Organization Development Review
SPECIAL SECTION

Advancing OD Doctoral Education Through Publishing

This special section of the *Organization Development Review* features a group of articles authored by individuals who are currently pursuing a Doctorate degree in Organization Development. In presenting these articles as a special collection, we wish to highlight the role the *OD Review* plays in nurturing the next generation of broadminded, discipline-spanning OD scholar practitioners.

Each of the articles presented here represents an individual accomplishment on the part of the authors as they mark their progress in becoming OD scholar practitioners. Through their writing they are connecting past experiences to new learning, applying theory to real problems, developing their voice and their Use of Self.

The *OD Review* has traditionally maintained a diverse Review Board and is committed to a developmental review process that is uniquely suited to helping OD doctoral students produce a publishable manuscript. Each of the authors in this special section benefited from the guidance of a group of seasoned OD scholar practitioners from the *ODR* Review Board who were critical to assuring that each manuscript represented adequate depth, quality of writing, and elevated the OD perspective by bringing in OD theory.

This special section is a product of the combined efforts of the authors and the reviewers. The resulting collection of articles serves as an exemplar for how OD is and always will be a continuously evolving body of theory and practice that is capable of incorporating new ideas, perspectives, and approaches into everyday practice in order to meet the ever-changing needs of organizations and the people in them.

The ODR editorial team extends its deepest appreciation to reviewers **George Hay**, **Debra Orr**, and **Argerie Vasilakes** for their commitment to conducting high-quality developmental reviews and for sharing their expertise in guiding this project.

In the first article **Raynel Frazier** brings an OD perspective into the world of artistic programming and explores the alignment between an arts organization's values, their commitment to diversity, and their artistic programming.

The role OD can play in law enforcement is explored by **Herbert Homan** through the lens of his experience as a state trooper in Ohio with insights into the way organizational culture influences officer decision-making.

Val Kaba brings his experience in banking to a systemic evaluation of banking industry practices and explores ways the banking industry can promote better banking habits in low-income communities.

Sara Kline uses her experience in local government to take us to the *Heart of a City* with an exploration into the relationship between empathy and practices used to design and implement municipal public policy.

Alignment between enterprise IT solutions and an organization's business objectives is explored by **Ebony Lothery** through a case study in IT governance structure and process improvements in a local governmental agency.

Carla McKnight shares perspectives from her background in HR that led her to embrace Use of Self as a *Secret Sauce* for OD and provides insights into ways OD practitioners can partner with leaders to integrate Use of Self into organization culture.

Inspired by his experience of having strong women as mentors, **David Perry** builds a case for how cross-gender mentorship can be a powerful way to realize the the unrealized potential of both male and female leaders.

Creating this Special Section of *OD Review* has been a rewarding learning experience for everyone involved. The project is brought to its conclusion with a final postscript written by **Argerie Vasilakes** that captures the reflections from both the authors and the reviewers.

Lisa Meyer, EdD
Associate Editor,
OD Review
lisameyer@att.net

> "While statements of solidarity, mission statements, DEI statements, and new Chief Diversity Officers are seen as evidence of an organization's commitment to diversity, some wonder if the same value is revealed through the artistic programming..."

Aligning Diversity Values with Artistic Programming

By Raynel Frazier

Abstract
This article explores how the value of diversity is revealed in an organization's artistic programming and examines the relationship between artistic programming and an organization's commitment to diversity. Building upon Schein's (1982) model of organizational culture, I argue that artistic programming reveals an organization's commitment to the value of diversity and that value statements should align with artistic programming. The programming value alignment cycle is introduced as a tool to examine and evaluate an organization's commitment to diversity.
Keywords: diversity, arts programming, alignment

An annual event for non-profit arts organizations is the announcement of their performance seasons to the public. Press releases and social media campaigns that outline the performances for the year are distributed to audiences who wait in anticipation to see what new commissions will be presented or if their favorite artist is performing. As the programming manager at a large non-profit arts organization in New York City, the season announcement followed by opening night was my favorite time of year. Finally, others got to see what we'd been cooking up during those many months we spent picking artists, developing shows, and paying close attention to our mission and the story we wanted to share. After many years working on artistic programming teams, I believe the artistic programming of an organization is essential to demonstrating its values and defining who the organization is.

Artistic programming reveals an organization's commitment to the value of diversity and value statements should align with artistic programming. Values are "enduring beliefs that a specific mode of conduct is personally or socially preferable to an opposite or converse mode of conduct or end state of existence" (Rokeach, 1973). They are at the core of an individual's personality and an organization's culture (Cieciuch et al., 2015). This article explores how the value of diversity is revealed in an organization's artistic programming and examines the relationship between artistic programming and an organization's commitment to diversity. These concepts are important to study because Organization Development and Change (OD&C) is a value-based field, and as OD&C practitioners, we should care about the values of the organizations we serve.

Organizational Values and Diversity

All individuals have values (Schwartz, 2012) that can direct their actions and decisions in life. Values are a driving force that steers behavior, guides decision-making, and defines a desired outcome (Farley et al., 2021). Like individuals, organizations establish values, and these values direct action and guide decision-making

within the organization. According to Williams (2002), values serve as a critical component of the organization's perspective regarding strategic direction, mission determination, and visioning. In addition to the literature that examines how organizations express their values through mission statements, vision statements, and strategic plans, there is also literature that examines organizational values through the lens of organizational culture. Hultman (2005) proclaimed that organizations do not have values in and of themselves, but because they are comprised of people, their cultures are shaped by values that are shared in varying degrees. Theories of organizational values, such as Cameron and Quinn's competing values framework and Schein's model of organizational culture, provide a basis for much of the current literature on organizational values. For the field of OD&C, this is especially salient because our values guide how we engage with our clients (Farley et al., 2021). Because OD&C practitioners work from a value-based foundation, it is crucial to understand, care for, and embrace the values of the organizations we serve to better effect change and organizational health. I propose that for arts organizations, in addition to examining the espoused values and underlying beliefs outlined by Schein and the competing values described by Cameron and Quinn, one can look to artistic programming to understand and evaluate an organization's values.

The Importance of Diversity for Arts Organizations

Diversity is one of the nine OD values defined by the OD values circle (Farley et al., 2021). To embrace the value of diversity "is to accept and promote the unique presence and contributions of everyone. It involves emphasizing the importance of marginalized perspectives and identities." (Farley et al., 2021, p. 28). An organization may have many values to uphold, but a commitment to diversity and social justice is essential today. The murder of George Floyd by the police in May 2020 triggered a worldwide racial reckoning. Demonstrations and protests reverberated in cities worldwide and demands for justice could no longer be ignored. For arts organizations, this meant heightened scrutiny from the public, funders, and employees.

Following the murder of George Floyd, many arts organizations released statements to the public standing in solidarity with the Black, Indigenous, and People of Color (BIPOC) community and reasserting a commitment to diversity, equity, and inclusion (DEI),with statements like this from Carnegie Hall:

> "On May 31, we announced publicly that the Hall stands in solidarity with the Black community and all those who seek to use their own platforms to eradicate racism, violence, and injustice. Words without deeds, however, mean nothing. At best, they can only be the beginning: Unless they are translated into action, our world will never change. The events of recent weeks have made it imperative that we reaffirm our programming and operations approach to ensure that the work we do is meaningful, solutions-oriented, and driving toward a racially just society."
>
> (Carnegie Hall, 2020)

Arts organizations also incorporated DEI language in their mission statements like this statement from The Public Theater; "The Public Theater is a theater of, by, and for the people. Artist driven, radically inclusive, and fundamentally democratic" (The Public, 2021). In addition to mission statements, some organizations have developed specific diversity, equity, and inclusion statements. The emergence of these statements should signal a move toward DEI in arts organizations; however, even with an increase in DEI statements, "the degree to which organizations held themselves accountable for achieving DEI in the sector reveals an area where the greatest amount of bullshitting happens" (Cuyler, 2021, p. 43), many primarily White-serving U.S. cultural organizations responded defensively to accusations of elitism and a harmful rigged funding system that maintained the status quo by awarding most cultural funding to these organizations while undermining the health and vitality of cultural organizations by and for historically oppressed communities (Sidford, 2011). Despite promises, many organizations are still lagging in their commitment to DEI. "The number of companies with a Chief Diversity Officer has increased only marginally in recent years, from 47 percent in 2018 to 52 percent as of February 2021" (Baum, 2021, p. 11).

While statements of solidarity, mission statements, DEI statements, and new Chief Diversity Officers are seen as evidence of an organization's commitment to diversity, some wonder if the same value is revealed through the artistic programming, or as Cuyler (2021) says, are these organizations bullshitting? Can one examine an arts organization's programming season and conclude that they value diversity? The artistic programming may, in fact, reveal more about the organization's commitment to the value of diversity than statements of solidarity and mission statements.

Referring back to The Public Theater, whose mission we've already stated, their 2021 artistic programming season included an adaptation of Shakespeare's play *Merry Wives*. In this adaptation, the play is set in an African immigrant community of Harlem and is directed by Saheem Ali, a proud immigrant from Kenya. The season also included the program *Out of Time*, a collection of new monologues by five award-winning Asian-American playwrights, and *The Vagrant Trilogy*, which delved into the Palestinian struggle for home and identity (The Public, 2021).

Taking a deep look into the entire artistic programming season of the Public Theater, the value of diversity is evident as the programs emphasize the importance of marginalized perspectives and identities. Without needing to read their mission statement, it is clear that The Public Theater values diversity. Why is this so important? Because, while most arts organizations have mission statements, not all audience members read them; yet, every person in the audience will encounter the artistic programming that an organization produces. Consequently, artistic programming must align with the organization's statements that express their commitment to diversity.

Table 1.

Schein's Model of Organizational Culture	Value Alignment Cycle
Artifacts →	What we do—Artistic Programming
Espoused Values →	What we say—Mission, vision, and DEI statements
Underlying Beliefs →	What we believe—Individual values of key organizational stakeholders (culture)

Organizations can no longer be ambivalent or hesitant about their commitment to DEI; instead, they need diversity to survive. First, we know that there is a linear relationship between racial and ethnic diversity and better financial performance. "Companies in the top quartile for racial and ethnic diversity are 35 percent more likely to have financial returns above their respective national industry medians" (Hunt et al., 2015). Second, we also know that funders are specifically looking to fund organizations that embrace DEI values, and several studies break down the positive impacts of DEI in organizations.

Of highest importance for arts organizations is the Moral Responsibility of the Artist (Baldwin, 1963), which connects to the deeper reasons as to why artistic programming must express the value of diversity. The writer and social critic James Baldwin says that we must "Face the fact that as an artist what you invent says more about you than it can possibly say about anything else" (Baldwin, 1963). That means for arts organizations whose job is to facilitate artists' vision, the artistic programming that is produced says more about the organization than anything else, including value statements.

Arts organizations are unique in how the arts provide a creative critique of society, allow for the unspoken expression of emotions and feelings, and dare the audience to question and think about their values. For instance, regarding the musical style of the blues, the jazz musician Wynton Marsalis says, "The blues is a heroic proposition. It is about affirmation in the face of despair. It's heroic because it forces the musician to give art and logic to chaos." When asked about the anti-racist protests around the U.S., Marsalis stated, "The blues teaches you that sometimes things don't work out. And you have to use your will to create the change you want to see" (Moon, 1989). These statements show the complexity and power of art. As cultural gatekeepers (Foreman-Wernet, 2017), arts organizations are responsible for presenting art that aligns with their values, and diversity is a value that can no longer be overlooked.

Programming Value Alignment Cycle

The connection between artistic programming and an organization's commitment to diversity is predicated on the alignment of three factors: 1) what we say, as expressed through value statements, 2) what we do, as expressed through artistic programming; and 3) what we believe, the individual values of key organizational stakeholders. These factors make up what I call the Programming Value Alignment Cycle, which derives from Schein's Model of Organizational Culture (see *Table 1*) which includes three levels of organizational culture: artifacts, the characteristics of an organization easily viewed, heard, and felt by an individual; espoused values, the things an organization says about its culture and way of operating; and underlying beliefs, the way an organization operates internally and perceives the world (Schein, 1985).

While Schein's model is often depicted as a pyramid hierarchy with underlying beliefs as the foundation, the programming value alignment cycle is cyclical (see *Figure 1*). "We" is the organization and collective decisions of individuals within the organization. Therefore, "what we say" should align with "what we do," what we do should align with "what we believe," and what we believe should align with "what we say." In examining the programming value alignment cycle, "what we do" and "what we say" are externally focused, while "what we believe" is internally focused.

What We Say

In the programming value alignment cycle, "what we say" refers to the written or spoken words that publicly express the values of an organization in a clear, detailed manner. They are often found in mission statements, vision statements, statements of purpose, DEI statements, etc., and can be found on an organization's website, promotional videos, strategic plans, social media platforms, etc.

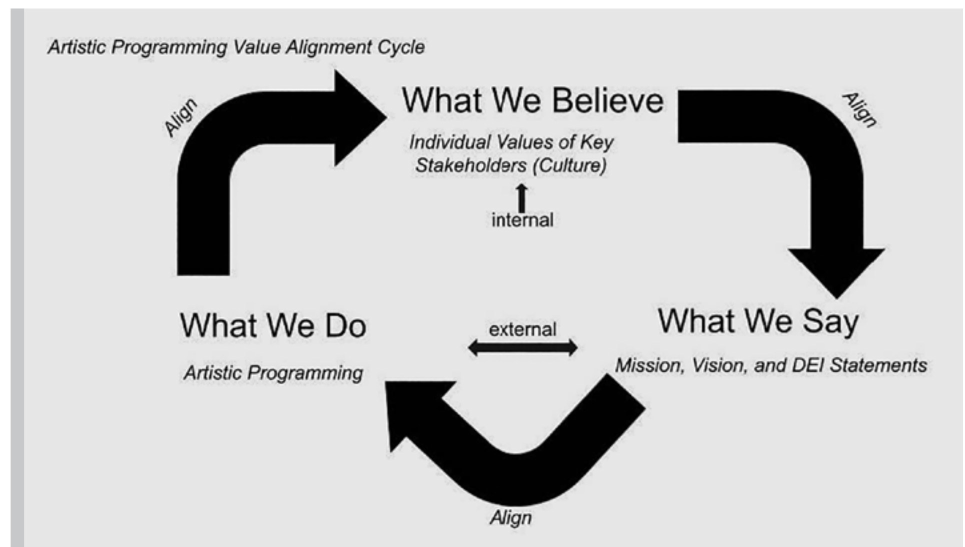

Figure 1. Artistic Programming Value Assignment Cycle

What We Do

In non-profit arts organizations, "what we do" is the artistic programming, which here is defined as the artistic activities, events, works, and programs produced by an organization or individual. These include but are not limited to artistic educational programs, performances, art exhibits, and creative writing and are typically produced by an artistic programming team.

