and within discrete business units permits a comparative approach to the experiences of the leaders and members in those units. For the business units that have completed the implicit bias (IB) training and have set their own change process in motion, the study explored individual experiences of leaders and non-leaders working in the change environment. How is their awareness changed, if at all? What do they experience as different? Has their behavior changed due to these differences? How? What influenced or inhibited their behavior change? At the leader level, the study explored what actions the leader viewed as appropriate to facilitate behavior change and why.

Researcher Perspective

My experience with change is diverse and extensive. It reflects the good, bad, and ugly gained over the course of a 20-year career through the eyes of a leader, a change agent, and, at

times, a change resistor. As a person of color, I have participated in workshops designed to sensitize and raise awareness of the differences in people and how majority groups can exert power over marginalized groups. These awareness events have had an impact on me, as a minority member in most of the organizations, as a human resource (HR) professional, and as a leader. I have found most workshops ineffective at creating solutions to deal with inequities. Many workshop experiences have fallen short of providing the guidance to take action after creating the awareness, leaving participants in an awkward “no man’s land” where they ask, what do I do now? The curiosities that have surfaced from these experiences provided my motivation for this research. It was my hope that through this study an increased understanding of how behavior is influenced during an organizational change effort would emerge, with application for change agent intervention during an intentional change initiative.

As is the case with the sponsoring organization, it is important for researchers to develop awareness of the bias they bring to the research they are conducting (Patton, 2002). It is unrealistic to think that my experience with change in organizations has not biased my perspective. I have reflected on these experiences and the meaning I have attached to them during my career. According to Patton (2002), “Reflexivity reminds the qualitative inquirer to be attentive to and conscious of the cultural, political, social, linguistic, and ideological origins of one’s own voice as well as the perspective and voices of those one interviews and those one reports” (p. 65). My reflections have resulted in a number of insights about the leadership of change and the potential bias I may bring to this research, as follows:

1. My experience in leading change has left me with the impression that to be effective a leader needs to emphasize different competencies from those required to lead in status quo day-to-day operations. For example, a leader’s considerations for the level of

- participation needed to discuss and decide on an issue may be different when the issue is associated with some aspect of a change initiative as opposed to normal operating protocol. How a leader communicates, the type of measures used, and relationship management may all look different depending on the presence of significant change in the environment.
2. My experiences have highlighted the limitations of predicting outcomes in an environment of change. In most change efforts of which I have been a part the anticipated outcomes did not materialize in a way envisioned at conception.
 3. My experience has resulted in the perspective that the change process is not deducible to a simple model; it requires multiple approaches than can be applied as needed in the process.
 4. Change efforts centered on culture or diversity are difficult to sustain even for a year or more. The effort required to keep the objectives top of mind are outshined by emerging business priorities. In cases where the content is uncomfortable at a personal level, like implicit bias, it is easy to hope that the organizational “ask” will just go away. This is further influenced by the assumptions organizational members make about the follow through they can expect by leaders in any change effort.

Organization of the Dissertation

The dissertation is organized in five chapters. Chapter I will provide the background for the research. It articulates clear objectives and rationale for why the research made a contribution to the existing organizational change, organizational behavior, and culture change literature. Chapter II examines the relevant literature for the areas of study. Chapter III describes the research methodology and any approaches that were utilized in the work. Chapter IV presents the

data collection results, and Chapter V provides findings from the study, as well as limitations and thoughts on potential application.

Chapter II: Review of Literature

This study consisted of three key, interrelated elements: an organization's intentional effort at change, the need to shift organizational behaviors, and the aspiration to create a more inclusive culture by managing implicit bias in the workplace. The role leadership played in supporting these elements was a critical factor for the overall success of the effort.

Understanding the factors that influenced the formation of new behavior represented key learning for KCA. The knowledge allowed them to design targeted change interventions that further supported the development of those behaviors. The interrelationships among an organization's effort to shift existing organizational culture, how leadership responded to that effort, and the influence these had on individual behavior were all subjects for this study. As such, an exploration of each of these elements was appropriate.

Change Landscape

The topic of change is well represented in business literature, has been described in a multitude of ways and has continued to grow in relevance (Pettigrew, Woodman, & Cameron, 2001; Van de Ven & Poole, 1995), with some studies having suggested an increase in the complexity and pace of change in the future (Gordon, Stewart, Sweo, & Luker, 2000). As comprehensive as it was, the change literature was not without gaps in understanding. According to Boyatzis (2006), in spite of what has already been produced on the topic, "there are few theories that help us understand the change process" (p. 607). Others have described the landscape as chaotic, a result of rifts between theorists and practitioners (Lichtenstein, 1997). This was evident in the results. In organizational settings, change initiatives rarely unfolded as initially conceived, and reactions to it by organizational members varied widely, making the efforts of leadership to achieve predetermined change outcomes an elusive pursuit despite all that

has been written on the subject. Although there may be some dispute about the actual origin of the most quoted failure rates (Huges, 2011), one survey of over 3000 executives reported that more than 70% of the respondents indicated failure to achieve objectives in their organizational change efforts (Meaney & Pung, 2008). Irrespective of the actual rates, the point was that achieving desired outcomes during an organizational change effort was a challenge. Among the classifications of change, culture change appears to be particularly problematic and difficult to deliver, with success rates less than 20% (Smith, 2002). Culture change has been consistently identified as challenging. There were many reasons given for the poor results, including confusion caused by the numerous approaches and models and the lack of leader change competency (Holt, Self, Thal, & Lo, 2003).

One prominent explanation given for change failure centered on the lack of understanding surrounding the relationship between the change effort and the impact on those individuals affected by it. The literature examined this relationship in a number of ways at the system level and at the individual level. From a system perspective it was widely recognized that successful organizational change was dependent on and could result from an understanding of the change related behaviors of those who were most impacted by it (Bartunek, Rousseau, Rudolph, & DePalma, 2006; Oreg, Vakola, & Armenakis, 2011) and change success might be dependent on the extent of change commitment (Herscovitch & Meyer, 2002). At the individual level, studies have primarily explored initial reactions to change (Oreg et al., 2011), change supportive behaviors (Kim et al., 2011) and change readiness (Rafferty, Jimmieson, & Armenakis, 2013).

The Relationship Between Organizational Culture and Organizational Change

The relationship between the change efforts and recipients is influenced by the organizational culture. Some of the earliest work on culture indicated that culture could be a determining factor in employee attitudes and motivation (Litwin & Stringer, 1968). Culture was a differentiator for organizations and has been linked to organizational performance (Wilkins & Ouchi, 1983). It was featured in prominent change models, described as the meaning system for organizational members experiencing change, and considered a transformational element of the change process (Burke & Litwin, 1992). Based on this research, culture and any attempts to change culture inherently had implications for change and change related behaviors (Awal, Klingler, Rongione, & Stumpf, 2006). It followed that organizations considering a change effort must take into account the relationship between culture and its influence on member behaviors in the change environment and then work towards shifting those behaviors to achieve predefined objectives.

Behavior Change During Organizational Change Efforts

The most effective path to shift behaviors during a change effort was rarely clear. There were a number of perspectives leading to a “convoluted picture of the field” (Oreg et al., 2011, p. 462). Some behavioral research suggested that individuals go through a series of stages when contemplating change (Prochaska & DiClemente, 1986) and consider a wide variety of factors that influence the reaction to the change and ultimately change behaviors (Oreg et al., 2011). For example, studies examined how members develop support for change (Herscovitch & Meyer, 2002), examine alignment of behavior with that of the planned new environment (Achilles & Harris, 2009; Porras & Robertson, 1992), make sense of the change environment (Bartunek et al., 2006), develop resistance to change (Stanley & Meyer, 2005), and organizational members

progress through multiple stages of feelings (Elrod & Tippet, 2002). While the literature was helpful in understanding components of the change process, it fell short of providing an agreed on set of primary factors that influenced behavior shifts. Where there was some agreement was that organizational members form attitudes about change based on a variety of factors which potentially shaped their behaviors (van Dam, 2005). It was also clear that those attitudes, as well as the resultant behaviors (Fishbein & Ajzen, 2010), could be influenced (Eagly & Chaiken, 1993). The theory of planned behavior provided three proximal elements for predicting behavior change supported by significant research (Ajzen, 1991).

When the behaviors were less visible, like those associated with leveraging diversity or developing inclusion, intentional change efforts could be particularly challenging from a behavioral perspective and were dependent on many factors (Michele, Dipboye, & Dipboye, 2004). Consistent with the low success rates for change in general, the history of change efforts to develop inclusive work environments and the goals of most diversity programs were largely unsuccessful (Ross, 2011). Empirical work related to diversity in organizations was inconclusive. For example, many studies have attempted to link the level of diversity with innovation (Bassett-Jones, 2005) while other studies have identified negative consequences associated with diversity to the detriment of creativity (van Kippenberg, De Dreu, & Horman, 2004).

Managing Implicit Bias

Managing implicit bias as a path to creating more inclusion also had obstacles that had to be overcome in order to shift behavior. Although implicit bias has received heightened empirical and media attention recently, its implicit nature presented a cognitive puzzle. Implicit cognition was often associated with action that was automatic in nature, without awareness, or unconscious expressions informed by experiences that influenced associations and behaviors (Amodio, 2010;

Banaji, 1995; Greenwald & Krieger, 2006; Holroyd, 2015). Because behaviors based on implicit associations might be invisible and automatic to the individual, there might have been no conscious rationale for the individual to change behavior. A simple way to understand implicit cognition is to think of our thought processes as encapsulated in system one and system two thinking. System one involves automatic responses and reactions that come from innate and learned experiences. They are governed by intuition and gut feeling. System two thinking requires more attention and is designed for work on more complex problem solving (Kahneman, 2011). Because implicit biases are associated with system one thinking, it complicates planned attempts to shift behavior. If I am not consciously aware what I am doing, how do I know what to change and why? Even if a case can be made on faith for change, how would new desired behaviors be described by the organization, a key ingredient to behavior change?

In spite of the challenges presented, organizations, such as advertising agencies, understand the link between a culture of inclusion that allows for diverse opinions, perspectives, and experiences and the ability to be innovative (Gilbert & Ivancevich, 2000). These firms are dependent on organizational talent to push the creative envelope that allows them to design and deliver campaigns that are differentiated and represent the increasingly diverse markets. They depend on a constantly changing mix of individuals to come together with each campaign and self-organize into an effective creative team. Firms, such as the one featured in this study, intuitively understand the relationship between a diverse and inclusive culture that enables this level of creativity to emerge and its link to output and the effectiveness of the resulting campaigns. Any barriers to that creativity, such as biases that silence different perspectives and ideas, are deemed unacceptable. A change initiative, then, intended to create a more inclusive culture by managing implicit bias in the workplace, was sensible and required an understanding

of how organizational culture, diversity, and bias were related. It required organizational leaderships to embrace a climate of inclusion, communicate what inclusive behaviors look like, influence member behavior in line with inclusivity, and understand the capacity for their own behavior change.

Organization of Review: A Funnel Approach

The organizational effort to manage implicit bias (IB) required a multi-faceted examination of the challenges and available guidance in the areas of intentional change behavioral theory, leadership and culture. Although each of the topics are inter-related, for purposes of this review they were treated as discrete areas of focus and examined from the perspective of the organization in terms of what they saw as foreground and background considerations with regards to the effort. Those areas in the background are shown at the top of the funnel, and encompass those below them, those with the highest degree of focus appear further down the funnel. Culture for example, represented a higher focus for KCA than understanding models of intentional change and is shown above culture in the funnel. In treating each area as separate it was easier to show relationships. For example, the literature treated culture change as a type of change in the broader umbrella of organizational intentional change, yet it is difficult to distinguish in complex systems. Any change in an organization effects assumptions and underlying beliefs of the members that made up the organization, effectively causing a change in culture. Each change attempt leaves an imprint on the culture, affecting future efforts and member behavior. Consider an organization's attempts to change behaviors associated with a process to achieve record sales. What happens when, after the organization's initial communication explaining why the effort is critical, the organization drops the effort in favor of some other more pressing initiative? Might this change the assumptions individuals will

make the next time an effort is announced? As these interrelationships can be confusing, it seemed more useful to review them individually.

Starting at the top of the review funnel, at its widest part, I review key organizational change models representing two dominant lines of orientation. In this examination it was my intention to call out those elements that were relevant to member behavior and leader influence in the environment of change. Moving down the funnel towards more specificity, the review explores the distinct characteristics associated with culture change. Here the objective is to present the relationship between organizational culture and behavior. This relationship leads to the next area of focus, behavior change. At this point the review begins to examine the relevant literature on how behavior is shaped and the leaders' role in influencing behavior. This part of the review highlights the formation of attitude and its relevance to behavior change. A number of frameworks are discussed, and an argument for the use of the theory of planned behavior to understand the dynamics of behavior and to frame the study is offered.

Finally, at the neck of the funnel, a description of implicit bias and the unique challenges associated with a change effort focused on managing IB in the workplace is presented. Figure 2.1 represents a visual depiction of the approach to review the literature.

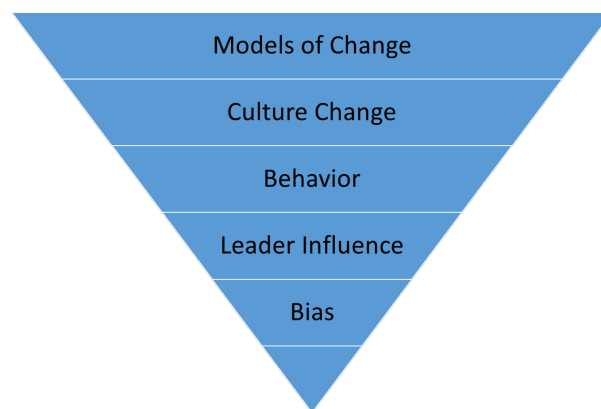


Figure 2.1. A depiction of the approach to the literature review.

Models of Change

There are many models that attempt to explain change and its implications for leader and member behavior (Burke, 2011). A comprehensive analysis of the entire landscape was not useful for this review. However, it was helpful to examine some of these models and position the discussion along two principal orienting elements that framed much of the change literature. Each of these orienting elements had an influence and implication on this study. Although somewhat reductionist in nature, models aided the dialogue by dismantling the parts and clearly illustrating complicated relationships among many interrelationships. They also provided a way to present ideas and concepts to practitioners in a method useful for application (Burke, 2011). Admittedly imperfect in their ability to represent reality, models provided a mechanism for discussion and exploration. Therefore, change models that reflected a linear perspective, as well as those that are non-linear in nature, provided the two orienting points for the literature review.

To illustrate the differences between these two orientations I utilized a continuum with linear change orientated models on one end and non-linear concepts at the other end. Models on the linear side of the continuum typically assumes a causal relationship between action and outcome. For example, as a leader, if I do (A) then (B) will result. In non-linear models causality is uncertain; (A) may elicit no response in (B), dramatic response, or a response that interacts with other factors in ways that were not predictable (Marion, 1999). Therefore, where a model fell in relation to these two extremes led to philosophical distinctions about the driving force behind change, the role of a leader in the change environment, and how much control one is perceived to have over change outcomes. It followed that the differences in orientation would also influence how organizational members reacted to and answered the perceived change request with behavior. Models that lay between the two extreme poles were less concerned with

these theoretical distinctions and were contingency or situationally based, advocating the application of a mixture of approaches, depending on the circumstances. Figure 2.2 depicts where some of the more prominent thought leaders for these models fell on the change continuum.

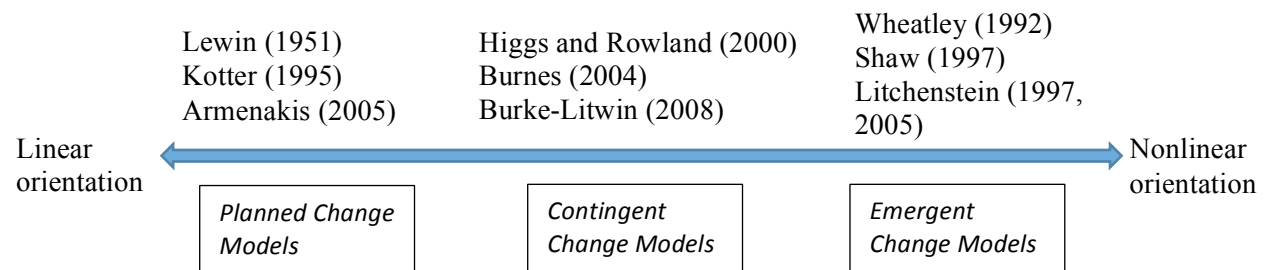


Figure 2.2. Change model continuum.

Linear models were associated with planned change. These models were decedents of Newtonian mechanistic orientations, which assume a high level of control over process outcomes and generally view change as a top down process (Burke, 2008). Work associated with the non-linear end of the continuum depicted change as a dynamic interaction that could be driven by anyone in the system (Stacy, 1996). Models based on a non-linear orientation accentuated system interaction and were governed by a process called emergence, which leads to the creation of novel solutions through those interactions of the systems agents (organizational members) to changing conditions (Goldstein, 1999). The nature of non-linear dynamics were generated from lower levels in the organization and represented a bottoms up orientation. The leadership process in a non-linear framework is a function of system dynamics, not a result of individual action as is the case in linear models (Burnes, 2005). The implications of these models on behavior in the organizational space were important. In models that were linear the focus was on leadership to direct and guide change in the organization; these models of change tended to assume a set of stages or phases that occurred in sequence to influence behavior change. It

viewed the leader as a focal point of inflection with the ability through his or her action alone to respond to follower attitudes. These models assumed static behavior in each phase and over-accentuated the leader's role in influencing behavior. In emergent models change happened in a dynamic process where leadership was distributed and member behaviors were shaped by a number of factors. Emergence occurred when those members self-organized to create a new environment (Lichtenstein, 2000).

Planned change. The models associated with planned change dominated the field from the 1950s through the 1980s and continue to be used in organization development (OD) practice today (Anderson, 2012). Many of the models in this category referenced Kurt Lewin as a basis for the work (Burnes, 2004a). Lewin's work on group behavior, field theory, and action research and his three-step model formed the foundation for much of the literature at this end of the continuum. For example, in an overview of work surrounding the human response to change and transition, Elrod and Tippet (2002) found Lewin's three-step model prominent in a number of transition models. The Bridges transition model is a classic example of the three-stage framework utilized by Lewin (Bridges, 2004); Kotter (1996) provided eight steps to transforming an organization, and Armenakis and Harris utilized four stages for their institutional change model (2009).

A central theme prevalent in planned change was a phased approach to describing what happened during the change process. Planned change models typically saw change as a series of stages that required specific actions by leaders that prepared others to move from one stage to the next (Higgs & Rowland, 2005). Planned change thinking suggested that if a series of steps or actions was followed in sequence, then success would follow. Simply stated, planned change showed a clear sequence of events that began with a system input, involved leader-influenced

action, and ended with a specified or anticipated output. This was represented in some of the earliest work on planned change. For example, Friedlander and Brown (1974) in their review of organizational change research intended for interventions in an organization provided a model that highlighted the connection between interventions targeting human and structural processes and the outcomes that resulted from those interventions. (Friedlander & Brown, 1974). Porras (1987) built on this earlier work by further detailing the relationship between context-related elements and their influence on human elements in the change environment. Their model described how an external influence could act as a catalyst for a new organizational vision that influences the work setting, member cognition, and member behavior, ultimately producing organizational performance outcomes and individual development. Porras's work, like earlier models, highlighted the linkages among the external factors that stimulate change, the internal contextual factors that influence change, and member behavior that produces change outcomes. According to Porras and Robertson (1992) in referring to the model:

A basic assumption in this framework is that change in the individual organizational member's behavior is at the core of organizational change and therefore, any successful change will persist over the long term only if, in response to changes in organizational characteristics, members alter their on the job behavior in appropriate ways. (p. 724)

The model proposed by Porras (Porras & Robertson, 1992) emphasized change agent intervention efforts; it attempted to show the relationship among those interventions and the resultant influence on member behavior and the importance of member behavior on change outcomes and organizational performance. Porras posits that "alterations of tangible on-the-job behavior performed by individual organizational members are key effects of successful planned change efforts" (Porras & Robertson, 1992, p. 725). A number of other models follow this same sequence. For example, the Nadler-Tushman congruence model and Tichy framework which

proceeded the work by Porras featured this input-output flow through the organization (Nadler & Tushman, 1977; Tichy, Hornstein, & Nisburg, 1977). These models also introduced differences in how the elements are defined and interact with one another. The Nadler-Tushman model included formal and informal forces along with individual and task related elements as part of what it described as the transformational process and suggested that they must be in congruence for successful change to occur (Nadler & Tushman, 1977). Tichy went one step further and introduced political factors into the equation (Tichy et al., 1977). All of these open system models have two things in common that are relevant to this review: the link among the change effort, member behavior and outcome, and the assumption that leader inspired action is the start of a sequence of events that leads to successful outcomes.

Non-linear change. Models closer to the non-linear end of the continuum viewed change as a dynamic interaction that could be driven by anyone in the system (Stacy, 1996). These models were based on system thinking and complexity science both of which are governed by a process called emergence that leads to the creation of novel solutions through the interactions of the systems agents (organizational members) to changing conditions (Goldstein, 1999). Emergence is considered “an anchor point phenomenon” in complexity theory and system theory (Chiles, Meyer, & Hench, 2004, p. 502; Flood, 2010, p. 269). Complexity theory serves as an umbrella term for a number of theories, ideas, and research programs that are derived from different disciplines in the natural sciences (Stacy, 2003). Like complexity theory, general systems theory, which became known as systems thinking, resulted from critiques of reductionism. Both schools of thought looked at phenomena holistically, as more than the sum of their parts. Both were also based on the principle of emergence. Emergence is an elusive concept. In systems thinking emergence is a property that results from a “phenomenon that

cannot be fully comprehended in terms of properties and constituent parts” (Flood, 2010, p. 269).

In complexity science it exists in a complex adaptive system (CAS) or a type of system in complexity theory that has the potential for self-organizing (Burnes, 2004; Hazy, Goldstein, & Lichtenstein, 2007). Although there was a limited amount of empirical work on the application of complexity science in organizational settings, complexity theorists pointed to a number of key principles that they claimed differentiates it from more traditional schools of organizational and leadership theory. In very practical and simplistic terms, complexity theory highlights:

1. a more holistic approach to the practice of leadership that acknowledges informal and formal leader roles in change;
2. an emphasis on complex adaptive systems dynamics, in particular network connectivity; and
3. focus on the process of emergence, self-organizing dynamics, and systems thinking.

One attempt to describe how these principles apply to the practice of leadership in a complex system was found in the case study of the Mission Church (Plowman et al., 2007). The study, which began as a qualitative study of radical change, was eventually extended to examine leader behaviors in an environment of transformation. As described by the study, “mission church offered us the opportunity to examine in fine grained detail, the actions of leaders who were actively engaged in a changing organization, but did not seem to be directing the change” (Plowman et al., 2007, p. 346). Mission church underwent dramatic change as its leadership attempted to address falling church membership. Its transformation took it from a “dying church with nothing unique about it to one that people throughout the city came to recognize for its ministry with the city’s homeless” (Plowman et al., 2007, p. 347). The study found three leader behaviors that the authors concluded enabled emergent self-organization: disrupting existing

patterns, encouraging novelty, and sensemaking. Through their interviews in the organization the authors identified how the leaders of the church demonstrated specific actions that reflected each of the enabling behaviors. The behaviors, along with a demonstration as observed by the researchers, is provided:

1. Leaders disrupted existing patterns by creating and highlighting conflict and embracing uncertainty:

The leaders took several actions that created controversy. They welcomed homosexuals to the congregation and experimented with alternate music and styles of worship. They unlocked the door of the church during the week to make it accessible to everyone. They made unpopular personnel changes and invited controversial speakers. (Plowman et al., 2007, p. 348)

2. The leaders encouraged novelty by using simple rules, supporting swarm-like behavior of the membership and nonlinear interactions:

Throughout our interviews and observations, we continually heard the leaders, staff, church members, and others refer to the question, “What would Jesus do?” The leaders used this question repeatedly to explain their position, for example, in allowing homeless people to sleep on church property . . . what we saw was a tenacious rigidity about the principle and complete flexibility about how to go about carrying out the principle. (Plowman et al., 2007, p. 350)

‘They would invite groups of visitors and a few members to their (leaders) home for dinner. They started a weekly women’s’ reading group, informal sports activities and dance classes. While the hope was that these small groups would attract new people to the church it seemed that a major impact of the small groups was establishing connections among people and opportunities for interaction. (Plowman, et al., 2007, p. 351)

3. The leaders contributed to sense making by assuming the role of “tag”:

When leaders began to see the breakfasts in a new light, the Sunday morning program took on new meaning and its shape changed as the leaders catalyzed and reframed the church’s purpose. The leaders were important in recognizing the nature of the change that had emerged, and they gave new meaning to it by redefining the leader’s role in relation to the breakfast. (Plowman et al., 2007, p. 352)

The leaders accepted the role of tag as they enabled specific behaviors, such as homeless ministry, by directing and reframing attention as to how important these behaviors were to the homeless service. Through these actions, the leaders rose a s tags of the homeless issue for the church members and for the city as a whole and became catalysts for actions regarding the treatment of homeless individuals. (Plowman et al., 2007, p. 352)

The Mission Church study complimented another study that looked at leadership behaviors through the lens of complexity science. This study examined administrative, adaptive, and enabling behaviors (Ford, 2010). As depicted in a complexity leadership model, administrative leadership represented a coordinating and planning orientation, supporting the bureaucratic activities necessary for most organizations to operate. Adaptive behaviors supported the process that catalyzed change through its orchestration of information flow and resources, and the enabling leader behaviors fostered emergent change through managing tension and coordination of the other two dimensions (Uhl-Bien, Marion, & McKelvey, 2007). The study was conducted in a theater company in the Midwest. Through a mix of observations, interviews, and archival data the researchers identified how these three leader behaviors were demonstrated in this organization. For example, the researchers pointed out the naming of the theatrical season by the artistic director as an example of administrative leadership, and the interaction created by informal meeting areas provided an example of the adaptive function:

It is within these common areas and through engaged participation in production and rehearsal organizing practices that adaptive leading-ship became manifest in catalyzing members to apply the ideas for solutions they individually shared and collectively implemented. The artistic and producing directors, for example, would meet daily to attend to any unanticipated, emerging issues between strategy and operations and make ad hoc corrective actions to keep the company on track. Design-tech shop artisans would interface and solve impromptu staging issues with the director and cast in the rehearsal studio. (Ford, 2010, pp. 432–433)

Enabling leadership was demonstrated by the stage manager through fostering network relations. Similar to the theme identified in the previous case study, “The stage manager’s integrative role

and system-wide dissemination of production notes were primary enabling forces in the importing of information via network relations that promoted learning and innovation” (Ford 2010, p. 433).

The Ford (2010) study attempted to explain the conceptual framework of emergence through the existing operation of a theater company. It was not clear from the study what about this operation was unique from other theater companies, making the generalizability of the study somewhat limited. However, the research did provide additional support to other complexity studies by reinforcing the importance of informal networks in an organization and describing the leadership competencies necessary for shaping the environment in such a way that emergent dynamics can flourish.

A study conducted in a not-for-profit organization brought the contributions of an emergent complexity based framework into focus. The action research study conducted with the board of a health and social services organization described how the use of complexity principles influenced decision-making and the culture of the board and the organization as a whole (Zimmerman & Hayday, 1999). This study, unlike others that attempted to interpret complexity science by applying it to past events in an organization, described the use of tangible complexity theory based exercises with the board during their decision-making processes. Their goal was “to learn whether board members of a nonprofit organization could become more effective by deliberately using a complexity science lens” (Zimmerman & Hayday, 1999, p. 282). The researchers were also humble in their description of the findings and the impact of the study. They stated, “we do not claim to have proven that the complex adaptive systems (CAS) perspective caused an increase in effectiveness. However, senior members of the organization are convinced that learning about and applying complexity concepts has played an important and

positive role in the organization” (Zimmerman & Hayday, 1999, p. 283). The study had three primary objectives:

1. to discover whether deliberately using a complex adaptive system (CAS) perspective could improve an organization’s effectiveness,
2. to find new ways of communicating CAS insights for the organization, and
3. to demonstrate how action learning is consistent with CAS concepts (Zimmerman & Hayday, 1999).

In the action research description, the authors provided specific examples that tied the use of complexity-based tools to board actions. For example, the study referred to an early issue that existed between the board and the staff, related to how each group dealt with simple, complicated, and complex issues. Through a reflective exercise designed to raise patterns, the researchers helped the group to see how they were classifying the issues and then helped them see the approaches they were using to make decisions on those issues. The study made use of a decision matrix that provided recommended actions for decisions based on the level of agreement about the issue and the certainty of the issue (Stacy, 1996). The decision matrix framework allowed the groups to discuss their decision-making behaviors and then use the framework to surface patterns. One pattern that surfaced was how needs influenced the way the board and the staff approached decision-making. The study indicated:

Board members reflected on how it was fun to be in the complex zone because it was creative, energizing and innovative” The staff reflected on how they were going crazy with a board that wanted everything to be creative, energizing and innovative. (Zimmerman & Hayday, 1999, p. 292)

The discussion moved the groups to recognize the diversity in approach for dealing with organizational issues. Other examples related to simple rules and use of diverse perspectives were provided in the study:

As the NSSO's context had become more unpredictable, there was also less agreement on how the services would be best delivered. NSSO created a context for experimentation and differentiation across the organization and geographic region. Paradoxically, the decrease in consistency increased coherence. How did this happen? As details were left to the local decision makers, their reference points or decision criteria increasingly related to mission and not procedures. (Zimmerman & Hayday, 1999, p. 293)

The power of distributed control and the capacity to acknowledge discomfort and to create safety for questions also surfaced as a recurring theme in other studies related to creating the space for dealing with questions, difficult issues, and taking risks. In this study the authors used the language of container to describe the space. They stated,

One of the lessons from complexity science is that CAS need boundaries within which they evolve. The acknowledgement of the negative emotions seemed to create the boundary conditions or 'container' in which people could safely ask questions, challenge assumptions and propose ideas. (Zimmerman & Hayday, 1999, p. 296)

The authors again referred to the container in their closing comment when they discussed the limitation of this particular action research project and made suggestions for the future work of social scientists examining complexity theory. They closed with:

We believe that this is a call for openness in the research community to experiment, to honestly reflect on our lessons and limitations, and to acknowledge our fear and anxiety about whether this is "good science and rigorous research" may create the safe container within which we can experiment and learn. (Zimmerman & Hayday, 1999, p. 302)

Distinctions and Limitations of Change Models

There were clear differences and limitations in the models at either end of the continuum with implications for understanding change and the impact of leader and member behaviors on the change process. Linear models assumed order and predictability, inferring control over change results. Members were viewed as passive participants to be managed (Plowman et al., 2007). Detractors of planned change pointed to the inability of these models to fully appreciate the complexity of change in organizations (Higgs & Rowland, 2005). Emergent change, on the

other hand, highlighted the role of member interaction and viewed them as potential informal leaders with the ability to create emergent solutions to change challenges (Hazy et al., 2007). These complexity based models redefined a leader's role and influence by diminishing how much control the leader had over the change process and by disputing the ability to predict outcomes based on specific actions (Marion & Uhl-Bien, 2001). Models based on complexity science, however, suffered from a lack of empirical work to provide support for practical use in organizations (Marion, 1999). Further, the empirical work that existed had significant limitations. As Zimmerman posited, "most of the literature that applies to complexity science in organizations does so in one of two ways: (1) in hypothetical or conceptual terms or (2) by explaining past events with a complexity science interpretation" (Zimmerman & Hayday, 1999, p. 282).

Approaches that bridge the differences. At first glance the differences in the orientations seemed exclusionary; some of the literature made an incompatibility argument (Stacy, 1996), but the literature also pointed to the possibility of common ground between the two approaches, suggesting an approach that did not have to be an either-or proposition (Burnes, 2004). A number of studies suggested that use of principles from planned change and emergent orientations could be used together (Bamford & Forrester, 2003).

Whole system change and large group interventions. These social technologies have risen in response to increasing complexity of organizational life. Known primarily as Large Group Interventions (LGI) or whole-system change, these methods represent organizational and community change models involving the whole system, internal and external, in the process (Bunker & Alban, 1997). LGI is an example of a change methodology that involves a planned organizational intervention based on the premise of mutual causality (versus linear causality), or

the mutual influence in human interactions that impact both an organization's individual members and the system as a whole. Organizations that use large-group change methodology today seek to align the entire organization around a strategic direction, work redesign, and system-wide issues.

Burke-Litwin model of change. One model that lay between the extremes of the continuum and incorporated principles from both schools of thought was the Burke-Litwin model of organizational change (Burke, 2011). This model was created as an outgrowth of the author's culture change work with British Airways and, as such, was based in practice. The model was unique in that it featured one of the more complex set of relationships and elements among the various frameworks. The elements: mission and strategy, leadership, organizational culture, structure, management practices, systems, work climate, motivation, task and skills, and individual needs were ordered in a hierarchical manner and contained in a web of bi-directional feedback and influence loops. According to the authors, although influence arrows flowed in both directions between elements, those at the top of the model exerted more influence than those in the other direction. For example, external environmental which is positioned at the apex of the framework was viewed as a key influencer on leadership, positioned below external environment in the model. Leadership then affected how mission and strategy was created, which in turn influenced and was influenced by organizational culture. The leadership, strategy, and culture relationship positioned above was then seen as a key influencer on management practices, which was linked to organizational structure and systems and organizational policies, thus creating the climate. Finally, the framework depicted how those context elements influenced motivation, tasks and skills, and individual needs and values to produce organizational and individual performance shown at the bottom of the model. The model's open system orientation

attempted to show the complexity associated with understanding how all of these organizational dynamics influenced each other. It further differentiated between higher-order leadership linked to mission and strategy creation and those activities that reflected lower-order work, like management practices linked to structure and systems. Those activities within the leadership relationship reflected transformational effort, while those in the management practices relationship were transactional in nature. There were clear limitations with the Burke-Litwin model, however, reflecting how difficult it is to capture all of the nuances of organizational dynamics in any model. According to Burke (2011):

To portray the model as close to reality as possible, there would be arrows, or linkages between each box and all the boxes. The model depicts some of the more important linkages rather than attempting to show every possible connection. The clutter of displaying all connections would look rather daunting, if not messy. But daunting and messy is no doubt closer to reality. Moreover, our two-dimensional display is limited. Closer to reality would be a display of the model in the form of a hologram. Circular arrows would depict reality much more accurately. (p. 215)

Therefore, the authors recognized the complexity of the change process and suggested their intention for a model that is less linear in nature. The Burke-Litwin model was also important because it incorporated a number of the key elements of system thinking which further bridged planned and emergent lines of thinking. The model had an open system orientation, recognizing that:

1. the change system is influenced by the external environment,
2. it employs feedback loops that link interrelated parts of the system inferring system learning capacity, and
3. it recognizes the complexity of the change environment (Flood, 2010; Senge, 1994).

Another key aspect of the model was the incorporation of Litwin's earlier work that linked organizational climate to individual motivation (Litwin & Stringer, 1968). Although there was

still ongoing debate about how distinguishable climate was from culture (Denison, 1996), the work highlighted the influence of contextual factors on the change process and individual behavior, an element prevalent to the emergent orientation but missing in many planned change models (Burke, 2011).

The Burke-Litwin model distinction between higher and lower order leadership activities brought it closer to the complexity leadership model advocated by Uhl-Bien, which separates leader roles into administrative, enabling, and adaptive activities (Uhl-Bien et al., 2007). The Burke-Litwin model, while not as specific as depicted by Uhl-Bien et al. (2007), did diminish the top down, directive leadership profile inferred in more traditional planned change models. Burke (2011), when describing leadership, stated:

Although this category is usually associated with the behavior of senior executives - and appropriately so, leadership is, after all, exercised throughout an organization...also by leadership we mean persuasion, influence, serving followers and acting as a role model, and we do not mean command and control, domination, and serving edicts to followers. (p. 220)

The role leadership behaviors played during a change effort was mostly implied in the model at both ends of the continuum. The literature did not offer much empirical support on the subject (Burke, 2011; Higgs & Rowland, 2011). There were a few themes that cut across the orientations and were noteworthy; however, it should be noted that:

1. leading large scale change may require competencies and behaviors not otherwise required for leader success in more routine operational environments;
2. change is complex in nature and potentially requires large-scale participation by the members the change is intended to affect; and
3. the leader's ability to influence the change environment and behavior may be dependent on a number of factors: as presented in this study, a leader needs to be cognizant of how culture and change dynamics at the organizational level interact and

how the intention to change is formed at the individual level to be effective in influencing the environment.

While there was support that effective leaders could have an influence on organizational performance (Yukl, 1998) and bad leadership could serve as an inhibitor (Hogan, Curphy, & Hogan, 1994), there were some who disputed the connection made for both, arguing limited influence by leaders (Starbuck, 1983; Zaccaro, 2001). The degree to which a leader specifically influenced the change environment and member behaviors in an environment of change was the subject of this study. Therefore, for the moment, it is enough that most models implied some degree of influence.

Culture Change

Definition. Defining culture in an organization is challenging. There is a lack of agreement on many aspects of definition and on the role culture plays in influencing organizational dynamics (Schein, 1990). A review of all of the literature would also have been challenging and not necessary for this research, however, it was important to establish a number of foundational elements. For this I relied on the work of Edgar Schein, a preeminent thought leader, to guide my treatment of these foundational elements. According to Schein (1990), culture is defined as:

(a) pattern of basic assumptions, (b) invented, discovered, or developed by a given group, (c) as it learns to cope with its problems of external adaptation and internal integration, (d) that has worked well enough to be considered valid and, therefore (e) is to be taught to new members as the (f) correct way to perceive, think, and feel in relation to those problems. (p. 111)

He also described three levels of manifestation for culture in organizations: observable artifacts, the organization's values, and the basic underlying assumptions in the organization. Schein placed heavy emphasis on underlying assumptions; he stated:

Once one understands some of these assumptions, it becomes much easier to decipher the meanings implicit in the various behavioral and artefactual phenomena one observes. Furthermore, once one understands the under-lying taken-for-granted assumptions, one can better understand how cultures can seem to be ambiguous or even self-contradictory. (Schein, 1990, p. 112)

There was also theoretical support for the role culture played in a firm's capacity to differentiate itself from competition (Cameron & Quinn, 2011) and how a firm was viewed in the marketplace (Kotter & Haskett, 1992). According to Camron (2008), when talking about successful organizations:

The major distinguishing feature in these companies, their most important competitive advantage, the factor that *they* all highlight as a key ingredient in their success, is their organizational culture. The sustained success of these firms has had less to do with market forces than company values; less to do with competitive positioning than personal beliefs; less to do with resource advantages than vision. In fact, it is difficult to name a single highly successful company, one that is a recognized leader in its industry that does not have a distinctive, readily identifiable organizational culture. (p. 430)

The ability to change organizational culture was also challenging for organizations as the low success rate proves (Smith, 2002). A recent study asked managers from a cross section of industries and job functions across North America to provide data on major change efforts in their organization. The purpose of the study was to understand the reasons why culture change is so difficult (Smith, 2003). Among the study findings these conclusions were of note:

1. Culture change was the second most common type of change.
2. Culture change usually occurred in combination with other types of change.
3. The success rate for culture change was low.
4. Success was more likely when the sponsor was perceived to be "other" officers rather than Chief Executive Officers or Chief Operating Officers.
5. The most common reasons for undertaking culture change were competition.
6. Statistical data were most often cited to describe successful culture change.

7. Success correlated most highly with the perception that change and innovation were rewarded, the effort was kept small and manageable, a dedicated capable project team was assigned to the project, there was visible support from the sponsor through the project, and progress was tracked and publicized.
8. Failure correlated most strongly with ineffective, missing, or conflicting leadership and their clash with existing culture.
9. The success factors and barriers for cultural change resembled the profile of correlations for other types of organizational change.

Impact of culture change: Case studies. There are a number of case studies that provided additional insight into success attributes for culture change and the relationship between culture and behavior in organizations. One distinguishing element was time. In some of the case studies, the culture change effort unfolded over years (Shook, 2010), and in others the effort was compressed over days (Losada, 2009). A case study at GM provided insight that is relevant for this study.

NUMMI (New United Motors Manufacturing Inc.) case study. NUMMI is a clear example of the relationship among culture, leadership, and behaviors during a change effort. The New United Motors Manufacturing Inc. (NUMMI) project was born from a joint venture between General Motors (GM) and Toyota. It brought together the dysfunctional manufacturing culture at the GM Fremont California facility with the Japanese production system used at Toyota. Its focus on changing the work, what people do, resulted in a dramatic shift in behavior and culture (Shook, 2010). This highly successful culture change effort was attributed, in part, to the introduction of the Japanese production system but also gave credit to the leadership effort to push decision making down to the line operators in the assembly operation. The simple work

practice of allowing anyone to stop the production line acted as the catalyst for culture change. The GM culture of keeping the line moving regardless of quality issues was a primary focus at Fremont. Only a supervisor had the ability to stop the production line. Defects that occurred in production as a result never got corrected on the spot and were passed on throughout the process. These defects would remain on the vehicle until the end of the production line and then corrected only when and if they were discovered. This resulted in significant rework and a climate of indifference. The culture at GM Fremont highlighted a hierarchical, adversarial, and non-participatory environment where members were treated no better than the machines they operated. Grievance, absenteeism, and defect rates were among the worst of all of the GM plants throughout North America. Plant performance was so bad that the Fremont plant was closed preceding the joint venture. After the introduction of the Japanese production system, which emphasized participatory practices and shared leadership, hallmarks of the emergent change orientation, the plant became one of the most dramatic turnaround stories in all of GM.¹ The clear lessons from NUMMI were twofold: first, that the place to start culture change is with how people work (what they do) and not how they think; a simple change to the rule of stopping production had dramatic effect on attitudes and behaviors on the production line; second, related to leadership and decision making, once leaders (managers) let go of the sole authority to stop production and allowed decision making to be shared with production employees, a new collaborative relationship developed which had previously been adversarial (Shook, 2010).

Complementing the lessons from New United Motors Manufacturing Inc. (NUMMI), a global banking firm was able to change its culture in 100 days through intense focus on engaging the entire organization in changing “tens of thousands of specific and individual actions” (Losada, 2009). The culture change at Hong Kong and Shanghai Banking Corporation (HSBC)

¹ For an account of the NUMMI case and its aftermath on GM’s culture listen to: <http://tal.fm/561>

bank in Argentina serves as an example of intense, coordinated activity focused on change.

HSBC leveraged training supported by internal team coaches and heavy employee involvement to drive their change effort. As noted by the study:

The introductory training session was followed by 99 days of intensive application of new leadership skills in people's day-to-day professional and personal lives. This period of time was required to solidify individual learning and to produce the "stickiness" of new behaviors. According to recent brain sciences research, 100 days of sustained coherent practice significantly increase the likelihood of behaviors becoming second nature. (Shook, 2010, p. 20)

British Airways. The British Airways (BA) change story which produced the Burke-Litwin model of change has been noted as a successful planned change effort, with specific reference to Lewin's phases of change (Goodstein & Burke, 1991), and transformational culture change (Burke, 2011). It has provided important lessons for the relationship among culture, leadership, and behavior. In 1980 British Airways was forced to reshape its business model after then Prime Minister Margaret Thatcher deregulated the industry in Great Britain. During the five-year period that followed, the organization transitioned from an entity dependent on an annual \$900 million in government subsidies to one generating an annual \$435 million profit² and shifted from a bureaucratic culture to one that is recognized as a service orientated and market driven organization. The effort was intense and dramatic, evidenced by the initial decision to reduce the BA workforce from 59,000 employees at the time the effort began to 37,000 employees. The change effort was centered on a program called Managing People First (MPF) and intended to shift leadership behaviors from directive towards a more participatory, communicative, and team orientated style. This program was reinforced by changing performance feedback and rewards to recognize the new behaviors. According to Burke (2011):

A primary focus of the change effort at BA, therefore was behavior change in the direction of openness, more trusting of others, and greater teamwork . . . it was

² As of 1989

behavior—that is, movement first then cognitive processing, a reordering of values would follow. (p. 242)

Burke also connected the effort to Schein's 2004 work on culture by identifying specific actions taken at British Airways (BA) that involved all three levels in Schein's culture model:

With respect to *artifacts* early in the change effort (a) all pilots, cabin crews, and customer service personnel received different uniforms (b) all BA's fleet of aircraft were repainted with brighter colors including new, artful patterns on the fuselage and tail and (c) new, more comfortable seats were installed along with attractive interior fabrics. *Espoused beliefs and values* were changed and expanded to a value system focused on the competitive marketplace, in general, and customer service more specifically. And regarding *basic underlying assumptions* . . . the effort at this more latent or unconscious level took considerable time (the better part of five years) and effort. The focus was on behavior that was intended to counter the basic assumption that strict, hierarchical procedures are to be followed, information and holding on to it is power, and managing subordinates in a one on one manner was the best way. Therefore, the new emphasized behaviors included communicating in a more transparent way, managing more participatively, trusting others, and stressing collaboration and teamwork. (Burke, 2011, p. 243)

Models incorporating culture. A number of change models incorporated culture to help understand the relationship between culture and change. Some models evaluated the effects of certain types of change on cultural aspects in the organization while others approached it by examining how culture influences the change environment. In one model the influences of organizational strategy on culture was highlighted (Gagliardi, 1986). The cultural dynamics model was built on the organizational influences that connect various cultural elements. It showed four interrelated processes: manifestation, realization, symbolization, and interpretation that provide meaning to cultural symbols and create organizational values (Hatch & Cunliffe, 2013). Both of these models utilized Schein's culture model as a foundation. Other models mimicked the change process and took into account how culture influences dimensions of the change process.

OC3 change model. A recent ethnographic study attempted to determine how culture impacts organizational change as it proceeds through the implementation process. The study, conducted at a public research university, resulted in the development of the Organizational Change in Cultural Context (OC3) model (Latta, 2009) which was intended to “aid leaders, human resource professionals, and other change agents in anticipating and accounting for the impact of organizational culture at every stage the change implementation process” (Latta, 2009, p. 21). The OC3 model depicts how organization culture influences and is influenced by planned change. The key to the OC3 model is the multi-directional influence of culture on the change process. The model depicts culture as a central element exerting influence over intentions and change initiatives and the implementation strategies. The model also acknowledges the relationship of feedback and learning in the process by identifying three feedback loops. As stated in the study:

The three feedback loops in the OC3 Model provide insight into Lewin’s (1947) classic phases of organizational change and expand on the presence of culture in the Burke (2008) model by delineating the pervasive cultural dynamics that account for progressive organizational adaptation over time. Ongoing cultural analysis reveals knowledge of cultural shifts, which reshape leaders’ vision for change, informing the development of revised change initiatives and implementation strategies that have both intended and corollary implications for organizational culture. (Latta, 2009, p. 31)

The elements of the OC3 model provided an opportunity to explore all of the relationships of the organizational change process and culture. The feedback loops provided a framework that change agents can use to shape interventions based on the dynamics in each phase of the model. If nothing else this reminds change agents and leaders to be mindful of all the interactive dimensions of cultural change.

The competing values framework (CVF). The competing values framework provided a way to identify attributes of culture in an organization. This model has two dimensions and four

quadrants that purportedly represent a distinct set of organizational effectiveness indicators and identifies a culture's "most notable characteristics" (Cameron, 2008, p. 437). The quadrants, which were used in an instrument called the organizational culture assessment instrument (OCAI) were built from the CVF; they are clan culture, adhocracy culture, market culture, and hierarchy culture. Each quadrant possesses distinguishable attributes. The clan culture was identified by its relationships and collaboration. Teamwork and participation were important to a culture that sits in this quadrant. The adhocracy quadrant reflected an entrepreneurial creative workplace that values experimentation and innovation. The market culture was focused on winning and competition, and the hierarchy culture valued stability predictability and efficiency (Cameron, 2008).

Overlaps between change and culture models. The case studies and models that represent planned change, emergent change, and culture change provided a sense of the overlap between concepts and frameworks. The description of the observed dynamics in the various case studies were easily applied to change orientation and type of change. A cursory inventory of the terms used to describe dynamics in these case studies revealed how related the concepts may be from one situation to the next. Culture in particular appeared inseparable from most types of change activity. As is explored later in the discussion of leader influence in the change environment, a leader was both a direct influencer of culture by virtue of the visioning work that occurred on the transformational end of change and of organizational climate at the transactional and local level of change (Burke, 2011). Setting aside for the moment how distinctive culture and climate were from one another (Denison, 1996), it was clear that culture/climate in turn influenced leader actions in the change environment as well as influenced how members may react to change and make a decision to change behaviors in support of a change effort (Meyer et

al., 2007). Culture was featured in both emergent and planned change models and was a moderator of behavior in the behavior change research (Ajzen & Fishbein, 1980). To further make this point in Table 2.1 Nomenclature Overlaps, I show how model descriptors and nomenclature from the case studies examined could be compared. I used Lewin's three-stage model: unfreeze, movement, and refreeze as an anchor for the table. Lewin's work was used in this context because in addition to his association with planned change, his thought leadership informs some of the principles represented in the application of complexity science in organizations (Burnes, 2004) and because of his influence on principles of action research and learning (Schein, 1996). Although often associated with linear planned change, his thinking was more complex than appears and extends beyond that limited scope (Burnes, 2004).

Table 2.1

Culture Change Model Nomenclature Overlaps

<i>Lewin (Planned Change)</i>	OC3 culture change model	NUMMI	British Airways	Mission Church/ Zimmerman case study	Emergent Change
<i>unfreezing</i>	<ul style="list-style-type: none"> Assessing readiness Creating a vision 	<ul style="list-style-type: none"> Fremont plant closure Creating the Joint Venture Creating a Vision 	<ul style="list-style-type: none"> Downsizing the workforce Using a task force to plan change Redefining the mission 	<ul style="list-style-type: none"> Creating conflict Using the decision matrix to identify patterns 	Creating the space "container" for exchanges to occur
<i>Movement</i>	<ul style="list-style-type: none"> Intervention Implementation strategies Effecting change 	<ul style="list-style-type: none"> Communicating the vision Empowering others to act Planning for and creating short term wins 	<ul style="list-style-type: none"> "Managing People First" program Performance feedback and profit sharing based on new values 	<ul style="list-style-type: none"> Encouraging simple rules and swarm like behavior. Distributed control Sense-making and reframing Encouraging experimentation 	<ul style="list-style-type: none"> Increased democratization Bottoms up participation Network dynamics Information flow
<i>Refreezing</i>	<ul style="list-style-type: none"> Institutionalizing change Assessing impact 	<ul style="list-style-type: none"> Consolidating improvements Institutionalizing new approaches 	Promotion of staff with new BA values		Emergent solutions

Leadership in the Environment of Change

There is a good deal that remains unknown about leadership during organizational change efforts. In particular, and somewhat surprisingly, given the abundance of work on leadership and change, there is a limited amount of empirical work available to understand how leaders react to change, how and if they change their own leader behavior during a change effort, and how their actions in support of a change effort influence others (Higgs & Rowland, 2011). The quantitative work that does exist has been criticized for its limitations on showing the actual link between leader behaviors and its influence on the change environment in specific context (Avolio, Walumba, & Weber, 2009). Yet, it does show some relational links between a leader's behavior and its influence on organizational member through the literature examining transformational leadership in the environment of change (Bass, 1999; Bass, Avolio, Jung, & Berson, 2003). How do leaders perceive what is required of them in their environment of change? How aware are they of their own behaviors or the need to shift their behavior as they support an effort? What influence leader actions and behavioral shifts have on organizational members who also must shift behavior? These are questions that this work explored, and the way in which the study contributes to the existing leadership and change research.

The review of leadership influences in an environment of change undertaken here surfaced a number of themes that have relevance for this study. One theme related to understanding the degree to which the leaders influence affected the change process. Irrespective of change orientation, it was clear that a leader could have considerable influence on the change process and how it was experienced by organizational members (Higgs & Rowland, 2001; Kotter, 1996). In both planned change and emergent change approaches the leader was

prominent in creating the space where participants could conduct change related exchanges (Burke, 2011; Zimmerman & Hayday, 1999). How the leader created the space where these exchanges could occur and enabled supporting dynamics determined how much learning occurred during the exchanges (Olson & Eoyang, 2001) and may also relate to potential change success (Higgs & Rowland, 2011). For example, information flow, decision rights, and participatory practices are all featured in various studies as enablers of successful change. The NUMMI case study highlighted the dramatic shift in behavior that resulted from pushing decision right down to the plant floor and participatory shifts in practices by management (Shook, 2010). Another theme that surfaced was the role a leader plays in enabling others to contribute and lead aspects of change. Distributed leadership and other enabling behaviors emerged in other theoretical work on planned change and emergent orientations and demonstrated this element. Burke (2008), for example, in describing the elements of the Burke-Litwin model of change, acknowledged that leadership occurred throughout the organization and that it referred, in part, to influencing behavior and acting in service to members, not command and control. The mission church case study highlighted the subtle role of church leaders in allowing ideas that emerged from church members in a bottoms up fashion to develop (Plowman et al., 2007). The work by Higgs (2009, as cited in Higgs & Rowland, 2011) identified three underlying behaviors of leaders in a change environment that the author found to have a varying degree of influence on effectiveness. The three behaviors provided a framework to describe the variety of ways a leader may influence the change process and member behavior. The behaviors of shaping, framing, and creating capacity identified by the research were in line with the themes identified throughout the literature presented in the review (Higgs & Rowland, 2011). Finally, in a recent study of leadership competencies focused on implementing change,

researchers evaluated the three activities of communicating the need for change, mobilizing others to support change, and evaluating the change implementation in an effort to link them with two leader orientations. The study explored task and people oriented leader behaviors to understand the relationship between the orientating behaviors and the propensity of the leader to focus on one of the three specific activities. The finding supported a link between leader behavioral orientations and the likelihood to focus on one of the three change related activities (Battilana, Gilmartin, Sengul, Pache, & Alexander, 2010) .

It is unclear how much a leader truly impacts the change environment and change related behavior. The literature provided some insight but falls short of providing a definitive answer (Burke, 2011). What the literature was clear on is the interrelationships among organizational elements, including leadership influence, the complexity of change and its dependence, aligning member behavior for successful outcomes. This interrelationship compelled more research during active change efforts where there was an expectation of leader involvement in support of the change effort. The proposed study presents such an opportunity.

Behavior in the Environment of Change

Influences. Intentional organizational change implies a desire to reshape how an organization behaves in order to influence performance in some way. Whether the catalyst for the change comes from external forces or is driven by internal challenges, change efforts envisioned, designed, and implemented in an organization almost always require a change in the behavior by the members of that organization to ensure successful outcomes (Burke, 2011). Understanding how to attain the desired behavior shifts is a challenge for organizations and may be a key reason why so many change efforts never realize planned for objectives. For example, Conner and Patterson (1982), when referring to change related commitment, stated, “the most

prevalent factor contributing to failed change projects is a lack of commitment by the people” (Conner & Patterson, 1982, p. 18). The essential inquiry seems to be identifying the moderators of behavior change during an intentional change effort.

Understanding the various aspects of behavior in the organizational setting was the subject for a significant portion of the change literature, with a number of theories and models that attempted to explain factors that led to changed behavior (Jimmieson et al., 2008). At the heart of the inquiry lay a fundamental question put best by a seasoned human resource professional implementing an organizational change effort for her company, “what is the secret sauce of behavior change in an organization? Once the organization asks employees to do something different, what conditions need to be in place to move them from awareness to action?” How does the organization best support and sustain that change?

Cognitive elements. The extant research referred to beliefs, attitudes, and intentions as the cognitive elements of influence in the behavior change formula. What then, is the relationship among these elements and what needs to be in place for a leader or an organizational member to act positively on a change request put forward by the organization? Two prominent lines of inquiry on the subject existed and provided insight. The first followed a path related to initial attitudes toward change and the other focused on the formation of intention to change behaviors. The lines, at first glance, may seem different in that the work on initial attitudes seemed to reflect those psychological states that either manifest as support for a change effort or resistance to the change, while the intention line of inquiry focused on predicting behavior. With further review, however, it became apparent that the lines overlap in seeking to understand how the psychological elements (attitude and intention) related to each other and, more importantly, how they both acknowledged some role played by attitude formation in influencing behavior. It

appeared from the literature that this second overlap, centered on attitude formation, presented a potential key to understanding the process of behavior change. Attitude was a concept considered indispensable in contemporary American social psychology (Allport, 1935). Some authors actually defined social psychology as the study of attitude (Bogardus, 1931). While it would be beyond the scope of this review to present an exhaustive examination of all psychological literature on attitude, the concept of attitude and its relationship with behavior deserves additional attention here.

Attitudes. Attitude research has a long history dating back to the early 1900s (Ajzen & Fishbein, 2005). It has long been viewed as a central psychological construct that attempts to explain social behavior change (Fishbein & Ajzen, 2010), is seen as a foundational element in social psychology, and is viewed by some as “one of the most powerful determinants of behavior” (Allport, 1935, p. 799). Attitude generally refers to “a person’s degree of favorableness or un-favorableness with respect to a psychological object” (Ajzen & Fishbein, 2000, p. 2). However, its definition varied even among prominent thought leaders (Eagly & Chaiken, 1993). In describing attitude, it has been referred to as a tendency to act, a state of readiness, or a learned association, for example. Table 2.2 shows definitions provided by some prominent authors on the subject and the subtle differences they present.

Table 2.2

Definitions of Attitudes Provided by Key Authors

Author	Definition	Relation to behavior
Bogardus (Bogardus, 1931)	“an attitude is a tendency to act towards or against some environmental factor which becomes thereby a positive or negative value” (p.31)	Double polarity orientation
Allport (Allport, 1967)	“An attitude is a mental and neutral state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual response to all objects and situations with which it is related” (p.8)	“An attitude characteristically provokes behavior that is acquisitive or avertive, favorable or unfavorable, affirmative or negative towards the object or class of objects with which it is related.
Fazio (Fazio, 1990)	learned association in memory between an object and a positive or negative evaluation of that object	When general attitudes are activated they result in attitude consistent behavior
Eagly and Chaiken (Eagly & Chaiken, 1993)	“Psychological tendency that is expressed by evaluating a particular entity with some degree of favor or disfavor.” (p. 1)	<ul style="list-style-type: none"> • Tendency • Evaluation
Fishbein and Ajzen (Fishbein & Ajzen, 2010)	“A latent disposition or tendency to respond with some degree of favorableness or unfavorableness to a psychological object” (p. 76)	<ul style="list-style-type: none"> • Attitude is an element in of the formation of intention which influences behavior

An important element found in all of these definitions is what is described as a bi-polar evaluation, positive or negative, favorable or unfavorable, targeted at an object. This evaluation appeared to be an essential element for attitude formation and influencing behavior. In work describing this concept, Ajzen and Fishbein (2005) distinguished between attitudes towards a physical object and those towards performing specific behaviors. In their model (provided later in this review), these latter attitudes were specifically highlighted as attitudes towards a behavior (Ajzen & Fishbein, 2005). Eagly and Chaiken (1993) also touched on the relationship between attitude and behavior in their definition. In their depiction one can visualize the relationship as an outcome of the evaluative process that leads to the formation of an attitude,

attitude is a psychological tendency that is expressed by evaluating a particular entity with some degree of favor or disfavor” . . . psychological tendency refers to a state that is internal to the person, and evaluating refers to all classes of evaluative

responding, whether overt or covert, cognitive, affective or behavioral. This psychological tendency can be regarded as a type of bias that predisposes the individual towards evaluative responses that are positive or negative. (Eagly & Chaiken, 1993, p. 1)

According to Eagly and Chaiken (1993), an outcome of attitude is a response that may have behavioral implications. Finally, in another definition, Fishbein and Ajzen (2000) described the predictive relationship between attitude and behavior. In their discussion of the predictive strength of attitudes the authors stated,

In short we cannot expect strong relations between general attitudes towards an object and any given behavior directed at that object. However, when the behavioral criterion is broadly representative of the behavioral domain rather than single arbitrarily selected action, strong relations between attitude and behavior are observed. (Fishbein & Ajzen, 2000, p. 258)

In part their description was responsive to concerns over other studies that questioned the concept of attitude as a predictor of behavior (Wicker, 1969). In their work, Ajzen and Fishbein called out evaluative inconsistencies in some of these earlier studies. In particular, they noted miss-matches between the measure of attitude and the observed behavior.

In the early studies reviewed by Wicker (1969), investigators were, by and large, concerned with broad social issues such as racial integration and discrimination, aggression, conformity, authoritarianism, religiosity, labor-management relations, and so forth. They felt that behaviors in these domains were reflections of broad underlying attitudes. Thus, racial discrimination was assumed to reflect prejudicial attitudes toward racial or ethnic minorities, that altruistic behavior could be explained by reference to positive attitudes toward helping others, and that adherence to religious traditions was a reflection of favorable attitudes toward religion and the church. . . . Our discussion suggests that the next step should be to identify a set of behaviors broadly representative of the same behavioral domain. Instead, investigators tended to select a single behavior that they could readily observe and that they believed would be indicative of behavior in the domain of interest. In retrospect, there is reason to doubt that the particular behaviors selected (or for that matter any single behavior) could be representative of the broad behavioral domains under investigation. (Ajzen & Fishbein, 2005, p. 181)

The authors went on to state:

Given the idiosyncratic and non-representative nature of the behavioral criteria, it is hardly surprising that investigations of this kind obtained virtually no evidence for a relation between attitudes and behavior. It would be far-fetched to conclude, however, that the negative findings can tell us anything about the predictive validity of attitudes in general. (p.181)

When the scope of attitude and behavior are compatible, which is referred to as the principle of compatibility, the predictive nature of the relationship increases (Ajzen & Fishbein, 1980). This is supported in a number of studies. For example, in one study of religiosity, participants were assessed against general attitudes towards religion and then asked if they did, or did not, perform a set of behaviors, as opposed to a single behavior, assumed to be relevant for religiosity. The study showed high correlation with the attitude and the behaviors (Fishbein & Ajzen, 1974). In referring to the study the authors stated,

findings of this kind have done much to dispel the concern that general attitudes towards objects are unrelated to overt action. We now understand that such attitudes can predict behavior, but only if the measure of behavior is broadly representative of the attitude domain. (Fishbein & Ajzen, 2010, p. 258)

One attempt to depict the actual process linking attitude and behavior was represented in the MODE model (Fazio, 1990). The model, which is an acronym for “motivation and opportunity act as a determinant of spontaneous versus deliberative attitude to behavior processes” (Fazio, 1995, p. 257), posited that attitudes were activated in two ways: in a controlled or deliberate fashion or spontaneously. This dual mode concept was important when considering attitude formation in an organizational setting where the “organizational ask” can be rationalized in a more deliberate manner. MODE suggested that attitude gets activated when an individual has the motivation and cognitive capacity to do so. Where there was high motivation and cognitive capacity, the individual utilized a more deliberative process to get to attitude formation and eventual attitude consistent behavior. Where motivation and cognitive capacity was weak, the process happened automatically with the individual relying on accessing

established memories between the attitude object and a positive or negative evaluation.