Stakeholders must align with the organization's commitment to diversity as expressed through written value statements so that the artistic programming decisions made by key stakeholders will also reflect a commitment to diversity. When all three factors are aligned, artistic programming will reveal an organization's commitment to diversity. On the other hand, when an organization's programming does not reflect a commitment to diversity, there is a misalignment between what they believe, what they say, and what they do; or simply, diversity is not truly a value of the organization.

What We Believe

"What we believe" are the individual values of key organizational stakeholders. Values speak to an individual's character (Lawton and Paez, 2014) and an organization's culture (Cieciuch et al., 2015), and they give meaning to action (Hilton and Piliavian, 2004). The collective values of key stakeholders help establish an organization's culture (Hultman, 2005) and are "what the organization believes." Understanding the connection between diversity and artistic programming in non-profit arts organizations includes the board of directors, executive director, artistic director, the staff who implement the work (programming team, development/fundraising team, and marketing team), and the artists themselves. The decisions about artistic programming will always reflect the values of those who make the decisions.

The Importance of Intention

The key to connecting "what we say," "what we do," and "what we believe" is alignment. Stakeholders must align with the organization's commitment to diversity as expressed through written value statements so that the artistic programming decisions made by key stakeholders will also reflect a commitment to diversity. When all three factors are aligned, artistic programming will reveal an organization's commitment to diversity. On the other hand, when an organization's programming does not reflect a commitment to diversity, there is a misalignment between what they believe, what they say, and what they do; or simply, diversity is not truly a value of the organization.

After examining and evaluating the link between artistic programming and an organization's commitment to diversity using the programming value alignment cycle, what can organizations do to align their commitment to diversity with their artistic programming? Be Intentional!

1. Commit to making diversity a value of your organization.
2. Publicly state your commitment.
3. Get the right people in the room. Hire staff, recruit a board, and work with artists who value diversity.
4. Examine programming decisions.

Artistic programming will always reflect the values of those making the decisions. Therefore, organizations must be intentional about the staff they hire, the board members they recruit, and the artists they work with to ensure that their values align with those stated in the organization's mission, vision, and DEI statements. In addition, these individuals must be intentional about their artistic programming decisions because it will reveal an organization's values and commitment to diversity.

When looking for examples of programming value alignment, organizations need to look no further than the very artists serve. When it comes to aligning "what you believe," "what you say," and "what you do," artists such as Nina Simone, James Baldwin, Jackie McLean, Wynton Marsalis, Jon Batiste, and many more have led the charge. Just as their art is informed by their worldview, an organization's artistic programming should be informed by its values, especially when examining diversity.

Artistic programming reveals organizational values; therefore, an organization's commitment to diversity should be evident in its programming. This concept is not only crucial to non-profit arts organizations that take on the moral responsibility of the artist, but it's also important to the audiences they serve.

Individuals are like arts organizations in that the "programs" we produce in our own lives reveal our values. We must be intentional about what we do because it says something about who we are and what we believe. And it is those individual values, the ones held by the organization's key stakeholders, that impact artistic programming decisions, revealing the organization's commitment to diversity.

References

Baldwin, J. (1963, May 1). *James Baldwin: The Moral Responsibility of the Artist.* [Video]. YouTube. *https://www.youtube.com/watch?v=PlnDbqLNv-M*

Baum, B. (2021). Diversity, equity, and inclusion policies: Are organizations truly committed to a workplace culture shift? *Journal of Business & Behavioral Sciences*, 33(2), 11–23. Business Source Complete.

Carnegie Hall. (2020). *A Statement From Carnegie Hall: Connecting Vision and Action*. *https://www.carnegiehall.org/Connecting-Vision-and-Action*

Cieciuch, J., Shwartz, S.H., & Davidov, E. (2015). Social Psychology of Values. *International encyclopedia of social and*

behavioral sciences (Second Edition) 25, 41–46. https://doi.org/10.1016/B978-0-08-097086-8.25098-8

Cuyler, A. C. (2021). Diversity, equity, and inclusion (DEI) statements in the U.S. creative sector: Progress, or more bullshit? *Cultural Management: Science & Education*, *5*(2), 33–45. Ethnic Diversity Source.

Falrey, S.B., Joon, H.J., & Padilla, C. (2021). What value will define and guide OD in the Future? Report of the Organization Development values to guide our practice circle of work. *Organization Development Review 53*(1), 27–34.

Foreman-Wernet, L. (2017). Reflections on elitism: What arts organizations communicate about themselves. *Journal of Arts Management, Law & Society, 47*(4), 274–289. Legal Collection.

Hilton, S., Piliavin, J. A. (2004). Values: Reviving a dormant concept. *Annual Review of Sociology, 30*, pp. 359–393

Hultman, K. (2005). Evaluating organizational values. *Organizational Development Journal, 23*(3), 39–48.

Hunt, Vincent, et al. *Why diversity matters*. McKinsey & Company, January 2015. https://www.mckinsey.com/business-functions/organization/our-insights/why-diversity-matters#.

Lawton, A., Paez, I. (2014). Developing a framework for ethical leadership. *Journal of Business Ethics, 130*(3), 639–649.

Moon, T. (1989, June 18). *Dealing with Those Bluses*. Wynton Marsalis. Retrieved November 12, 2022, from https://wyntonmarsalis.org/news/entry/dealing-with-those-bluses

Rokeach, M. (1973). *The nature of human values*. Free Press.

Schwartz, S. H. (2012). An Overview of the Schwartz Theory of Basic Values. *Online Readings in Psychology and Culture, 2*(1). *https://doi.org/10.9707/2307-0919.1116*

Schein, E. H. (1985). *Organizational culture and leadership*. Jossey-Bass.

The Public. (2021). *About The Public*. https://publictheater.org/about/About-The-Public/

Williams, S. L. (2002). Strategic planning and organizational values: Links to alignment. *Human Resource Development International, 2*(2), 217–233.

Raynel Frazier is an arts administrator from Hartford, CT. She started her career in the arts as a trombonist studying Jazz Studies at the Hartt School of Music, Jackie McLean Institute of Jazz. Raynel received her master's in arts administration from American University and resides in New York City where she has worked as manager of programming at Jazz at Lincoln Center (JALC) and was responsible for booking Dizzy's Club, Jazz at Lincoln Center's world-renowned Jazz Club. Raynel was also a tour manager for the Jazz at Lincoln Center Orchestra, traveling around the world to expand the global community of Jazz. Raynel is currently the Programs Producer at Chelsea Factory and a doctoral student at Bowling Green State University, pursuing a Doctorate in Organization Development and Change. She hopes to use her degree to help arts organizations thrive to produce art that inspires communities. Raynel can be reached at *rfrazie@bgsu.edu*

> "Discretion is necessary for the essential duties involving conflict management and crime suppression. However, observers may often disagree with the exercise of discretion and the resulting outcome."

Influencing Discretion

Law Enforcement's Challenge in Meeting Societal Expectations

By Herbert Homan

Abstract
Society expects law enforcement to serve the public by managing the polarity between preserving public safety and protecting individual rights. But, as we have seen in the past few years, an imbalance creates turmoil, and neither objective is satisfied. Criminal justice scholars have identified the need for police reform for several decades. Yet, the evolution of law enforcement practices has not appeared to keep up with societal expectations. At the core of every traffic stop, arrest, search, act of bravery, and incident of misconduct is decision-making. This conceptual article explores the influence of organizational culture in law enforcement decision-making through the lens of a state-level agency to provide insight into how leaders can better align officer decision-making with societal expectations
Keywords: police discretion; law enforcement culture; societal expectations; bias, guilt anxiety

An ongoing concern for law enforcement is meeting societal expectations for managing the polarity between preserving public safety and protecting individual rights. Herman Goldstein (1977), an American criminologist and legal scholar, wrote that public interest in police reform is in response to revelations of police misconduct and the sudden realization that police services provided in the past were inadequate to meet the present needs. He also referred to several waves of public concern sweeping across the country (Goldstein, 1977). Recent events have shown how an imbalance creates turmoil, and neither objective is satisfied. As new generations come to understand the complexities of policing in a democratic society, law enforcement needs to be able to adapt to societal expectations.

The Ohio Statehouse, located in Columbus is referred to as the *People's House*. It is where individuals can visit and exercise their First Amendment rights in a safe environment. However, following the events on January 6, 2021, in Washington, DC, there were increasing concerns for security at state capitols. In January of 2021, as I stood on the steps of the Ohio Statehouse overlooking hundreds of demonstrators exercising their First Amendment Rights, I could not help but wonder how our society arrived at this point. I spent 34 years as a state trooper, with assignments primarily in rural Ohio and I was insulated from much of the discord experienced in the more diverse areas of the country. The events of 2020 and a few high-profile police shootings in the City of Columbus would put the premise of the safe exercise of First Amendment Rights to the test. As a result, for one last assignment before my retirement in January 2022, I accepted command of Capitol Operations.

Reflecting on a lifetime of public service, the majority in supervisory roles, provides me with unique insights into the

business of law enforcement and its many unique challenges. Paramount among them is the obligation of upholding public trust. The public expects law enforcement to enforce the law and maintain order without violating individual rights. Meeting this expectation leads to the issue of discretion, with the lowest-ranking police officer in a position to exercise the most significant discretion (Wilson, 1978).

Institutional factors have a considerable impact on individual officer decision-making. The actions of individual officers often overshadow the agency's responsibility to understand how institutional factors can support a culture inconsistent with public service. Leadership and culture are interconnected, and the most significant responsibility of leaders is to manage culture (Schein, 2017). I do not overlook the importance of individual accountability or discount other approaches to police reform. However, I believe progress is limited when the organization fails to recognize and act on the factors that adversely impact an officer's judgment and decision-making.

This conceptual article explores the influence of organizational culture in law enforcement through the lens of a state-level agency. My aim is to provide insight into how leaders can better align officer decision-making with societal expectations. I use the Ohio State Highway Patrol in my analysis for three reasons. First, my lengthy service at all levels has given me a unique insight into the organization's culture. Second, the Ohio State Highway Patrol enjoys a rich history and solid reputation in the state of Ohio, as evidenced by a 2021 public survey that rated the Ohio State Highway Patrol as excellent or good (93%) as a law enforcement agency (OSHP Office of Planning, Research, and Development—Statistical Analysis Unit, 2021). Third is that the leadership at the Ohio State Highway Patrol is open to collaborative efforts aimed at improving service to the public. Although this article is limited to law enforcement culture, it is hoped that the insight gained has broader applications across all organizations.

Selective enforcement is often at the center of a discussion about officer discretion; however, there are many more aspects of decision-making to consider. For example, a trooper may decide where to work based on targeting a specific type of crime or instead assume a reactive posture. In addition, techniques employed require discretion in determining when and how to engage the public, along with many decisions to arrest, issue a warning, or to provide assistance. Finally, the trooper makes choices involving using force ranging from the officer's presence to lethal force.

Organizational Culture

Culture refers to a pattern of basic assumptions developed and accepted by a group to cope and adapt to external forces and internal integration. Time and the intensity of shared experiences will shape the strength of the culture (Schein, 1990). Once formed, a leader may have to conform to the culture's norms for consistent interaction between the culture and the organizational leadership (Schein, 2017).

Discretion is necessary for the essential duties involving conflict management and crime suppression. However, observers may often disagree with the exercise of discretion and the resulting outcome. Moreover, the trooper realizes the potential for hostility and violence and is uncertain how much influence his authority as a trooper will have in any given situation. In these situations, a trooper may exceed his authority (Goldstein, 1977).

A trooper must successfully graduate from the academy and complete field training before assuming the full responsibility of their position by themselves. Afterward, the first primary decision is determining how to direct their efforts when not handling calls for service. Selective enforcement is often at the center of a discussion about officer discretion; however, there are many more aspects of decision-making to consider. For example, a trooper may decide where to work based on targeting a specific type of crime or instead assume a reactive posture. In addition, techniques employed require discretion in determining when and how to engage the public, along with many decisions to arrest, issue a warning, or to provide assistance. Finally, the trooper makes choices involving using force ranging from the officer's presence to lethal force.

As a young trooper, I worked the night shift. When not dispatched to a service call, I chose to focus on detecting and arresting impaired drivers. While I was assigned an area, I would patrol roads that I found to be used by impaired drivers. My approach was to stop as many cars as possible for various traffic violations to increase my probability of finding an impaired driver. Other troopers focused on stolen vehicles, some on truck violations, and some were content to take enforcement for ordinary traffic violations. At the time, I did not consider the motivation for my actions. Further, when I became a supervisor, I found that troopers could explain what they did but, at times, struggled to explain why. The why is at the core of decision-making and worth exploring.

Training and Socialization

In the Ohio State Highway Patrol, troopers develop deep beliefs, attitudes, and values during socialization, becoming part of their identity (Burke et al., 2009). This socialization begins with academy training, where all troopers in Ohio share a common bond dating back to 1933. Organizational artifacts such as the academy facility, historical icons, uniforms, and enforced military demeanor create an intense environment. The rigorous training is similar to a military boot camp, where discipline is central

to the experience. I graduated from the same academy as my father did 21 years earlier, with the same judge administering our oath of office. This long shared history and intense experience form the foundation of a strong culture (Schein, 1990). There are clear expectations of what it means to be an Ohio State Trooper with a common assertation that you are a trooper 24 hours a day.

The Academy experience provides a foundational understanding of expectations, which is necessary given the authority and discretion to meet daily demands effectively. Expectations are fluid and require ongoing refinement and reinforcement through training, policy, and communication. The culture that is created is an outcome of this process; however, leaders can leverage the positive aspects of the culture to meet societal expectations.

Peer Relationships

A trooper, once socialized, learns to hold shared assumptions that provide meaning, stability, and comfort in an unpredictable environment. As a defense mechanism, anxiety that arises from the inability to understand external events leads to automatic patterns of thinking, feeling, and behaving (Schein, 1990). Expectations are reinforced by a unique culture that emphasizes loyalty and trust among its members. Similar to a military environment, the expressed reason is the need to rely on your fellow officer during incidents of violent confrontation. Research indicates that creating in-groups is common, with occupation being second only to family as a top-ranked in-group dynamic (Hitlin et al., 2021). It is not uncommon for the psychological connection to this in-group to extend well beyond safety into daily life. I worked various shifts and moved several times to accept new assignments and developing relationships outside of work was difficult. Limited exposure to people outside work created a psychological attachment to the organization, as I was known simply as the state trooper in the community. As troopers isolate themselves from others, a false consensus emerges through the structured exchange of information. Members of the trooper's in-group receive socially biased information samples even if they accurately interpret and recall the information (Kitts, 2003).