According to this model in an organizational setting, during an intentional change effort the organization has two potential levers that can influence behavior in support of the effort, enabling motivation and enabling cognitive capacity by increasing awareness related to the need for change and making the case for change. The model found empirical support in a study of voting choice in a presidential election (Fazio & Williams, 1986), product selection from attitudes about the products (Berger & Mitchell, 1989), and, more recently, in a value-account approach to implicit attitude formation (Betsch, Plessner, Schwieren, & Gutig, 2001). What MODE added to the already identified definitions of attitude is the following:

1. an attitude can be created either in a deliberate or automatic fashion,
2. an attitude's higher levels of motivation and cognitive capacity lead to more deliberative processing,
3. once activated, attitudes lead to behavioral outcomes either positive or negative based on the perception of the attitude object,
4. the stronger the attitude the more difficult it is to change once activated,
5. spontaneous or automatic processing calls on strong, accessible activation based on memory (not the case for deliberative processing).

In spite of all of the work that attempted to accurately define attitude, some ambiguity and confusion remain. Attitude has been used interchangeably with other concepts, like *affect*, for example. Some of the literature noted this confusion and worked to distinguish attitude by describing it as evaluative in nature as opposed to affect which is more associated with mood and emotion (Crites & Fabrigar, 1994; Schwartz & Clore, 1983). According to Ajzen and Fishbein (2000)

To avoid confusion, we propose to use the term “attitude” to refer to the evaluation of an object, concept, or behavior along a dimension of favor or disfavor, good or bad, like or dislike. Examples of responses reflecting attitude are approval or disapproval of a policy, liking or disliking of a person or group of people, and judgments of any concept on such dimensions as enjoyable-unenjoyable, desirable-undesirable, good-bad, or pleasant-unpleasant. By way of contrast, and consistent with contemporary usage, we propose to reserve the term “affect” for a separate response system with a somatic component characterized by some degree of arousal. Affect includes generalized mood states without a well-defined object of reference (sadness vs. happiness), as well as qualitatively different emotions (anger, fear, pride) with evaluative implications. (p. 3)

Regardless of variations in its definition it is clear that attitude is a key element in the *sauce* that influences organizational member behavior; however, the key for a leader attempting to influence behavior is understanding how to shape those attitudes to support the change “ask.”

Change supportive behavior. Another nuance of understanding the attitude behavior relationship was represented in the substantial amount of research on behavior in the initial stages of a change effort. Studies in this area have concentrated on behaviors that theoretically act as barriers to change and change supportive behaviors, which reflect active contributions to the change effort (Herscovitch & Meyer, 2002). Some of the studies highlighted supportive psychological states of change (Jimmieson et al., 2008), adaptive behaviors like coping with change (Judge, Thoresen, Pucik, & Welbourne, 1999), resistance and cynicism (Stanley & Meyer, 2005), openness to the change process (Chawala & Kelloway, 2004), commitment to change (Herscovitch & Meyer, 2002), helping change recipients through the change process (Elrod & Tippet, 2002), and readiness to change (Armenakis, Harris, & Mossholder, 1993). These studies did not necessarily present a clearer picture regarding how strong the link is between any of these attitudes and actual behavior change. However, like the general work on attitude formation, they did attempt to link these change related attitudes to behavior. The overlaps and relevance of this work are clear. Miller, Johnson, and Grau (1994), for example, have argued that these initial attitudes towards change were critical to overall change success. A

construct that has emerged from this line of work is called change supportive behavior (CSB).

CSBs are defined as “actions employees engage in to actively participate in, facilitate and contribute to planned change initiated by the organization” (Kim et al., 2011, p. 1665). This line of work attempted to differentiate itself from the more psychological states by focusing on actual behavior. According to Kim et al. (2005):

This definition (CSB) contains three elements that set it apart from previously studied constructs: (a) It focuses on actual behavior rather than change-related psychological states, such as attitudes or behavioral intentions; (b) it emphasizes active contributions to change rather than the more passive responses of complying, adapting to, or coping with change; and (c) it entails support for a planned, collective change effort, as opposed to individually initiated improvements. (p. 1668)

The framework was clearly oriented on behaviors that represented alignment with and intended to “contribute” to the planned change objectives in an organizational effort and as such represent organizationally desired outcomes (Elias, 2009). Like the theory of planned behavior and informed by it, CSB has three elements that form the framework. It posited that anticipated benefits of the change, quality of the employment relationship, and formal involvement in the change were likely influences on supportive behavior (Kim et al., 2011). Anticipated benefit followed the work of TPB and expectancy theory (Vroom, 1964) and was heavily supported in change literature as being determinant of employee support (Armenakis, Bernerth, & Pitts, 2007). The quality of the employment element was based on social exchange theory (Shore, Tetrick, Lynch, & Barksdale, 2006), which was viewed as an influential element of workplace behavior (Cropanzano & Mitchell, 2005). There was a significant body of work related to the influence of social exchange and employee performance (Shore et al., 2006). Finally, the CSB framework identified involvement in the change as the third element of the model.

In a recent study of change supportive behavior (CSB) in a midsize hospital in the eastern U.S., researchers examined the influence of time on CSB in a change environment that utilized a

shared leadership model (Kim et al., 2011). The study collected survey data over a 24-month period of time and found that the elements of the CSB framework varied over the course of time.

According to the authors:

Anticipate benefits of the change were positively related to behavioral support only in the first wave, 18 months after the change was initiated. The quality of the employment relationship—conceptualized as the degree of social exchange with the organization—related positively to CSB only in the second wave, 24 months after the first one. (Kim et al., 2011, p. 1686)

This study was important because in addition to providing validation for the change supportive behavior (CSB) construct it also demonstrates how these behavioral elements change over the life of a change initiative, reinforcing the complex nature of change and the limitations of research techniques that take a single snapshot in time to measure behavioral aspects of it. In a further example of the complexity of behavioral change variables, a study utilizing the CSB construct was used to determine the extent that career identity informs the employee's willingness to engage in change related behaviors (Lysova, Richardson, Khapova, & Jansen, 2015). In this study researchers found that employees that had a more proactive career orientation were more disposed to engagement in change than those with a passive career orientation. The interview data collected from 29 employees in a Dutch, not-for-profit organization revealed two components of career identity: the subjective view of the career and work values. The study stated:

In particular, we found that proactive career behavior and a focus on other-oriented work values promoted change-supportive behavior, while passive career behavior and other-oriented or self-centered work values promoted a more passive response to organizational change. In this regard, our findings extend current theory on organizational change. (Lysova et al., 2015, p. 56)

The study went on to claim:

We have demonstrated how other-oriented vs self-centered work values inform individual motivations to support organizational change. In particular, we have suggested that employees with other oriented work values saw their involvement in

organizational change as a way to contribute to such change, their colleagues, and the organization as a whole. In contrast, whether employees with self-centered work values became involved in organizational change depended on the potential benefits that such involvement could bring them. (Lysova et al., 2015, p. 57)

The framework and empirical studies that represented change supportive behaviors (CSB) provided clear links with the general work on attitude formation. Although it was not clear how central the elements of CSB were to actual behavior change, CSB clearly related this line of work to other models that attempted to describe the process of behavior change during a change effort.

Theory of planned behavior. A second key line of theoretical work associated with behavior change, and the one that was used to frame this study, centered on the formation of the intention of an individual to change. Intentions are said to incorporate motivational elements that theoretically move one from the awareness of a change request to action. According to Webb and Sheehan (2005) it represented an inflection point in the deliberation process an individual experienced between the emergence of the initial reaction to change and the conscious decision to make an investment to do something differently. Two theories stood out in the literature representing this line of work that have applicability to organizational change: the theory of reasoned action and the theory of planned behavior (Webb & Sheeran, 2006).

Each of these theories attempted to describe how the formation of intention occurred. This work assumed that individuals used a rational decision making process and called on available information around them to make those decisions (Ajzen, 1991). The idea of rationality in behavioral decisions associated with change was not universally accepted with some arguing that behaviors related to change were more spontaneous reactions and not a function of rational thought (Gibbons, Gerrard, Blanton, & Russell, 1998; Reyna & Farley, 2006). For example, Reyna and Farley (2006), argued that it is hard to argue rationality in the face of “adolescent risk

taking that is spontaneous, reactive, and impulsive” (p. 6). Fishbien and Ajzen (2010) countered this argument by pointing out that Theory of Planned Behavior (TPB) assumed no such rationality:

There is nothing in our theory to suggest that people are rational or that they behave in a rational manner. We assume that in the course of their lives people form various kinds of behavioral, normative, and control beliefs. Many of these beliefs are based on direct experience and conform reasonably well to reality, but some are inaccurate and misrepresent the true state of affairs; some are derived by way of deliberate inference processes and others by way of intuition; some are based on logical trains of thought and some are biased by wishful thinking or other self-serving motives. Whatever the origin of their beliefs, however we assume that people's attitudes, perceptions of normative pressure, perceptions of behavioral control, and ultimately their intentions follow spontaneously and inevitably from these beliefs. It is only in this sense that behavior is considered reasoned. (p. 301)

For purposes of this study, it was not necessary to establish the degree or source of rationality for behavioral change because this study attempted to understand what the members believed influenced their change. What was important to understand was how attitude formed and what elements an organization might target to influence attitude and eventually behavior.

There are many factors that influence behavioral decision making. The theory of planned behavior (TPB), for example, argued that the most proximal determinant of the decision to change behavior was the formation of intention, which has been supported in the research (Armitage & Conner, 2001) and has been used as a predictor of behavior change (Jimmieson et al., 2008). A recent meta-analysis of the relationship of intention as a predictor of behavior change showed a correlation between the two (Webb & Sheeran, 2006). Although predominantly measuring health related behaviors, a number of other meta-analysis studies also showed strong correlation between intention and behavior (Hausenblas, Carrol, & Mack, 1997; Sheeran, Abraham, & Orbell, 1999). For example, Sheeran et al. (1999) showed that among a number of variables, attitudes, behavioral intentions, and communication were the most important predictors of condom use to prevent HIV. In another meta-analysis, focused on exercise behavior, the

study also found strong general support for the validity of TPB in predicting exercise behavior (Hausenblas et al., 1997). Still these studies only showed a relationship between intention and behavior change; they did not prove causation (Webb & Sheeran, 2006). As stated by Webb and Sheeran, a limitation with many of the studies was their correlational nature that assessed intention in a snapshot in time and did not follow if intention actually resulted in behavior change over the course of the event. Causation has been shown in a few experimental studies. For example, in one study research was conducted to test the influence of messaging to encourage men to perform a self examination. The study exposed one group of men to positive messaging about the benefits of self examination, and a control group was given general information. The research showed that changing the level of intention by providing messaging that positively affected beliefs around benefits did influence actual changes in self examination behavior (Brubaker & Fowler, 1990). Outside of these experimental studies there was limited empirical evidence supporting a direct link between intention and actual behavior change.

Limitations notwithstanding, the theory of planned behavior is noteworthy, in part, because it incorporated a number of earlier theories and is an outgrowth of work conducted with the National Institute of Mental Health (NIMH), while conducting HIV prevention research during the 1990s. NIMH asked a number of noted behavioral theorists to clarify differences in their work and develop a consolidated set of variables that underlie behavior (Fishbein & Ajzen, 2010). The original work produced eight elements that informed the current theory of planned behavior (TPB) model. In this early version of the work the theorist agreed that to perform a given behavior at least one or more of the elements had to be true (Fishbein & Ajzen, 2010, p. 19). There had to be:

1. a strong positive intention to perform the behavior.

2. no environmental constraints that made it impossible for the behavior to occur.
3. the skills necessary to perform the behavior.
4. the belief that the advantages of performing the behavior outweighed the disadvantages.
5. perceived social pressure to perform the behavior than to not perform the behavior.
6. the belief that to perform the behavior was more consistent than inconsistent with his or her self-image.
7. an emotional reaction to performing the behavior that was more positive than negative.
8. a perception that the individual had the capabilities to perform the behavior under a number of different circumstances.

In the earlier work by Icek Ajzen, the theory of reasoned action, which also followed the work at NIMH, focused on intentions as defined by an individual's beliefs of the likely outcome of performing the behavior or behavioral beliefs and the perceived social pressure to perform the behavior or subjective norm (Ajzen & Fishbein, 1980). Theory of planned behavior (TPB) extended this work by adding behavioral control. According to the TPB "performance of a behavior is a joint function of intentions and perceived behavioral control" (Ajzen, 1991, p. 185).

The theory viewed intention as central:

A central factor in the theory of planned behavior is the individual's intention to perform a given behavior. Intentions are assumed to capture the motivational factors that influence a behavior; they are indications of how hard people are willing to try, of how much of an effort they are planning to exert, in order to perform the behavior. As a general rule, the stronger the intention to engage in a behavior, the more likely should be its performance. (Ajzen, 1991, p. 181)

The theory also described control as linked with intention as vital to the model's predictability:

The importance of actual behavioral control is self-evident: The resources and opportunities available to a person must to some extent dictate the likelihood of

behavioral achievement. Of greater psychological interest than actual control, however, is the perception of behavioral control and its impact on intentions and actions. Perceived behavioral control plays an important part in the theory of planned behavior. In fact, the theory of planned behavior differs from the theory of reasoned action in its addition of perceived behavioral control. (Ajzen, 1991, p. 183)

The theory, although much more detailed than the description provided here, has been used in the literature to predict behavior change and, as such, has the potential to address the question posed in the opening of this section. TPB provides a framework to examine the perceptions of members asked to change behavior as part of an organizational change initiative. It also provides an opportunity to examine how leader actions influence those perceptions and by extension the likelihood of actual behavior change occurring. The application of TPB in an active change environment would serve to help answer the question posed in this research; what actually accounts for behavior change during an organizational change effort?

Within the theory of planned behavior (TPB) framework there are a number of key factors associated with how intention was formed; these factors make up the central elements of the model. In TPB intention is defined “as the indication of an individual’s willingness to perform a given behavior” (Jimmieson et al., 2008, p. 239). It is made up of three factors: a person’s attitude, either positive or negative, about performing the behavior called the behavioral beliefs; the person’s perceived social pressure to perform or not perform the behavior called the social norm; and a person’s perceived control over performing the behavior called control beliefs. Figure 2.3 provides a schematic representation of TPB (Ajzen, 1991, p. 182).

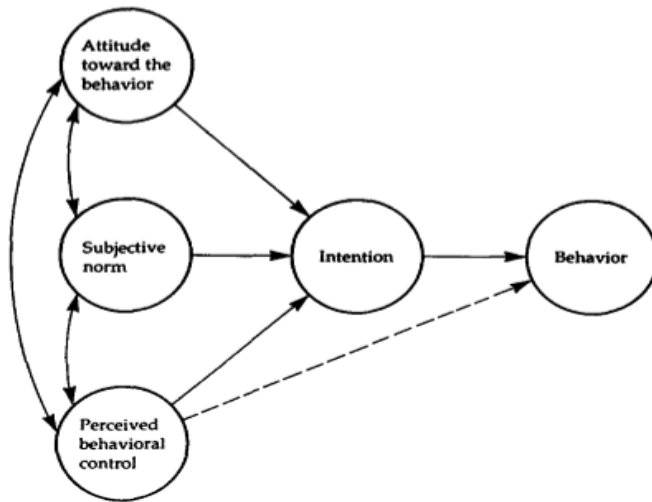


Figure 2.3. Representation of theory of planned behavior. Reprinted from “The Theory of Planned Behavior,” by I. Ajzen, 1991, *Organizational Behavior and Human Decision Processes*, 50, p. 182.

The basic schematic presented in Figure 2.3, shows behavioral beliefs, subjective norm, and control beliefs as inputs for the formation of intention. It also shows that perceived control (control beliefs) can have direct influence on an individual’s ability to change behavior (Ajzen, 1991).

It is interesting to find a commonality with planned change and emergent change in the existence of a social influence on behavior. As the author stated in a meta review:

On the basis of this conceptualization of the decision-making process, individuals holding positive views toward a behavior, who think they have normative support from important persons in their lives to perform the behavior, and perceive that performing the behavior is under their personal control are more likely to have strong intentions to perform the behavior. (Jimmieson et al., 2008, p. 239)

The theory of planned behavior (TPB) predictive strength was based on three requirements: the intention and perceived control must correspond closely with the actual behavior, the environment of change must remain stable during the assessment of intention and the actual behavior, and the perception of control must realistically reflect actual control (Ajzen, 1991). In a study of the predictive validity of TPB, researchers were able to show support for its predictive

validity (Armitage & Conner, 1999). In a three-month study of hospital workers and food choice intention, researchers took data from two points in time, separated by three months, to determine TPB predictive validity and causal ordering of its elements. The results indicated:

- evidence of predictive validity over time,
- TPB as a useful predictor of behavior,
- little difference between measuring behaviors prospectively or contemporaneously with TPB variables, and
- evidence for convergent and discriminant validity of items designed to measure self-efficacy and PCB.

Several studies did apply the theory of planned behavior (TPB) in an organizational context and provided support for its value to the change discussion. For example, in a study that measured managers' intention to follow up on developmental commitments after receiving feedback from peers and subordinates, research found support for the TPB to predict intentions (Maurer & Palmer, 1999). This research, which took place in a telecommunications company in the Southeastern US, attempted to measure the intention of mid-level managers to follow up on feedback given by peers and subordinates anonymously. In addition to attempting to measure whether attitude, control beliefs, and social pressure related to general intention, the researchers attempted to determine how the perceived accuracy of the feedback and different improvement strategies would be related to intentions. Within the findings supporting the three TPB elements (attitude, perceived control, and social pressures) and intention to improve, the study highlighted a strong linkage with the element of social pressure, as stated by the researchers:

Perceived social pressures for improvement following feedback had significant positive relations with a general intent to improve and intentions to improve through engaging in off-the-job development activities. These findings suggest that social

pressures may have significant relations with improvement intentions in 360-degree feedback settings. (Maurer & Palmer, 1999, p. 747)

The feedback study found no support that would suggest perceived accuracy related to intention to improve but did find strong relationships between specific development activities and perceived control.

Not all of the studies using theory of planned behavior (TPB) showed correlation for the elements informing intention. For example, in a TPB study of managers' use of benchmarking, researchers found that attitude and subjective norm were predictors of the intention to benchmarking, but self-efficacy was not (Hill, Mann, & Wearing, 1996). The study used TPB to predict the intention of managers to introduce a benchmarking program in their organization and what effect prior exposure or experience with benchmarking might have on those intentions. While the results showed support between the three TPB factors and the intention to introduce a benchmarking program, they found attitude and subjective norm had the highest correlation. The authors make a point to state that they found the "predictive power of the three factors significant" (Hill et al., 1996, p. 320). Additionally, the study did not find support for the researcher's theory that the TPB factors would more strongly predict intention among managers with prior benchmarking experience although they did find that among managers with prior benchmarking experience attitude was a strong predictor of intention. TPB was also used to predict worker's intent towards an employee involvement (EI) program (Dawkins & Frass, 2005). This study, like several other studies that measured moderating influences on intention, attempted to see if union identification acted as a moderator for intention to support an EI program. The analysis of the survey data collected from 95 employees of a small manufacturing company in the Midwestern United States revealed support for TPB, and it also found that "a workers' positive attitudes toward EI and their intent to support EI was stronger for workers with

weak union identification than for workers with strong union identification” (Dawkins & Frass, 2005, p. 523).

This work, as well as the other studies, provides insight into other factors that may influence the formation of intention and the decision of an organizational member to change behavior. The proposed study was centered on leader action or inaction during change and how each influences behavior change in members during the change effort. It was crucial for the study to determine what action the leader took in response to the implicit bias workshop, how they applied their learning personally, and what they did to influence other unit members to recognize and apply the learning.

The role of leadership behavior in influencing behavior. Both planned change and emergent change literature highlighted leader influence on the change environment and member behavior (Higgs & Rowland, 2011). For example, Battilana examined the relationship between leadership competencies and the likelihood of emphasizing specific activities during planned change efforts (Battilana et al., 2010), Uhl-Bien featured administrative, enabling, and adaptive functions that leaders perform in complex adaptive systems to foster change (Uhl-Bien & Marion, 2009), and, similarly, Plowman described the role of leadership in environments of complex change by detailing specific components of enabling behaviors (Plowman et al., 2007). In a recent grounded theory study conducted in 2015 researchers found that leaders were more cognizant of the nuances of their influence on the change environment than some of the literature suggested. The study’s aim was to determine how leaders approached change. Through interviews with 50 leaders, the researchers found that the actions leaders took to enable organizational dialog provided a foundation for change (Lawrence, 2015). In another study of 70 change stories, researchers identified three broad leadership behaviors that impacted a change

effort. This study found shaping behaviors, framing change behaviors, and creating capacity behaviors influenced the change experience for participants (Higgs & Rowland, 2005). The authors defined shaping behaviors as the communications and actions of leaders related directly to the change; they found these behaviors to be focused on top down accountability and determined them as leader centric and adverse to the change process. The study identified framing behaviors to be associated with guiding direction during change. Framing was depicted as behavior directed at designing and managing the journey. Finally, the study identified creating capacity as related to communications and making connections. The research concluded that framing and creating capacity behaviors were positive in most change contexts (Higgs & Rowland, 2011).

Managing Implicit Bias

Unique challenges. There are unique challenges associated with a change initiative focused on managing implicit bias (IB) in the workplace. Although there is some definitional inconsistency, implicit bias is associated with attitudes and stereotypes that affect behavior. According to Amodio and Mendoza (2010) they are “associations stored in memory” (p. 364). These stereotypes form from life experiences (Castelli, Zogmaister, & Tomelleri, 2009) and are activated automatically without individual awareness (Blair, 2002). By its very nature IB is difficult for individuals to see in themselves and may even manifest as a misalignment with declared beliefs or values (Greenwald & Krieger, 2006). The behaviors that result from IB are generally described as “those that manifest the distorted influence of implicit associations” (Holroyd, 2015, p. 511). These implicit associations are triggered automatically, bypassing more deliberate thought and influencing behavior and judgment (Devine, 1989).

Because individuals are generally not aware of their implicit biases (IBs), they may act in ways that are counter to their own self perceptions of their behavior (DeHouwer, Teige-Mocigemba, Spruyt, & Moore, 2009). In many cases of implicit bias the offending behavior is not apparent to the individual until called out by others. Therefore, it is reasonable to assume that these type of biases may undermine desired change because of their implicit nature. These biases may run counter to perceived behavior and actually cause confusion about what is being asked and what needs to be changed. If you believe you are already acting in a way that others would like you to behave, what need is there for changed behavior?

The nature of implicit bias (IB) creates difficult challenges for leaders that are tasked with supporting efforts to change organizational behavior to mitigate bias. Imagine a leader tasked with supporting an organization's effort to shift biased behavior and trying to influence organizational members to do something differently. How does one describe how to shift these behaviors to manage bias when they manifest differently for each individual? To what extent do leaders need to master the behavioral implications of their own biases before they can effectively lead a change effort focused on changing IB in others? Two of the key elements of theory of planned behavior (TPB) are directly connected to perceptions of behavior. The first relates to the perceived benefit associated with changing behavior, and the second relates to the perceived control one has over the behavior change. These perceptions can only be formed if the individual clearly can identify the behavior that needs to be changed and visualize what the new behavior looks like (Fishbein & Ajzen, 2010). Behaviors that emanate from implicit bias make this process difficult, requiring a degree of self-awareness on the part of the leader. Although the IB workshop may help raise awareness at an individual level, the successful change effort associated with managing IB in the workplace is dependent on leaders guiding their teams

towards more inclusive behaviors when it may not be clear how best to communicate what behaviors should change.

Challenges aside, implicit biases (IB) have been shown to be pliable and potentially unlearned (Desgupta, 2013). IB are also measurable; one method used in the IB workshop is the implicit association test that measures relative strength of associations (Greenwald, McGee, & Schwartz, 1998; Greenwald, Poehlman, Uhlmann, & Banji, 2009). IB has significant ramifications for leader decision-making (Hart, 2005). This has been identified in a number of studies in health care. It has been shown that IB affects a number of areas of medical practice, including clinical decision-making and behaviors in real clinical scenarios (Chapman, Kaatz, & Carnes, 2013). Similarly, IB has been shown to influence impressions in social settings (Gawronski, Geschke, & Banse, 2003) where individual bias has been shown to influence initial impressions of other group members and perceptions of in-group and out-group affiliation (Greenwald & Krieger, 2006). This has particular implications for recruitment, promotion, or assignment decisions where leaders sometimes will seek to find what they perceive to be a good fit or will make decisions because of chemistry with the candidate (Rivera, 2012). Other studies have shown the effect of IB in evaluating resumes (Bertrand & Mullainathan, 2004), in conducting performance evaluations (Greenhaus, Parasuraman, & Wormley, 1990), and in developing perceptions of leadership (Chung-Herrera & Lanjau, 2005; Rosette, Leonardelli, & Phillips, 2008). These studies, as well as a host of others, clearly pointed to the obstacles associated with managing this phenomenon in the workplace. Many scholars on the subject identified raising awareness as a critical step in making any change (Ross, 2011). While this case study centered on the IB workshop as the anchor event that represented the organization's

vehicle to raise awareness, it also sought to understand how that awareness developed into action.

A diversity oriented change effort, focused on changing behaviors to better manage implicit bias (IB), complicates the challenges associated with culture change. Although there is general recognition of the need to develop diversity related competency in response to the changing demographics of the workforce, efforts to do so have been problematic on a number of fronts (Roberson, 2006). Diversity initiatives have been difficult to sustain, have not produced the results that were expected and have been unable to prove relevance (Ross, 2011). It is also unclear how traditional diversity efforts differ from inclusion focused work although definitional distinctions do exist (Linnehan & Konrad, 1999). There is significant anecdotal evidence that diversity based efforts evoke issues of relevance for organizations and surface emotional and philosophical arguments for individuals, making the work fraught with the potential for failure. Diversity oriented change efforts may also not be viewed by organizational leaders as critical to running the business and dependent on many factors for relevance (Dobbin & Jung, 2011). In many cases diversity work is seen as additive to what operational leaders are normally accountable for in the business. These programs are typically sponsored and led by human resources and, therefore, struggle for relevance and urgency among the operational managers on whose support and leadership success is dependent. Finally, asking leaders to make themselves vulnerable by reflecting on their own biases and then translating that experience in a way that can influence others to shift behavior is a tall order.

Diversity programs are difficult to sustain. They compete with operational priorities every day and, therefore, require concerted effort to reframe existing paradigms to be successful (Ross, 2011). A primary goal for the sponsoring organization is to understand in this

environment how best to sustain this effort and enable leadership to view the work associated with managing IB in the workplace and the further development of an inclusive workplace as part of their business accountabilities. For that to occur it will require the organization to help those leaders make the connection between the outcome for the work and value to the business.

Conclusion

This study presents a compelling opportunity to contribute to research on the roles of leaders in driving (facilitating) cultural change. The initiative in the sponsoring organization encompasses a change effort focused on developing a more inclusive culture. The effort requires unit leaders to increase their awareness of implicit bias (IB) and then influence unit members to reduce the dysfunctional effects of IB. As with most change efforts, the dynamics in this study are multi-dimensional. Leaders have to reflect on and potentially shift their own behaviors as well as translate their learning experience to others in their unit who may not have had the opportunity to attend the IB workshop. They must integrate the awareness generated by the workshop in a way that others can make meaning of what is being asked of them. This situation represents a unique opening to conduct research to understand how leader behaviors and the actions taken during a change initiative influence other behavior in that organization.

In the study of change there were many gaps in what we know about leader influence on the change process and how their actions influence a member's ability to change behavior. While there was significant conceptual and theoretical work on leadership and the change process, empirical studies specifically centered on leader influence was limited (Higgs & Rowland, 2011). In both planned change and emergent change frameworks leadership was highlighted. Although each suggested differences on how much control a leader had over the process, the literature consistently described enabling, participatory and inclusive behaviors as more effective

for leader influence than directive behaviors (Battilana et al., 2010; Higgs & Rowland, 2011).

How much participation and enabling is effective and when in the change process these behaviors become most effective or least effective was not clear. During this case study, the specific actions taken by the leadership or lack of actions in each unit were examined, first to understand what influenced those actions and, second, to see how they influenced the behavior of other members.

The opportunity to contribute to existing research in the area of behavior during a change effort was compelling. The use of the theory of planned behavior as a framework to understand behavior change allowed for its application during an organizational change effort. It also provided a way to understand how leader action impacted the formation of the intention by members in an organization to do something differently. Finally, the theory of planned behavior (TPB) helped to frame those key influences that may be motivators to action.

Given the increasing pace of change, its complexity and the poor success rates, understanding how leaders can influence the change environment and enable member behaviors in ways that increase the odds of a successful effort is valuable and relevant for organizations. This study provides the opportunity to make a significant contribution to the leadership and change literature.

Chapter III: Methodology

The research study was conducted in an organizational setting during an intentional change effort intended to develop the inclusive behaviors of its members. The initial phase of the change effort began with a workshop on managing implicit bias (IB) in the workplace. The workshop had two objectives: 1. to raise awareness of IB and its influence on work place behavior and practices and 2. as the kick off for the broader culture and inclusion change initiative. In this way the organization intended to position management of IB as a key factor in creating a culture of inclusion. The effort was global in scope with inherent complexity associated with implementation; as such, deciding on the appropriate research approach was essential to the success of the study.

Background: Study Site

The organization where the study was conducted was a for-profit global advertising firm headquartered in the United States, referred to as KCA. KCA operates in 13 countries with over 8000 employees worldwide. The independent groups that make up KCA are formed around market segments and are referred to as business units. These units maintain a high level of autonomy that reflects the differences in each of the markets they serve. The unit leadership teams have the flexibility to set objectives for the unit and are held accountable for unit performance and the development of their talent. The environment at KCA is fast-paced, team-oriented, and dynamic. The clients of the firm have a heavy influence over the work product, how quickly it must be produced, and who gets to work on it. Advertising revenue generated by the client funds almost all activity in the firm; as a result, the firm's culture and talent base are heavily influenced by client perspectives. KCA recognizes that the quality of the product they produce is impacted by the talent involved in the campaigns and how they work

together. The firm is a recognized leader in the market; however, they have not been immune to producing campaigns that are insensitive to the diverse markets that their clients serve.

In the spring of 2015, KCA launched a culture and inclusion (C&I) initiative across its entire business with the objective of influencing individual and team behavior in the organization. The initiative, which, in part, resulted from the concern about talent and campaign representation in the diverse marketplace aimed to foster a more inclusive organizational culture. In the first phase of the C&I initiative, each of the firm's business units attended a one-day diversity workshop on implicit bias (IB) in the workplace. During the workshop the unit leadership and key team members discussed where IB could impact their operations and how it could affect the quality of the services delivered to their clients. Initially the leaders were tasked with developing relevant diversity objectives to manage IB in those areas. As the effort progressed, this expectation became less evident as an accountable objective; however, the desire to shift the culture still remained and was communicated by senior leadership. KCA hoped that the increase in awareness and the focus on specific and relevant actions to address bias would result in more inclusive practices across the organization. KCA defined *inclusive* as behaviors that embrace, encourage, and fully consider diverse perspectives. Further, KCA believed that the effort would ultimately translate into higher levels of creativity and a work product that better reflects the diversity of the markets and clients they serve. As such, the organization envisioned the following as measures of the change effort success:

1. the degree to which self-awareness about implicit bias increases among participants of the workshop,
2. the degree to which individuals take action as a result of the exposure to the change activities associated with the organizational change efforts,

3. the degree to which participants perceive changes in others, and
4. the degree to which internal change objectives related to the work product are met.

The first three of these areas was measured during the study through interviews and surveys.

In order to achieve the desired outcome, KCA recognized that they will need to shift attitudes about the level of inclusion and inclusive behaviors in the organization. They understood that it would take more than training to accomplish their objective, but they acknowledged that they are not sure of the best approach to enable the shift to occur. The workshop, which was customized for KCA, was designed to act as the anchor for that larger effort and to lay the groundwork for facilitating the outcomes by increasing awareness about IB, and facilitating focused conversation about its impact on the business and the development of actions to address it. Through this process KCA hoped the units would create a participatory environment where a shift in behavior could occur.

The implicit bias (IB) workshops began in April 2015 and continued through 2016. Although the workshops initially began with a heavy emphasis on objective setting after the workshop, during the course of the effort the focus shifted away from a structured process towards one of less formality. The firm chose to begin the initiative in the U.S. and sponsored this study with the intention of applying learning to later phases of the change effort.

Key Stakeholders

There was a number of key stakeholders and potential influencers involved in this study. Among the participants in the workshop were human resources business partners (HRBP) at KCA. The HRBP were part of the larger human resources (HR) department in the firm. They were assigned to each unit and were tasked with supporting the leadership by overseeing the traditional employee related activities associated with hiring, firing, and assisting the manager

with employee performance. The HRBP supported by a corporate HR department that provided strategic guidance, development for the HR team, and support for business-wide change efforts. Although the HRBPs' typically oversaw more traditional employee relations and performance management activities in the units, during the culture and inclusion (C&I) initiative they were expected by corporate HR to contribute to the effort in a more meaningful way. This is a role the HRBPs were less familiar with and it was anticipated to be a development opportunity for the HR function.

The Senior Vice President for Culture and Inclusion (SVPHR), who is a member of the corporate HR team, was responsible for the culture and inclusion (C&I) initiative at KCA. The SVPHR, referred to as Mary, had three goals for the C&I initiative:

1. to raise awareness about unconscious bias and to change how employees manage bias in the workplace,
2. to shift the perception of the business leadership that C&I work is the sole domain of the HR department, and
3. to learn from the early stages of this initiative in the hope of increasing its effectiveness in later stages.

Moreover, Mary and her direct supervisor, the Global Chief Talent Officer, wanted to elevate the ability of human resources to lead change in the organization.

Research Design: Considerations

Choosing a research design depends on many factors. In the context of the study, the research question and underlying research philosophy were key elements that became relevant in deciding on an approach (Blaikie, 2010). Most would agree, however, that the process begins with the formulation of the problem to be solved. According to Blaikie (2010), "a social problem

is a state of affairs that is judged by someone, for example a social scientist or policy maker, to be unsatisfactory and in need of some form of intervention” (p. 45). In the proposed study there were a number of problems the sponsoring organization had determined as deserving of inquiry and intervention:

1. Increasing how inclusive the culture is affects the quality of their work product and competitiveness. They would like to develop inclusive behaviors further.
2. Implicit bias is negatively influencing a number of key work processes. They would like to raise awareness of implicit bias and develop the ability to manage it better in work processes.
3. Leader behaviors heavily influence the inclusiveness of the organizational culture. They want to develop those behaviors that enable an inclusive culture. They do not believe leaders currently possess the capacity to enable more inclusive behaviors.
4. A cultural shift needs to occur. They are unclear how to shift the organizational culture towards higher levels of inclusiveness.

Additionally, there were unique problems associated with this effort that were notable and contributed to its appeal:

1. Culture change in organizations is a difficult undertaking with low success rates. Change efforts focused on culture shifts can take years to yield results and, as such, present unique challenges to research.
2. There is limited empirical work on change efforts centered on managing unconscious bias in the workplace and its connection with developing inclusivity in an organization.

Early considerations. From the early stages of the research discussion, KCA demonstrated a strong curiosity for understanding the dimensions of their change effort and wanted to apply their learning to future phases of their larger culture and inclusion (C&I) initiative. For example, early in the process the organization agreed to conduct a pilot workshop for the human resource practitioners in advance of the C&I kickoff, hoping to develop change agent competencies that might support the effort. The organization's desire to learn from this pilot effort and their commitment to further develop the internal change capability necessary to address organizational problems led to the discussion about a research approach that was participatory in nature and created a platform for learning. These two requirements made a participatory action research (PAR) approach attractive and viable. The resulting decision to pursue an action research approach was heavily influenced by two organizational objectives: (a) the sponsoring organization's desire to apply research findings to future phases of the C&I change initiative and (b) the organization's high degree of curiosity about how their leaders were supporting organizational change with the hope that such understanding would provide opportunities for better alignment and guidance. After examination it was clear that a PAR approach was well suited for the objectives of the sponsoring organization. The approach provides an iterative learning opportunity for the organization and researcher (Herr & Anderson, 2015), it allows for a deeper understanding of the complexity of context in which the study will be conducted, and it bridges the gap between the research and practical application in the organizational setting (McIntyre, 2008).

Benefits aside, the approach was not obvious from the start. Participatory action research (PAR), a form of action research (AR), has a long history imbedded in social change spanning over decades (Greenwood & Levin, 2007), which on the surface seems to be at odds with a study

situated in a for-profit organization and centered on a discrete change effort. However, it turned out that AR also has an impressive history of application in organizations (Greenwood & Levin, 2007). The underpinnings for the approach also find support from foundational thinkers of planned change like Lewin who advocated that learning was a key component of the change process and is supported by key elements of both systems thinking and complexity science (Flood, 2010). According to Lewin “change was less about achieving a particular objective per se and more about individuals and groups learning about themselves, and in so doing being prepared of their own volition to change their behavior” (Burnes, 2009, p. 366). Lewin believed that successful change could be accomplished if:

1. those involved could make their own decisions without manipulation,
2. they could be helped by a neutral facilitator, and
3. by learning about their own behavior they could be best positioned to change it.

Lewin’s work created the foundation for AR and what developed from it. According to Greenwood “he set the stage for knowledge production based on solving real-life problems . . . He shifted the researcher’s role from being a distant observer to involvement in concrete problem solving” (Greenwood & Levin, 2007, p. 18).

Participatory Action Research and Action Research: Comparison

The roots of participatory action research (PAR) are intertwined in action research (McTaggart, 1991), and, therefore, it makes sense to understand the key elements of action research (AR) in order to understand the relevance of PAR to the proposed study. Action research is an approach to social research that exists primarily to create learning for the purpose of participants taking control of actions in furtherance of solving the relevant problems and challenges that they face. It is comprised of three elements: action, research, and participation. If

any of the three are absent then it is not AR (Greenwood & Levin, 2007). Action research differs from more traditional forms of social research in that it shifts the power relationship from traditional researchers and the observed by inviting local participants to contribute to creating new knowledge. In that way it disputes the notion that to conduct research the researcher must sever all relationship with the observed in order not to be co-opted. In fact, it is through reflection and insider insight that the solutions to specific problems arise. This process results in the co-generative action research (Greenwood & Levin, 2007, p.94). The approach is co-generative in that both researcher and local participants generate new knowledge together. AR is unique and appropriate for the proposed study because of the following factors:

1. It is context bound by the local problem it attempts to solve.
2. It redefines the role of the researcher and creates a platform for practical application.
3. It is a process that co-generates knowledge for both researcher and participant.
4. It leverages the diversity of ideas and perspectives as part of the process.
5. It solves real life problems as they exist to those most affected by them.

Action research (AR) is framed on the idea that knowledge is socially constructed and judged by the solutions it creates and, as such, rejects the privileged position of the tradition of knowledge creation by detached researchers. Knowledge creation is central to AR. The iterative process between researcher and participants provides the space for academic knowledge to link with local knowledge to create new knowledge for the participants and researcher. This is called co-generative learning, and it is what separates AR and PAR from more traditional research methods (Greenwood & Levin, 2007). Argyris and Schon (1991) describe the AR tradition as:

Action research takes its clues- its questions, puzzles, and problems from the perceptions of practitioners within particular, local practice context. It bounds episodes of research according to the boundaries of the local context. It builds descriptions and theories within the practice context itself, and tests them there

through intervention experiments—that is through experiments that bear the double burden of testing hypotheses and effecting some desired change in the situations. (p. 5)

Although participatory action research (PAR) is related to action research (AR) it presents some confusion as to its precise definition. There are a number of reasons for this, but chief among them, according to McTaggart (1991), is the “corruption of the meaning of participation” (p. 171). The author stated:

Authentic participation in research means sharing in the way research is conceptualized, practiced, and brought to bear on the life world. It means ownership-responsible agency in the production of knowledge and the improvement of practice. Mere involvement implies none of this and creates the risk of cooption and exploitation of people in the realization of the plans of others. (McTaggart, 1991, p. 171)

Others have offered more specific criteria for authentic participation; for example, Tandon (1988) suggested several requirements for participatory research: participation in setting the research agenda, in data collection and analysis, and over the use of the research outcomes (p. 13). Participation seems to be a defining characteristic that differentiates PAR from other more common types of research. Unlike traditional research where the research is done “on” people, PAR is an applied research approach where some members of the organization are “actively engaged in the quest for information and ideas to guide their future actions” (Whyte, Greenwood, & Lazes, 1989, p. 514). However, its highly democratic orientation is not without criticism (Krimmerman, 2001; Petras & Porpora, 1993). Krimmerman (2001) referred to a principle criticism as “objections from popular incompetence and bias” (p. 63). It was based on the idea that including inexperienced participants in scientific research presented the potential for undermining the quality of the data collected and the research it produced. The ancillary concern related to the ability of PAR practitioners to distinguish “good scientific research carried out according to their precepts from good community or social change organizing” (Krimmerman,

2001, p. 63). Despite its detractors PAR has a number of qualities that are noteworthy: First, “it provides opportunities for practitioners and participants to construct knowledge and integrate theory in ways that are unique and practical to a particular group” (Krimmerman, 2001, p. 67). It demystifies the research process and allows organizations to develop their own ability to learn from curiosity. PAR does this by creating the opportunity for the participants to insert themselves into the research process and wrestle with analysis and application. Finally, PAR allows for co-generation between researcher and participants and the potential for more meaningful application of research results. In the case of the sponsoring organization, the aspiration is to use this experience to further the anticipated lengthy effort.

History: Action research and PAR. Participatory action research (PAR) has linkages across the globe (McIntyre, 2008). PAR has roots in India, Latin America, on the continent of Africa, and in North America. In each context the approach was applied differently in different community problems.

In the organizational context Lewin’s influence was prominently featured as a starting point for development of action research (AR) in industrial settings, providing the foundation for participatory action research (PAR). A good example of his early thinking on the link between a participatory approach and change can be found in the 1943 experiment commissioned by the US government on the use of tripe rather than beef in meals. In this experiment Lewin trained housewives to cook tripe and then studied the change in their eating habits. Although it had clear limitations, it is one of the first participatory research applications. (Greenwood & Levin, 2007). In a 1948 study of inter race relation Lewin clearly made a case for research that does more than just create knowledge. He stated:

The research needed for social practice can best be characterized as research for social management or social engineering. It is a type of action-research, a

comparative research on the conditions and effects of various forms of social action, and research leading to social action. Research that produces nothing but books will not suffice. (p. 35)

In this same study Lewin described the sequence of activities in what he calls a *social management* research effort: “rational social management proceeds in a spiral of steps each of which is composed of a circle of planning, action and fact finding about the result of the action” (as cited in Greenwood & Lewin, 2007), p.38). The notion of an intervention in order to effect change, the involvement of participants in the experimental activity, and the iterative sequence of approach are underpinnings of PAR today. Lewin’s change work is well noted and is still used by many organizational development practitioners, but his conception of planned change as a three stage process has been called out for its limitations in today’s complex world (Burnes, 2004).

Action research continued to develop in the United States and Europe during the next two decades through the work conducted in industrial settings. The industrial democracy tradition, as its name suggests, reinforced the concept of democratic participation in research (Greenwood & Levin, 2007). Over time this movement found its way into most management theory and is heavily represented in much organizational development (OD) work. The Tavistock project utilized Lewin’s work on experimentation in the UK and later in Norway. It was the numerous iterations of the work in Europe, the US, and Japan that resulted in more participatory models. According to Greenwood:

The sociotechnical perspective gradually developed into a broader perspective on participation. The next generation of work researchers changed . . . from what was described as “sleeping bag generation (the experts who came to town, told people what to do, and left) to a later generation of researchers who understood their role as providing long term support for local companies’ ability to manage change processes increasingly by themselves. . . . This change in general approach to action research in industry also created a movement away from a theoretical position based on sociotechnical thinking to a focus on mutual learning or discourses between the

organization's problem owners and the involved researchers. (Greenwood & Levin, 2007, p. 26)

What emerged as participatory action research comes from the lineage of action research and a striking mix of application across the globe (Greenwood & Levin, 2007). Applications can be found in the shipping industry in efforts to look at more flexible shipboard manning (Walton & Gaffney, 1989), in technology manufacturing to improve the market competitiveness of a business (Pace & Argona, 1989), and in work cooperatives to address a number of work problems (Santos, 1989). These and many more examples of PAR in the literature highlighted its context specific orientation and framework flexibility, strikingly similar to complexity focus on context and call for agent activity at all levels of the system. There is as much diversity in how PAR is defined, possibly a result of the variety of application across the globe. According to William Whyte PAR is:

In participatory action research, some of the people in the organization or community under study participate actively with the professional researcher throughout the research process from the initial design to the final presentation of results and discussion of their action implications" . . . PAR is applied research, but it also contrasts sharply with the most common type of applied research, in which researchers serve as professional experts, designing the project gathering data, interpreting findings and recommending action to the client organization. . . . In PAR some members of the organization we study are actively engaged in the quest for information and ideas to guide future actions. (Whyte et al., 1989, p. 154)

The notion that the subjects are active participants in the research seems to have two benefits, both of which marry with those of characteristics of complex adaptive systems (CAS) in complexity science. I will discuss this in more detail. The first benefit of subject participation is that it enables a knowledge generating cycle that impacts the researcher, participant, and the larger community alike. Secondly, it is suggested that the collaborative nature of the process produces a better research outcome. McTaggart (1991) provided a possible rationale for this:

In all of the fields it has been demonstrated time and again that the application of others' research in new social, cultural, and economic context is unlikely to work. People must conduct substantive research on practices which affect their lives in their own context. (p.169)

Other examples of participatory action research (PAR) can be found in South America. Here PAR was applied to address oppression and promote social change. Different applications were utilized to address a number of social issues throughout the region, demonstrating the flexibility of the method; however, these applications serve as solid illustrations of how these participatory elements impact the participants and the research at hand. In an article written by Orlando Fals-Borda (1987), three field studies using PAR in Colombia, Nicaragua, and Mexico are discussed. Each provided insights for PAR practice, but Fals-Borda identified the key techniques that applied to all three. According to Fals-Borda (1987), the “techniques resulting from the practice of PAR are useful in the establishment of people’s countervailing power and in aiding adult education” (p. 338). For the purposes of my examination the techniques pointed to important characteristics of PAR practice and linkages to principles prominent in complexity theory. I will identify each technique as presented by Fals-Borda and make the linkage to key complexity principles.

1. “Collective research—the systematic use of information collected and systemized on a group basis as a source of data and objective knowledge” (p. 338). This points to research participant access to data, which results in a process where participants are able to validate data and make meaning based on their context and experience and not that of the researchers. This process mimics that of self-organization in complexity science. Self-organization is the process of re constituting the system based on new knowledge and information the system collects (Cilliers, 2000).

2. “Critical recovery of history—the discovery of those elements of the past which proved useful in the defense of the interest of the exploited classes” (p. 339).
Although the subject article is centered on examples of PAR in Latin America and all are related to oppression, the element of history is important in framing context in social action as well as organizational culture. History is also a key element of complexity theory and complex adaptive systems (Lichtenstein, 2000).
3. “Valuing and applying folk culture—based on the recognition of essential core values among people in each region. This allows account to be taken of cultural and ethnic elements frequently ignores in regular political practice” (p. 341). Like the technique above this one relates to ensuring a recognition and accounting for context. PAR, like complexity theory, is contextually based and embraces all elements of context as a mechanism for learning and creativity.
4. “Production and diffusion of new knowledge—integral part of the research process because it is a central part of the feedback and evaluation objective of PAR” (p. 344).
This is also a key component of the emergence process in complexity science. The use of feedback loops ensures system learning which lead to self-organizing capacity (Lichtenstein, 2000).

The techniques illustrated by Fals-Borda (1987) implicate participant involvement in the research process for the purpose of generating collective knowledge. In the context of social change, it is the goal to raise awareness in order to instigate collective action that leads to a useful solution for imbedded social challenges (McIntyre, 2008). For both the social context and the organizational context the goals for PAR revolve around change, and many of the same considerations come into play.

In the organizational arena participatory action research (PAR) has been utilized in a number of ways. Two prominent case studies that illustrate this are PAR efforts at Xerox Corporation (Pace & Argona, 1989) and its use in the Mondragon Cooperative (Santos, 1989). The Xerox case is interesting to me because of my experience in unionized manufacturing and in seeking cost containment or reductions in faltering operational units. In unionized businesses the labor contract may act as a barrier to union management cooperation, especially in areas where the collective bargaining agreement is silent or where certain practices have been established by repeated prior practice referred to as precedent. In the Xerox case the company was facing increasing competition and falling market share in their copy machine business. They decided to retain consulting expertise³ to conduct a study of its management and business practices. The company also began working with the union at its main manufacturing facility in New York to look for ways to improve the quality of work life, lower costs, and improve productivity. The quality of life (QWL) effort began with many off limits areas (those reserved for collective bargaining) and was, thus, limited in its scope. The QWL was ultimately interrupted when management discovered the opportunity for cost saving by shutting down a significant piece of the operation and outsourcing it. Management assumed that there was no other option (Whyte et al., 1989). A team made up of union and management employees, called a cost study team, was formed after a request from the union. The goal of the team was to avoid outsourcing the work and shutting down an entire department by finding savings in other areas. The work of the team set the stage for a high degree of collaboration between management and the union. Although

³ “Though Peter Lazes served as consultant to Xerox, he did not function in the conventional consultant role of making his own diagnosis and then presenting recommendations for management action. He proposed a process leading to diagnosis and problem solution, but he did not tell people what decisions to make. He provided training in group methods and in problem analysis. In the early stages, he sat in as an observer in meetings but never intervened except to help the parties to resolve impasse. The labor and management members did the research, digging out the facts and figures and organizing and writing reports” (Whyte et al., 1989, p. 525).

there were risks for both sides in the Xerox case, the existing relationship and a common interest to stay competitive and, thereby, save jobs created the ground for participatory work. The study team was able to identify enough savings to save the operation from closure. The success of the effort strengthened the union management relationship and resulted in substantial changes to how future business challenges would be handled. For example:

The success of the CST made it possible for the union and management to work out a new labor contract providing security for workers in the bargaining unit. First labor and management agreed that in any future case where management found that a given department was falling seriously short of meeting competition, before laying off any workers, management would work with the union to establish a CST. Then management would only have the right to lay off workers if the CSTs were unable to meet the cost target. (Whyte et al., 1989, p. 524)

The Mondragon Cornell project is important on a number of fronts. First, it is a great example of how Participatory Action Research creates a learning cycle that enriches the research and knowledge process for all involved. The project shows how the quality of research data is enhanced through the participation of those who are part of the context. Finally, the Mondragon project demonstrates how PAR can result in change beyond the boundaries of an initial study.

The Mondragon cooperative is located in Spain and has been well documented for its successful operation (Whyte et al., 1989). In 1983, as part of a cultural exchange effort, researchers from Cornell University partnered to document the workings of the operation. The work occurred in a number of stages, beginning with the formation of a working committee, and continuing with an orientation and exploration of existing research on the cooperative.

According to Whyte et al. (1989)

The PAR process began by presenting the team with conflicting views of the cooperatives and their successes found in existing literature...The cooperative members were critical of the utility of some of the social science concepts and genuinely disturbed by some of the incorrect and exaggerated views about the cooperative. (p. 528)

The second stage of work produced a monograph of the largest cooperative in Mondragon. The review discussion resulted in some critically oriented refinement but, according to the author, increased the level of sophistication for the study group. Out of this iteration came the decision to supplement the existing work with surveys and interviews. There are two things of note that should be highlighted here. It is at this point in the process that the study group began to actively weigh in on the appropriateness of research approach. According to the authors there was healthy debate between the appropriateness of statistical versus interpretive data. This point indicates the increased level of ownership over the research outcome by members of the cooperative study group. It was noted that “the clients clearly had a stake in the ‘truth’ and were at least as concerned as the external researchers about the methods and theories being deployed” (Whyte et al., 1989, p. 531). The second point relates to the development of the capacity by the study group to collect their own data for the project. The author pointed to the fact that the cooperative members were trained to conduct the interviews and later analyze the process and the results. Following the interviews and analysis the team decided to conduct further data collection through focus groups. It is remarkable that at this stage of the relationship the study group became almost autonomous; the authors noted the study group’s decision to choose topics to use for the focus group discussions.

The evolution of the Mondragon study illustrates the growth that can occur in a participatory action research (PAR) project and the value that the approach brings to the quality of the research product. In both cases participants that had vested interest in their community or context leveraged new knowledge gained from the research process to develop a path towards action. As I considered my research aspiration, it was important that I utilized my research as a

mechanism for human resources (HR) professionals to develop their capacity to influence change in their organizations.

This summary falls short of detailing the nuances of these two PAR examples. However, key points from both the Xerox and Mondragon case studies are clear:

1. PAR is diverse in its application and necessitates researcher vigilance of, and willingness to, allow participants to leverage the emerging learning that occurs during the research.
2. There is a link between the research aptitude of participants in a study and the quality of the research data that is gathered. The more the participants understand the research process the more they will be able to contribute to the appropriateness of a specific approach.
3. The more involvement the participants have in the process the more ownership can be generated over the result and the quality of data collected.
4. The Mondragon project highlights the value of iterative cycles of intervention, analysis, and reflection. The Mondragon research phases seemed to build on one another, with each phase resulting in a higher level of refinement of the data.

Challenges With PAR

Although there are compelling contributions that participatory action research (PAR) provides to this research study, the approach came with challenges, most associated with the sponsoring organization's participation and the nature of the business environment. The study was conducted in an advertising firm that depends on client revenue to fund all activities, including allocation of resources. Activities that are not directly related to client campaign creation and delivery are seen as extraneous. This placed the culture and inclusion (C&I)

initiative and the use of company resources to conduct this research at odds with the primary business purpose. At the business level, the use of internal resources for the study was scrutinized. At the individual level those who chose to participate in the research study had to do so in addition to normal job responsibilities and contend with the possibility that their participation would not be viewed positively by co-workers more focused on delivering client work. A second area of challenge was related to perceptions of the nature of the study. There were concerns for how the research effort and the results would be perceived by the leaders, who were a focus of the study and who were just being introduced to expectations for an inclusive culture and managing implicit bias (IB) in the organization. Additionally, because diversity and inclusion work is traditionally viewed as falling within the domain of human resources, there was the obvious challenge from operating leaders of relevancy. These leaders are recognized for growing their business and servicing client needs, not for the development of an inclusive culture. The study's success was dependent on leaders being forthcoming and willing to take time from their schedules to participate. Finally, PAR creates a natural tension between research requirements and those of the stakeholders. It places a high burden on creating clarity of objectives in the early stages of the project. Given the fast pace business environment, aligning objectives was continually managed during the course of the study. Throughout the study the possibility that the scope could change was very realistic. The study progressed as the organizational change initiative continued to develop, necessitating numerous adjustments to objectives. For example, during the early phases of the study the organization introduced an effort to form small communities of inclusion within each business unit. These small, informal teams were tasked with suggesting ways for the unit to be more inclusive and discussing diversity oriented issues as they surfaced. They were not envisioned at the onset of the

organization's change effort but influenced decisions related to data collection. The research team would have to work in a dynamic environment that was ever changing and reshaping. These challenges highlight the need for flexibility, efficiency, and the willingness to work through a dynamic research environment.

In addition to challenges presented by the sponsoring organization's environment and resources allocation, participatory action research (PAR) also has limitations that flow from the participatory nature of the approach that will have to be accounted for in the study. For example, PAR is viewed in some circles as not true research (Herr & Anderson, 2015). Its reliance on outsiders to collect and interpret data provides limitations surrounding the perceived quality of the data and the findings that result. It was important for the study to incorporate methods that mitigated the bias of the participants and the researcher, as well as to articulate clear validity objectives. Herr and Anderson (2015) identified five validity criteria, although cautious about using the term validity for fear of confusion with more traditional notions of validity. The criteria topics identified by the author are: outcome, process, democratic, catalytic, and dialogic validity. The question of validity will be addressed in the next section; however, it is important to note that each of these criteria represented a starting point of discussion related to action research (AR) quality. The discussion continues to emerge in the literature (Reason, 2006). A final noteworthy limitation of PAR relates to its transferability. The nature of the PAR approach requires reliance on the local meaning that research participants attach to their own context and how to take action to apply learning. It would be nearly impossible to duplicate the same dynamics in another context with other participants. The study will need to consider how to identify and incorporate elements of the research that may have application outside the immediate case.

Protocol for Study

To address these challenges and methodological limitations, the study incorporated a number of key elements to ensure the appropriate level of quality and relevance for the research.

Clarity of roles and responsibilities. A touchstone of participatory action research (PAR) is the partnership between researcher and the participant research team. It creates an environment where local actors that make up a research team and the primary researcher can work in unison to create new knowledge (Argyris & Schon, 1991). In order to accomplish this, it was important that all parties on the research team understood how they would contribute to the study. This was particularly true for cases like the KCA study where the research team participants were new to the research process and methodology. The KCA research team consisted of eight participants who were selected by soliciting volunteers from the human resources (HR) community and the broader organization (Appendix A). The resulting team comprised a mix of business and support professionals in the organization that included marketing, human resources, strategic planning, communications, and creative professionals. These individuals, while enthusiastic about the study, possessed limited experience conducting a research project. At a very early stage of the research, roles were discussed and delineated cleanly. In this study the primary researcher provided the team with research frameworks and methodology, as well as guidance on applying theory to their analysis. The research team participants decided on focus areas for the study to contribute to the design of data collection methods and work together to analyze the data and form conclusions.

Resource requirements will be clearly defined. The organization where the study was conducted is a dynamic fast paced environment. All of the research team participants had responsible leadership positions within the organization that placed significant demands on their

time. During the course of the research they maintained those responsibilities in addition to participating in this study. Therefore, it was important to manage time as efficiently as possible without sacrificing the learning experience or the necessary time needed for design and analysis. Careful selection of participants up front ensured that they possessed the flexibility, interest, and time to devote to the research project. Additional focus was placed on using technology to support the team and their learning, where possible, and adherence to the agreed on team behaviors which ensured peer accountability for commitments.

Iterative methodology for the study. The study utilized an iterative methodology that emphasized inquiry, reflection, and application. Consistent with participatory action research (PAR), inquiry began once the research team was formed. In this phase the research team identified the issue of importance to the change initiative, discussed what information (data) was needed to address the issue, and designed their study approach to gather that data. Reflection began once the data was presented to the team to consider. During the reflection work the team attempted to make meaning of the data that was presented. The process produced either the need for more data, new knowledge that could be applied, or a little of both. Knowledge applied from reflection and analysis was in the form of some intervention linked to the new knowledge about what was occurring in the change environment. The KCA study captured one cycle of iteration and the presentation of new knowledge for application to future change efforts in the organization. This iterative process allowed researcher and participants to work together in an environment of adaptive learning (Mackenzie et al., 2012). The study encouraged participants to utilize the process not only for the research but also as a framework of intervention for future organizational change work. Figure 3.1 depicts the research steps in more detail.

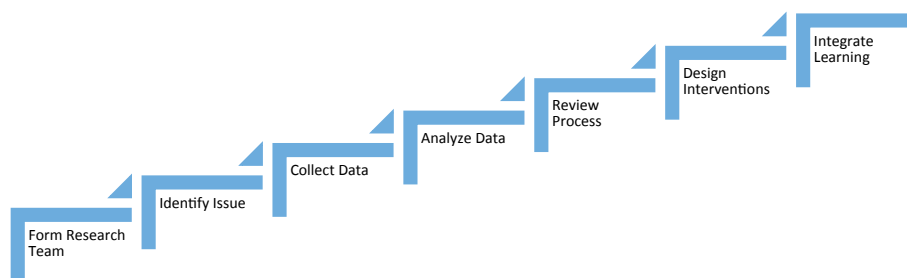


Figure 3.1. Research study steps.

Objective review of conclusions and validation. The study incorporated the perspective of a neutral outside researcher, an experienced organizational development practitioner, to review presentation material of the primary researcher before being shown to the research team. The same outside researcher was used to validate the thematic analysis coding. The objective review by the outside researcher provided an additional check to ensure that the primary researcher's bias was mitigated and presented materials were not leading. The primary researcher maintained a detailed journal of the study activities and interactions for self-reflection throughout the research.

Use of established theoretical frameworks on key aspects of the study. At the individual level of analysis, the study utilized the theory of planned behavior (TPB) as a framework to understand what actions influenced the formation of the intention to change behavior and how those actions supported the movement from intention to actual behavior change. The study centered its inquiry on the perceptions of individuals around the three elements that form the TPB: perceived benefits of behavior change, social norm, and perceived control over the change.

Implementation of the Study

The KCA research study was designed in stages orchestrated by the primary researcher and the research team. The first stage included the selection of individuals for the team, the selection of the pool of participants for the study, the decision on a problem statement, and a

design of a pilot to kick off the research. The second stage resulted in the interventions that were designed from data collected during the first stage. The third stage included follow up data collection from the interventions and evaluation of results. Finally, during the last stage the team reflected on the creation of new knowledge and how that knowledge could be applied to future initiatives. The team also crystalized their project by communicating their findings to the organization at large. Although the exact sequence and timing of events was difficult to predict at the onset of the study due to the participatory nature of the approach and organizational considerations, the research progressed roughly along the sequence depicted below in Figure 3.2.