Selective exposure to other troopers promotes a general tendency to perceive a false consensus for one's beliefs, attitudes, attributes, and behaviors. For example, troopers commonly talk to each other about the experience of horrific crash scenes, death notifications, and physical confrontations, perhaps not being able to share these experiences with their families. In addition, causal attribution attached to errors made by public members may influence the magnitude of the false consensus bias (Miller & Prentice, 1994) perceptions, and feelings differ from those of their peers. Pluralistic ignorance, as this phenomenon is called, yields numerous significant consequences for the self (e.g., illusory feelings of deviance). By default, the public becomes the out-group.

Social identity theory strongly suggests people prioritize in-group members and differentiate from out-group by developing a sense of positive distinctness. This sense flows from the importance of cooperation from in-group members to hostility toward out-group members. It has been argued that this is at the core of observed discrimination and prejudiced behaviors at the individual and structural level, while others believe it may lead simply to apathy (Hitlin et al., 2021).

Troopers may be reluctant to challenge how others frame a social situation, even at the expense of compromising firmly held principles (Miller & Prentice, 1994), perceptions, and feelings different from those of their peers. Pluralistic ignorance, as this phenomenon is called, yields numerous significant consequences for the self (e.g., illusory feelings of deviance. This reveals the need for social support and self-esteem maintenance. The motivation to misrepresent their true feelings is a fear of embarrassment by acting inconsistently with the collective. Confounding the error is a failure to recognize that fear is also a motivation for the action of others.

Guilt Anxiety

Culturally induced guilt anxiety occurs when a trooper feels as if they are not living up to some ideal self-image, disappointing superiors, or failing to honor some perceived obligation (Burke et al., 2009). I have witnessed this phenomenon at all levels in the Ohio State Highway Patrol. For example, a primary responsibility of the post commander is reducing the number of traffic fatalities in the geographic region of the state for which they are responsible. Each month, the post commander reports to superiors on crash trends and efforts to address these trends. From my experience with many elaborate statistical calculations, I can assure you the trends are speed, seatbelt usage, and impairment. The acceptable response from the post commander is to encourage enforcement for speed and seatbelt violations and arrest impaired drivers. Effective post commanders will use the mission of saving lives, personal loyalty, and recognition as tools to motivate troopers to produce results. High performers thrive in this environment, and there is pressure to deliver results.

My desire to excel in detecting and arresting impaired drivers was influenced by my first post-commander, who was like a coach. He followed a behavioral model that encouraged me to constructively adapt to the organization's expectations (Barner & Higgins, 2007) and to understand the impact of my behavior on myself and others. As a result, I developed a loyalty to him and wanted to meet his expectations. When I became a post-commander, I adopted a similar coaching approach, taking a personal interest in the success of the troopers while achieving organizational goals.

Policy and Procedure

Policy and procedure offer one method to control officer discretion. Therefore, one may assume that an officer will follow departmental policy at the risk of sanction. However, given the ambiguous nature of law enforcement, structured discretion does not come without consequences. First, the common-sense resolution to a situation may not fit the policy. Second, the policy may expose the officer and department to civil litigation in cases where the officer did not follow the policy for a good reason. Finally, actions that comply with the law

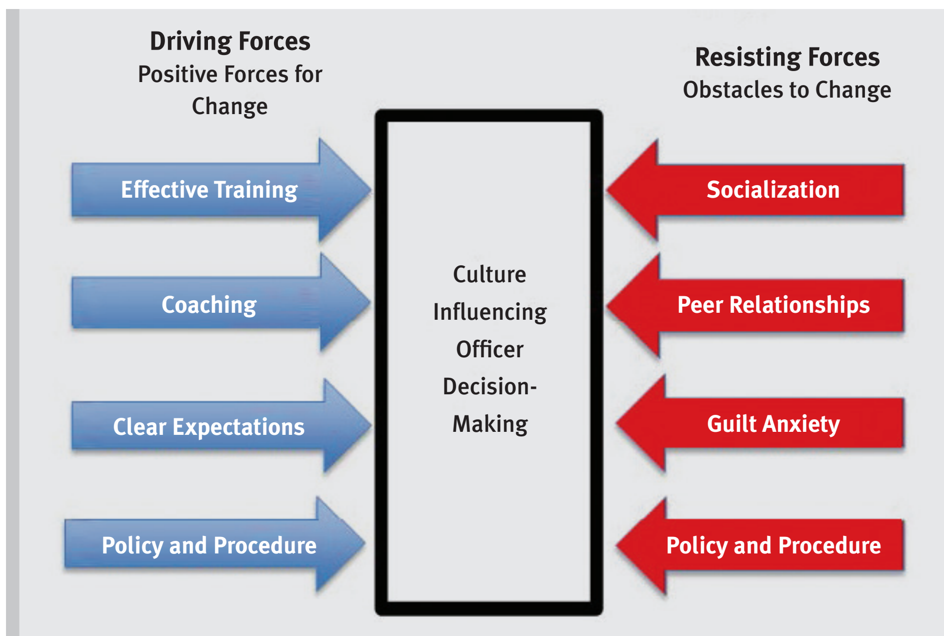

Figure 1. OfficerDecision-Making Force Field Analysis

but violate departmental policy can become issues in successfully prosecuting criminal cases (Goldstein, H., 1977). For these reasons, policy often allows for flexibility at the expense of structured discretion.

Policy and procedures regarding recognition and awards, which is a part of the culture adopted from the military, also communicate the organization's emphasis on certain activities, and influence decision-making. There is a coded system where, for example, yellow uniform ribbons that signify physical fitness are awarded for maintaining a designated weight and green uniform ribbon signify safe driving. I wore a red ribbon with blue and white stripes that showed I had earned a college degree.

Earning a uniform ribbon is a powerful motivator in this culture and can have a positive impact. However, an example of an award recognition that holds potential for adverse impact on officer discretion is drug interdiction operations. After extensive and ongoing training in the importance and limitations of the 4th Amendment I understood that if certain legal conditions were not present, there was no authority to search. I also understood case law could be fluid and the message was to take a conservative approach to search and seizure issues. In the early 1990s when drug interdiction efforts and the increased use of consent searches were in their infancy, if there were no legal grounds to search, I could ask, and if the person consented, I could proceed with a search. My objection to this approach was that many law enforcement orders that are presented as requests, are understood as non-negotiable (May I see your license? Would you step out of the car?). "May I search your vehicle?" is not seen as an option and may undermine public trust. When an award and uniform ribbon were instituted for drug interdiction efforts, it added a self-serving motivation to the officer's decision-making process and held the potential to undermine public trust.

Competing Forces

Criminal justice scholars have consistently identified the need for police reform for several decades. Yet, the evolution of law enforcement practices has not appeared to keep up with societal expectations. Training seems to be the default response in the aftermath of an undesirable police event; however training alone cannot overcome environmental factors and culture to bring sustainable change. Many policing models have been developed over the years, such as the watchman style, legalistic style, service style, professional models, data-driven, community-oriented, etc. Each approach has strengths and weaknesses; however, with 18,000 agencies across the country (Banks, 2016), no single system fits the needs of every law enforcement operation.

At the core of every traffic stop, arrest, search, act of bravery, and incident of misconduct is decision-making. With the rise of video recordings, the ability to establish what happened has improved but video cannot explain why it happens. When compelled to defend one's actions, following orders or prior training is often the default answer; however, decision-making is still involved. Therefore, it is important to understand the forces that influence decision-making. While law enforcement may appear unmoved, it is not. As explained in Lewin's Force Field Analysis, there are forces in the organization and its environment that push the system toward its goal and forces that prevent this movement (Burke et al., 2009). *Figure 1* illustrates the environmental forces that influence officer decision-making that I have outlined. These forces constantly affect the decisions of individual officers daily and throughout their careers.

Culture Change

Many factors complicate effective police reform. There are 18,000 separate law enforcement agencies across the country (Banks, 2016), each responsible for establishing and enforcing standards set by various political entities. With the quality of service spanning the spectrum, attempts to generalize the problems in law enforcement, let alone effective reforms, do not resonate with all audiences.

Leadership is essential to learning. In a paramilitary structure, leadership is distributed at all levels of the organization, however considerable weight is given to the words and actions of higher-ranking officers. The leader sets expectations and then confirms or withholds approval. During difficult times, the leader will demand new or different behavior to help the organization evolve (Schein, 2017). Even if organizations have leaders with the insight and skills to influence culture, if reforms are not institutionalized, when the leader leaves, the organization will revert to old ways.

An Expectation of Change

Assessing the culture is the first step in response to an identified issue or problem. An example of this is how in 2016,

I coordinated the Ohio State Highway Patrol's support of the United States Secret Service and Cleveland Police Department during the Republican National Convention. When the Secret Service agent showed me to my office in the Federal Building, he said I would have a good view to watch Cleveland burn. I soon realized his pessimism was due to a lack of coordination of local law enforcement resources. The convention site was secure with ample Federal resources; however, the challenge was the streets and neighborhoods of Cleveland. We developed detailed, written plans and discussed contingency plans through meetings with individual operational commanders of over 2,000 officers from agencies all over the country. The clear and repeated expectation was to focus on ensuring a safe environment. Although we had tactical teams and officers in riot gear, we deployed officers in regular uniforms because we believed the public did not need to see these resources. We encouraged officers to talk with people but avoid discussing political ideology. Additionally, monitoring social media was an excellent resource to ensure we had sufficient officers visible in the high-risk areas, with additional resources staged in reserve if needed. As a result, Cleveland did not burn, and there were no significant incidents.

The leader must be able to communicate the threat that the problem presents to the organization and emphasize the need for change. While the leader may not possess the skill, knowledge, or time to assess the culture, it is difficult for anyone outside an organization to understand the culture beyond the observable artifacts and stated values. Therefore, an insider is needed to provide context, perhaps working with an outsider such as a researcher or consultant, to create the process to obtain a more detailed understanding to reach the underlying assumptions of the culture. With this knowledge, the leader can institute new role models that reflect the desired changes while researching potential solutions. As behaviors evolve toward the desired change, the leader needs to take steps to reinforce and institutionalize the desired behaviors (Schein, 2017).

Conclusion

Early in my career I received training from the United States Holocaust Memorial Museum. The training focused on how, in the 1930s, the Nazi party believed that due to the community's trust in the local police, involving the police would minimize resistance to the relocation of the Jews to concentration camps . Furthermore, the institutional conditioning of the police officers would ensure they would follow orders regardless of their beliefs (*German Police in the Nazi State*, n.d.). From studying this dark period in history, two lessons stand out. First, while there are challenges with the decentralization of policing which may result in calls to standardize policing nationwide, this may be one of our most significant safeguards to democracy. And finally, if leaders can use institutional influence to commit unspeakable acts, I believe leaders can use the same power to meet societal expectations.

References

Banks, D. (2016). *National sources of law enforcement employment data*. 17.

Barner, R., & Higgins, J. (2007). Understanding implicit models that guide the coaching process. *Journal of Management Development, 26*, No 2.

Burke, W. W., Lake, D. G., & Paine, J. W. (Eds.). (2009). *Organization change: A comprehensive reade*r (1st ed). Jossey-Bass.

German police in the Nazi state. (n.d.). United States Holocaust Memorial Museum. *https://encyclopedia.ushmm.org/content/en/article/german-police-in-the-nazi-state*

Goldstein, H. (1977). *Policing a free society*. Ballinger Publishing Company.

Hitlin, S., Kwon, H. W., & Firat, R. (2021). In- and out-groups across cultures: Identities and perceived group values. *Social Science Research, 97*, 102569. *https://doi.org/10.1016/j.ssresearch.2021.102569*

Kitts, J. A. (2003). Egocentric bias or information management? Selective disclosure and the social roots of norm misperception. *Social Psychology Quarterly, 66*(3), 222–237. *https://doi.org/10.2307/1519823*

Miller, D. T., & Prentice, D. A. (1994). Collective Errors and Errors about the Collective. *Personality and Social Psychology Bulletin, 20*(5), 541–550. *https://doi.org/10.1177/0146167294205011*

OSHP Office of Planning, Research, and Development—Statistical Analysis Unit. (2021). *Ohio State Highway Patrol Public Survey* (p. 39).

Schein, E. H. (1990). Organizational culture. *American Psychologist, 45*(2), 109. *https://doi.org/10.1037/0003-066X.45.2.109*

Schein, E. H. (2017). *Organizational culture and leadership* (5th Edition). Wiley.

Wilson, J. Q. (1978). *Varieties of police behavior. The management of law & order in eight communities*. Harvard University Press.

Herbert Homan, MCJ, BSS, AAB, is a doctoral student in the Organizational Development and Change program at Bowling Green State University. Employed by the Ohio State Highway Patrol for 34 years, he retired in January of 2022. Mr. Homan is interested in leveraging his experience by researching law enforcement agencies' ability to influence employee behaviors to meet societal expectations through the lens of a lifelong practitioner. He received an associate degree in business from the University of Akron, a bachelor's degree in specialized studies with a concentration in psychology from Ohio University, and a master's degree in criminal justice from Bowling Green State University.

When not working, he volunteers as a Court Appointed Special Advocate, representing children adjudicated abused, neglected, or dependent. He has been married for 35 years and is the father of two adult children. Herbert can be contacted at *hbhoman@BGSU.edu*

> "The banking habits within low-income communities consume valuable resources that could be used to pay for other essential needs for these families."

Changing Banking Habits in Low-income Communities

By Val A Kaba

Abstract.
This paper examines how the current practices within the banking industry have helped influence banking habits within low-income communities. Using existing research data that studied low-income communities' current banking habits, the growth in check-cashing businesses, and current banking industry practices, this article suggests that changes in the banking industry practices are vital to help promote better banking habits within low-income communities. The impact of such changes will reduce unnecessary financial costs while generating savings that can help these communities build additional cash reserves. The findings show that with the support of banking industry leaders, government regulations, and philanthropic community revitalization efforts, these changes will create more inclusive products and services.
Keywords: low-income communities, banking industry, check-cashing businesses, social responsibility, community revitalization.

> "All our life, so far as it has definite form, is but a mass of habits."
> —William James

The habits we create could have significant implications for our well-being. The banking habits within low-income communities consume valuable resources that could be used to pay for other essential needs for these families. These costs include additional fees for services like check-cashing, utility bill payments, and cash advance servicing, to name a few. One may ask why these habits exist and whether they can be broken or changed. Who are the key players directly or indirectly promoting these banking habits, and can we advocate for more fair practices for these players? While the blame frequently falls on the families within these low-income communities, the current banking industry has played its role in influencing these unhealthy banking habits for low-income communities.