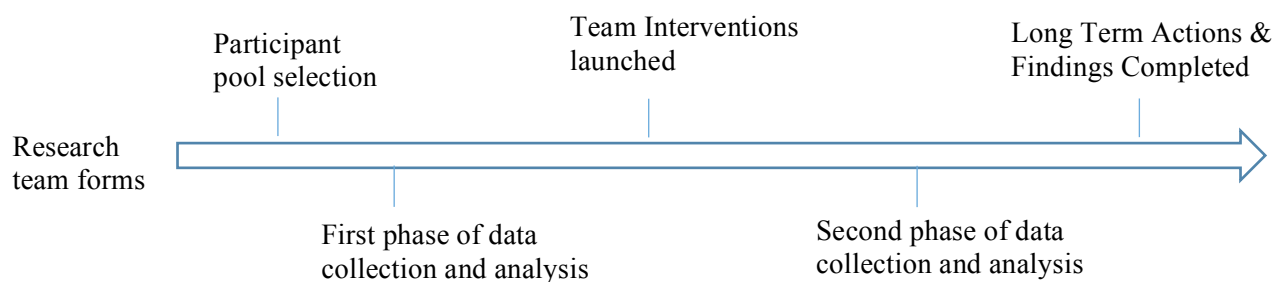


Figure 3.2. Research sequence by key events.

Research sequence. The initial pool of study participants was obtained as the result of a survey invitation sent to all attendees of the IB workshop. Any individual who completed the survey and expressed an interest in being part of the research was included in the pool. The survey was sent out to 356 employees; 112 participants responded to the survey (31%) of whom 41 volunteered to participate in the study (11%). The final pool of 41 participants represented a mix of U.S. based and international units. The research team contributed to the design of a series of questions intended for use in interviews with the study participants. The data collected from these interviews served to inform the first iteration of reflection and analysis for the research team, leading to two team interventions which started the second phase of data collection.

Data Collection and Analysis

The study had two objectives with regards to data collection: (1) to incorporate team input and participation in all phases of the data collection process from design to analysis and (2) to ensure a high degree of data quality and validity. The study utilized a mix of methods to collect data. At the onset of the research project, the primary researcher conducted a session with the research team to introduce basic data collection techniques that were intended to help inform data collection decisions. The team's desire to understand individual nuances of the implicit bias (IB) experience influenced their preference for a qualitative approach to data collection as a key first step. As such, interviews provided the primary mechanism to achieve the study's initial objectives; however, the use of the survey was also suggested as a vehicle to reach a larger portion of the business unit and to provide comparable data across units. For example, it was suggested that a survey could be administered to a cross section of leaders and members in the business units to determine the extent to which the IB workshop influenced the culture in the unit or if the unit leadership took any action on the learning from the workshop which could then be followed up with an interview.

Interviews and coding. All interviews conducted during the study were recorded and manually transcribed. The decision to manually transcribe was in part an effort on the part of the primary researcher to remain as close to the data as possible and accelerate personal learning. The analysis of the data was conducted as a team utilizing thematic analysis (TA) to identify patterns and key elements of influence for behavior change. Thematic analysis is a method for identifying and analyzing patterns of meaning in a dataset. It is an appropriate form of analysis because it lends itself to group discussion and learning, touchstones of PAR, and is among the most systematic and transparent forms of analysis (Joffe, 2012). Thematic analysis uses a

process of developing explicit codes to represent discrete data components imbedded in the text of the transcribed interviews (Boyatzis, 1998). The coding process allows the researcher to understand and interpret in a systematic manner. It provides a way “of relating our data to our ideas about the data” (Coffey & Atkinson, 1996, p. 27), by illustrating which themes are important in the description of a phenomenon under study (Braun & Clarke, 2006).

The approach utilized for this study was inductive in nature and evaluated two sub groups that emerged from a sample of 26 initial participants. More detail on the subgroups is provided below. The analysis occurred in four phases. First, all interviews were transcribed by the primary researcher. The transcriptions were then re-read and outlined. During this data reducing process an initial set of themes began to appear but were not recorded. The reducing process began to move the raw data into organized potential topics. According to Boyatzis (1998), this moves the “information into your unconscious as well as consciously processing the information” (p. 45). Using manual coding techniques and embracing an *in vivo* coding approach, the goal was to capture the participants’ voices in the process. *In vivo* literally means in that which is alive, but its spirit represents the terms used by the participants themselves. (Strauss, 1987). The coding approach was particularly applicable for action research applications or practitioner research (Coghlan & Brannick, 2010). It was designed for the researcher to be able to frame what “the participants use in everyday life, rather than in terms of the academic disciplines or professional practices” (Stringer, 1999, p. 27).

From the entire sample two sub samples were identified, establishing the criterion reference for the initial analysis. The first subgroup represented participants who identified overt behavior change resulting from their attendance in the implicit bias workshop. The research team defined *overt behavior* as actions that were visible to others, resulting in a tangible change to an

organizational process or practice, like changing a practice in a team meeting or a process associated with recruiting a candidate. The second subgroup represented participants who claimed they had not changed any behavior as a result of their attendance or claimed inward reflective behavior change. *Inward reflective change*, for purposes of this study, was defined as behavior shifts that were not necessarily visible to others and were self-reflection oriented, like taking a mental pause before speaking or making a decision. The behaviors in both groups were self-reported by the participant without verification, aside from the participant's own perception and spoken words. Each subgroup was further broken up by leader and non-leader responses; however, these were not coded separately. During the second phase a random selection of three transcripts from each subgroup was re-read in entirety, and a first round of theming was conducted for each subgroup. During the third phase the themes from both subgroups were compared and contrasted. During this stage those themes that were differentiated in the subsets were highlighted for additional examination. A few simple rules were applied to identify a theme as a possible code candidate. The three rules advocated by Boyatzis (1998) served as guidelines:

1. maximized differentiation between subsamples,
2. easy application to the subsamples (i.e., the code is easy to see in the subsamples),
and
3. minimized exclusions (rules that apply to the theme).

The differentiated themes were revised a few times for clarity by the primary researcher, and then they were applied to the transcripts a second time by rereading the transcript and identifying where the theme was present. Although this step seemed repetitive, it yielded additional minor edits and notes which were incorporated into the final set of codes. They were ultimately recorded according to five elements described by Boyatzis (1998) as representing a “good code.”

He stated that a good code should include a label, a short definition of what the theme concerns; a description of how to know when the theme occurs or its indicators; a description of any qualifications or exclusions to the identification of the theme; and examples, positive or negative, to eliminate confusion; and other notes depicting differentiation (p. 98). The revised codes resulting from this process were recorded and presented to the research team for final edits. This gave the research team a chance to adjust language according to their context and add insight into when the code might appear. Additional curiosities also surfaced during this conversation. After the codes were reviewed by the research team they were then applied to each subsample by the primary researcher, and then, in a separate meeting, the research team was also asked to apply the same codes to the subsample of transcripts in order to validate the codes. This process was repeated with an outside researcher as a second check on validation. In the fourth stage the validated sub sample codes were applied to the entire sample of interviews. Figure 3.3 is a visual representation of the coding approach.

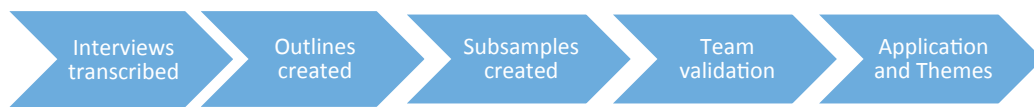


Figure 3.3. The coding approach.

Research Team Participation

It is vital to a successful participatory action research (PAR) that the participants are active in all phases of the research effort. The level of participant involvement differentiates PAR from other forms of action research (McTaggart, 1991). In the KCA study the research team was involved in each activity associated with the design and analysis of the data; from the

identification of the initial participant pool to the completion of participant interviews, the research team identified focus areas for the initial inquiry, designed the interview protocol to reflect those areas, reviewed the interview data, and conducted two key analysis sessions and engaged in numerous exchanges via email to ensure that each member of the team was able to contribute to the overall process. The analysis discussion produced two interventions that were directly informed by the data collected. The interventions were designed to support behavior change by offering additional guidance on how to apply the learning that came from the implicit bias (IB) workshop. The interventions resulted in a second round of quantitative survey data collection that was also analyzed by the team at the end of the study.

To ensure validity of the study, a framework adopted by Anderson and Herr's (2012) was used to guide action research (AR) goals and questions of validity. The authors identified five criteria with which to judge the research:

1. Dialogic and process validity—Did the study generate new knowledge?
2. Outcome validity—Did the study achieve action-oriented outcomes? Interventions?
3. Catalytic validity- Did education for both researcher and participants occur?
4. Democratic validity—Were the results of the study relevant to the organization and the participants?
5. Process validity—Was a sound and appropriate research methodology used in the study?

This framework also finds support from the work presented by Reason and Bradbury (2001) who saw the action research process as an “emergent, educational and evolutionary process” (p. 34).

Ethical Considerations

The study was conducted during an organizational sponsored change initiative with the goal of understanding how to develop leaders to better prepare them for future change efforts and to understand how to support behavior change in organizational members. The ethical considerations fell into three categories: 1. those associated with the research team, 2. those related to the participants of the study, and 3. general considerations related to the process.

The ethical considerations related to the research team were considered minor with limited exposure. The research team was made up of organizational members who worked alongside the most senior human resources leader in the firm and a senior human resource leader responsible for the culture and inclusions (C&I) effort, both of whom participated as team members. Although the work on the team potentially exposed participants to a potential power differential with regards to the influence that human resources (HR) has on career development, this perceived risk was mitigated by effective facilitation of team discussions and clarity regarding the rules governing how the team would work together. The team was sanctioned by the organization to conduct the study. All interviews were conducted by the primary researcher, thereby, further protecting research participants and the research team from any awkward interaction and confidentiality issues. Findings from the study were communicated in a way that also protected the identity of individual members of the research team.

Summary

This is an exciting and compelling research study because of its contribution to the body of knowledge in the arena of change management leadership and behavior change. The senior leadership of KCA has made a significant financial investment to develop a more inclusive culture. They have communicated a clear business case linking the shift in culture to better

business results, and they have acknowledged how leaders in the business can enable or inhibit success for the effort. The study represents the desire to understand their change landscape in an effort to support those leaders. Change continues to represent a compelling area of organizational practice, in part due its complexity, low success rates, and its continuous nature. It is clear that organizations that master change increase their effectiveness and potentially are more competitive. In a fast paced and highly competitive advertising industry, this is an attractive motivator. Additionally, this study represents a significant contribution on the topic of intentional change in organizations, culture change associated with inclusivity, leadership influence on behavior change during an intentional change effort, and change associated with implicit bias (IB) in the workplace. The lack of empirical research on organizational change efforts focused on managing IB and its link to a culture of inclusivity is ground breaking. Finally, while challenging, utilizing participatory action research (PAR) for this study provided a unique opportunity to apply theory to practice in an organizational setting and develop internal learning for the organization.

Chapter IV: Results

Background

The KCA behavior change study was conducted during the organization's intentional effort to reshape its culture. The study participants represent a diverse mix of perspectives from different offices around the world and at different levels in the organization. Advertising agencies are fast-paced environments with a singular focus on producing campaigns that represent the best of the agency's talent and the diverse markets their clients serve. Concerns that implicit bias negatively impacts the agency's ability to meet its objectives prompted the effort to develop more inclusive practices in its day-to-day operations.

With overlapping and multi layered research objectives the study's primary aim is to examine influences on behavior change. Specifically, the study seeks to understand the application of learning by leaders and non-leaders, following an implicit bias workshop. The participatory action research approach used in the study carries a second set of objectives; these are associated with knowledge creation for the KCA research team and the application of knowledge to address their focal challenge, that is to enable and sustain desired behavior change associated with developing a more inclusive culture, identified in the early stages of the study. Participatory action research in an organizational setting presents unique challenges and opportunities. It is not a research approach that has been used extensively during organizational culture change initiatives focused on bias and inclusion. The prospect to study and analyze behavior during intentional change through the lens of a local research team is a captivating proposition.

Stages of Work

The KCA research study comprised three stages of work: a pre-launch phase occurred in advance of the actual study start, the first phase of the study measured the direct impact of the implicit bias workshop, and the second phase measured the impact of two research team generated interventions. During the pre-launch phase much of the work occurred with the KCA sponsors. This work was comprised of developing research concepts and initial study logistics, including deciding on the research team composition. The first phase of the study included four activities: the team kickoff, participant pool selection, the initiation of the first round of data collection, and facilitation of the initial round of data analysis. In the final phase of the study, the research team—informed by learning from the initial data collection—identified, designed, and implemented two independent interventions. Three weeks after the interventions were deployed, a second round of data collection began, followed by a second round of analysis and the identification of additional longer-term interventions. While these longer-term interventions exceeded the scope of the study, they were informed by the detailed review of all data collected during the 10 months of interviews, surveys, observations, and discussions. The study sequence is provided in Figure 4.1, which details each step of the research process. Each step will be discussed in this section.

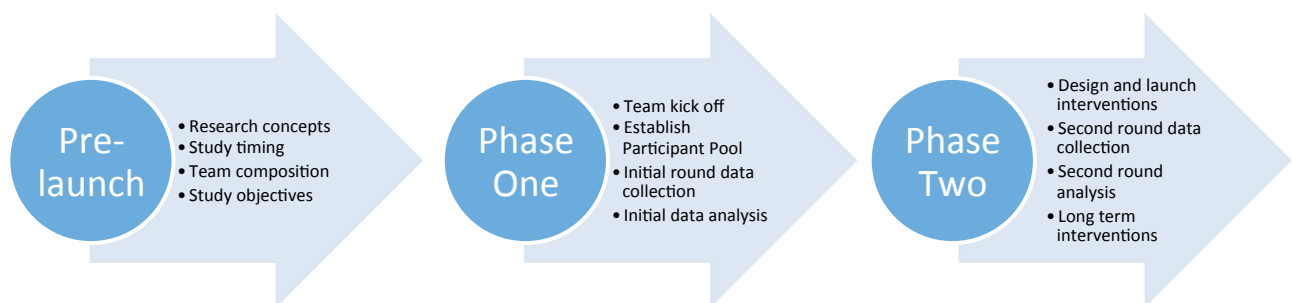


Figure 4.1. Study sequence by phase.

Pre-launch. Establishing a relationship between an outside researcher and an organization willing to sponsor an internal research study is a significant task, and it was critical for KCA to proceed. The pre-launch phase created the foundation on which the study was built, by the research team working with the organization to align objectives and study logistics. Table 4.1 below depicts the detail of the pre-launch phase and captures timing, discussion topics, and outcomes leading the study kick off.

Table 4.1

Detail of Pre Launch Activities

Step	Focus Areas	Objectives/Outcome	Time frame
Pre- Launch	<ul style="list-style-type: none"> • Establish research concept • Ground rules for confidentiality • Access to study participants • Identify resources and support for the study • Establish overall timing for study • Discuss research team composition 	<ul style="list-style-type: none"> • Address basic logistics and legal issues • Establish and socialize aligned research approach • Achieve conceptual alignment around research objectives 	8-10 months

Study preparations. The company sponsors were instrumental in this early stage to ensure each phase achieved its objectives. The sponsors included a senior vice president of human resources (SVP), responsible for organizational culture and inclusion and the lead human resource executive responsible for global talent (EVPHR). The relationship with the senior vice president was instrumental to shaping the study during these preparatory conversations. In one conversation, for example, the essence of the study focus surfaced after a lengthy discussion about a number of research options. In this conversation the SVP stated emphatically, “What I would really would like to know is the secret sauce that gets people to move to action after the company makes them aware of a need to change.” This simple statement captured the primary

focus in a clear and straightforward way. In this single statement a clear need and a sense of urgency combined to create the basis for the study. Additional dialog resulted in the decision to pursue a participatory action research (PAR) approach from a number of more traditional research methodologies. Central to this decision was the opportunity to create new knowledge via an internal research team focused on solving an organizational issue. In all, eight on-site meetings and a number of conference calls formed the preliminary research plan.

Study team composition. The composition of the KCA research team included eight advertising professionals from the functional areas of human resources: creative, communications, and business operations. The makeup of the team was unique in that it not only was well represented by organizational expertise, but it also had member representation from all levels, including administrative, individual contributor, as well as senior and executive leadership, including one member of the team who was a direct report to the Chief Executive Officer (CEO).

First phase of work. Phase one attempted to measure the impact of the implicit bias workshop, the triggering event of the KCA culture change effort, by determining participants' reactions to the content and the extent to which it was acted on following the workshop. Phase one comprised four steps: the team kick off which established the research team protocols, participant pool selection, and the initial stage of data collection and analysis. Table 4.2 provides details for phase one, including timing, focus areas, and outcomes.

Table 4.2

Detail of Phase One Activities

Step	Focus Areas	Objectives/Outcome	Time frame
Team Kick off	<ul style="list-style-type: none"> • Introduce research basics • Identify challenge statement • Establish learning objectives • Establish team behaviors and norms • Establish roles 	Create the environment for effective team dynamics	Two team meetings
Participant Pool	<ul style="list-style-type: none"> • Establish criteria for participant pool • Design initial Participant Pool survey • Design Interview Guide for Participant Pool 	<ul style="list-style-type: none"> • Agree on first stage data collection 	3 weeks
Data collection	<ul style="list-style-type: none"> • Administer Participant Pool Survey • Conduct interviews with participant pool • Complete transcripts and outlines of interviews • Develop initial themes based on outlines 	<ul style="list-style-type: none"> • Deliver initial data from interviews and participant pool survey 	6 weeks
Analysis	<ul style="list-style-type: none"> • Participant pool survey results • Initial themes and representative quotes • Internal survey results 	<ul style="list-style-type: none"> • Design two interventions informed by data 	Two team meetings

Study kick off. Once the team formed, two sessions were devoted to providing an orientation to basic research principles, team norms setting, and identification of the primary research challenge. In the first meeting, the official kick-off of the project, the team focused on establishing roles, deciding on team ground rules and behaviors, and discussing the initial stages of the study, including study participant selection. The second meeting produced a number of foundational elements for the study, including identifying the issue of focus. The issue statement, a central element of participatory action research (PAR), anchored the entire study and became a clear measure of success for the PAR. The KCA issue statement, *to enable and sustain desired behavior change associated with developing a more inclusive culture*, reflected the reality that many diversity oriented culture change efforts fail to achieve desired outcomes, largely because

of the inability to sustain the effort over the long term (Ross, 2012). It is noteworthy that the challenge statement, as the team referred to it, incorporates the concepts of behavior change, sustainability of the change effort, and the outcome of a more inclusive culture. During an ancillary exercise the research team identified potential lines of inquiry associated with the challenge statement:

- What are the desired behavior changes that we are looking for?
- What is the “more” in the cultural shift?
- How will we know when we have achieved “more”?
- How do we define/characterize sustainable, what is sustainable, how long etc.?
- What are the independent variables in our research question?
- Who is responsible for enabling and sustaining?
- How would we know there was a cultural shift?
- How do we define inclusive culture?
- How many people “really care” about inclusivity? What are their motivations?
- What are the drivers and blockers of the desired behavior for a more inclusive culture (conscious and unconscious)?
- Are the behaviors and inclusive cultures different across different offices and countries?
- Is it harder to enable change or sustain change?
- How do we identify success?
- How do we determine lip service is actionable behavior? Is it really in the “heart”?
Will they really change?
- What are the specific behaviors associated with a more inclusive behavior?

- What is required to give permission/support to create behavior change?
- What motivates people to get involved in behavior change in the workplace?

The exercise served as a good example of the value of participatory research by highlighting the team's concern about how to measure various aspects of behavior and helped to shape data collection.

Participant pool selection and survey. Participants for the KCA study were selected from employees who attended an implicit bias workshop and responded to *The Participant Pool Survey*, which asked for their feedback about the workshop. The one-day workshop sponsored by the organization was offered to employees beginning in 2015. The workshop was voluntary; however, employees were actively encouraged to attend. Participants gained access to the survey through a link attached to an email message from the executive vice president of human resources asking for feedback. The email went to 434 attendees of the workshop and was available to respondents for two weeks after the invitation email was sent. To protect the identity of the respondents, the survey was administered remotely by the primary researcher, using a popular survey software. The survey asked two demographic questions: designated role in the organization, either as a supervisor or member (non-supervisor), and the length of time since the participant attended the workshop. The survey asked six feedback questions and provided a place for responders to volunteer to participate further in the study by agreeing to participate in an interview. The feedback questions were a mix of yes/no questions and questions that asked the respondent to answer an affirmative statement with a response based on a four-point scale from strongly agree to strongly disagree. These scales were chosen for ease of administration and were informed by the work of Fishbein and Ajzen (2010) on behavioral measures. The six feedback

questions are listed below. Emphasis has been added to correspond with the labels on survey results Table 4.3 that shows initial participant survey results:

1. The Implicit Bias workshop **increased my awareness** about how bias may show up in the workplace.
2. As a result of the Implicit Bias workshop I have **reflected on my behaviors** in the workplace.
3. As a result of the Implicit Bias workshop I have **identified behaviors that I might change** to manage my bias or the bias of others better.
4. Have you **initiated any substantial changes** within your business unit, on your account(s), or within your team(s) to address implicit bias?
5. Have you **volunteered** to activate or join a company sponsored Resource **Group** to help make change within (the company)?
6. Have you had a **conversation** with a coworker to address a problem connected to bias observed or witnessed in the workplace?

The questions attempted to gain insight into the extent to which the level of awareness and behavior was influenced by the workshop learning experience. Of the 434 implicit bias workshop (IBW) attendees who received the invitation email and survey reminders, 112 or 30% elected to participate in the survey; 80 respondents, 72 % of the sample, identified themselves as supervisors; and 30 as non-supervisors, representing 27% of the sample. Two participants did not identify themselves. At the time of the survey, 67 or 61% of the respondents had attended the IB workshop within six months and 35 or 32% over six months; 38 respondents indicated interest in volunteering to participate further in the study. Of the 38 volunteers 26 returned an informed consent and participated in an interview. Two participants did not complete their

interviews and were not included in the final data set. There were no other selection criteria for the participant pool. The results for each question of the survey are provided below in table 4.3.

Table 4.3

Initial Participant Survey

	Strongly agree		Agree		Disagree		Strongly disagree		N/A
Increased awareness	42	(39%)	55	(59%)	3	(2.6%)	0	(0%)	8 (7.4%)
Reflected on behaviors	25	(22.3%)	72	(64.3%)	7	(6.2%)	0	(0%)	8 (7.1%)
Identified behaviors for change	17	(15.1%)	72	(64.3%)	14	(12.5%)	0	(0%)	8 (7.1%)
	Yes		No						
Initiated changes	36	(32.7%)	74	(67.2%)					
Volunteered for a group	27	(24.5%)	83	(75.4%)					
Conversation to address bias	60	(54.1%)	51	(45.9%)					

The responses broken out by the demographic of supervisor and non-supervisor did not reveal additional information. The details for the supervisor and non-supervisor demographic are provided in Appendix B.

Interview data collection. The participant pool interviews represent the core data set of the study. The interview design resulted from an iterative collaboration between the primary researcher and research team over the course of a month. The primary researcher provided an initial draft of potential questions to the team for refinement. The final version of the interview questions intended to collect data along three lines of inquiry that aligned with the three elements of the theory of planned behavior: perceived benefits, social norms, and perceived control (Fishbein & Ajzen, 2010). Additionally, a fourth line of questions was intended to understand to what extent change occurred for the participants. The semi-structured interviews were conducted by phone and were recorded and transcribed by the primary researcher to protect the anonymity

of the participants and to provide familiarity with the data. The final draft of the interview contained 30 questions. They are provided below:

1. Do you know why the agency wanted you to attend this workshop?
 2. Do you know what the agency expects to get out of this workshop?
 - a. Is it realistic?
 3. What do you think about this type of training?
 4. What 3-5 adjectives describe your personal experience of attending the implicit bias workshop (IBW)?
 - a. Why did you use those adjectives/words?
 5. What, if anything did you learn from the IBW that you didn't know before?
 - a. What, if anything did you learn about yourself?
 6. Are you doing anything differently as a result of your attendance at the workshop?
 - a. Have you taken any specific actions or steps as a result of the workshop?
 7. Are you aware of any other actions or steps others have taken as a result of attendance at the workshop?
 8. What would you hope others take away from the workshop?
 9. Are there any steps/actions that you have not yet taken that you have considered?
 - a. What prevented you from taking the steps
 10. Have you discussed the workshop in a substantive way?
 - a. If not, why not?
 - b. If yes, what was discussed? What was your relationship with those who you felt most comfortable discussing the workshop with?
 - c. How did they perceive the workshop? Where did you agree? Disagree?
 11. Have you had a conversation with others about bias?
 - a. If so what was discussed?
 - b. What was your relationship with those who you felt most comfortable discussing bias with?
 12. Has the workshop been discussed by your supervisor?
 - a. If yes, what was discussed?
 - b. What impact did it have on you?
 13. Do you believe there is bias at the company?
 14. Have you faced possible bias at the company?
 15. Do you think managing bias improves the work product?
 16. Have you noticed any changes within (the company) since the Chief Executive Officer (CEO's) talk?
 - a. If so what changes?
 - b. Did the talk inspire you to make changes in your behavior?
 - i. If so, what changes?
 - ii. If not, what would have inspired you? Why not?
- How high a priority should addressing implicit bias (IB) be in the agency?
17. Where do you see opportunities to address bias at the agency?
 18. How do you think IB **should** be managed in the workplace?
 - a. do you think the things you have mentioned should be a priority for the organization (or do you think it would be beneficial to the organization?)

- b. What things might happen if the agency was successful at managing negative bias in the workplace?
 - c. If no, why not?
- 19. Do you think IB **can** be managed in the workplace?
 - a. What outcomes do you think will come from the successful management of IB in the workplace?
- 20. What would others have to do to within the workplace to mitigate the negative impact of IB?
 - a. Are there specific behaviors that would have to change?
- 21. Do you think your coworkers can or know how to make those changes?
 - a. Why or why not
- 22. What things need to be in place to support those changes?
 - a. Are any of these things in place?
- 23. Imagine for a moment that you wanted to change your behavior to manage your IB better, is there any support that you could receive that would help you change behavior?
 - a. What would most influence you to change your behavior?
 - b. Do you see any barriers to you changing your behavior?
 - c. What role or influence do you think leadership would have on you changing your behavior?
- 24. Have you felt the need to take any action or to get involved in anything that could lead to behavior change in others at the company?
 - a. Have you acted on it?
 - b. If not, why?
- 25. Have you been involved in any company sponsored Culture and Inclusion events?
 - a. If so which ones?
 - b. How has your participation impacted your behaviors?
 - c. Why did you make the decision to participate?
- 26. Have you made any changes for your unit to manage IB?
- 27. How likely are you to change your behavior to manage IB in the near future?
- 28. How likely are you to address bias in others in the future?
- 29. How likely are you to support future efforts to manage IB in the workplace?
- 30. Is there anything else that you would like to share on the topic of behavior change or IB that we haven't spoken about?

The theory of planned behavior (TPB) is used as a framework in this study to help understand behavior change. The final version of the interview questions was intended to collect data along three lines of inquiry that aligned with the three elements of the theory of planned behavior: perceived benefits, social norms, and perceived control (Fishbein & Ajzen, 2010). In Table 4.4 the interview questions are mapped to the three TPB elements.

Table 4.4

Interview Questions and Theory of Planned Behavior Elements

Question Numbers	Area of inquiry	TPB element
1, 2, 3, 13, 14, 15, 17, 28	Attitude towards behavior Likely outcome Benefit to individual, peer group or organization	Behavioral Belief
7, 8, 10, 11, 12, 22	Social considerations	Social Norm
19, 20, 21, 22, 23, 24, 28	Perceived ability to change behavior	Behavioral Control
6, 9, 25, 26, 27, 28, 29, 30	Perceived action or intention	Degree of Behavioral Change

Additionally, a fourth line of questions was intended to understand to what extent change occurred for the participants. Interviews with 26 participants occurred over a period of six weeks. Two interviews were not completed due to time constraints and were not used in the final data set. The demographics of the pool of interview participants is presented below in Table 4.5.

Table 4.5

Demographic Composition for Interview Pool

Demographic	Number	Percentage of Total
Level		
Supervisor	18	69%
Non-supervisor	7	26%
Hybrid	1	03%
Gender		
Female	16	61%
Male	10	16%
Race		
White	14	53%
Minority	7	26%
Unidentified	5	19%
Location		
North America	21	80%
Europe	1	03%
Africa	3	11%
UK	2	07%

After careful review of the audio recordings, interview transcripts were created manually by the primary researcher. The recordings were transcribed orthographically to capture the exact wording of questions and responses. Notations of a pause were added anywhere the interviewee needed time to answer a question; notations of laughter and emphasis on a word were also incorporated in the transcripts where appropriate. These were the only notations added by the primary researcher. There were no omissions to the final transcript with the exception of any personal information not deemed necessary to understanding meaning or relevancy to the study objectives.

Interview analysis, outlines. Once all transcripts were completed a sequenced thematic analysis (TA) began. The analysis embodied an essentialist orientation that intended to represent the meaning and experiences of the participants, with limited interpretation on the part of the primary researcher. The thematic analysis comprised 12 steps across the two phases of the study. In the first phase of the study, the first two essential steps were completed. The first step involved the primary researcher creating broad outlines from each transcript. The outlines for each interview were essentially the primary researcher's attempt to capture key comments, phrases, or expressions that were deemed important or relevant to behavior change. The outlines took form after multiple reads of each transcript. The process of outlining each transcript, along with a review of all outlines, highlighted certain statements and expressions from participants that were repeated multiple times. In the second step of the thematic analysis, the primary researcher consolidated all repetitions into an initial set of rough themes that were refined a number of times. The process provided the foundation for the creation of codes to be employed later in the thematic analysis. The rough themes that emerged from this early stage are listed below.

- Increased awareness created
- Participant expectation for follow up
- Lack of leadership modeling
- Limited discussion outside participants
- Reflections on bias and workshop exercises
- How to apply in day to day
- Desire for practice and experimentation
- Recruiting exercise impactful
- Personal experience
- Diversity and bias connection
- Bias at the agency exists
- Opportunity for differentiation in managing bias
- Age bias?
- Creative and recruiting processes application

First phase summary. The importance of the work in advance of the research team's first meeting cannot be overstated. The pre-work discussions, which took place over the course of 10 months, effectively laid the groundwork for a successful launch of the study.

The evaluation of the participant pool survey and preliminary theming from the interview outlines delivered an initial set of patterns to evaluate:

1. The stimulus event, the implicit bias workshop, increased the awareness levels of participants.
2. Participants indicated varying degrees of acting on learning that resulted from the workshop.