Banking Habits in Low-Income Communities

The United States Department of Treasury defines a low-income community as a census tract with a poverty rate of at least 20% or a median family income of 80% or less than the area it is benchmarked against (Metropolitan areas for metropolitan tracts, state for rural tracts) (Benzow et al., 2020). In addition, these communities often lack adequate access to resources, including healthcare, good education, recreational facilities, and conventional banking services that provide low-cost everyday banking solutions for families.

Many of the banking needs for families in these communities are the same as middle-class and wealthier customers—for example, access to cash from a paycheck or government check, utility bill payment services, access to lending solutions and emergency funds, the convenience of

nearby banking centers with accommodating hours of operation, and access to financial wealth planning advice. Nevertheless, due to the unavailability of conventional banking locations in low-income communities and banks shutting down branches, these communities rely on businesses like check-cashing for their banking needs (Squires & O'Connor, 1998). Even though they can provide most of these services to their customers, check-cashing businesses tend to charge a high upfront fee which they justify by classifying these communities as "higher risk" customers (Squires & O'Connor, 1998). The risk of default on a short-term loan and the chance that a cashed check is unpaid could result in a potential loss for the check-cashing business or the bank.

To meet everyday banking needs, low-income communities typically utilize nontraditional banks, sometimes fringe banks (Squires & O'Connor, 1998). One of the more common businesses these communities use as alternatives to traditional banking is the check-cashing business. Check-cashing businesses offer check-cashing services and provide various financial services and products, including utility bill pay services, remittance, money order sales, payday loans, and tax preparation services. The US Department of the Treasury classifies these businesses as "Money Service Businesses" (MSB). Because these businesses are not considered banks, they typically charge relatively higher fees for their services than traditional banks while providing convenient hours of operation to access their services. Check-cashing businesses are commonly found in city centers and "downtown" residential areas occupied by low-income residents (Squires & O'Connor, 1998). Cashing paychecks, utility bill payments, and payday loans are the three most common banking services in low-income communities. With the absence of traditional banking solutions and because these check-cashing businesses do not accept deposits, these communities more frequently use cash for everyday transactions and payments for other money-related services. Therefore, they tend to be excluded from potential benefits like interest rates and security while keeping money in bank accounts.

Table 1. *Two Hypothetical Banks- Bank A and Bank B*

Bank A—Improved banking practices that promote good banking habits	Bank B -Standard banking practices that promote bad banking habits
Offers checking account products to everyone with reasonable ways to avoid fees	Disqualifies credit from opening checking
Offers credit products for those without established credit and provides tools to help establish credit	Disqualifies those without established credit products without providing any tools to help establish credit.
Charges fair and reasonable fees for an overdraft on accounts. It is transparent with information on how to avoid fees	Charges excessive and unfair fees for an overdraft of account, and is not transparent on how to prevent fees
Adopts social responsibility as a value, believes in its broader implications, and helps educate communities on better banking choices	Adopts social responsibility at the minimum levels stated by law only to avoid potential sanctions.
Offers inclusive banking hours of operation, including during weekends and evenings	Offers strict hours of operation—Mon- Fri: 9 am–5 pm.

The Role of the Banking Industry in Influencing Banking Habits

The banking industry has a reputation for designing products, services, and practices that favor wealthy customers. When we look at the banking industry practices around lending, service fees, overdrafts, operating hours, marketing, and account opening process, they have historically excluded most individuals from low-income communities. Most low-income households do not hold a favorable view of banks. Though the banking industry has made changes in their practices to be more inclusive over recent years, there is still so much work left to overcome the impression of being left out for these communities who have been left with no choice but to adopt costly alternative habits.

Existing regulations, like the community reinvestment act (CRA) and fair lending laws, have compelled the banking industry to eliminate discriminatory practices and reinvest in the communities they serve. These acts and laws define audits and examinations while imposing sanctions and penalties for banks that fall below the minimum established requirements. However, most banks could expand their sense of obligation to society when designing and implementing their products and services. Though there has been positive progress in the banking industry around growing social responsibility (Pérez et al., 2012), more intentionally systematic changes are warranted.

Few individual banks within the banking industry have built processes and practices to address specific issues like excessive overdraft fees and discrimination that have helped create bad banking habits for low-income communities (Dlugosz et al., 2021). Changes like lower overdraft fees and more inclusive marketing practices have emerged because of federal penalties imposed on banks for violations of rules under the Federal Trade Commission Act (FTC Act) and Dodd-Frank Act (Samuel, 2021). These acts help reform banking practices considered unfair, deceptive, or abusive, commonly referred to as the UDAAP. These practices often target individuals in minority and low-income communities. While many banking institutions continue designing and promoting bad banking habits within low-income communities, some have begun modeling more inclusive banking designs and practices. *Table 1* compares the practices of hypothetical Bank A to the standard practices

of hypothetical Bank B and their impact on promoting good banking habits in low-income communities.

Ways that Banks Can Improve a Community's Banking Habits

With increased awareness of Diversity, Equity, and Inclusion, many corporations increased their philanthropic efforts to help revitalize low-income communities. This collective effort between corporations has emphasized less discrimination related to financial services practices. For example, in the wake of the racial tensions that spread across the U.S. after the death of George Floyd, U.S. corporations pledged over $50 billion to revitalize Black communities (Quiroz-Gutierrez, 2021), which primarily represent low-income communities. In addition, these efforts from some Philanthropic organizations like Catholic Charities and United Way support financial literacy programs for low-income communities, which can be further expanded and leveraged to help create more banking knowledge and awareness around better banking habits.

Five additional ways the banking industry can contribute to more inclusive practices include:

1. Adopting social responsibility as a core value
2. Offering and marketing checking account products to everyone with reasonable ways to avoid monthly service fees
3. Redesigning overdraft products to make them fair and transparent while also providing low-cost options to avoid overdraft fees
4. Offer more inclusive credit products for those without established credit, and
5. Better banking hours of operation.

Implementing one or more changes could help break bad banking habits in low-income communities.

1. **Embed Social Responsibility** in every stage of banks' operations, including product design, marketing, and banking practices. With social responsibility as a core value, a socially responsible bank will demonstrate that it truly values the communities it serves and will invest in ensuring that everyone, especially low-income households, feels encouraged to utilize its services.
2. **Design and market checking account products to everyone** with reasonable ways to avoid monthly service fees. This change would be a good step toward promoting better habits. Creating a checking account solution for low-income families can help provide options to get their paychecks without the additional fees they currently pay at the check-cashing business.
3. **Redesign overdraft products** to make them fair and transparent while also providing low-cost options to avoid overdraft fees. Low-income households are more likely to spend more money than they have available, making it essential for banks to ensure fair and transparent service fees. Also, ensure that low-income families are informed about general ways to avoid such fees. Providing more inclusive short-term borrowing options will help create better habits within low-income families. These changes give incentives to plan more effectively within reasonable financial means. These changes will also discourage using check-cashing businesses and payday loans.
4. **Offer more inclusive credit products** for those without established credit. Given the importance of credit in our society, the banking industry can offer credit-establishing tools that will include low-income communities. Tools like credit education and secure credit cards can help establish credit, providing better borrowing options than payday loans.
5. **Expand banking hours of operation.** More adjusted banking hours could encourage low-income communities to visit a traditional bank more frequently. Due to the nature of their work weeks, members of these communities are more likely to visit the banks during weekends or after regular standard banking hours of 9 am–5 pm as they need checks cashed and utility bills paid. Just by matching their hours to meet the needs of low-income communities, banks could provide a realistic alternative to check-cashing businesses and promote a positive shift in banking habits.

Conclusion

The fundamental banking needs of low-income communities are like every other community, including savings, borrowing, investing, checking accounts, and convenience. However, influenced by today's banking industry, these communities often have fewer banking choices than wealthier communities. The current practices of the banking industry have led to the rise of higher-cost alternatives like check-cashing businesses, which cost more for

The current practices of the banking industry have led to the rise of higher-cost alternatives like check-cashing businesses, which cost more for low-income communities and leave few choices but to rely on these businesses for their banking needs. The banking industry needs to take full ownership of its social responsibility to these communities. When these communities feel included and have a fair chance to make better banking choices, good banking habits will begin to form, thus helping them save money and build a more vibrant society with happier families, less financial burden, and increased financial knowledge.

low-income communities and leave few choices but to rely on these businesses for their banking needs. The banking industry needs to take full ownership of its social responsibility to these communities. When these communities feel included and have a fair chance to make better banking choices, good banking habits will begin to form, thus helping them save money and build a more vibrant society with happier families, less financial burden, and increased financial knowledge. These outlined changes could provide additional benefits to the banking industry as low-income communities will avoid the "high risk" classification of bank prospects (Squires & O'Connor, 1998). As a result, a larger market for more profitable traditional bank products like mortgage loans, car loans, savings, and investment products and services could emerge.

Reference

Bank profitability—definition and more. The definition (n.d.). Retrieved November 6, 2022, from *https://the-definition.com/term/bank-profitability*

Benzow, A., Fikri, K., & Newman, D. (2020, July 30). *Meet the low-income communities eligible for powerful new small business relief in the Rubio-Collins Phase IV proposal.* Economic Innovation Group. Retrieved November 6, 2022, from *https://eig.org/news/meet-the-low-income-communities-eligible-for-powerful-new-small-business-relief-in-the-rubio-collins-phase-iv-proposal*

Corporate Social Responsibility of Banks. RSS. (n.d.). Retrieved November 6, 2022, from *https://www.joinatmos.com/blog/corporate-social-responsibility-of-banks*

Dlugosz, J., Melzer, B., & Morgan, D. P. (2021). Who pays the price? Overdraft fee ceilings and the unbanked. *SSRN Electronic Journal*. *https://doi.org/10.2139/ssrn.3876646*

Duhigg, C. (2014). *The power of habit: Why we do what we do in life and business.* Random House.

Pérez, A., Martínez, P., & Rodríguez del Bosque, I. (2012). The development of a stakeholder-based scale for measuring corporate social responsibility in the banking industry. *Service Business,* 7(3), 459–481. *https://doi.org/10.1007/s11628-012-0171-9*

Quiroz-Gutierrez, M. (2021, May 6). American companies pledged $50 billion to black communities. Most of it hasn't materialized. *Fortune*. Retrieved November 6, 2022, from *https://fortune.com/2021/05/06/us-companies-black-communities-money-50-billion/*

Samuel, V. (n.d.). UDAAP: A new standard for consumer compliance protection in banks. *CBIZ, Inc*. Retrieved November 6, 2022, from *https://www.cbiz.com/insights/articles/article-details/udaap-a-new-standard-for-consumer-compliance-protection-in-banks*

Squires, G. D., & O'Connor, S. (1998). Fringe banking in Milwaukee. *Urban Affairs Review, 34*(1), 126–149. *https://doi.org/10.1177/107808749803400106*

Val Kaba has 16 years of experience in the banking industry, having worked in various roles for five different banking institutions, including bank teller, personal banker, assistant branch manager, financial center manager, and business banker. In his current role, Val works to understand business clients' needs and helps bring unique insights and value to everyday interactions with the businesses he supports. Val is a father, husband, student, banker, soccer coach, and community man. He enjoys working, coaching youth soccer, and serving his community through volunteer programs, including Children's Resource Center, Work Leads to Independence, Bowling Green Soccer Club, and Bowling Green Kiwanis Club.

He is currently enrolled at Bowling Green State University, pursuing his doctorate in Organization Development and Change. He attained his master's degree in business administration (MBA) from the University of Toledo in 2010 and a bachelor's degree (BSc) in Banking and Finance from the University of Buea in Cameroon in 2006.

Val is passionate about exploring ways banking systems can become more inclusive to poor communities. If you are interested in being part of this journey, please reach out to Val at *vkaba@bgsu.edu*.

> "Using ourselves as vehicles of change, whether we are municipal employees, elected officials, voters or just concerned citizens will be crucial to the success of turning local government institutions into more empathetic organizations and rebuilding trust in government institutions."

The Heart of a City

Using Empathy for Connected Municipal Public Policy

By Sara Kline

Abstract
This article explores the relationship between empathy and the practices used to design and implement municipal public policy. Given the challenges faced by government at all levels to capture the trust and support of the public, using empathy is a useful tool for municipal governments to employ.

Building upon Brown (2010, 2018) and the power of connection, I argue empathic municipal public policy should strengthen the connection among citizens, city government, municipal employees, and elected officials. With further conversation and practice, utilizing empathy as a primary driver of municipal public policy will foster improved relations between citizens and municipal government. OD practitioners have a valuable role in facilitating greater trust and a more positive relationship between citizens and government.
Keywords: empathy, municipal, organizational culture

"All I want my local government to do is pick up my trash and then leave me alone."

"You can't fight City Hall."

"Taxes are too high, and I never get anything out of paying them."

"Every politician is corrupt and a liar. You're no different."

These are common sentiments people express when questioned on their attitudes about government. Each of these statements has been said directly to me more than once. I have served as a City Councilperson, Mayor, and Safety Director and now hold a Cabinet-level municipal position as Parks and Recreation Superintendent. All these different municipal positions, both elected and appointed, have exposed me to the reality that many citizens feel quite disconnected from the government that serves them.

Thoughts like this often derive from a feeling that no one understands the needs of a resident, or worse, that the needs are understood but policymakers do not care. The level of distrust in government is significant and is impacting the fabric of our democracy. In the yearly survey by the National Election Study, conducted annually since 1958, the share of the American public who says they can trust the government "always" or "most of the time" has not risen above 30% since 2007. This represents a significant drop from 1958 when approximately three-quarters of the American public identified trust in the government always or most of the time (Pew Research, 2022). Despite this, the best opportunity for improvement is at the level of government closest to home.

Just as people feel most acutely what is closest, they know and build a relationship

with what is nearest. Local governments build a relationship with constituents not possible for larger, more removed forms of governmental authority. This relationship is reflected in data that demonstrates a higher degree of trust in local government than in any other government structure. Reporting on a poll for *Gallup News*, Brenan (2021) shared that "confidence in local government remains higher (66%) than it is for state government (57%)." Although America trusts state government slightly less than local government, "Americans' trust in their state and local governments' ability to handle problems under their purview continues to be higher than trust in the federal government and its three individual branches" (Brenan, 2021). This polling has remained stable since the 1970s and has seemed to be insulated from the distrust felt toward the government at the federal level.

It is in the interest of everyone that we work as a society to rebuild trust and forge a strong relationship between citizens and our government. As citizens and OD practitioners, we need to use the existing strengths of local government and the relationships cities have with residents to build upon the trust and positive feelings many people retain toward their local government. By doing so, trust may slowly be transferred to governmental authority at more distant levels such as at state and federal government. Using ourselves as vehicles of change, whether we are municipal employees, elected officials, voters or just concerned citizens will be crucial to the success of turning local government institutions into more empathetic organizations and rebuilding trust in government institutions.