3. The interviews indicated some level of reflection before taking those actions.

As the thematic analysis progressed further, additional insight emerged in these three areas. However, the initial round of examination provided strong data to indicate the implicit bias workshop resulted in developing awareness for participants as well as some level of thoughtfulness about behaviors. Although the workshop had varying degrees of impact on individual awareness, all participants expressed some level of stimulation. This is supported by the strong positive response (98% agreement), a combination of *strongly agree* and *agree*, to questions one and two (1, 2) of the initial participant pool survey that asked specifically about awareness and reflection on behaviors. Interview responses provided additional evidence to this point. In interview question four, for example, participants were asked to provide three to five adjectives that best described the experience of attending the workshop. The most used adjectives by participants were *enlightening*, *thought provoking*, or *provocative and stimulating*. Responses to question five that asked about new learning, while indicating new learning in varying degrees, showed that attendees identified most new learning with regards to application. Question three built on this premise by asking participants to agree or disagree with the statement that they had identified behaviors that they might change to manage their bias or the bias of others. Over 80% either strongly agreed or agreed with the statement, indicating that most participants considered some degree of behavior change after the workshop. Conversely, when asked in question four if participants had made any *substantial* changes in the workplace, only 31% answered in the affirmative. This is noteworthy in that it suggests a break down between the high level of awareness stimulation created by the workshop, as indicated in the survey, and participants acting on that awareness. The use of the word *substantial* in the survey question may explain the lower affirmative response. However, interview responses are also informative on

this topic. When asked about behavior changes made since attending the workshop, all interview participants described some form of behavioral shifts; although most identified subtle changes, others were more visible. If one assumes that the content presented in the workshop stimulated these behavior shifts, then it raises the possibility that other factors influenced how participants eventually took action.

The data from the interviews shows that participants evaluated how the awareness created in the workshop might be relevant to workplace practices. A number of interview statements indicated the connection participants made between implicit bias and its impact on creative work, the life blood of an advertising agency. Some comments described how new behaviors would create positive outcomes for the agency, using phrases like “differentiator” and “competitive advantage” to depict outcomes. From these initial insights a visual model may be constructed that highlights these points. Figure 4.2 provides a visual model derived from this early analysis.

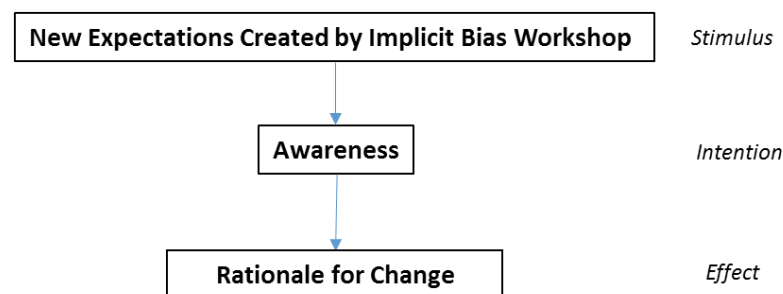


Figure 4.2. Thematic model of KCA study initial analysis.

The model depicts the anchor event (the implicit bias workshop) as the stimulus for a mental process that influences individual awareness for the participants, the intention of the workshop. This is described in the interviews as new learning, reflections on life experiences, and discoveries of personal bias as a result of participating in exercises from the workshop. I call the connection between this stimulus and how it applies to individual behaviors or the organization

the *rationale for change*, the effect of the increased awareness. The rationale for change represents the mental process undertaken by participants to decide what to do with their awareness. Examination of the outlines reveals behavior shifts described by the participants after the workshop, suggesting some were acting on their awareness. At this point in the analysis, however, it was still unclear to what extent, and what factors had influenced those actions.

Second phase of work. Phase two of the study incorporated three steps: launch of research team sponsored interventions, data collection from those interventions, and the further development of the thematic analysis. The phase two data collection associated with the interventions, specifically a post intervention survey and questionnaire, was inconclusive due to small sample size. The survey was sent to recipients after a Chief Executive Officer (CEO) message and learning aid and a facilitated dialog session. A supplemental questionnaire was also sent to a subset of the original participant pool. The data collection activities are included in the table below as part of phase two activities. The thematic analysis that began in phase one with the initial two steps continued throughout phase two. The details of phase two are shown in the summary below and discussed in detail as part of the overall analysis of the study data. Table 4.6 provides a table for a summary of the phase two activities.

Table 4.6
Detail of Phase Two Activities

Step	Focus Areas	Objectives	Time frame
Interventions	<ul style="list-style-type: none"> • Design Facilitated Dialog Group • Draft CEO communication • Design learning aid 	<ul style="list-style-type: none"> • Deliver two interventions that respond to feedback from phase one data 	3 weeks Two team meetings
Phase Two Data collection	<ul style="list-style-type: none"> • Intervention survey (inconclusive) • Intervention questionnaire (inconclusive) 	<ul style="list-style-type: none"> • Data on impact of interventions 	2 weeks
Phase Two Thematic Analysis	<ul style="list-style-type: none"> • Structured coding and themes • Validation by research team • Application of codes to all transcripts • Validation by outside researcher • Mapping of themes • Deep Dive session 	<ul style="list-style-type: none"> • Presentation of data the demonstrates intervention impact 	3 weeks

The analysis of the participant interviews which began during phase one continued through phase two, providing additional detail. Further review of the initial rough themes produced more concrete themes, which were eventually presented to the research team. The process of further refining the rough themes into presentation ready themes was straightforward. To the extent possible the rough themes were tested against the participant pool survey to determine if the survey provided additional support. The refined themes were constructed from repetitions that appeared in at least 20% of the interviews and surfaced at least five times. These conditions were set by the primary researcher after all of the repetitions were identified. Because interviewees expressed similar ideas in different ways, it was necessary for some interpretation on the part of the primary researcher when classifying segments into the same theme. However, the primary researcher was careful to ensure that similar key words were consistently represented in each theme and was supported by interviewees' context. For example, the rough theme of *desire for practice and experimentation* was refined into a presentation theme expressed as *participants expressed a willingness to practice skills necessary to mitigate implicit bias* because the words *practice*, or *skill* or *helpful* appeared in all but two transcript segments used to create the theme. Where these words did not appear, in this instance, the participant used specific examples like simulations and role plays as examples of practice. The first set of themes presented to the research team were as follows:

1. The IBW generally had a high impact on participant's awareness;
2. The implicit bias workshop (IBW) was viewed as valuable and positive;
3. Participants expressed the motivation to continue the learning journey;
4. Participants expressed the need for tangible guides, models, frameworks;
5. Participants had clear expectation of follow up to IBW;

6. Participants identified tangible examples of application (behavior change), including intangible examples of reflection and subtle behavior change;
7. The interviews indicated that there was limited leadership modeling new behaviors or communication about IB beyond the workshop;
8. Participants expressed a willingness to practice skills necessary to mitigate IB; and
9. Participants expressed a desire for safe opportunities to discuss IB.

Interventions: Design. The design of change interventions occurred over two meetings, with one session devoted to the discussion of data and the second focused on ideation, deciding on which options to pursue and timing for each experiment. From a list of six possible interventions, two were determined to best leverage the insights gained from the available data. The first intervention, a targeted communication from the chief executive officer of the company addressed to each participant individually thanked them for attendance at the workshop and reiterated an expectation for all implicit bias workshop (IBW) participants to apply the lessons from the training in their work. The email communication had an imbedded link to a learning aid that provided strategies for application. This intervention was designed to address the themes related to expectations (theme 5), leader application of lessons from the workshop (themes 6, 7), and the support provided to participants to help with translating the workshop content into action (themes 6, 8). The learning aid (Appendix C) was designed by the research team. It made use of agency branding and provided strategies for application using an acronym which helped make the content in the aid easy to remember.

The second intervention leveraged group creativity to produce application strategies. Its objective, like the first intervention, was selected as an additional mechanism to encourage application of learning (themes 3, 4), as well as to provide a safe venue to discuss the topic

(theme 9). The facilitated dialog session invited recent implicit bias workshop attendees to discuss their learning and brainstorm application ideas as a group. The ten implicit bias workshop (IBW) attendees completed the training within three months of the session. Five female and five male participants represented six functional areas of the business, ranging in level from a coordinator with no direct reports to a senior vice president and account manager with client account team responsibilities. The session was held over lunch and facilitated by the primary researcher and a member of the research team who acted as an observer. The group dialog produced 11 ideas in three areas of application: leadership behavior and practice, organizational processes, and ideas specifically related to inclusive team meeting practices.

Behavior and practice based intervention. The ideas ranged in scope from “individual behavior reminders” to new competency development. For example, one behavioral idea asked participants to consider, the discipline of taking a step back when conflict surfaced in a team meeting and to use conflict as the opportunity to invite more perspective rather than jumping in to resolve it. The idea here was to recognize the value of facilitation in the moment, that not everyone is comfortable arguing a point or confronting others and that those situations require good presence to step back and read the room. As the leader or team facilitator one should seek out those who may be less comfortable expressing themselves when conflict arises and work to provide multiple avenues for safe contribution.

Other suggestions referenced more subtle strategies to support behavior change (e.g., to identify a peer coach who would provide timely feedback on leader behaviors and interaction in a team meeting or with others). Additional suggestions included creating a behavior development plan that one would develop in conjunction with a diversity coach.

Process based intervention. Two of the process ideas directly focused on bias in decision-making. One of the suggestions involved use of a formalized 360-degree process as a gate for key decisions in the creative process. A second idea was the application of network mapping as a way to get to know decision maker preferences in an effort to raise awareness about those differences and to better understand how to be more inclusive of them. The idea was to use a standardized preference instrument on teams so that team members could better embrace difference. Although some of the ideas were not immediately actionable or relevant for all attendees, the dialog in generating the ideas provided value for all participants. The opportunity for a peer group to discuss their learning experience and explore possible concepts to address bias in the workplace acted to reinforce the workshop experience. During the session evaluation, one participant stated “having the chance to think about this issue with my peers who face the same team challenges as I do is encouraging and demonstrates how willing the agency is to support my learning.” One tangible unanticipated outcome from the session was the participants’ appreciation for the opportunity to network internally with co-workers whom they did not know. A request received after the session asked for additional opportunities to meet as a team in the future with a coach to discuss how the strategies identified during the session had worked. The commitment by the participants to experiment and use the strategies in their work area may have encouraged the desire to follow up with a future meeting.

Data collection. The phase two data collection utilized both quantitative and qualitative methods across three primary participant groups. The groups were segmented by participation in the dialog session, participation in an implicit bias workshop within three months (new participants) and participants previously interviewed, all of whom received the Chief Executive Officer’s (CEO’s) email and learning aid. The data collection in this phase of the study intended

to understand the impact of the interventions on the ability of participants to apply their learning as a result of the interventions. For ease of understanding Table 4.7 below provides details of the three groups and the data collection method applied to each group.

Table 4.7

Segmentation of Three Groups for Follow Up Data Collection, Method and Objective

Group	Data collection method	Objective
Facilitated Dialog Group	Survey and Questionnaire	Impact of intervention
Recent participants who received CEO communication and learning aid	Survey	Impact of CEO communication and learning aid on recent workshop attendees (-3 mo)
Initial pool participants who received CEO communication and learning aid	Survey and Questionnaire	Impact of CEO communication and learning aid on past workshop attendees (+ 3 mo- 1yr)

The results from these collection efforts were considered by the research team during the last analysis session; however due to the limitation of a small sample size for the survey and questionnaire, the data received from these sources was not significant for this study other than as a confirmatory element for existing data. The details for the intervention survey and questionnaire are provided in Appendix D and E.

Data Collection: Thematic analysis. The second and final phase of the thematic analysis occurred over the remaining three months of the study and refined the initial participant interview outlines and rough themes into more structured codes and themes. This work was instrumental in the final research team analysis session and the formation of additional interventions. The process used for the thematic analysis is detailed in Figure 4.3, showing each step and the associated activities.

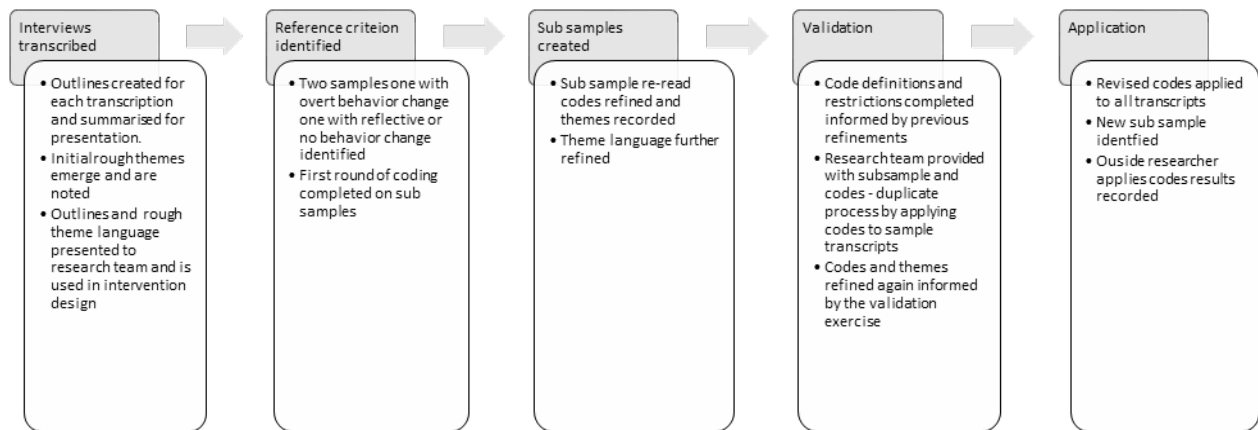


Figure 4.3. Thematic analysis detail steps and activities.

In the initial presentation of data to the research team, nine theme statements were introduced and evaluated as part of the discussion leading to the two interventions. Detailed coding of the transcripts began immediately after the presentation of the theme statements. Numerous refinements of the coding work and insights gained from a validation exercise with the research team produced six final codes that rolled up into four final themes. Table 4.8 shows the progression of themes to the final four.

Table 4.8

Theme Progression

Rough Themes	Presentation Themes	Final Themes
1. Increased awareness created	1. The IBW generally had a high impact on participant's awareness.	1. Readiness for change
2. Participant expectation for follow up	2. The IBW workshop was viewed as valuable and positive.	2. Sustaining factors for change
3. Lack of leadership modeling	3. Participants expressed the motivation to continue the learning journey.	3. Behavior Shifts
4. Limited discussion outside participants	4. Participants expressed the need for tangible guides, models, frameworks and removal of impediments.	4. Background and Barriers
5. Reflections on bias and workshop exercises	5. Participants had clear expectation of follow up to IBW.	
6. How to apply in day to day	6. Participants identified tangible examples of application (behavior change) including intangible examples of reflection and subtle behavior change.	
7. Desire for practice and experimentation	7. The interviews indicated that there was limited leadership modeling new behaviors or communication about IB beyond the workshop.	
8. Recruiting exercise impactful	8. Participants expressed a willingness to practice skills necessary to mitigate IB.	
9. Personal experience	9. Participants expressed a desire for safe opportunities to discuss IB.	
10. Diversity and bias connection		
11. Bias at the agency exists		
12. Opportunity for differentiation in managing bias		
13. Age bias?		
14. Creative and recruiting processes application		
15. Personal experience		
16. Industry norms and practices		
17. International differences		

Coding process. An in vivo coding approach was used for the thematic analysis to capture the literal expressions of the participants. It was not a discrete process as it may seem from the sequence represented in Figure 4.3 but an evolution of the original notes, outlines, and themes that began during the transcription process. From each interaction with the research team, each discussion, each re-read of the transcripts, additional thoughts or curiosities would occur that prompted more examination and a new way to look at the codes. The guidance relied on throughout the process was provided by (Boyatzis, 2010). The final revisions of the study codes and the creation of a code book was completed after the research team participated in a first-round validation of the codes. The final codes, which were used by an outside researcher as part of a reliability exercise, are provided in Appendix F.

Validation and final coding. A validation exercise was conducted in two steps. First, the research team was divided into two groups of four members. Each group was provided one transcript from one of the reference groups (Transcript A or Transcript B) and a set of codes with instructions. The group was asked to apply the codes to the transcript based on provided instructions. They were told that the primary researcher could not guide their work, nor could they work with anyone else on the team. The individual researcher was asked to return the coded transcript directly to the primary researcher within 10 days. In the second step, once all transcripts were received from the team members, the results were compared with the transcripts completed previously by the primary researcher to ascertain the frequency of matches between the two samples. In Table 4.9 below the percentages of matches between the primary researcher and research team are shown.

Table 4.9

Validation Exercise Percentage of Code Matches Between Research Team and Primary Researcher

Code	PR-A	Team-A	Match-A		PR-B	Team-B	Match-B		Total Matches	
Rationale for change	5	3	2	25%	3	10	3	23%	5	24%
Importance	6	13	6	35%	2	4	1	16%	7	30%
Expectation	0	1	0	0%	2	3	1	20%	1	16%
Awareness/Reflection	19	29	14	31%	6	13	5	26%	19	28%
Enablers	4	7	2	18%	12	17	7	24%	9	22%
Barriers	3	10	3	23%	17	21	11	29%	14	27%
Motivation	2	14	1	06%	2	2	1	25%	2	10%
Action	6	8	5	36%	1	4	1	20%	6	31%

Note. PR= primary researcher, Team= research team member, total matches = matched codes in both A&B samples. Matches were determined only if the team matched the code to the segment of the transcript that was used by the primary researcher for the same code.

The validation exercise identified instances of weak application for the codes of motivation and expectation. The low matching results and application instances resulted in eliminating these codes as insignificant or confusing.

The validation also highlighted frequency differences between interview A and B samples. For example, the primary researcher and research team applied the code barriers to change 13 times for interview sample A and 38 times for interview sample B; similarly, the combined application for awareness occurred 19 times for sample B but 48 times for sample A. Given that sample A represented overt behavior change and B reflective change, one might conclude that this early indicator suggests correlations between the perceived barriers and level of awareness with the type of behavior change. The application of revised codes for samples A and B are represented below: Table 4.10 provides a summary of the codes across all transcripts. Table 4.11 shows for subgroup A (overt change) and Table 4.12 subset B (reflective or no change) the instances that the codes were applied to the entire sample (total # instances), the frequency of application across all transcripts or how many transcripts from the sample the code appeared (transcript frequency), the minimum number and maximum number of that code on any one transcript (min—max), and the average application across the transcripts in the sample. These results theoretically show the strength or weakness of any code in the sub sample. In Table 4.10 a summary of codes is provided for both subgroups, in table 4.11 the code distribution detail for the overt behavior sub-group (A) is shown, and Table 4.12 shows detail for sub-group (B) reflective change.

Table 4.10

Thematic Code Summary by Sub-Group

	Total of Subset A (9 Transcripts)	Total of Subset B (15 Transcripts)	Avg. Instances (A)	Avg. Instances (B)
Rationale for change	16	30	1.7	2.0
Importance	14	24	1.4	1.6
Self-Awareness	80	66	8.8	4.4
Enablers	16	31	1.7	2.1
Barriers	14	44	1.4	2.9
Action steps	14	23	1.4	1.5

Note. Total of subset= total number of instances the code was used in all transcripts for the subset. Avg. Instances= average number of times that code appeared in each transcript in that subset.

Table 4.11

Code Distribution Detail for Sample A of Interviews Representing Overt Behavior Change

Subset A Interview#	#2	#9	#15	#16	#18	#20	#22	#23	#26	Total Inst.	% all cds	% Sample	Avg.	% of code
Rationale for change	1	2	4	1	1	3	2	1	1	16	3.9%	11.1%	1.7	34.7%
Importance	1	2	1	2	1	2	3	1	1	14	3.4%	9.7%	1.4	36.8%
Self- Awareness	7	10	9	9	12	9	11	9	4	80	19%	52.8%	8.8	54.7%
Enablers	2	2	1	3	1	2	4	0	1	16	3.9%	11.1%	1.7	34.0%
Barriers	2	3	0	4	1	1	1	1	1	14	3.4%	9.7%	1.4	24.1%
Action steps	2	1	1	2	2	1	1	2	2	14	3.4%	9.7%	1.4	37.8%

Note. Total Inst = total instances where code was applied, % all cds = the percentage of all codes in sample A&B (total instances divided by 408), % sample = the percent of the sample total (total instances divided by 144 for A), Avg. = average instances per interview, % of code = the percent of total instances divided by total instances in sample A&B for that code.

Table 4.12

Code Distribution for Sample B of Interviews Representing Reflective Behavior Change

Subset B Interview #	#1	#3	#4	#6	#7	#8	#10	#11	#12	#13	#14	#17	#19	#21	#24	Total Inst.	% all cds	% Sample	Avg.	% of code
Rationale for change	2	2	4	2	1	3	3	1	4	0	1	2	2	2	1	30	7.3%	13.0%	2.00	65.0%
Importance	2	4	1	3	2	1	1	1	1	1	4	1	1	1	0	24	5.8%	11.0%	1.60	63.1%
Self - Awareness	5	3	4	8	5	5	4	6	2	3	3	2	8	5	3	66	16.1%	30.2%	4.4	45.8%
Enablers	4	0	1	3	6	3	1	0	1	6	2	1	1	0	2	31	7.3%	14.2%	2.14	65.9%
Barriers	0	2	2	2	2	1	11	2	2	2	1	6	8	2	1	44	10.1%	20.1%	2.93	75.8%
Action steps	1	1	1	2	2	1	2	3	2	2	2	1	1	1	1	23	5.6%	10.5%	1.53	62.1%

Note. Total Inst = total instances where code was applied, % all cds = the percentage of all codes in sample A&B (total instances divided by 408), % sample = the percent of the sample total (total instances divided by 218 for B), Avg. = average instances per interview, % of code = the percent of total instances divided by the total instances in sample A&B for that code

If frequency of code application is reflective of the strength of the perception the code represents, then the code distribution in table 4.10 highlights the differences in how the participants in each sample perceive certain elements. For example, the code for awareness, represents instances where a participant described reflection or increased self-awareness related to bias, is prominent in both samples. In sample A, the code was applied 76 times or 18.7% of all codes for both samples, versus 64 times or 15.7% for sample B. This is remarkable given that sample A contained eight transcripts while sample B contained 14 (43%) more interviews. Awareness was the highest coded element in both samples; however, in sample A it represented over half of the codes versus less than a third of the codes applied in sample B. Similarly, there are notable differences in the application of enablers and barriers between the two samples. In sample B the code for barriers was applied 38 times or 18.5% of the sample. In sample A, the same code was applied 13 times or 9% of the sample. The results were similar for enablers. Based on frequency the coding results may suggest an increased emphasis on awareness by participants in sample A

and on barriers and enablers by participants in sample B. Does this increased emphasis correlate to actual awareness, or the perception of barriers, or something else? Although the results do not establish a direct relationship, they indicate a possible follow up line of inquiry for further analysis.

Once the revised codes were applied and scored across all transcripts, an outside researcher was asked to apply the codes to one randomly selected transcript from samples A and B to test the reliability of the codes. The outside researcher had no involvement in the study other than to participate in this activity. The results indicate validity from the first round of validation conducted with the research team. The results of the exercise are provided in Tables 4.13, 4.14, and 4.15.

Table 4.13

Outside Researcher Validation

Code	PR-A #2	Outside - A	Matched	Missed	PR-B #10	Outside -B	Matched	Missed
Rationale for change	1	1	1	0	2	1	1	1
Importance	2	2	2	0	1	1	1	0
Self-Awareness	7	9	7	2	12	14	11	3
Enablers	2	0	0	2	1	0	0	1
Barriers	1	1	1	0	1	0	0	1
Action steps	2	2	2	0	2	2	2	0
Total	15	15	13	4	19	18	15	6

Note. PR= primary researcher sample A and interview #. Outside= outside researcher

Table 4.14

Cohen's Kappa Results Code Reliability Sample A

Rater # 2(cl)								
Rater # 1(mv)	Rationale for change	Importance	Self-awareness	Enabler	Barrier	Action	No Code	Total
Rationale for Change	1 (.06)							1
Importance		2 (.33)	1					3
Self-Awareness			7 (4.2)					7
Enablers				0				0
Barriers			1		1 (.13)			2
Action steps						2 (.26)		2
Total	1	2	9	0	1	2		15
N. Cohens Kappa = .79								

Table 4.15

Cohen's Kappa Results Code Reliability Sample B

Rater # 2(cl)								
Rater # 1(mv)	Rationale for change	Importance	Self-awareness	Enabler	Barriers	Action	No Code	Total
Rationale for Change	1 (.05)							1
Importance		1 (.20)	1					2
Self-Awareness		1	12 (8.45)					13
Enablers				0				0
Barriers					2 (.20)			2
Action steps						2 (.20)		2
Total	1	2	13	0	2	2		20
N. Cohens Kappa = .82								

Creation of the final themes. The final step in the coding process provided the basis for the establishment of four final themes that were used for a thematic map. As previously mentioned, while the codes informed the progression of the final themes, numerous conversations and interactions with the team also played a role. The influence of the format of interview questions and the use of a theoretical framework also factored into the themes.

Theme one: Sustaining factors. This theme maps to participant's expectations, desire, and suggestions for follow up activities to support the implicit bias workshop (IBW) experience and learning. The statements associated with sustaining factors reflect the value participants saw in offering other ways to make the content presented in the IBW more relevant to their everyday work life. This theme emerged from statements by participants who experienced difficulty in translating the workshop experience and personal learning to the decision and interactions they faced each day. Participants often commented that the implicit nature of bias makes in the moment awareness about individual inclusivity almost impossible to see unless deficiencies are called out by others. These statements are expressions of what would be helpful, useful, or supportive in taking learning to the next level.

Theme two: Readiness for change. This theme maps to the participants internal meaning- making related to implicit bias and their life experience as it relates to change in general and behavior change specifically. The statements take the form of internal rationale, positive or negative, about the value of making an effort to manage implicit bias. The theme is associated with participant's expression of those thoughts centered on applying the lessons or content provided in the implicit bias workshop. This theme represents the "self-talk" or the "why" that participants describe when making an argument for or against change based on the awareness created by the implicit bias workshop. The theme is related to background factors however is differentiated by its connection with change.

Theme three: Shift in behavior. This theme is an expression of action on the part of the participant that results from the IBW experience. It is a description offered by the participant of anything she/he did differently to manage bias or be more inclusive. It represents any subtle or overt change in routine, practice, or behavior that the participant states he/she has made or

witnessed in others as a result of heightened awareness or reflections from the exercises or learning gained from the IBW. It is an action oriented statement that may be linked to reflection but results in actual steps taken by the participant, not considerations to take a step.

Theme four: Background and barriers. This theme maps to influencing elements expressed by participants that reflect identity. They may be expressions about lived experience, culture, gender, sexual orientation, or other factors that the participants point to as influencing how they think about changing behavior. They may relate to perceptions of psychological safety or personal challenge described as constraints. These expressions also may reflect the perceptions of impediments and barriers to moving forward. Although the theme is closely related to readiness for change, it is differentiated by its association with a factor of personality preference, perception or background that the participant refers to when discussing aspects of moving to action from awareness and less about a rationale to make change.

Phase two: The research team findings. The ten-month KCA study concluded with a second round of data analysis that the research team referred to as the “deep dive” meeting. This phase two session had one fundamental objective: to ascertain after evaluating all of the data if new knowledge had been created and to what extent it could be applied to addressing the team’s challenge statement “to enable and sustain desired behavior change associated with developing a more inclusive culture.” The session produced four learning points for the team:

1. Expectation for learning outcomes and application need to be clear for participants before they attend training. In particular leaders need to understand their role during a change effort to support deployment across the organization. The study suggested that regarding managing implicit bias leaders simply did not see themselves as responsible to transfer their personal learning to others on their team.

2. The interventions demonstrated the value of simple tools to move conceptual learning to practical application. The team took note of the positive feedback from individuals who received the Chief Executive Officer (CEO) memo and learning aid and concluded that in environments with many competing priorities visibility, repetitive and tangible aids enable immediate application.
3. Ensuring a safe environment for individuals to be vulnerable and practice learning is critical for leaders to develop the confidence to apply and share learning outside the functional expertise of the role.
4. Small things make a big difference. The research team noted that both interventions while small in scope and planned during two short meetings had a disproportionate impact on the willingness and ability of participants to change behavior.

From these learning points the research team identified follow up activities to support the ongoing culture change effort that they deemed deserving of further evaluation:

- creating strategies for ongoing reminders that support change effort expectations,
- ensuring inclusive strategies are highlighted and incorporated into the planning and design of future interventions,
- re-framing behavior change strategies to focus on inclusive practices rather than on fixing bad behaviors,
- focusing the design of interventions on specific areas of the business versus more generic ones, and
- ensuring clear leadership commitment and communication of expectations is reinforced at every level of the agency.

Further development of the thematic model. The detail work on the thematic analysis from the interviews and the limited use of results from data collected after the interventions provided additional insight for the thematic model in the KCA study. The coding data in particular highlighted additional reference points that help with understanding the paths participants followed to translate their awareness into action. The interview transcripts identified four distinguishable reference points that, while logical, are helpful to understanding how participants internalized the workshop content:

1. The workshop caused participants to assess the relevance of bias in their own life and as it related to the organization and industry.
2. All participants described some level of impact on personal behaviors.
3. There was a number of perceived barriers expressed by participants in both subgroups.
4. Participants expressed a desire for additional support for application of learning.

The four reference points are not particularly surprising given the topic; however, an evaluation of the frequency that the reference points appear coupled with details about how they were expressed in the interviews offers new perspective. For example, the addition of reference point one, adds context to rationale for change depicted in figure 4.4. The strength of the reference elements, using how often it was mentioned in interviews as a gauge, suggests that two potential threads of assessment occurred after awareness was created by the implicit bias workshop: an individual one and a system or organizational one. The relationship between the reference points and the formation of a rationale are shown as interdependent. The study did not measure what sequence of thinking actually occurs and only posits a relationship between these points. The three reference points and their relationships are depicted in Figure 4.4.

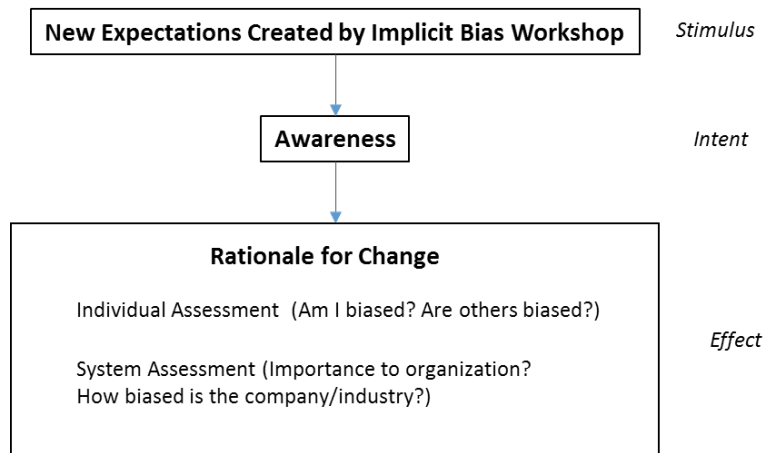


Figure 4.4. Thematic model with addition of reference points for rationale for change.

Although not present universally, many participants made reference to past experience when discussing these assessment reference point, suggesting that personal experience may be a background factor in how they view their own bias and its relevance for the agency. In almost all cases the inclusion of comments of past experience was offered as an explanation of why the perception existed. In one case when a self-identified homosexual participant reflected on a bias he discovered he had for other homosexuals (indicated by the implicit association test, IAT), he stated “I was surprised by the result (of the IAT) but understand it because of how I was raised. It totally makes sense when I think about my childhood”

When asked what changes a participant had made since the workshop, all participants identified themselves as doing something differently. The changes varied from overt and visible changes like changing a process, to subtle mental changes like those associated with mental pauses before making a decision. The distinction, while not absolute, allowed for the division of the participant pool into two subgroups: one for overt change and one representing reflective change. Adding the subgroups to the model provides an opportunity to examine differences in how each group moved to action from awareness. The addition of the two sub groups and a third associated with no change is reflected on the model in Figure 4.5

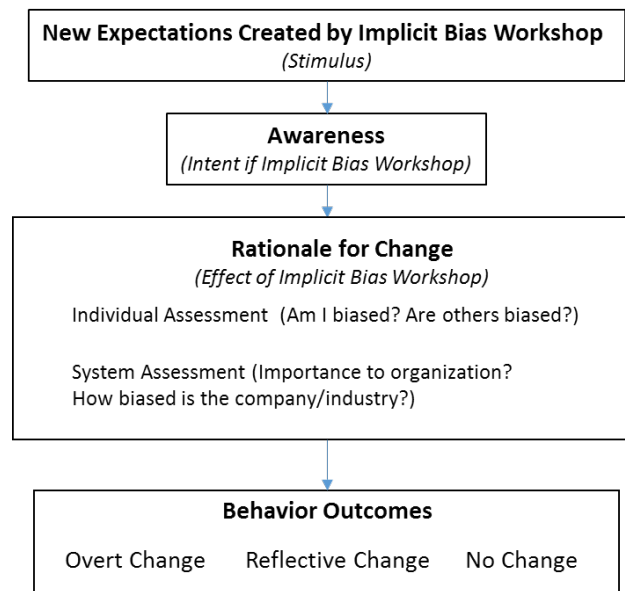


Figure 4.5. Thematic model showing rationale for change relational reference points.

The model reflects the two behavior reference points of overt change and reflective change as well as acknowledging the possibility that the reference points reflected by the participant pool in the interviews may not be representative of all employees, in particular, those employees who did not participate in the interviews and who may not have made any changes.

The final two reference points added to the thematic model, are related to one another but may be distinguished by the influence they have on the type of behavior change that participants described in their interviews. Barriers to change were expressed in many interviews as impediments. They took the form of obstacles that were perceived to be outside the control of the participant to change. For example, a number of interviewees mentioned the lack of safety to be able to have conversations about bias in the workplace. Another example referenced the challenges of thinking about bias in an environment of competing day-to-day priorities related to the operations of the business and creating client campaigns. Conversely, the reference point referred to as support for change had a more positive tone. It was offered by participants as a way to take the learning to the next level. A prominent example of a support expression was the

idea of practicing skills necessary to be more inclusive. It is easy to see how these elements could be reversed and turned from a barrier to a support element or vice versa, however those comments offered as positive suggestions were classified as expressions of support and those expressed as impediments were coded as barriers. In many conversations elements were difficult to separate, with both occurring in a number of the same interviews. However, a close examination of the interviews indicated a difference in the frequency for each code based on the sub group. This may suggest a link between the type of change a participant described and the perception the participant had of barriers or need for more support. At minimum, there is enough evidence provided by the frequency of these coded statements to include them on the thematic analysis model. Figure 4.6 incorporates these elements and places them between the rationale for change and elements of overt, reflective and no behavior change.

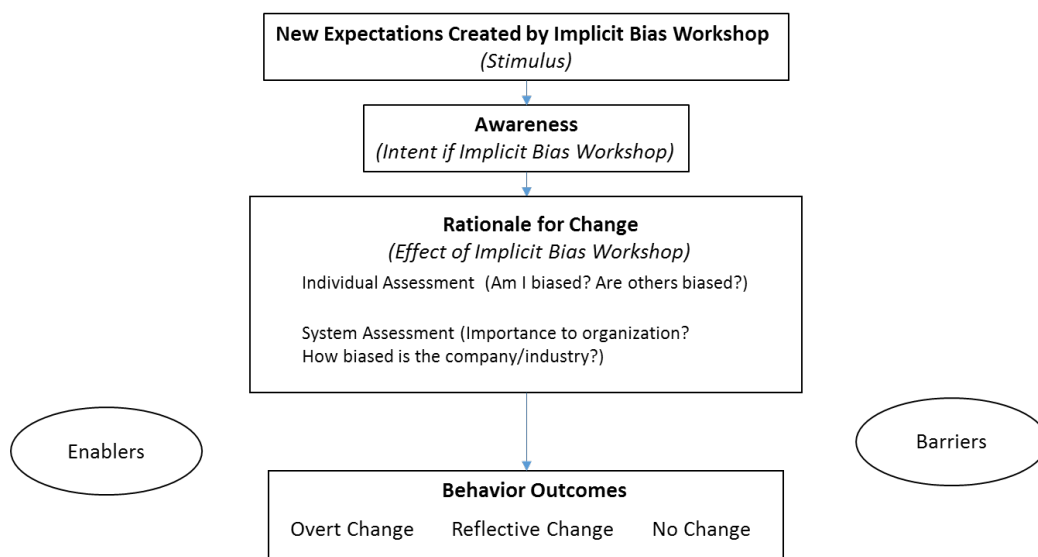


Figure 4.6. Thematic model including reference points of barriers and support.

The findings incorporated in the model depicted in Figure 4.6 provide elements necessary to answer the research questions posed in this study, what key elements influence leaders and non-

leaders to change behavior during an intentional change effort and what actions sustains the change efforts? The model highlights that participants assessed the impact of the requested change (managing implicit bias) for impact to the organization and relevance individually. The participants also signified that they were cognizant of barriers to making changes and looked for potential paths to support their behavior change. These enablers represent an opportunity to involve others in creating strategies as well as tangible ways to support learning and application in this case study. The model proposes that individuals are influenced to action through their assessment of the landscape and that organizational efforts to influence how participants view outcomes, working to address the perceptions of barriers and designing interventions that capture ideas by the organization to support and assist application of learning may represent key elements to sustain and promote behavior change. Specific to leaders, the organization can encourage application of new learning by facilitating opportunities for leaders at all levels to discuss and design their own strategies to shift behavior as well as providing opportunities for leader to practice new skills.

Chapter V: Discussion

This study opened with a description of the complex interrelationships among culture, leadership, behavior, and the organization's intentional efforts to change them. In many respects this research, like many other studies, represents a snapshot in time during KCA change effort. The segment of time devoted to this examination occurred at the beginning of a long culture change program for the agency and, as such, recognizes that the findings noted at the time of the data collection and analysis may, in fact, look very different if reported later in the program. The literature regarding culture change is consistent in its representation of the lengthy amount of time necessary to successfully shift organizational culture (Smith, 2003). The New United Motors Manufacturing Inc. (NUMMI) case study, clearly shows the time necessary to accomplish large scale culture change however, this case also provides an example of the interrelationship between culture change efforts and impact on behavior. NUMMI demonstrates how small changes in "how the work happens" can have more influence on behavior than trying to reshape mindset about the behavior (Shook, 2010). It is possible that segments of this study presented as inconclusive may need more time for new insights to emerge. Therefore, this discussion presents an initial pool of learning that the research team will hopefully leverage over the arc of the change program.

Addressing the Study Objectives and Research Questions

The KCA study incorporated integrated research questions and objectives centered on understanding how participants experienced the intentional efforts of the agency to change culture and behavior. In addition to generating collaborative learning between team and primary researcher, applying that learning to addressing the culture change efforts long term

sustainability was viewed as essential to the study's success. This section revisits these study questions and objective.

Although there are many background factors that influence behavior change, the study identified a number of factors that was prominent with leader and non-leader participants:

1. perceiving barriers,
2. understanding expectations
3. perceiving opportunities to enable development of new behaviors,
4. creating a rationale for change,
5. impacting personal connection and discovery and,
6. translating conceptual learning into actions that can be applied in the day-to-day challenges of the business.

While the study did not provide insight into which elements were most influential, these six elements were the most represented concepts provided by the study participants, all associated with their work unit environment. Additionally, some are also reflected in the literature. In a number of the change and culture models presented in the literature review, perceptions of workplace enablers and barriers are prominent. The Burke-Litwin model of change for example, identifies *work unit climate* as a prominent influencer of individual motivation to change (Burke, 2011). All of the six factors mentioned by the study participants are imbedded in and can be influenced by unit climate. In Latta's OC3 Model (2009), organizational culture is central and identified as a direct influence on change readiness. It is here that individuals assess cultural attributes that may be perceived as impediments to or enablers of change. Each is represented in the final thematic model and will be discussed in detail later in this section.

Leadership. A key aim for the research was understanding what elements influence a leader to change behavior during intentional change. The study identified two elements specific to leadership, expectations and perception of role during change. The KCA leaders who participated in this study were broadly defined as any individual with supervisory responsibility and as such incorporated a number of leadership levels. A demographic question in the participant pool survey and interviews allowed for segmentation by supervisor and non-supervisor; however, this segmentation did not provide any differentiated information between the groups. Two key points were relevant to leaders (supervisors) however:

1. Regarding expectations, it was not clear to what extent leaders understood what was expected of them after the implicit bias workshop. The interview question: Do you know what the agency expects from the workshop? Received mixed responses from all participants. The interview responses indicated limited leader follow-up or communication about bias with any of those leader's direct reports who attended the workshop or with the any one on the broader teams. The interviews indicated that while leaders generally thought they understood what inclusive behavior was either they did not believe it was necessary to discuss these behaviors after the workshop or they did not know how.
2. The hieratical culture of the agency may have created an expectation among leaders that the modeling of new behaviors would flow from the senior leadership at the top of the agency.

Both of the points listed above center on leader expectations although the second point, which resulted from a research team discussion on the topic, may provide understanding about how leaders at different levels perceived their role and expectations for themselves and the

leaders above them regarding demonstrating inclusive behavior. A series of questions from the interviews shed light on the issue of hierarchy. In the interview participants were asked, to what extent did your supervisor either change behavior or discuss bias with the department after attending the workshop? The responses generally described limited communications, mostly of a superficial nature, and limited change in behavior by most supervisors. In one interview the participant stated that he had not observed any change in his boss (who also attended the workshop), nor had he had any substantial conversations about it. This same supervisor participant, earlier in the interview had indicated that he had the expectation that leadership would model behavior as a way to move others to change behavior. When I asked him what action he had taken with his team, there was a long pause, and the supervisor confided that it had not occurred to him to talk to his team (most of whom had not attended the workshop) about bias. This struck me as an important thread after it surfaced in a second interview. In this interview, after a series of probes on the topic of expectations, the participant stated,

I don't know if we were supposed to pass on information about the workshop, it was so personal that I was kinda (sic) expecting some guidance or follow up on what to do. But now that you ask I suppose I could have at least talked about the topic with my team.
(B#7 Cd 2)

When discussing these threads, the research team suggested an explanation. That the hierarchical nature of the agency created an expectation by some leaders that change is supposed to originate from the top (senior leadership). This assumption suggested that lower level managers in the organization did not necessarily perceive themselves as change leaders. Instead, they appeared to be comfortable in a follower role, waiting for senior leadership higher in the organization chart to provide direction. The research team rationalized that in cases where the application for new learning existed outside of traditional areas of functional expertise the tendency to wait for guidance from above seemed to be accentuated. This may explain the disconnect between the

high level of importance placed on managing implicit bias in the workplace, the high degree of positive agreement related to understanding what behaviors need to change to be more inclusive and the lack of action to implement those perceptions in a practical and tangible way. The study shows that while participants could rationalize why the change was important, and thought they understood what behaviors to change they generally waited for “someone else to go first”.

Interestingly, the distinction in the role leaders see themselves playing during change, based on where they are in the hierarchy and their day-to-day responsibilities, is not unfounded and is noted in a number of theories and models in the literature. For example, Burke-Litwin clearly distinguished between leadership and management practices in their change model. It posited leadership to be associated with strategic movement, while management is task oriented and an influencer for systems, policy, and practices (Burke, 2011). This distinction is also evident in complexity leadership theory. According to Uhl-Bien and Marion (2009), leadership takes on three distinct activities: enabling, administrative, and adaptive. The administrative role which is described as “the actions of individuals in formal managerial roles who plan and coordinate activities” can vary by the hierarchical level but are bureaucratic in nature (Uhl-Bien; Marion & McKelvey 2007, p.306), akin to managing the day-to-day (Uhl-Bien & Marion, 2009). Other studies suggest distinctions between specific change competencies (Battilana et al., 2010), or behaviors (Higgs & Rowland, 2011). How individuals see their leader roles in relation to other leaders was clearly a factor in influencing behavior in the KCA study.

Sustainability of the effort. The sustainability of the change effort is captured as a research question an objective and is central to the challenge statement of the research team. Two data points surfaced during the study that are noteworthy and relevant to identifying ways to increase sustainability for a culture change effort focused on bias and inclusion. Both relate to

potential support mechanisms for learning after change awareness is created. The first is centered on the multiplying effect of establishing close connections with peers experiencing similar challenges with application of new learning. The second relates to providing creative practice opportunities that allow participants to shift classroom learning to everyday application.

In the KCA study, interview participants consistently mentioned opportunities for dialog about bias as a way to enhance its relevance in the day-to-day and over the long term. When describing the workshop experience, interview participants described how talking about bias related issues with peers established special connections that did not exist before the workshop. Words like *powerful* and *impactful* were used in a number of interviews. The perceived impact of shared interaction with peers finds support in the theory of planned behavior and the complexity theory. In both theories, social network and interaction are featured prominently as key elements of change. In the KCA study it emerged that shared interaction created a vulnerability among colleagues. One participant described the experience by stating that she had never seen her coworkers the way they “showed up” in the workshop. The participant went on to say:

This was a bit of a game changer for me. I never realized (name) felt that way before and now I will see (name) differently. We work together on a number of projects and now I will have a different way of relating. (A #11 cd4)

Others referenced the image of a supervisor being vulnerable in the workshop. For example, one person stated, “It made my boss seem like a real person for a short time; I had not seen her through that lens before” (A36 cd3). The participant also stated that she couldn’t help but be affected by this new view of her supervisor. Though not universally expressed in the interviews, when participants did mention vulnerability and self-reflection on the part of others, it was presented with a different tone, one with more emotion than other more prevalent statements about the workshop experience. It was clear for participants who noted this aspect of their

experience that it held important meaning and impact for them. Could enabling opportunities for shared personal reflection with teams and leaders form different types of connections and a path to differentiate this type of learning and change? While the study does not provide representative data on this question, a couple of participants noted that this aspect of the workshop distinguished it from much of the other training they had received.

A related second point identified by participants centered on practice as a way to sustain learning and support change expectations. These expressions highlighted the desire to take conceptual content to a safe environment supported by a subject matter expert for experimentation. Participants identified simulations and role plays with coaches as possible options. In particular, six interview outlines underscored the difficulty of identifying biased behaviors as a challenge for supervisors. A representative segment in an interview makes the point:

The struggle with these questions, is recognizing my own ability or inability to identify bias. When we went through the training the scenarios were not terribly personal. I don't think I would have any problem adapting and changing, I think where the opportunity is for somebody like myself is to become more acutely aware and to be able to identify situations like that efficiently so that I can act and modify my behavior or the behavior of others. (B#12 cd2)

This quote from a supervisor highlights the challenge on two levels: at an individual level, seeing biased behaviors in oneself and then as a supervisor, seeing it in others and having the wherewithal to address it in an efficient and inclusive way. Not surprisingly, with the exception of overt prejudice (rising to the level of outright discrimination), most participants expressed far more willingness to shift their own behavior, than they were to address biased behavior in others.

Key Factors Influencing Behavior Change

What are the factors that influence behavior change for both leaders and non-leaders?

The study data and analysis highlights factors that participants identified as key steps on their

path to behavior change. Participants consistently identified the learning impact of the workshop, perceptions about the value managing implicit bias, perceived barriers and opportunities for additional follow up support or enablers, as influencing their path to behavior change. Therefore, we know that, both leader and non-leader:

1. acknowledged increased awareness about bias and personal learning;
2. rationalized how implicit bias related to themselves and the organization;
3. expressed a willingness to identify other enablers to help foster application;
4. perceived barriers that prevented change; and
5. claimed to take some form of action after the workshop, to manage bias.

This insight allows for the completion of a model of change. In figure 5.1 the KCA model depicts each of the steps identified by the study participants.

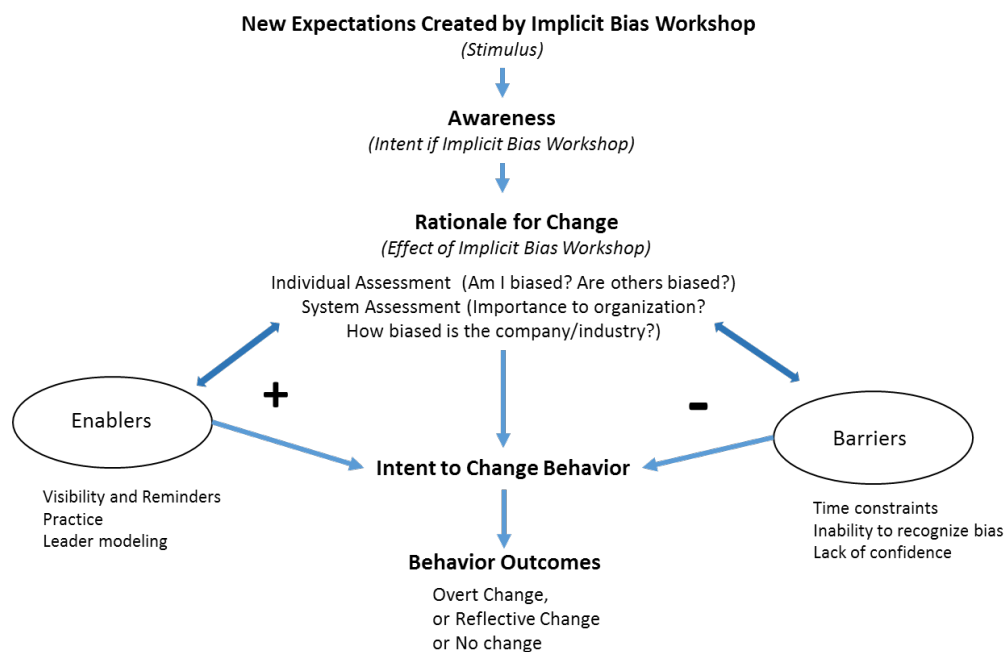


Figure 5.1. Thematic model linking behavior with rationale for change.

Figure 5.1 represents the progression of study participants from the awareness created by the implicit bias workshop through to behavioral outcomes. It is theorized from the data that participant awareness was stimulated and followed the workshop which then led to a cognitive process of reflection on the “case” for change, or the participant’s rationale for change. Once the participant began this process the model highlights the key interrelationship between the rationale for change and how participants viewed barriers and enablers. The bi-directional nature of the relationship, shown in two way arrows indicate that the element influence each other and may be part of the same process. Most participants in the KCA study identified barriers and enablers as a part of their overall consideration before acting and used distinctive language differentiating how they viewed these two elements. Participants indicated that they viewed additional support as an enabler for behavior change while suggesting the relative constraining effect of barriers. For both elements consistent examples surfaced in the interviews that provided context. For example, when describing barriers, the lack of time was often mentioned, for enablers practice was a consistent suggestion. As such enablers are shown with a positive sign in the model and barriers are shown with a negative sign denoting the influence each has on the intention to change behavior along with some common examples for each. Although many other factors may explain why certain behavioral outcomes occurred these elements represented in the model denote those consistently expressed by participants as *most* influential. They are discussed in more detail in the following section.

Awareness and a Rationale for Change

The work of Armenakis (1993) posits that two beliefs are key to change readiness. According to the authors, the belief that there is a need for the change and the belief that there is

the capacity in the organization to make the change happen, influence individual readiness. This is consistent with the theory of planned behavior (TPB) that also uses beliefs about the outcome of change and the value the change will have on the organization as one key elements in forming the intention to undertake behavior change. Both of these lines of work suggest that individuals actively evaluate the pros and cons of making a change after they become aware of a new change request.

The data in the KCA study provides strong evidence that the implicit bias workshop influenced participant awareness and that they evaluated how more inclusive behavior might impact the organization and work product. In participant interviews, coded statements segments associated with awareness represented 35% of all codes and appeared more often than any other coded statement (see Table 5.1). The thematic analysis also highlighted a higher incidence of the codes for awareness in the sub group representing overt behavior change than in reflective change, suggesting these groups developed awareness differently. In many conversations reflections about awareness were coupled with stories of personal experience. A number of participants referred to their upbringing or environment when discussing awareness related to bias. While the interview questions approached the concept of awareness indirectly, the initial participant pool survey asked about awareness directly. The survey asked participants to what extent they agreed with the statement: The implicit bias workshop increased my awareness about how bias may show up in the workplace, as well as asking for agreement to the statement using reflection as the subject. It asked, “As a result of the implicit bias workshop I have reflected on my behaviors in the workplace.” Positive response rates (the combination of strongly agree and agree) for awareness were 98% and for reflection 86%.

In interviews participants discussed their new awareness and how it related to the organization. Along with new learning about their own biases, they often identified opportunities to leverage the learning across the organization to differentiate agency practices. Their comments were framed in aspirations for the agency or to improve on some challenge in the industry. Participants used phrases like “it’s the right thing to do” or “it could be a differentiator for the agency” as a way to rationalize the connections between the effort to manage bias and its possible outcomes. A number of the participants could clearly see the link between managing implicit bias and creativity in the workplace. These expressions along with other examples provide support for the conscious effort by participants to assess potential outcomes and the value of those outcomes.

Enabler and Barriers

The perception of how much support is available to the change recipients to shift behaviors was a key element in their motivation to take action. The assessment about the level of support available also factored into the overall evaluation of individual efficacy (Armenakis, 2011). The expression of specific opportunities for additional support and the identification of potential barriers indicate that interview participants considered the change landscape in relation to their expectations and prior experience with the organization before taking some form of action.

In their interviews, participants referenced explicit barriers and opportunities to provide additional support as opposed to generalizations. When coding was completed, the frequency with which these factors were mentioned became apparent. It also highlighted a potential difference in how these factors are perceived by those who made overt behavior change and those who described more reflective changes. Expressions of barriers and enablers were much

more prevalent in the sub group identified with reflective change than it was with participants who claimed that they had made overt change as a result of the workshop. The coding associated with barriers appeared roughly three times more often and enablers twice as often in the reflective grouping compared with the overt group transcripts. There was no distinguishable difference between supervisors and members or between male or female participants.

Intent to Change Behavior and Outcomes

The behavior changes described by participants took the form of actions that were clearly visible to others, like changing a process to increase participation in a decision, at one end of the spectrum, to actions that were more reflective in nature, like taking mental pauses before speaking at a meeting. These overt and reflective actions appeared to be self-initiated as there was no incentive offered by the agency for taking the steps or repercussion if a participant did nothing after the workshop. It is possible that some participants went straight to changes without any rationale; however, what is known from the interview data is that all participants described some level of evaluation following the workshop, with some clearly referencing the reasons for their change.

Application of the Theory of Planned Behavior

The theory of planned behavior (TPB) provides a useful framework to further interpret the KCA study findings. TPB identifies three key elements that are proximal to the formation of an intention to change behavior. The theory lies on the premise that “the *stronger* the intention, the more likely it is that the behavior will be carried out” (Fishbein & Ajzen, 2010 p. 21). It posits these three elements: behavioral beliefs, which are the attitudes that are formed about the behavior; normative beliefs, which are our perception about the social network and how they view the behavior; and our control belief, which is the perception we have about our ability to

perform the new behavior. All work in combination to form intention. In later versions of the model the authors acknowledge the influence that background factors have on these elements. These background factors represent things like personality, education, culture, media etc. It is noteworthy that included in these background elements is a factor the authors label as intervention (Fishbein & Ajzen, 2010, p. 22). The more positive the three elements are perceived by an individual, the stronger the level of intention that forms and the higher degree of probability that it leads to actual behavior change. Stated in its simplest form:

People are said to perform a behavior because they intend to do so, they have the requisite skills and abilities, and there are no environmental constraints to prevent them from carrying out their intentions (i.e., they have favorable intentions and actual behavioral control. (Fishbein & Ajzen, 2010, p. 21)

When the theory is used to interpret the findings from the KCA study, it adds a new perspective towards understanding the transition from awareness of a need to change behavior to the actual act. These will be explored by factor to better examine the issues in each area.

Behavioral beliefs. Behavioral beliefs comprise two ingredients that result in the formation of an attitude about the behavior. First is the perceived belief about performing the behavior, which is weighted by the second ingredient: that is, evaluations of outcomes, positive or negative. Theoretically, a person who perceives performance of the behavior as positive and has positive beliefs about the outcome, if the behavior is performed, will have formed a positive attitude about the behavior. The KCA study measured both the participant's likelihood to change behavior to be more inclusive as well as asking about perceptions related to the outcomes and value (importance) of inclusive behaviors to the organization. In both areas participants uniformly expressed positive sentiments about outcomes and a high degree of likelihood to change behavior if necessary to develop a more inclusive culture. The thematic analysis codes used for importance to the organization and rationale for change appeared often across interview

transcripts; they appeared an average of 2.2 times for each interview versus an overall average of 1.7 for all codes combined. Additionally, when referring to behavior change in the context of the value on work processes and product, most participants could articulate a clear relationship between managing bias in the workplace and the downstream positive impact on advertising campaigns.

One area of further exploration for this element is related to the specificity of behavior. Said differently, how well do participants understand what the desired behavior is? It is one thing to ask an individual to form an attitude about something specific like exercising at a gym three times a week for 40 minutes but quite another to ask an individual to evaluate and form a belief about a behavior to manage bias and be more inclusive. Generally speaking, an evaluation of behavior requires four elements: (a) the specific action to be performed, (b) the target at which the action is directed, (c) the context where it will be performed, and (d) the time frame to perform it (Fishbein & Ajzen 2010). To the extent that any of these components are unclear, it diminished the perception's accuracy. So the key question is how well did KCA participants understand what managing bias would require regarding changed behaviors? The responses to two survey questions are useful to consider on this point. In the initial participant pool survey individuals were asked to indicate the extent of agreement with the statement "As a result of the implicit bias workshop, I have identified behaviors that I might change to be more inclusive." Of 83 supervisors, 13 strongly agreed and 55 agreed with the statement, representing an 83% positive response rate. Individual contributors similarly responded with strong agreement. Of 30 respondents 4 strongly agreed and 19 agreed, representing an 84% positive rate. In a second intervention survey (results available in appendix D) administered in phase two of the study, when participants were asked for the level of agreement with the statements: "I know what the

agency expects of me regarding inclusive behaviors” and “I know what actions to take to be more inclusive,” a high positive response was provided for both questions. This survey sample was too small to be significant other than to provide confirmatory data to the participant pool survey results and interview results.

The interview asked a series of questions that indirectly probed to understand how clear participants could describe a specific behavior to change to manage bias. Two sets of questions focus on different aspects of behavior clarity. The first set of questions focused on the perceptions of what behaviors the interviewees thought they would have to change to manage bias; the other line focused on what the interviewee saw as behaviors others would have to change to manage bias. The questions were designed to ascertain if participants had a specific behavior or behaviors in mind when considering what to change or were unsure and could not visualize a specific behavior to change. Responses to the question on the topic of specificity suggest more clarity related to themselves as opposed to behaviors others would change. For example, when asked, “What would others have to do to mitigate negative effects of bias,” the responses were generally unsure. This is amplified by responses to the question “Do you think your co-workers know how to make these changes (behaviors to mitigate negative effects of bias); most responded that while embracing the importance of developing the behaviors to manage bias, co-workers would need help to change their behaviors.

Subjective norms. This factor relates to perceptions about social network and also incorporates two elements: the beliefs about how others view the behavior, positive or negative, and the motivations to comply with the beliefs perceived to be held by the individual’s social network. In essence this is an evaluation of what others who are important to me think about my performing the new behavior, and do I care about what others think or “the social pressure to

perform or not to perform the behavior” (Fishbein & Ajzen, 2010, p. 130). Interview responses to a series of questions asking for perceptions about peers in the organization provide some insight on how strongly participants consider their social network with regards to changing behavior to manage bias or to be more inclusive. The questions ask participants what they hope others (co-workers) would take away from the training, what actions others have taken, what conversation they have had with others regarding bias or the workshop, what would be required for co-workers to make changes to their behavior, and who would be most influential to their behavior change? The series of questions was designed to understand the extent to which participants were aware of the actions of others, their perceptions about what others think about behaviors to manage bias, and with whom they would feel most comfortable discussing bias or most influential to changing behavior. Responses in this area were generally inconclusive. For example, most respondents struggled to answer what others would have to do to change behaviors and stated that managing bias would likely require different things for different individuals. When probed about relationships in the organization, it was clear that peers and close friends were prominent in influence, but the responses were diverse, some mentioning family or boss and some indicating it really didn’t factor into their thinking.

Perceived control. Control is deemed a key factor in moving from behavior intention to action. Perceived control is a complex concept that comprises a diversity of definitions and constructs (Skinner, 1996). In the theory of planned behavior, the definition of perceived control is heavily influenced by social cognitive theory and the concept of self-efficacy, which is centered on cognitive regulation of motivation, affect, and action (Bandura, 1997). According to Bandura (1997) “perceived self-efficacy refers to the belief in one’s capability to organize and execute courses of action required to produce given attainments” (p. 3).

Perceived control in theory of planned behavior (TPB) “takes into account the availability of information, skills, opportunities and other resources required to perform the behavior as well as possible barriers or obstacles that they may have to overcome” (Fishbein & Ajzen, 2010, p. 155). It encompasses two concepts, the individual’s motivation and perceived ability to perform the behavior. Perceived control may be an independent determinant of behavioral intention, in that without a positive perception of control an individual may not act on intention to change behavior even if the individual possessed positive behavioral beliefs and there was social pressure to do so. According to the authors:

A person’s perception of control over behavioral performance, together with intention is expected to have a direct effect on behavior, particularly when perceived control is an accurate assessment of actual control over the behavior and when volitional control is high. (Fishbein & Ajzen, 2010, p. 156)

Given the aforementioned challenges with managing implicit bias in the workplace, understanding how participants in this study view their behavioral control is essential to understanding the potential for them to change behavior in this context. Interview questions posed to participants to examine their perceptions of control followed three lines of inquiry: first, indirectly, by probing what they may have considered but had not acted on and why; secondly, by asking generally if implicit bias can be managed and if they believed coworkers were capable of changing their behavior to manage bias; and third, the last line of questioning was more direct and asked participants about the barriers they saw to their own behavior change and how likely they would be to change behavior in the near term future. These lines of questioning attempted to determine how participants viewed their own paths to behavior change as well as that of their peers. The thematic analysis coding is instructive for this element and highlights three data points that have relevance:

1. how often barriers were mentioned during the interviews versus all other distinguishable elements,
2. the differences in how each reference group perceived barriers, and
3. the perceived lack of know how (regarding behavior change) expressed in many statements.

The codes for statements associated with barriers were the most coded segments in the interviews with the exception of the use of codes to depict statements of awareness. The thematic analysis codes associated with barriers appeared an average of 2.4 times in each transcript as opposed to roughly six references to awareness. Interestingly, as has already been noted, when examining the codes by sub group, barriers appeared 3.1 times per transcript in sub group b (reflective change) versus 4.4 for awareness (table 4.12), and in subgroup A (overt change) barriers averaged 1.4 and awareness 8.8 times in each transcript (table 4.11). This shows an apparent relationship between the level of awareness and perceived barrier in these samples. For the group representing more overt actions according to the coding the level of awareness is increased, and barriers decreased, creating a greater gap in instances per transcript than in the reflective group. Table 4.10 presents this relationship visually.