The fracturing of American society over the past decade along political fault lines, culminating in violence toward people who hold opposing views, or those attempting to carry out Constitutionally authorized duties, such as the breach of the United States Capitol on January 6, 2021, makes this problem in need of urgent attention. Every level of government is at risk. I propose to start the process of rebuilding trust and forging strong relationships between citizens and their government by using empathy as a pillar of municipal public policy.

John Locke and the Enlightenment thinkers identified that government was of, by, and for people. By transferring some individual liberties to the collective through the social contract, we ensure that our needs can be addressed by our government (Locke, 1689). Certainly, representative government was not thought of at that time in the way modern democracies consider it, but the notion that there are things no individual can provide for themselves, so government does that on our behalf, is familiar to modern readers.

The concept of "home rule" is rooted in the belief that the closer a government is to the people it serves, the better it can understand the needs of those people. This formal legal practice was instituted in the early 1900s, allowing municipalities and other forms of local government to retain authority in matters relating to the local community that were not expressly reserved for states or the federal government (Cities 101—Delegation of Power, 2021). Although there are excellent, indisputable reasons for the superior authority of a federal or state government, the United States has a strong tradition of placing value on local entities to self-govern in many matters. The Constitution states that authority not reserved as part of the federal government remains with the states. The states, in turn, have utilized the concept of home rule to transfer authority to local entities. It is this system most Americans are familiar with.

Government services inevitably flow from the public policy that creates a program or service. A government culture of empathic thinking in public policy development promotes employees utilizing their ability to make decisions at the programmatic level to best serve residents. Constituents will reward the government agency that sees their needs through an empathic lens with trust, confidence, and positive feedback. As in any relationship, these are the elements of a successful bond. If a strong and trusting relationship between citizens and the government is a path forward to repairing the fractured nature of American democracy, all parties involved must be willing to use paradigms that speak to the needs of the people and communities served.

Empathy is one such paradigm that can affect systems and promote organizational change to internal and external constituents. Defined as "the ability to share someone else's feelings or experiences by imagining what it would be like to be in that person's situation," empathy is the very core of what responsive public policy aims to achieve (Cambridge Dictionary, n.d.). Public policy crafted without consideration of the situation and perspective of constituents and their needs is likely unresponsive at best and harmful at worst.

A healthy, functioning government is essential to a just society. Government employees make public services work well, or not at all. I have seen first-hand how empathy in local government organizations can change citizens' lives for the better. Public policy decision-makers who strive to improve outcomes and quality of life for residents are rewarded by a community that trusts, values, and provides positive feedback to those decision-makers. Employees can execute programs and services that are positively received, and elected officials can reap the rewards of a citizenry that appreciates their efforts at quality decision-making.

Local Government Impact

Working for a municipal street department, local fire district, parks and recreation agency, or community development division of a city may seem removed from the people you serve. However, the actions of public employees can definitively have a positive or negative impact. Using empathy to design public policy and the resultant services goes beyond positive customer service or efficient programs. It seeks to design policy and services that understand and address the needs of the community in such a way that the resident already knows they are interacting with an organization that values them before they even talk with an employee.

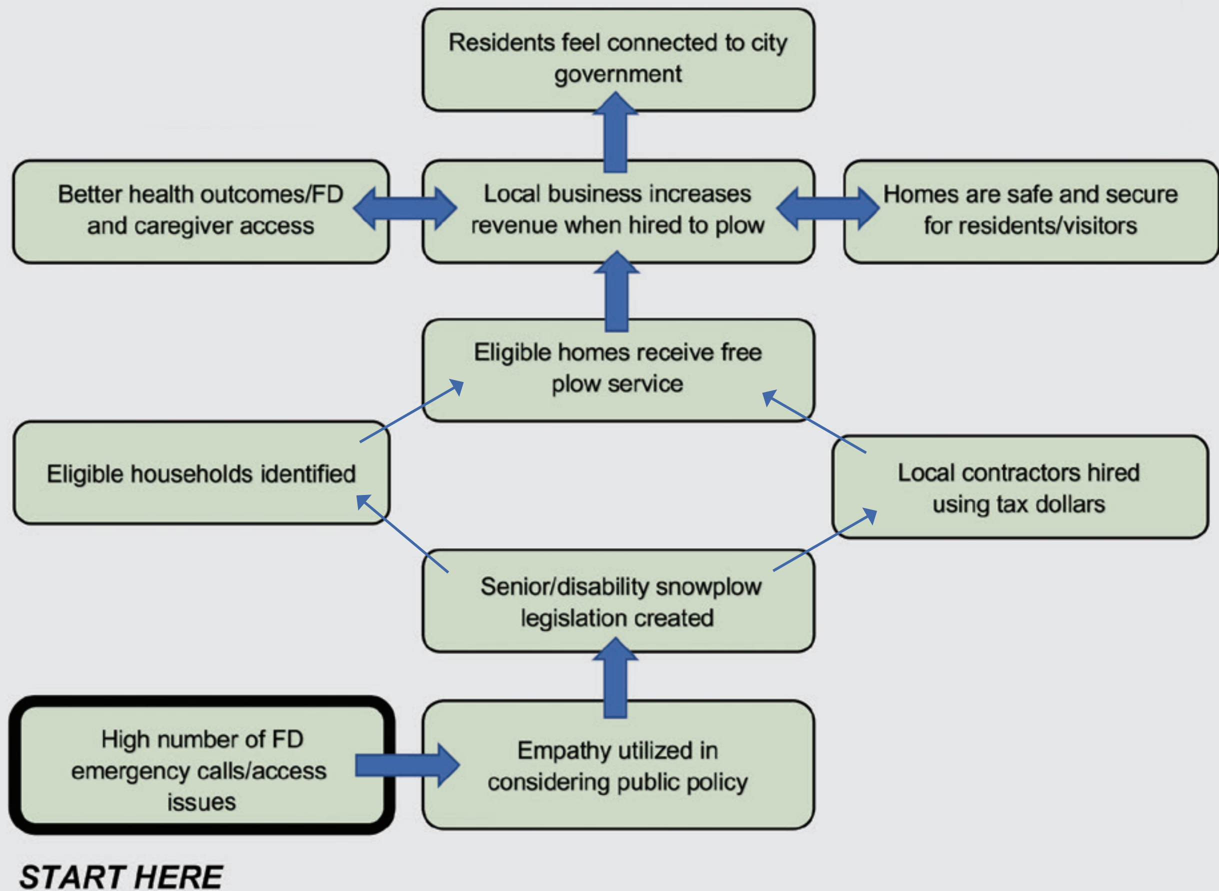

Figure 1. Senior/Disabled Snowplow Program (*Note.* This figure demonstrates program design.)

Some examples of this thinking are illustrated as follows:

» A municipal parks department is tasked by public policy to offer community events that provide opportunities for families to gather. The same policy asks the parks department to assess the needs of the community and tailor programs to ensure inclusion. Utilizing an empathic approach, the parks department offers sensory-friendly options at its community events because the staff understands that their community has families with loved ones who live with sensory disorders. The empathic public policy and resultant inclusive programming mean people feel comfortable and bring their family member living with autism, instead of staying home and feeling isolated. This increases the trust and connection between that family and their local municipal parks and recreation department and staff.

» Snow and ice control is a common municipal public policy in cold climates to ensure overall public safety. Typically, property owners are responsible for snow and ice control on their driveways and sidewalks. However, if a city uses empathy to relate to the challenges faced by certain elderly or disabled residents, and offers free snowplowing services for those homeowners, their caregivers have easier access to provide supportive care and the fire department can effectively respond to emergencies. This pragmatic solution to a seasonal issue means that homeowners who might otherwise suffer from isolation, lack of medical care, or who may attempt to clear the snow themselves and become injured are kept safe. Not only does this increase the goodwill between these homeowners and their municipality, but it can also be a factor in lowering overall costs to taxpayers: keeping people safe and in their home is less expensive than caring for someone in a facility, especially if a simple solution like this can allow a resident to remain independent.

Figure 1 illustrates a free snowplow program that was designed using empathy as a pillar. In this Figure, the value of empathy is illustrated in the quality of life for the recipients, enhanced revenue for the business community, and overall savings for taxpayers. In this scenario, local contractors benefit from increased business, residents who qualify for the program are assured they will be able to have safe access out of their driveways and caregivers will have safe access into their home after snow events. Taxpayers are assured that individuals can remain independent instead of being placed in a nursing facility at a greater cost to Medicaid and Medicare. This program also saves local tax dollars by allowing safe access for the Fire Department and lowers possible injuries if the Fire Department personnel need to transport a patient outside their home over a snowy, icy sidewalk and driveway. All these

positive outcomes increase the connection among municipal workers, public policymakers, residents, and local business owners, leading to greater trust and more positive relationships.

Only by looking at the community and its residents through the lens of empathy can public policy decision-makers craft policy that encourages employees to act in an empathetic manner. When empathy is a pillar of the organization, it creates a cultural shift within the municipal structure and becomes a value that is reflected in all the actions of the city. When empathy is a value of the organization both internally and externally, connection grows. Employees feel valued by their employer (the municipality) and residents feel connected to their city. It cannot be overstated how this becomes a cycle of fulfillment for all parties: residents, employees, and elected officials. “A widespread sense of empathy starts to influence the culture of a place, giving it a sense of clarity and mission. People spend less time arguing about things that ultimately don’t matter. Empathy can even start to ensure more ethical behavior in a way that no policies and procedures manual ever could” (Patnaik & Mortensen, 2022). When municipal culture is positively affected in this manner, I believe it can only be a benefit to all the stakeholders.

One of the challenges often cited is the frustration taxpayers may feel when they do not believe their tax dollars are utilized appropriately. I argue that empathic municipal public policy will help reassure taxpayers that their local taxes are spent on programs, services, and infrastructure that meets their needs because it was designed with their needs as a primary consideration. There is evidence that the use of an empathic model in public policy can also decrease the financial burden on taxpayers. This decrease can be shown in specific programmatic goals and by an overall improvement in quality of life, lowering the need for acute and emergency interventions, which by nature of their structure cost more.

It is critical to discern the difference between empathy and sympathy. As discussed earlier, empathy is imagining yourself in someone else’s circumstances, while sympathy is defined as “feeling of sincere concern for someone who is experiencing something difficult or painful.” Municipal services are funded through taxation, so a reasonable use of taxpayer monies must be a strong consideration when developing public policy. Sympathy for a group or individual does not necessarily mean good public policy for the whole. Nonprofit organizations that exist to address a specific range of social issues are best suited for that work.

Thinking through service delivery with an empathic value system can diminish the need for duplication or corrective services, reducing the need for staff or material costs. “Higher-empathy policy-making practice leads to better policy, which leads to better services, which leads to efficiency and cost savings, as well as happier people out there in the world” (Collingwood-Richardson, 2018).

The benefit of empathy to municipal public policy and operations is clear. Once municipal leaders agree that empathy is a construct that increases trust between local government and residents, as well as improves outcomes for programs, a path must be developed to forge a more empathic municipal operation. There are examples of how to increase empathy in both individuals and organizations, as well as municipalities that are already implementing empathy as a core value.

Empathy in Action

It is critical to discern the difference between empathy and sympathy. As discussed earlier, empathy is imagining yourself in someone else’s circumstances, while sympathy is defined as “feeling of sincere concern for someone who is experiencing something difficult or painful” (Merriam-Webster, n.d.). Municipal services are funded through taxation, so a reasonable use of taxpayer monies must be a strong consideration when developing public policy. Sympathy for a group or individual does not necessarily mean good public policy for the whole. Nonprofit organizations that exist to address a specific range of social issues are best suited for that work. However, using empathy to craft responsive public policy and the resultant services means a community’s needs are imagined by public policy decision-makers and executed by municipal employees in the form of services.

Zaki (2020) discussed how individuals can learn to be more empathic and the value that it brings to society by arguing that empathy is a skill, not an innate trait (2020). Given that skill development is an intrinsic element to most employee development programs, including government employee programs, it would benefit cities to add this skill base to their training regimen. Simply stating empathy as a value will not be enough to both craft empathetic public policy and ensure that services are carried out with empathy as a value.

Schumann, Zaki, and Dweck (2014) concluded that putting effort into increasing empathy is necessary to increase empathic skills. Additionally, they found that holding the mindset that empathy can be fostered is key to the successful enhancement of empathic skills.

By studying the effects of empathy bias and counter-empathic responses among intergroups and out-groups, Cikara, Bruneau, Van Bavel, & Saxe (2014) found that people tend to have a more empathic view of people within their inter-group, with inter-groups described as people of similar

cultural or social groups (2014, p. 110). However, this is not a set definition, but rather a loose parameter to understand the concept. Given that the municipal government is serving an "inter-group" of residents all living in the same political subdivision, reminding decision-makers that each member of that community is part of their inter-group may be beneficial in helping them in seeing stakeholders through an empathic lens. Rather than viewing distinct neighborhoods, demographic subsets, or special interest advocates as unique challenges, it can be helpful to see them as part of the fabric of that municipality's inter-group.

Whether through regular conversations among teams and their managers, as part of public meetings, or in internal and external communications, it is necessary to continuously reinforce this message (as it is all skills) until they are routine and automatically part of the processes of the organization. Efforts toward activating empathic thinking should also be part of a new hire orientation for municipal workers with elements tailored to the specific duties and responsibilities of their department. Skill development programs focused on empathy is an area OD practitioners have a unique opportunity to provide support for organizational change in local government.

Research shows that organizations can manifest greater empathy. Choosing to value empathy in an organizational culture creates multiple positive outcomes (Brower, 2021). The stakes for positive outcomes are greater in government agencies than in other sectors. Bad public policy or ineffective public services can directly affect the quality of life in an entire community and cut across economic, racial, gender, and cultural backgrounds. Simply put, not using an empathic lens in municipal public policy can create a disastrous outcome for many people.

An empathic lens helps employees in seeing the importance of their work and empowers employees to make decisions that ensure the betterment of the overall community. Although not a traditional focus of government or municipal public policy, making empathy a priority or foundational pillar of a municipal organization is a "critical component of quality care in that it builds communication, understanding, and trust" (Meyer, Johnson, & McCandles, 2022, p. 359). Additionally, having empathy be a value and regular part of training for municipal government organizations aids employees in seeing their customers (residents of the community) through a lens of value.

Municipal Reference Points

Some municipalities have taken the step of incorporating empathy into their mission or value statements. This sends a clear message both externally and internally. Employees are reminded that public policy and resultant services are to be designed and delivered with an empathic lens. The public is reassured that their circumstances and needs are considered when decision-makers designate priorities.

Cities both small and large have begun to articulate the importance of empathy in their approach to municipal policy and services. While there are many more that attempt to embody the principles of caring, compassion, and consideration, empathy is a specific construct, and it bears note when cities call out empathy as a value and driving force behind decisions.