The thematic analysis provides a way to measure the frequency of the references to barriers in the transcripts. The examination of the types of barriers mentioned was less clarifying; however, a number of smaller themes within this area are noteworthy. When describing barriers, participants most often referred to:

1. time constraints and the competing priorities associated with the business,
2. lack of confidence in addressing bias in others (how to address issues in the moment),
and

3. knowing when bias exists.

Other Factors

In most of the theoretical models that focus on change, there is an acknowledgement of additional factors that influence the change process, behavior, or leadership. For example, in the theory of planned behavior the authors state the importance of background factors:

We saw that according to our Reasoned Action approach the majority of predictors of intention and actions that follow reasonably from-and can be understood in terms of behavioral, normative, and control beliefs. This approach however, does not address the origins of those beliefs. Clearly a multitude of variables could potentially influence the beliefs people hold. . . . Our model of behavioral prediction recognizes the potential importance of such background factors. (Fishbein & Ajzen, 2010, p. 24)

Although described differently in the literature on culture some authors describe attributes of culture that exist and indirectly influence behavior, for example, artifacts that influence meaning-making in a culture (Schein, 1990) or dominant, emergent or residual attributes of culture (Bryson, 2008). In a prominent model of change, some of these background factors are incorporated into the work setting. Robertson, in his model of the dynamics of planned organizational change, identifies social factors, organizing arrangements, technology, and physical setting as part of the factors that directly influence individual behavior during change (Robertson, Roberts, & Porras, 1993, p. 621), and the recognition of context is foundational in systems and complexity change theory (Marion 1999).

This small sample of background factors referenced here provides context for some of the information obtained in the interviews. The identification of barriers, understanding of expectations for application of workshop learning, perception of leadership responsibility to share learning, and clarity of behaviors requested are all elements expressed in the interviews that relate to these background factors and their relationship with organizational culture.

Finally, how individuals in this study rationalized the need to take action on the awareness created by the implicit bias workshop may also result from a number of background factors that relate to organizational culture. For example, although the interview asked questions related to the importance of managing implicit bias as a way to understand beliefs about outcomes, it did not uncover the perceptions of participants related to their confidence in leadership's vision or their perception of senior leadership ability to make the change happen. The literature related to change supportive behaviors identifies a number of these considerations as potential additional factors influencing an individual's motivation to embrace or resist behavior change (Armenakis & Harris, 2009).

Conclusions

The thematic model presented in this study attempts to depict the cognitive progression of steps taken by KCA participants from a point when awareness is created through action. While the study provided evidence that certain factors were present for the participants of the study, it did not provide definitive insights into the relationships that exist between those factors, or if they are the only ones that influenced the progression of awareness to action. The limitations in the study leave a number of unanswered questions. Two important variables still unaccounted for, that were intended in the research objectives, relate to how background factors and leadership influence this progression.

Potential new lines of inquiry have been identified in this study. One line of inquiry, created as a result of research team dialog, is understanding how differences in levels of responsibility in an organization influence how leaders perceive their roles in advancing a change initiative, especially where there is an expectation that the leader model new behaviors. This line questions how individuals up and down the organizational chart define their role in

leading change during an organizational effort. Specific to culture change and diversity, another line of inquiry encompasses the extent to which background factors play a role in behavior change and inhibit or promote sustainability of the effort. Also related to the subject of diversity, but focused on bias, is a nuanced line of inquiry that surfaced in a number of participant interviews. The line of inquiry is focused on the connection participants made between the level of diversity in a system (on a team, in a department, in a family etc.) and the need for managing bias. The line asks the question: To what extent does exposure to a high degree of diversity negate or reinforce the need for practices that mitigate bias, or what relationship exists between levels of diversity and levels of bias?

Although many of the relationships among the factors identified in the study remain unclear, the effort does help answer the original challenge statement related to sustaining desired behavior to develop an inclusive culture. As such, these six recommendations are offered:

1. Set clear expectations and reinforce the case for change on a regular basis. Use different communication mechanisms, target it for each level of responsibility, and ensure the message is consistent among senior leadership.
2. Provide safe opportunities to practice skills when new behaviors are expected.
3. Utilize participatory practices as a way to foster application for change. Provide opportunities for individuals to develop their own strategies to apply new learning. The encouragement of small changes in work practice can yield shift in behavior without trying to convince resisters of the need for application.
4. Provide constant reminders for key components of the change effort to keep it visible.
5. Foster an environment where experimentation is encouraged. This will inspire risk-taking and promote self-initiation.

6. Design efficient ways to collect information from the organization on the challenges that surface during the change effort. Armed with the information, targeted interventions can be deployed to manage barriers and support learning.

Reflections on PAR

Participatory action research (PAR) in an organizational setting is a challenging but rewarding proposition. In one sense, the investment necessary to establish the relationships required for a PAR to work effectively is extensive, but the insight gained from local participants provides an invaluable component to the process and an element that would be hard to duplicate outside of this approach. The collaboration between research team and primary researcher in a participatory action research project is unique. This study had many unanticipated turns and adjustments that at times slowed the project or was cause for concern about its workability. As the primary researcher, armed with a thoughtful research plan, it became necessary to step back and be willing to allow the team to play the role of conductor. I realized that to foreclose opportunities for team members to seize and contribute as leaders of the study would frustrate a primary aim of PAR, to create new knowledge. I leave the KCA study with much more than I started with and a renewed appreciation for the value of PAR in an organizational setting during a change effort. My reflections on the experience have produced key learnings that in some regards are personal in nature; however, they may be useful for others attempting a PAR project and, as such, I believe are worthy of sharing.

1. Relationships are essential to successful learning in a PAR study. The relationships must be bounded in mutuality of opportunity for learning, problem solving and exploration. In the KCA study the key sponsors brought as much curiosity to the study as I did.

2. The problem statement is the anchor for study; when inevitable conflicts and diversions in the study emerge, they must be evaluated against the ability to address the problem statement. I used the original problem statement as a way to validate the teams, investment, direction and engagement.
3. Every voice must be given an opportunity to be heard. As in any team some voices prevail over others. The primary researcher in an organizational PAR must be willing to take the time to find multiple paths for contribution by the team members.
4. The primary researcher role is in service to the research team objectives.
5. Invite curiosity again and again.
6. Timing is everything; there will be inevitable tensions in a PAR. Constant feedback from the team is essential to resolve these tensions. The primary researcher cannot solve them alone.

Going into the study, I underestimated the time investment required to develop the relationships necessary for the project to thrive. In retrospect, the investment established a space of trust that allowed the research team to be creative and fully engage in the research process. Unless the primary researcher is internal to the organization where the research is being conducted, an outsider needs to create time to understand the organizational context before a study begins. For example, understanding the rhythms of advertising environments turned out to be essential to fully grasp certain nuances of team analysis and the narrative of those who participated in the interviews.

A researcher with a well devised study plan can miss opportunities for others to step into a leadership role. In moments where shared leadership is exercised, novel ideas and insights are likely to emerge. Allowing all voices to be heard, however, proved to be challenging with a team

that comprised so many different disciplines and levels. As the primary researcher, reading the interplay among the team members effectively and ensuring everyone had the opportunity to contribute was a large task. Throughout the process I found that allowing the energy and curiosity of the team to prevail over timeline and sequence led to a more engaged discussion. As the primary researcher the question: “How does this help address our challenge statement?” served as the anchor to keep team activities centered and focused and encourage the quieter members to contribute.

Related to the above points is a lesson about timing. There is an inherent tension with participatory action research (PAR) in an organizational setting that centers on the need to let knowledge emerge in its own time but within the realistic attention span of organizational life. This is an area where understanding context is valuable. Also, the primary researcher needs to be sensitive to study fatigue in a PAR. Its iterative nature can present challenges to the focus and patience required for knowledge generation. Conversely, the PAR process has to fit within the constraints and pace of the organization where the study is being conducted. Missing signals of team fatigue or the natural impulse to reach conclusion before analysis may detract from the study’s effectiveness in addressing the issue(s) of focus.

It is hard to convey all considerations that went into the study and occurred during the course of the team meetings. However, as the primary researcher I worked to ensure three principles throughout the work.

1. Respect the team process and listen for cues of curiosity and engagement.
2. Be flexible and maintain a laser focus on shared objectives.
3. Be vigilant to opportunities for learning and knowledge creation.

Limitations

A number of limitations should be noted in the KCA study. First, it is a study conducted in an organization with unique cultural attributes during a change effort with a unique set of objectives. Its reliance on collecting data from a participant pool made up of employees who voluntarily attended the implicit bias workshop may not be representative of all employees at KCA. The study acknowledges that those participants may have been more open and possessed a positive bias towards the value of the content as evidenced by their choice to attend. The sample size from which all of the data was presented in this study is confined to no more than 50 participants who attended the workshop during a period of 10 months and is a small sample of the entire organization of over 2,000 employees. The data from all sources was derived from the self-assessments and perceptions of participants. To the extent possible this data was critically examined by the research team; however, the data is subject to normal self-assessment bias. Although there are a number of insights and lessons that are presented in this study, it is necessarily limited by the specificity of the context, content, and environment. Finally, although there are many advantages to using an inside team of researchers to assist with the study, it is acknowledged that the research team's knowledge of research methodology was limited at the start of the project which may be seen as a limitation to the quality of the analysis to which the team contributed.

Final Thoughts

The KCA study was conducted at a time when bias dominated the news media and was featured prominently in new research.⁴ In particular, implicit bias—the focus of the KCA study—has become the emphasis for many organizations attempting to improve leadership decision-

⁴ For a comprehensive annual summary of research on Implicit Bias see *State of the Science: Implicit Bias Review* www.kirwaninstitute.osu.edu

making, the recruitment of talent, and spontaneous innovation. The attention, in part, is an acknowledgement of the changing dynamics of a global workforce and the competition to acquire and retain talent in a knowledge-oriented marketplace. It is also the result of a larger dialog about issues related to inclusion in our society. Within organizations, the challenges associated with managing the negative impacts of bias reflect a number of tensions. First, implicit bias, by its very nature, is difficult to identify at the individual level. As one study participant commented in their interview, “I need to have someone call out my bad behavior to know what I’m doing wrong.” Another challenge is overcoming multiple levels of evaluation and action. For example, consider the leader who is tasked with supporting a change effort to identify and manage implicit bias. That leader must first evaluate the extent to which their behaviors are at odds with the desired attitudes, determine how to change them, assess the actions of team members, and then provide guidance that will enable others to shift behavior. The organization in turn must support these efforts and remove barriers, while balancing the culture change effort with other business priorities. Understanding these nuances are key to the success of the organization’s efforts.

The KCA study provided a number of insights that add to their understanding of organizational behavior change. At the most basic level, it provided a clear picture of how the study participants viewed the topic of managing implicit bias in the workplace and acted on the organization’s attempts to change their behaviors to support more inclusion. At times the interviews demonstrated the impact of the stereotypes and marginalization experienced by some of the participants. There were a number of stories associated with how perceived bias influenced motivation and contributions in the agency, as well as expressions of hope for a more inclusive culture that could create a competitive advantage. What is easily missed in the analysis

of these interviews, however, is the emotion connected with the stories; specifically, the degree of pain and disappointment expressed by participants in their efforts to understand bias. For example, participants who identified themselves in the baby boomer generation often feared being perceived by millennials as less creative. Women leaders were inclined to express concern about “not being heard amongst their male counterparts.” Finally, people of color often remarked that not having access to the “power networks” limited their opportunities in the organization. These statements were all expressed as reasons why managing implicit bias at KCA is an imperative. When juxtaposed with stories presented by other participants who perceived little or no bias in the agency, or who claimed they were already inclusive, it becomes clear how divergent perceptions are significant and why the change effort is difficult to navigate.

Considering the role of organizational leadership in change efforts, the study also illuminated the challenges KCA leaders faced in demonstrating change supportive behaviors. Interviews with organizational leaders identified the struggles they experienced translating their reflections regarding bias into actions, and creating learning opportunities for their teams. Whether due to either confusion over expectations, or perceived barriers, or other factors, the KCA study demonstrated that most leaders simply did not move beyond reflective “adjustments” regarding their own behavior. Moreover, by not communicating their learning to others or not promoting new practices or behaviors within their teams, they missed important opportunities to advance the organization’s change efforts. The lack of action lies in stark contrast to the perceived awareness and a clear recognition of the value of an inclusive culture that almost all KCA leaders articulated in their interviews. What accounts for the gap? One possible explanation lies in the confidence of each leader in their ability to make a shift in their own behavior, as well as to lead others in behavioral change. Three factors stood out with regard to leaders’ perceptions

of their roles in managing implicit bias that relate to their perceived efficacy: 1. they seemed unwilling to take risks in areas of unfamiliarity such as managing implicit bias; 2. they did not consider themselves skilled at coaching and/or did not see coaching as their responsibility; and 3. they identified a number of perceived barriers and constraints to taking action.

Therefore, to sustain the change effort, the study indicated that leadership support is a clear starting point. Critical support might be achieved by understanding the perception of constraints and removing barriers, as well as by creating the confidence to act and providing the support leaders need to coach others through change. The study also indicated that consistent reminders and opportunities to practice new behaviors were valuable to participants. When peers were able to discuss and design their own change strategies, action quickly followed. These points suggested that within the context of organizational change dialog, practice, coaching, and consistent reminders may move individuals from contemplation to action.

While the KCA study may provide additional support to established research, it uniquely demonstrates the potential path individuals may take to assess a change request and how they might view their ability to act on it. An organization can influence this path through support at a number of key junctures. With focused organizational interventions designed to allow strategies for application to emerge from those who are impacted, coupled with targeted and consistent small support aids, an organization can improve the sustainability of a culture change effort and create a foundation for additional change capacity.

Appendix

Appendix A

Invitation Letter

As part of our ongoing work around culture and inclusion, and in support of the unconscious bias training, FCB will sponsor a research project designed to explore and improve upon our organizational change process. The research will explore the value of our Unconscious Bias training and consider the manner in which we effectively implement our learning based on organizational needs. As part of this exciting research opportunity, an FCB team will be formed to partner with myself, (SR VP HR) and our researcher, Mike Valentine, in the data collection and analysis process. As a study participant you will contribute by helping to guide the research toward your understanding of the organization's most pressing challenges, while also helping FCB to ultimately improve our ability to manage change in a rapid-paced industry.

The study will begin with a kickoff meeting on (date), while the bulk of the research activity will last from January to mid-April of 2016. The time investment for team members will be one to two hours per week in the initial phase of the study. The research team will conduct interviews, design and conduct surveys, and work with Mike and other team participants to analyze and summarize the data. We are looking for curious people who desire to learn from a dynamic team and study process, and make a significant contribute to FCB's growth and development. A summary of the research results will be shared within the organization and study participants will be recognized.

Appendix B

Participant Pool Supervisor/ Member Responses

Initial Participant Survey Supervisor Responses

	Strongly agree		Agree		Disagree		Strongly disagree		N/A	
Increased awareness	34	(%)	43	(%)	2	(%)	0	(0%)	3	(%)
Reflected on behaviors	19	(%)	55	(%)	5	(%)	0	(0%)	3	(%)
Identified behaviors for change	13	(%)	53	(%)	12	(%)	0	(0%)	3	(%)
	Yes		No							
Initiated changes	26	(%)	55	(%)						
Volunteered for a group	21	(%)	60	(%)						
Conversation to address bias	43	(%)	39	(%)						

Initial Participant Survey Member Responses

	Strongly agree		Agree		Disagree		Strongly disagree		N/A	
Increased awareness	12	(%)	12	(%)	1	(%)	0	(0%)	5	(%)
Reflected on behaviors	6	(%)	17	(%)	2	(%)	0	(0%)	5	(%)
Identified behaviors for change	4	(0%)	19	(%)	2	(%)	0	(0%)	5	(%)
	Yes		No							
Initiated changes	10	(%)	19	(%)						
Volunteered for a group	6	(%)	23	(%)						
Conversation to address bias	17	(%)	12	(%)						

Appendix C

Learning Aid Intervention One

INTENTIONAL INCLUSION: B.R.A.V.E.

BOLD: Have the courage to speak up!

Prepare yourself to have the courage to speak up when you observe a lack of awareness on a certain topic or a bias (intentional or not). Think through in advance how you want to address the incident. It is okay to check in with someone else to determine if others share your perspective about the situation or statement. Become willing to address the situation privately, if possible.

REFLECTIVE: Ask questions to learn deeper meaning

Ask questions to uncover the meaning behind a questionable statement or situation. Consider responding with open-ended, nonjudgmental questions such as:

- “Interesting... can you please help me understand why do you believe that to be true?”
- “Can we talk about whether others may have an issue with that decision?”
- “Can you help me understand what you meant when you said that statement?”

AWARE: Bring attention to the behavior – don’t label the person.

Acknowledge your own feelings and recognize you have a choice as to whether you will act on them. In others, point out the behavior candidly and compassionately through repeating back what you heard or observe. Describe the behavior – don’t label the person.

Although you cannot control another person, you can bring awareness to your views and your limits to accepting inappropriate comments. “Remarks like this make me, and may make others, uncomfortable.” Then explain why and assume no intent to offend was intended.

VULNERABLE: Share your own experiences and mistakes.

Share personal experiences to defuse blame and focus more on the behavior or action that you would like to discuss. Also share the impact of the action or statement on yourself and others.

“I’m sure that you didn’t mean any harm by your remark – I’ve had similar experiences myself – but your comment might be misunderstood by people who don’t know you and they could be offended as a result.”

ENGAGED: Stay in the conversation

Practice inquiry to uncover the true meaning behind conversations and situations:

- Someone is pushing a particular point of view: “I’d like to better understand what led you to this point of view.”
- If someone begins lecturing and intellectualizing: “I notice your passion about this issue; can you help me understand what makes this so important for you?”
- If you suspect you do not understand: “I’m not sure I understand; can you explain this in another way?”
- If you hold a different opinion: “I’d like to offer another point of view...”
- If someone has been silent: “I’m wondering if you have some thoughts or feelings about what you’ve been hearing?”
- If someone’s ideas are very abstract: “If what you are proposing came to pass, how would things be different?”

Appendix D

Intervention Survey

Intervention Survey. The intervention survey utilized agree-disagree statements and element selection questions to measure the extent to which interventions influenced the ability to apply learning from the IB workshop and to identify other elements that would influence application of learning and behavior change. The phase two survey was provided via email link to 350 employees. This pool represented those employees that received the initial survey and had attended the workshop the previous year as well as those more recent participants of the workshop that were not part of the initial pool. The survey comprised one demographic question that asked if the participant was a supervisor or individual contributor and 11 content questions provided below.

1. The Implicit Bias workshop has prompted me to take action or change some aspect my behavior
2. I would characterize any changes I've made to be more inclusive as....
3. I have not been able to take any action or change behavior to be more inclusive because (check all that apply)
4. The CEO's communication and learning aid allowed me to apply learning from the IB workshop in my role
5. The ideas generated during the facilitated lunch session allowed me to apply learning from the IB workshop in my role
6. I was inspired to take action or change some aspect of my behavior to become more inclusive as a result of the CEO's email
7. I was inspired to take action or change some aspect of my behavior to become more inclusive as a result of my attendance at the facilitated lunch session in June
8. I know what action to take to be more inclusive
9. I know what the agency expects of me regarding my inclusive behaviors
10. I would be most motivated to take action or change behavior to be more inclusive by
11. How important are the following to taking action or changing some aspect of behavior to be more inclusive?

The survey questions and their responses are provided below:

1. The Implicit Bias workshop has prompted me to take action or change some aspect my behavior.

Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		Total	
5	25%	13	65%	1	5%	1	5%	20	95%

2. I would characterize any changes I've made to be more inclusive as....

Reflective in nature		Overt and visible		Both overt and reflective		I have not made any changes		Total	
13	62%	0	0%	7	33%	1	4%	21	100%

3. I have not been able to take any action or change behavior to be more inclusive because (check all that apply)

I do not feel the support to do so		I do not see leadership demonstrating inclusive behaviors		I do not know how to apply learning from the IB workshop		I do not feel the need to change anything		Total	
2	40%	0	0%	3	60%	0	0%	5	45%

4. The CEO's communication and learning aid allowed me to apply learning from the IB workshop in my role									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		Total	
4	20%	13	65%	1	5%	1	5%	20	95%

5. The ideas generated during the facilitated lunch session allowed me to apply learning from the IB workshop in my role									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		N/A (did not attend lunch)	
8	38%	4	19%	0	0%	0	0%	9	42%

6. I was inspired to take action or change some aspect of my behavior to become more inclusive as a result of CEO's email									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		N/A (did receive communication)	
4	20%	10	50%	1	5%	1	5%	4	20%

7. I was inspired to take action or change some aspect of my behavior to become more inclusive as a result of my attendance at the facilitated lunch session in June									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		N/A (did not attend lunch)	
7	35%	4	20%	0	0%	0	0%	9	45%

8. I know what action to take to be more inclusive									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		Total	
11	55%	7	35%	0	0%	2	10%	20	95%

9. I know what the agency expects of me regarding my inclusive behaviors									
Strongly Agree		Agree Somewhat		Disagree Somewhat		Strongly Disagree		N/A (did not attend lunch)	
12	57%	7	33%	2	10%	0	0%	21	100%

10. I would be most motivated to take action or change behavior to be more inclusive by									
My supervisor demonstrating inclusive behavior		My peers taking action or demonstrating inclusive behavior		Receiving feedback that I was not inclusive		Being rewarded for taking action or changing my behavior		Receiving coaching to understand how to take action or change behavior	
2	11%	7	39%	4	22%	1	6%	4	22%

11. How important are the following to taking action or changing some aspect of behavior to be more inclusive?

	Highly important		Somewhat important		Somewhat unimportant		Not important	
My peers demonstrate behavior change	14	67%	7	33%	0	0%	0	0%
Leadership demonstrating behavior change	16	76%	4	19%	1	4%	0	0%
Feedback from others to change behavior	10	48%	10	48%	1	4%	0	0%
The opportunity to practice demonstrating new behaviors	14	67%	5	23.8%	2	9.5%	0	0%
A safe climate to change behaviors	16	76.2%	5	23.8	0	0%	0	0%

Appendix E

Questionnaire

A five question open ended questionnaire was also utilized to supplement the survey data. The questionnaire was sent via email to a random selection of 20 participants of the facilitated dialog session and prior interviewees, 11 questionnaires were returned from those participants. The objective of the questionnaire was to obtain narrative data from the participant that related to how they were influenced by the communication and learning aid from the CEO. The questionnaire provided a mechanism to obtain insight related to their state of mind regarding behavior change. The questions asked were as follows:

1. Since your participation in the Implicit Bias Workshop have you been able to take action that applies the training to your work or team? If you haven't why not? Please describe your experience, what worked and what didn't?
2. What motivations or barriers influenced your ability to apply the learning?
3. In order to take action on your learning from the IB workshop, what support or inspiration do you think would be the most helpful?
4. Have you noticed any change in yourself as a result of the workshop, actions or discourse related to this topic? Please describe.
5. To what extent did the CEO message and learning aid influence you to change behavior?

Follow up questionnaire and responses – post intervention

Question	Responses
Since your participation in the Implicit Bias Workshop have you been able to take action that applies the training to your work or team? If you haven't why not? Please describe your experience, what worked and what didn't?	<p><i>The key behavior that I have focused on is to ensure that I openly and considerately listen to input from young and inexperienced staff. In an instance where they don't make an input I try to make sure that I have provided ample opportunity for the staff members to openly make a contribution.</i></p> <p><i>Well, personally I have used what I learned from training session. I try very hard now not to make any decisions or comment on things quickly when I'm in a pressured situation, preoccupied, or hungry. I make sure to take a few extra minutes to really think through the situation. Especially when dealing with people of color or LGBT individuals since I know I have an implicit bias against them.</i></p> <p><i>I have had individual conversations about the limbic brain and predispositions to bias, but the need to change behavior has not presented itself yet.</i></p> <p><i>I have tried to think more carefully about why I make certain decisions. In particular, I have thought about why and when I am willing to make exceptions for</i></p>

What motivations or barriers influenced your ability to apply the learning?

certain employees. I consider: why am I making this exception? Is it because I like them more as a person, or is it because their reason is truly worthy of an exception? Is it an exception I would make for anyone in that scenario? If I am able to say that yes, anyone in that scenario would receive that exception, then I move forward with the decision.

The advertising industry is a fast-paced industry that is continually evolving. If I am not aware of potential changes around me or in the market place, I could fall into a routine of subscribing to my own thinking and perspective on the word – ultimately I could miss key opportunities or make even worse, alienate myself from the realities of markets. In an industry that thrives on new thinking, can I really afford to not at least listen to alternative perspectives?

I want to be a better person and employee. I want to make sure that I do not unintentional show bias against someone.

I am more motivated to try and give people my point of view on what we need to do as a society, while also taking ownership of your own contribution to biases.

Having been reassured by the workshop that tendencies are ingrained in us and that by being aware of them and making conscious decisions we can be inclusive.

In order to take action on your learning from the IB workshop, what support or inspiration do you think would be the most helpful?

I feel that simple interventions in the form of succinct emails that remind people about the workshop and how to apply learnings in the work place would be beneficial. These could be disseminated on a fortnightly basis to remain current and actionable.

I do feel senior leadership leading by example would help. I can say I hold back on certain opinions or actions knowing my current Manager may not approve.

Reminder sessions like the facilitated lunch. Our work can be very intense and to have a chance to stop and reflect can be very effective in solidifying learnings.

Have you noticed any change in yourself as a result of the workshop, actions or discourse related to this topic? Please describe.

The IB workshop made me realize that it is not only my overt actions that I need to be aware of, but also that I need to be aware of underlying biases that may bear on by behavior.

I feel more comfortable speaking freely with co-workers, peers and employees on earning respect and a place in the organization through proper work ethic, hard work and collaboration.

it has made me aware that making any decisions or comments instinctively is not the idea. When you aren't "up thinking", you tend to fall back on instincts and implicit bias that isn't necessary at that moment.

Yes. I have become much more aware of my own biases, their origin, and the role of the limbic brain. Thus, I am trying to be particularly aware when I am tired, irritated, under stress, and subject to other triggers of the limbic brain, so that I can catch myself and minimize impulse decisions activated by bias.

I've noticed that I pause more and think, "What was the purpose of me saying that?" or "Do I feel that way about a person because of my interactions with him or her, or because they remind me of another person I know?" Overall, I've become more aware of my thoughts and actions.

To what extent did the CEO message and learning aid influence you to change behavior?

It coincided with the distribution of the "B.R.A.V.E. Card" distributed to the company but, while the card takes a direct approach, the facilitated lunch was dialectic and thus helped us to continue exploring and getting further acquainted with the subtle ways of bias.

The facilitated lunch helped me think through more clearly about how I could take my thoughts from the workshop and apply them to real-life situations. It also helped me think of other take-away that I had not realized until others in the session mentioned them.

Appendix F

Thematic Codes Reference Sheet

CODES

Rationale for change

Definition: A set of reasons or a logical basis for a course of action or a particular belief. A description of an environmental factor (like an industry or organizational condition) that is used to justify (in this case) managing IB in the workplace.

How it is expressed: The statement provides a reason, negative or positive, why managing IB may be an appropriate solution for the factor.

Indicators: identification of market conditions, industry characteristics, client or competitive elements or differentiating factors as reasons to pursue IB related actions.

Example: “To be competitive our industry requires speed and therefore this training is topical”

Restriction: use only when participant refers to industry or competitive factors. If the participant references individual (personal) reasons, use **Awareness** code.

Importance/Impact

Definition: This code refers to a perceived level of importance or a suggested level of urgency that should be placed on the change effort.

How it is expressed: The statement could reflect what priority should be placed by the agency on the work. The statement could include a description of what would result if the effort was undertaken in earnest or what might happen if the work was not undertaken.

Indicators: language that includes priority, impact to the organization, or includes statements of potential benefits.

Example: “I think this should be a high priority for the firm because....” “It is important because....”

Restrictions: use this code only when the participant is referring to how much importance the organization should, could, or is attaching to the effort. How the agency should or does view the importance of managing IB in the workplace, or the perception of the participant about the importance the agency should place on the effort.

Reflections or Awareness

Definition: Cognitive knowledge or perception of a situation or fact.

How it is expressed: An articulation of the mental process “inward dialog” of evaluating something to form a belief or take action. This code maps to the participants internal meaning making related to IB and their personal life experience or how or why they might approach application. The statements take the form of an internal rationale (positive or negative) about the value of making an effort to manage IB. This statement represents the “self-talk” or the “why” that participants describe when making an argument for or against behavior change based on the awareness created by the IBW. It is a statement that generally would not be expressed verbally to others.

Indicators: When the participant is describing some consideration, experience (like the IBW) that influences their thinking in some way. I think about, crosses my mind, I consider...

Example: “I wonder about those times when I get really stressed out in a situation and think about why that happened, why am I having that reaction should I have done something differently?”

Enablers of change

Definition: Description of a person or thing that makes something possible.

How it is expressed: Participant belief that if something was in place or were to occur it would allow for something else to happen. This code maps to participant’s expectations, desire and suggestions for follow up activities to support the IBW experience and learning. They are statements that reflect participants attempt to offer other ways to make the content in the IBW more relevant for their everyday work life. These statements are expressions of what would be helpful, useful or supportive in taking learning to the next level.

Indicators: The description may sound like a recommendation. It may include “if-then” statements.

Examples: “if I had this then I could do that” “It would be helpful if this element were available for us”

Restrictions: Only use this code if the participant is suggesting that the enabler is dependent on others (leaders or the organization) to provide it.

Barriers to change

Definition: obstacle or impediment that prevents movement or access.

How it is expressed: The participant’s perspective about what prevents them or others from taking action or makes the effort to do something more difficult. This focuses on those perceived things that stand in the way of behavior change and the application of learning. The participants will express enablers as a description of a person or thing that if removed would make something else possible. The participant will express a barrier as a perceived impediment to movement.

Indicators: The comment may be presented as something that they don’t know how to do, or a practice or a perceived reality that gets in the way of deeper application of the learning from the IBW. The statement may describe a challenge a problem or a difficulty that needs to be overcome in order for movement to occur. A description of something that was not provided or does not exist that if provided is suggested would lead to action

Examples: “My challenge is” “what is in the way is....”

Restriction: only use this code if the participant expresses it as a prevention and suggests that if the barrier was removed it could lead to change. If expressed as a recommendation for improvement, then use the **enabler code**.

Action

Definition: any action that is perceived to be tangible, observable by the participant and has actually, or is believed to have occurred in the environment as a result of the IB stimulus.

How it is expressed: These statements represent actions taken at an individual level or those of a group or the organization. They are the description offered by the participant of anything they did differently as a result of the IBW experience. It represents any subtle or overt change in routine, practice or behavior that the participant states they have made or witnessed in others and resulted from awareness, reflections, from the exercises or learning gained in the IBW. It is an action oriented statement that may be linked to reflection but results in actual steps taken by the participant not considerations to take a step

Indications: description of something that is occurring or has occurred and resulted from the workshop.

Restrictions: only use if the participants suggest that the action occurred as a result of the learning from the IBW or as a result of the culture and inclusion efforts.

Appendix G

Permission for Theory of Planned Behavior Figure 2.3

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