Examples include:

Phoenix, AZ
"We exhibit empathy by listening to each other and to the public in our efforts to deliver services that improve people's lives" (City of Phoenix Mission, Vision and Values, 2013).

Huntsville, AL
"We treat every person with respect, and we demonstrate an empathetic understanding in our efforts to serve them" (Huntsville Police Department, n.d.).

Cleveland Heights, OH
"Cleveland Heights employees are empathetic, proactive, and responsible to our residents, businesses, and visitors" (Mission and Vision Statement City of Cleveland Heights, n.d.).

American democracy must rebuild and strengthen the relationship between citizens and their government organizations. Given the proximity between citizens and their city, coupled with the already higher trust level between citizens and their municipal government, it is a promising place to focus these efforts. OD practitioners have a vital role to play in this critical need for our political system. Each of us is a stakeholder in our American democracy and the unique skill set of OD practitioners positions us to bring needed systemic change when and where it is needed most.

References

Abramson, A. (2021). Cultivating empathy. Monitor on Psychology, 52(8). Retrieved from *https://www.apa.org/monitor/2021/11/feature-cultivating-empathy*

Bergal, J. (2021, June 10). Tackling social inequity, some cities may ditch bus, subway fares. *Stateline*. Retrieved from *https://www.pewtrusts.org/en/research-and-analysis/blogs/stateline*

Brenan, M. (2021, September 30). Americans' trust in government remains low. *Gallup News*. Retrieved from *https://news.gallup.com/home.aspx*

Brower, T. (2021, September 19). Empathy is the most important leadership skill according to research. *Forbes*. Retrieved from *www.forbes.com*

Brown, B. (2010, June). *The power of vulnerability* [Video]. TED Conferences, TEDx-Houston. *https://www.ted.com/talks/brene_brown_the_power_of_vulnerability?language=en#t-1225099*

Brown, B. (2018). *Dare to lead*. Random House.

Cambridge Dictionary. (n.d.). Empathy. In *Cambridge.org dictionary*. Retrieved October 2, 2022 from *https://dictionary.cambridge.org/us/dictionary/english/empathy*

Cikara, M., Bruneau, E., Van Bavel, J. J., & Saxe, R. (2014). Their pain gives us pleasure: How intergroup dynamics shape empathic failures and counter-empathic responses. *Journal of Experimental Social Psychology, 55*, 110–125. *https://doi.org/10.1016/j.jesp.2014.06.007*

City of Cleveland Heights Mission and Vision Statement (n.d.). Retrieved from *https://www.clevelandheights.com/588/Mission-and-Vision-Statement*

City of Phoenix Mission, Vision and Values. (2013). Retrieved from *https://www.phoenix.gov/citymanager/vision-and-values*

Collingwood-Richardson, K. (2018, May 14). Empathy and future of policy making. *Foreword, Medium*. *https://medium.com/foreword/empathy-and-the-future-of-policy-making-7d0bf38abc2d*

Huntsville Police Department (n.d.). Retrieved from *https://www.huntsvilleal.gov/government/departments/huntsville-police-department/*

Locke, J. (1698). *Two treatises of government*. London: Printed for Awnsham and John Churchill.

Merriam-Webster. (n.d.). Sympathy. In Merriam-Webster online. Retrieved October 30, 2022, from *https://www.merriam-webster.com/dictionary/sympathy*

Meyer, S. J., Johnson, R. G., & McCandless, S. (2022). Meet the new Es: Empathy, engagement, equity, and ethics in public administration. *Public Integrity, 24* (4–5), 353–363. *https://doi.org/10.1080/10999922.2022.2074764*

National League of Cities. *Cities 101—Delegation of Power*. (2021). Retrieved from *https://www.nlc.org/resource/cities-101-delegation-of-power/*

Patnaik, D., & Mortensen, P. (2022, August 31). *The open empathy organization*. Jump. Retrieved November 15, 2022, from *https://www.jumpassociates.com/the-open-empathy-organization/*

Pew Research Center (2022, June 6). *Public trust in government 1958–2022*. *https://www.pewresearch.org/politics/2022/06/06/public-trust-in-government-1958-2022/*

Schumann, K., Zaki, J., & Dweck, C. S. (2014). Addressing the empathy deficit: Beliefs about the malleability of empathy predict effortful responses when empathy is challenging. *Journal of Personality and Social Psychology, 107*(3), 475–493. *https://doi.org/10.1037/a0036738*

Zaki, J. (2019, May 30). Making empathy central to your company culture. *Harvard Business Review*. Retrieved from *https://hbr.org/2019/05/making-empathy-central-to-your-company-culture*

Zaki, J. (2020). *The war for kindness: Building empathy in a fractured world*. New York, NY: Penguin Random House.

Sara Kline, MA, CPRP, currently serves as the Superintendent of Parks and Recreation for the City of Cuyahoga Falls, Ohio. She formerly served as Mayor of the City of Stow, Ohio as well as spent several years on Stow City Council as an At-Large Representative. Sara has employment experience with the Summit County (Ohio) Board of Developmental Disabilities and the State of Ohio.

A graduate of Bowling Green State University with a BA in History, and the University of Colorado at Denver with an MA in Counseling Psychology, Sara is currently a Doctoral student at Bowling Green State University in Organization Development and Change. Her area of interest is local government and organizational excellence in municipalities.

Sara is active in her community and serves on the Board of Directors for Summit Housing, a non-profit housing agency serving adults with developmental disabilities. A Northeast Ohio native, Sara lives in Cuyahoga Falls with her family. Sara can be contacted at *slkline@bgsu.edu*.

> "... more research is needed for IT and business stakeholders to better understand how to identify and correct Business-IT alignment and further define alignment through practice."

Information Technology Governance Mechanisms

Achieving Business-IT Alignment in a Local Government Agency

By Ebony Lothery

Abstract

The misalignment between enterprise IT solutions and an organization's business objectives is a concern in most organizations, including local government. Some organizations implement IT governance to align IT and the business and to better manage IT investments and spending. This article uses a case study approach that employs the Capability Maturity Model Integration (CCMI) to explore the initiatives taken by a local government agency with a focus on the alignment of IT projects with strategic business objectives and how it might continue to achieve alignment and optimize IT spending on strategic priorities. This agency is at the beginning stages and is developing structures, processes, and relational mechanisms to ensure IT projects align with strategic business objectives.

Keywords: business-IT alignment, IT governance, strategy alignment

The misalignment between Information Technology (IT) and the organization's business objectives is a growing concern in many organizations and has been a top concern of IT managers for almost 30 years. Aligning information systems to the organizational strategic goals is challenging due to business dynamics and organizational complexities (El-Telbany & Elragal, 2014, p. 250). In some cases, business executives lack a full understanding of IT's role and have minimal visibility into their IT investments (Maizlish & Handler, 2005, p. 1). Business-IT alignment focuses on the strategic direction and alignment of IT and the business for services and projects (Wasiuk & Lim, 2021, p. 2). In many conversations defining key business strategies and initiatives, there is an underdeveloped understanding of the business needs and the value that IT brings.

Business-IT alignment involves the correlation between business objectives and the IT requirements of an organization. It can be defined as a dynamic state when business effectively uses IT to achieve overall business objectives (Dissanayake, 2012, p. 3). Much of the literature on business-IT alignment remains theoretical and does not address how organizations achieve alignment in practice (El-Telbany & Elragal, 2014, p. 251; Jonathan, 2018), and more research is needed for IT and business stakeholders to better understand how to identify and correct business-IT alignment and further define alignment through practice.

This article uses a case study approach that employs the Capability Maturity Model Integration (CCMI) to explore the initiatives taken by a local government agency with a focus on the alignment of IT projects with strategic business objectives. Early results of this initiative have already provided useful insights into a local government agency's experience.

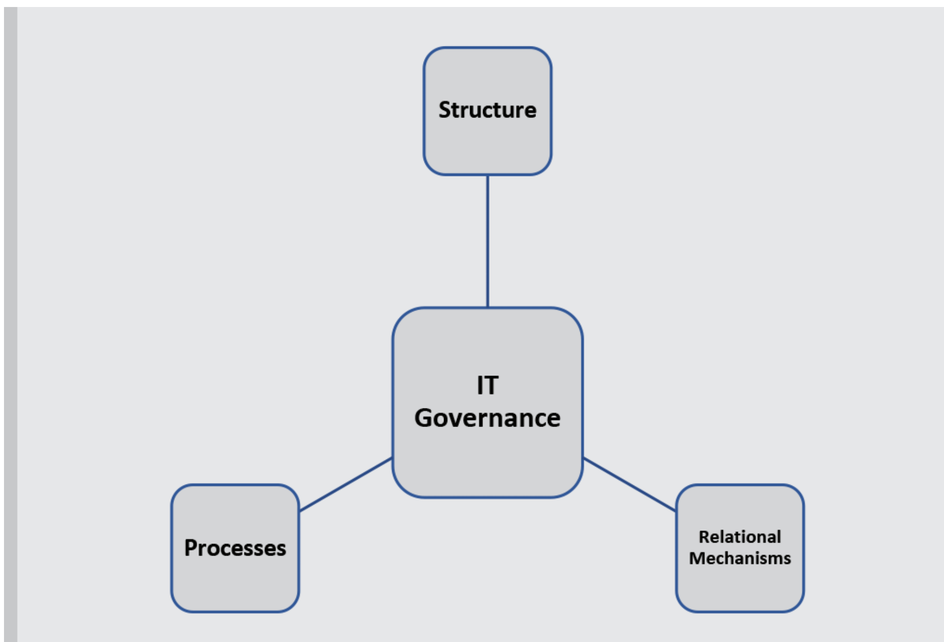

Figure 1. IT Governance Mechanisms: Structure, Processes, and Relational Mechanisms. *(From De Haes, Van Grembergen, Joshi, & Huygh, 2020)*

What is IT Governance?

IT governance is evolving, leading to various definitions of IT governance in the IT literature. Enterprise Governance of IT (EGIT) is defined as an integral part of corporate governance that involves the definition and implementation of processes, structures, and relational mechanisms, such as communication and announcements, that enable both business and IT stakeholders to execute their responsibilities in support of business-IT alignment and to create and protect IT business value (De Haes, Van Grembergen, Joshi, & Huygh, 2020, p. 24). In promoting the intellectual dimensions of IT strategic alignment, IT governance structures, processes, and communications provide an institutionalized context that enables shared understanding between corporate-level business, IT executives, and the top management team (Wu, Straub, & Liang, 2015, p. 504).

De Haes and Van Grembergen (2004) argued that implementing good IT governance requires designing and implementing a combination of structures, processes, and relational mechanisms that are contingent upon internal and external factors. As depicted in *Figure 1*, the combination of these mechanisms promotes an effective and efficient IT governance program and enables a better understanding of IT governance for organizational leaders.

Structures. The structure consists of organizational units and roles that are responsible for making IT decisions, and it serves to engage IT and business leaders in the governance process (Weill & Ross, 2004, p. 86). The organization units that comprise the structure include the Chief Information Officer (CIO), IT Strategy committee, and IT steering committee (De Haes & Van Grembergen, IT Governance and Its Mechanisms, 2004, p. 2). Weill and Ross (2004) considered structure to be the most important predictor of whether an organization will derive value from IT (p. 86).

Processes. The process is fundamental to enabling IT and business leaders to engage with each other and the enterprise-wide IT governance policies. Process alignment is a formal process to ensure that daily behaviors are consistent with IT policies and provide input into decisions (Weill & Ross, 2004, p. 86). This includes practices and routines used to manage people and groups within the organization.

Relational Mechanisms. The relational mechanisms are intended for shared information and enable business-IT participation, strategic dialogue, shared learning, and proper communication (De Haes & Van Grembergen, IT Governance and Its Mechanisms, 2004, p. 6). It is suggested that ongoing knowledge sharing across departments and organizations is paramount for attaining and sustaining business-IT alignment.

Stepping into Alignment

The Capability Maturity Model Integration (CCMI) was used by the IT Director and City Manager's Office to assess the alignment between IT and the business objectives. This model, which is a method of scoring that enables the organization to grade itself from non-existent (0) to optimized (5), was used for optimizing process development and improvement. It offers easily understood ways to determine both the "as-is" and the "to-be" (according to enterprise strategy) state and enables the organization to benchmark itself against best practices and standard guidelines (De Haes, Van Grembergen, Joshi, & Huygh, 2020). Maturity models can be a common language for organizations to use in understanding their implementation of IT and business objectives. They also guide the creation of gap analysis and road maps for improvement (Gorgona, 2021). *Figure 2* (next page) depicts the Capability Level for Processes and guides the assessment of process implementation and performance.

The local government agency's current maturity level was rated level 1—an initial/ad hoc state. "Governance is difficult to initiate, and the central IT organization and business units may even have an adversarial relationship. The organization is trying to increase trust between IT and the business, and there are normally periodic joint meetings to review operational issues and new projects. Upper management is involved only when there are major problems or successes" (De Haes & Van Grembergen, IT Governance and Its Mechanisms, 2004, p. 5).

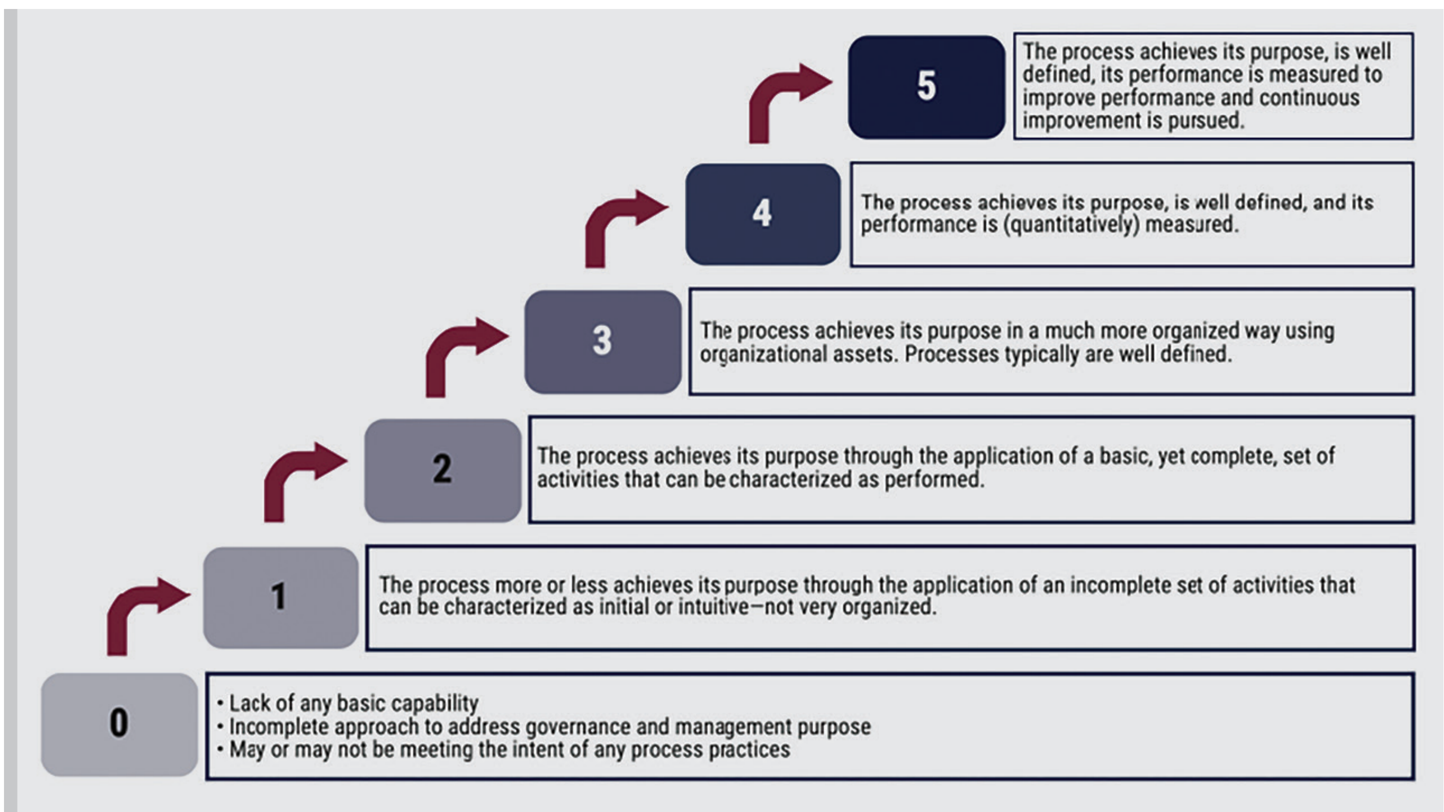

Figure 2. Capability Level for Processes

A lack of oversight of IT activities in the local government agency had led to disparate systems or departments implementing different solutions of the same software platforms. It also caused the procurement department to manage multiple contracts from the same vendor. Some of the newly purchased software did not meet the security requirements as outlined by the governing IT department or was not compatible or interoperable with existing infrastructure.

This situation did not meet the IT governance team's goals of ensuring that the IT solution portfolio across the local government agency remain manageable, supportable, and cost-efficient and to reduce silos where possible. The recommendation for the future states of structure, process, and relational mechanisms are realistic examples of what can be realized at a maturity level of 3. At that level, the agency would see that "the IT Steering committee is formalized and operational, with defined participation and responsibilities agreed to by all stakeholders. The governance charter and policy are also formalized and documented. The governance organization beyond the IT steering committee is established and staffed" (De Haes & Van Grembergen, IT Governance and Its Mechanisms, 2004, p. 7). Most organizations never reach level 5.

Renewed IT Governance Initiative in a Local Government Agency

As a member of that agency's IT governance team, I became involved in a renewed IT governance initiative that was being led by the agency's governing IT Department. The desired results of this renewed initiative would be for the team to make informed decisions as quickly as possible that align with goals and objectives to meet the agency's growing needs. The IT Department's goals include the value, alignment, effectiveness, security, and support of technology solutions.

The immediate next step following a maturity assessment of the structures, processes, and relational mechanisms is to identify specific actions that would move to a higher level. A qualitative study that includes structured interviews or surveys with the IT Director, Assistant City Manager, Purchasing Director, and other members of city leadership can help identify factors that could contribute to the misalignment between IT and the business. The result would provide more information on where the agency should focus its effort in the alignment process.

Structure

Structure Current State

The current structure consists of a newly comprised executive board, the Executive IT Leadership (EITL) committee, chaired by the IT Director of the local government agency. Voting members of the committee include an Assistant City Manager, Director of Procurement, Director of Performance and Data Analytics, Budget Director, the Graphical Information Systems Officer, and a Law Department designee. This committee is the decision-making authority and provides oversight for all agency IT activities, legislates technology-related policies used throughout the agency, and reviews and evaluates IT capital requests and city-wide IT expenditures. The committee meets monthly, and its mission is to enable the organization to better achieve its IT goals aligned with the administration's vision.

The Enterprise Technical Review Team, led by the IT Director, consists of individuals from the IT department and

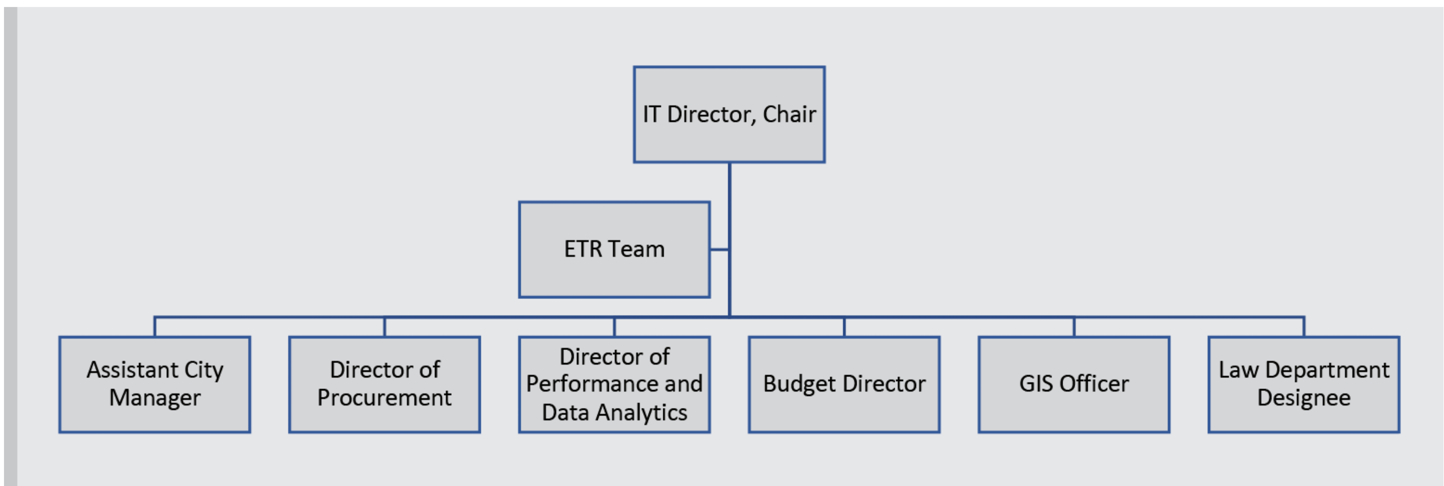

Figure 3. Current Executive IT Leadership (EITL) Committee Structure at a Local Government Agency

serves as a resource to the EITL to review all submitted IT-related purchase requests or proposed projects. This team meets weekly to do a preliminary assessment to determine if an existing system can be leveraged, can be developed in-house, or if an RFP needs to be generated. *Figure 3* illustrates the EITL committee structure.

Structure Future State

In this case, the local government agency had formalized the EITL as the decision-making authority, however, work remained for roles and responsibilities to be clearly defined and for the documentation and adoption of IT policies across the organization.

While the Executive IT Leadership (EITL) committee as the decision-making authority remained in place, a new IT decision-making group, the IT Steering committee, would be formed to help vet new IT initiatives. This committee would consist of IT Managers attached to other departments within the agency and not in the central IT Department. These managers would be integrated into the governance structure to assist with IT strategy, help manage the IT portfolio, and aid in the preliminary assessment of requests before EITL approval.

Leaders on the EITL would identify and analyze factors that contribute to misalignments that can be viewed as symptoms that inhibit organizations from optimizing and achieving their full potential (El-Telbany, Elragal, 2014). And the agency would need to focus on understanding the symptoms and work towards managing them in order to achieve alignment.

Process

Process Current State

The local government agency had recently developed a process for vetting IT purchases and services that required all departments to submit a formal IT purchase request or project proposal form. The request is then evaluated by the Enterprise Technical Review (ETR) Team. If it is deemed to be suitable for review by the EITL, the ETR Team will submit the request to the Budget office to determine if funds are available for the request. If the funds are available, the ETR Team prepares the request to make a formal recommendation to the EITL for approval or rejection, depending on whether the request aligns with the strategic business objective of the local government agency.

A complication for this process is the IT Department's lack of formal policies and procedures. In addition, the administrative regulations, which are intended to communicate administrative policies affecting all local government agency departments for IT, were outdated or not being followed. In the absence of updated IT governance guidance and support, business units have handled their own purchases resulting in costly and unmanageable redundancies.

The administrative regulations for IT service delivery, standardization, and optimization are being revised as IT governance policy surrounding IT purchases.

Process Future State

In a desired future state, IT governance would advise IT purchasers by not only taking their specific needs into account but also from a perspective of developing integrated solutions.

IT governance would be involved in the process of deciding new IT initiatives to ensure that the business need can be met while maintaining an IT portfolio that is manageable and supportable. IT governance would also assure that one system is used across the enterprise. For example, there would be only one asset management system instead of four. There would be one time-reporting system instead of five. There would be one learning management system instead of five. This would save the agency a considerable amount of money.

Relational Mechanism

Relational Mechanism Current State

Judging from the perspective of Group Dynamics, the EITL committee is in the storming phase, meaning there might be some conflict or struggle in figuring out how to work together to achieve business-IT alignment (Tuckman, 2001, p. 66). IT and the business need to understand the practices and goals of the other function. An exchange based on familiarity with the other ideas, knowledge, and information between IT and business organizations enables both to understand the strategies and plans clearly and is needed to achieve alignment (Luftman, Dorociak, Kempaiah, & Rigoni, 2008, p. 3).

Relational Mechanism Future State

With improved communications between IT and business, IT governance would be integrated into the initial phases of planning, with involvement in departmental strategies to coordinate IT projects and participate in project idea generation, instead of coming in at the implementation phase. IT subject matter experts would be consulted on new IT project initiatives and all IT purchases would be reviewed by the governing IT department and approved before entering the enterprise financial system to be purchased.

A new dedicated role combining technical, organizational, and people skills would be responsible for developing portfolio, program, and project management governance practices, including associated methodologies, tools, and reports. This person would also be responsible for coaching and collaborating with department directors to boost awareness and adherence to newly developed governance.

Conclusion

This article illustrated how a local government agency might initiate IT governance using structures, processes, and relational mechanisms. With this contribution, this article aims to guide practitioners on how IT governance initiatives can be applied in practice. As a result of using organization development and IT governance frameworks, city leaders and IT will be able to collaborate and execute the goals and objectives of the city and understand the importance that IT plays while driving alignment.

References

De Haes, S., & Van Grembergen, W. (2004). IT governance and its mechanisms. *Information Systems Control Journal, 1*, 7.

De Haes, S., Van Grembergen, W., Joshi, A., & Huygh, T. (2020). *Enterprise governance of information technology: achieving alignment and value in digital organization*. Springer.

Dissanayake, A. (2012, October). What is IT-business alignment? Retrieved from Pink Elephant: *www.pinkelephant.com*

El-Telbany, O., & Elragal, A. (2014). Business-Information system strategies: A focus on misalignment. *Procedia Technology*, 250–262.

Gorgona, L. (2021, December 28). *Building a maturity model for COBIT 2019 based on CMMI*. Retrieved from isaca.org: *https://www.isaca.org/resources/isaca-journal/issues/2021/volume-6/building-a-maturity-model-for-cobit-2019-based-on-cmmi*

Jonathan, G. M. (2018). Influence of organizational structure on business-IT alignment: What we do (not) know. *17th International Conference Perspective in Business Informatics Research (BIR 2018)*, 375–386.

Luftman, J., Dorociak, J., Kempaiah, R., & Rigoni, E. H. (2008). Strategic alignment maturity: As structural equation model validation. *AMCIS 2008 Proceedings*, 53.

Maizlish, B., & Handler, R. (2005). *IT portfolio management step-by-step: Unlocking the business value of technology.* John Wiley & Sons, Inc.

Tuckman, B. W. (2001). Developmental sequence in small groups. *Group Facilitation(3)*, 66.

Wasiuk, T., & Lim, F. P. (2021). Factors influencing business IT alignment. *International Journal of Smart Business and Technology, 9*(1), 1-12.

Weill, P., & Ross, J. W. (2004). *IT governance: How top performers manage IT decision rights for superior results*. Harvard Business School Press.

Wu, S. P.-K., Straub, D. W., & Liang, T.-P. (2015). How Information Technology Governance Mechanisms and Strategic Alignment Influence Organizational Performance; Insights From a Matched Survey of Business and IT Managers. *MIS Quarterly*, 497–518.

Ebony Lothery's background is in information technology, and she has over 15 years of experience in an IT capacity, including IT Governance, System Administration, and Process Improvement. Ebony is a Doctoral Student at Bowling Green State University in the Organization Development and Change program. She has a passion for excellence and likes stepping outside her comfort zone and taking on more significant challenges and responsibilities. She holds two MS degrees from Northern Kentucky University in Business Information and Executive Leadership and Organizational Change. She graduated from Xavier University in Cincinnati, Ohio, with a BS in Business Administration focusing on Information Systems. She is employed at a city government agency, taking on an IT governance role. She is also a part-time lecturer at Northern Kentucky University. In her non-work time, she likes to travel. She can be reached at *elother@bgsu.edu*.

> "After clearly articulating the 'why' and considering ways to embed Use of Self into the culture systemically, OD practitioners should exercise their roles as educators, trainers, and facilitators to help middle-level leaders learn to leverage their abilities, skills, attitudes, and values."

The Secret Sauce

Integrating Use of Self in Organizations

By Carla L. McKnight

Abstract
The concept of Use of Self is one of the foundational building blocks of the field of Organization Development (OD). It is the "conscious use of one's whole being in the intentional execution of one's role." Though Use of Self is becoming increasingly well-known as a competency of organization development practitioners, it is less understood as an application for leaders who are primarily responsible for the organization's health. This article provides insights on how OD practitioners can partner with leaders to integrate the concepts of Use of Self into an organization's culture.
Keywords: Use of Self, organization development, organization development practitioner, leadership development, middle-level leadership, talent management, talent acquisition, talent activation, talent retention

Tales of an Unconventional Journey

Six years ago, I was naive about organizational structure. I did not even know the difference between the roles of payroll and compensation. But now I serve as chief human resources officer (CHRO) in one of the largest community colleges in America. Some may attribute my rapid rise to luck; others may call it fate. I thought my unconventional journey into executive leadership was pure happenstance until I understood a crucial fundamental skill of an organization development (OD) practitioner.

While still a college student, I began a career in higher education. For ten years, in both the university and community college setting, I worked in departments like housing and residential life, student conduct, and advising. Eventually I joined the full-time faculty ranks teaching a first-year seminar course at a community college.

In that role, I experienced the value of teaching. Over sixteen short weeks, I watched hundreds of students transform from having no idea what they wanted out of life to identifying potential careers in alignment with their purpose. I found the opportunity to improve their lives to be intoxicating, and I expected to be settled in that role. Then I was offered an opportunity that completely changed my career: to become a regional Director of Organization Development and Human Resources. When I pointed out my lack of experience in HR, the offering CHRO affirmed my qualifications, saying, "Everything you need to excel in this role is already inside you. I can teach you everything else." Her words were comforting, but as I considered her offer, I was plagued with questions:

What is inside of me?
How did it get there?
How does she see it?
Why is it more critical than knowing HR stuff?

Saying yes to the role did not answer those questions for me. I worked tirelessly to learn more about human resources, but I felt like an imposter. Nevertheless, after

serving as the director for nearly three years, the CHRO (now my supervisor), asked me to join the leadership team as the Assistant Vice President. I was confident in my work as a director but had doubts about leading at the next level.

When I expressed my fears to my leader, she said again, “Everything you need to excel in this role is already inside you. I can teach you everything else.” We both smiled at the irony of being back in this moment. But this time, I committed to understand what was inside me. I did this for two reasons: first, so I could walk into my next chapter knowing the value I bring based on my knowledge, skills, and abilities; second, to figure out how to identify similar untapped potential in my new team and, if possible, create an infrastructure where other leaders in my organization could do the same.

As an OD practitioner, I turned to the resources most readily available: leadership and talent development books and sites, and LinkedIn Learning courses. I sought to find language to describe my unidentified skill. The resources helped me think about leadership development competencies but got me no closer to a concept, theory, or framework I could understand or use.

Discovering The Secret Sauce

Having no label for what I sought, I affectionately began referring to my mysterious qualification as “the sauce.” The sauce represented a combination of knowledge, skills, and abilities that makes people effective regardless of task, industry, field, or environment. The sauce, much like the special blend of ingredients that turn an ordinary dish into a culinary masterpiece, is distinct, delightful, and difficult to replicate.

Perhaps the sauce made the CHRO pluck me out of the classroom to lead the largest region in our service district even though I had no direct experience. Perhaps the sauce is what helped me excel despite the steep learning curve. When the organization’s president appointed me to serve as CHRO, I realized that the sauce is the key to transferability.

But what is the sauce? I got my answer during my first semester in the Doctorate of Organization Development and Change program at Bowling Green State University. The program welcomes learners from diverse professional and academic backgrounds, so the first course was an introduction to the OD field and profession. In that class, I was exposed for the first time to the concept of *Use of Self*, which was introduced in the 1890s by Frederick Alexander (Jamieson & Davidson, 2019). It is well-known and considered a building block of the field of OD (Cheung-Judge & Holbeche, 2021).

I was excited to find language that revealed components of the secret sauce. In many respects, the very definition of Use of Self made sense of my career progression. According to Jamieson et al., it is the “conscious use of one’s whole being in the intentional execution of one’s role for effectiveness in whatever the current situation is presenting” (Jamieson et al., 2010, p. 5).

Now I felt legitimized. No longer did I feel like an impostor. I stopped thinking of myself as effective despite a lack of subject matter expertise. Instead, my lack of experience had forced me to approach every situation as a learning opportunity. This was consistent with Jamieson and Davidson’s description of the Situational Action Learning Cycle (2019).

Most of all, I was perplexed. I wondered why leaders and managers in organizations are not exposed to this valuable concept that is a trademark of OD practitioners (Cheung-Judge & Holbeche, 2021). I wondered why this powerful concept is absent from leadership development programming (Jamieson et al., 2022). I wondered what it would take for OD practitioners to engage with leaders and show them that everything they need to excel is already inside them.

A Cause for Concern

As I thought more about the current state of business in the U.S., I grew concerned. The entire world has experienced widescale change over the past two years. The global pandemic forced many organizations to quickly change products and service models to meet changing behaviors and needs. In the wake of the murder of George Floyd, many organizations expanded their internal and external focus on diversity, equity, and inclusion. And increased disengagement and turnover in the workforce increased the workload and burnout of remaining employees (Lam et al., 2022).

Labor trends in the last two years suggest that focusing on employee engagement is a strategic imperative. According to a recent report, the percentage of job quits during an entire month was higher in November 2021 than in the past 21 years (Gittleman, 2022). The quit rate more than doubled between June 2009 (1.3%), which was the end of the great recession, and November 2021 (3.0%) (Gittleman, 2022).

The vast number of resignations has significantly affected organizations throughout the country. In addition to adapting to the ever-changing external landscape, organizations have amended their normal operations due to widespread vacancies. Delayed service and production times, modified hours of operation, and reduced service quality have degraded the customer experience and reduced profits.

Organizations now compete to attract and retain talent in response to the workforce trend dubbed “the great resignation.” Aggressive recruitment, paired with an increased focus on financial incentives are common tactics used. Organizations have also monetized their retention efforts by offering bonuses for hard-to-fill positions, increasing wages, and providing lump-sum payments to current employees.

However, a recent study indicates that compensation is less critical for employee retention than employers think. Smet et al. found that while employers thought work-life balance, compensation, and health were the primary reasons for wide-scale resignations, employees cite their top three reasons for resigning as not feeling valued by their organization or their manager, and not feeling a sense of belonging (2021). Furthermore, employees are now more willing to resign without another job offer, likely due to reassessment and reprioritization of life goals during the pandemic.

Cultivating a Culture of Use of Self in Today's Organizations

Organizations seeking to retain employees must develop and deploy a holistic engagement strategy. Traditional schools of thought place human resources at the center of employee engagement, but leaders at all levels of the organization are essential for this (Crocitto & Youssef, 2003; Holbeche, 2018).

Jamieson et al. suggest that Use of Self can help leaders "create and maintain an atmosphere where employees can learn, innovate, and flourish in psychological safety" (2022, pp. 6, 38). To that end, they call for integrating Use of Self into leadership development programming.

My experience suggests that to effectively teach leaders how to use themselves in their roles, we must first integrate the concepts of Use of Self into the organization's culture. I offer a few recommendations for potential next steps:

Articulate the Why

Concepts associated with Use of Self are not unfamiliar in a business context. Ideas such as self-awareness, self-understanding, emotional intelligence, and feedback are commonly used in leadership development programming (Cheung-Judge & Jamieson, 2018; Jamieson et al., 2010; Jamieson & Davidson, 2019). However, in challenging times, senior executives are often focused on being lean and agile (Holbeche, 2018). For Use of Self to be adopted and prioritized, we must develop a strong business case and a clear rationale for its significance to the health and performance of the organization. OD practitioners interested in this approach may consider taking a social constructionism approach to data collection, paying careful attention to institutionalized language, beliefs, and desires as people's communicated focus are their reality (Cheung-Judge & Holbeche, 2021).

Systemically Embed Use of Self into the Culture

Integrating the concepts of Use of Self into organization culture requires a holistic talent development strategy. Areas associated with talent development include talent acquisition (advertising, recruitment, selection), talent activation (onboarding, training, and development), and talent retention (rewards, recognition, and performance management and evaluation) (Cappelli & Keller, 2017). Each area presents an opportunity to highlight the significance of Use of Self in leaders throughout the organization. Consider the following:

» **Talent Acquisition.** Incorporate the principles of Use of Self in the job description. Describe the knowledge, skills, abilities, and experiences required for a role. Communicate values of self-understanding and emotional intelligence to potential candidates. Recruit candidates with diverse identities, knowledge, skills, and styles. Reflect a culture of presence, self-reflection, and feedback in images, taglines, etc. Enable the hiring process to show who candidates *really* are and how they show up in the workplace. Assess what candidates see, know, or do in familiar and unfamiliar situations.

» **Talent Activation.** Invite newly hired leaders to show up as their authentic selves. Design social integration exercises that encourage authenticity and vulnerability between leaders and their teams. Develop training and development opportunities that expose leaders to the concept of Use of Self. Create space and opportunity for leaders to reflect.

» **Talent Retention.** Practice the situational action-learning cycle. Create an expectation of presence. Discover and mitigate biases. Understand and address the unique needs of leaders. Celebrate exemplary displays of Use of Self. Create a culture of feedback throughout all levels of the organization. Embed the principles of Use of Self into performance management and evaluation systems.

Activating Middle-Leaders

There is an ongoing debate in the field of talent development having to do with who in the organization should receive the benefits of talent development. Inclusive approaches suggest that everyone should be entitled to some form of development, whereas exclusive approaches limit development efforts to high-potential employees or to those who are in strategic roles (Cappelli & Keller, 2017). Regardless of an organization's developmental focus, I believe that one way to support rapid integration of Use of Self is to target middle-level leaders.

Middle-level leaders are well positioned to affect employees because of their organizational function. They can operationalize organizational strategy by leading front-line managers and individual contributors in design and implementation (Dasgupta, 2015). Additionally, middle-level leaders are attuned to the day-to-day operations of their organizations and can recognize and communicate significant challenges that would otherwise go unaddressed.

Middle-level leaders also have broad influence based on their positioning between senior executives and front-line managers. Both Floyd and Lane (2000) and Dasgupta (2015) describe middle-level leaders as *networkers* who synthesize strategic and hands-on information, *negotiators* who share knowledge and sell messages, *champions* who search for new ideas and present them to senior management, and *implementers* who motivate employees to take action and monitor progress for leaders (Dasgupta, 2015; Floyd & Lane, 2000).

Because of these roles, wise senior executives see middle-level leaders as advisors who can innovate and implement (Floyd & Lane, 2000). Wise front-line managers see middle-level leaders as advocates who can understand and communicate their challenges. Middle-level leaders' visibility, accessibility, and trustworthiness make them ideal organizational vectors for cultivating Use of Self in organizations. However, being well-positioned for these efforts does not mean middle-level leaders are automatically qualified to lead them. After clearly articulating the "why" and considering ways to embed Use of Self into the culture systemically, OD practitioners should exercise their roles as educators, trainers, and facilitators (Rainey & Jones, 2014) to help middle-level leaders learn to leverage their abilities, skills, attitudes, and values. The outline of descriptors of clusters in Use of Self (Cheung-Judge &

Holbeche, 2021; Cheung-Judge & Jamieson, 2018) may be useful in these efforts.

Everything We Need

I have encountered concerns about the health and longevity of the field of OD. I humbly suggest that the measure of our profession's success rests not in the number of subscribers to OD publications or the recruitment to the OD Network or NTL. Rather, we will be successful if leaders in organizations are equipped to use their whole being to execute their roles. Helping our clients integrate Use of Self into organization culture will be no doubt difficult, but I have confidence that if anyone can do it, OD practitioners can. Everything we need to excel is already inside of us.

References

Cappelli, P., & Keller, J. R. (2017). The historical context of talent management. In D. G. Collings, K. Mellahi, & W. F. Cascio (Eds.), *The Oxford handbook of talent management* (Vol. 1). Oxford University Press. *https://doi.org/10.1093/oxfordhb/9780198758273.013.21*

Cheung-Judge, M.Y., & Holbeche, L. (2021). *Organization development: A practitioner's guide for OD and HR* (Third). Kogan Page Limited.

Cheung-Judge, M.Y., & Jamieson, D. W. (2018). Providing deeper understanding of the concept of use of self in OD practice. *OD Practitioner, 50*(4), 22–32.

Crocitto, M., & Youssef, M. (2003). The human side of organizational agility. *Industrial Management & Data Systems, 103*(6), 388–397. https://doi.org/10.1108/02635570310479963

Dasgupta, M. (2015). Middle level managers and strategy: Exploring the influence of different roles on organisational performance. *Journal of General Management, 41*(1), 25–43. *https://doi.org/10.1177/030630701504100103*

Ellingrud, K., Krishnan, M., Krivkovich, A., Kukla, K., Mendy, A., Robinson, N., Sancier-Sultan, S., & Yee, L. (2020). Diverse employees are struggling the most during COVID-19: Here's how companies can respond. *McKinsey Global Institute*, 1–16. *https://www.mckinsey.com/featured-insights/diversity-and-inclusion/diverse-employees-are-struggling-the-most-during-covid-19-heres-how-companies-can-respond*

Floyd, S. W., & Lane, P. J. (2000). Strategizing throughout the organization: Managing role conflict in strategic renewal. *Academy of Management Review, 25*(1), 154–177. *https://doi.org/10.5465/AMR.2000.2791608*

Gittleman, M. (2022). The "Great Resignation" in perspective. *Monthly Labor Review. https://doi.org/10.21916/mlr.2022.20*

Holbeche, L. (2018). *The agile organization: How to build an engaged, innovative and resilient business* (2 Edition). Kogan Page Ltd.

Jamieson, D. W., Auron, M., & Shechtman, D. (2010). Managing use of self for masterful professional practice. *OD Practitioner, 42*(3), 4–11.

Jamieson, D., Rios-Phelps, C., Traxler, J., & Estrin, J. (2022). *Use of self in leadership: A pilot to understand how leaders use their selves in leading others* (p. 69). Think2Perform Research Institute. *https://www.t2pri.org/post/t2pri-research-use-of-self-in-leadership-a-pilot-to-understand-how-leaders-use-their-selves-in-leading-others/*

Jamieson, D. W., & Davidson, J. E. (2019). Advancing thinking and practice on use of self. *Organization Development Journal, 37*(1), 39–53.

Lam, L. T., Lam, M. K., Reddy, P., & Wong, P. (2022). Factors Associated with Work-Related Burnout among Corporate Employees Amidst COVID-19 Pandemic. *International Journal of Environmental Research and Public Health, 19*(3), 1295. *https://doi.org/10.3390/ijerph19031295*

Penn, R., & Nezamis, E. (2022). Job openings and quits reach record highs in 2021, layoffs and discharges fall to record lows. *Monthly Labor Review. https://doi.org/10.21916/mlr.2022.17*

Rainey, M. A., & Jones, B. B. (2014). Use of Self as an OD Practitioner. In B. B. Jones & M. Brazzel (Eds.), *The NTL handbook of organization development and change* (pp. 105–126). Wiley. *https://doi.org/10.1002/9781118836170.ch6*

Smet, A. D., Dowling, B., & Schaninger, B. (2021). 'Great Attrition' or 'Great Attraction'? The choice is yours. *McKinsey Quarterly*, 8.

U.S. Bureau of Labor Statistics. (2022). *Job Openings and Labor Turnover Survey* [Data set]. *https://data.bls.gov/timeseries/JTS000000000000000JOR*

Carla McKnight is Vice President of Organizational Development and Human Resources at Valencia College in Orlando, Florida. She is a speaker, educator, and coach on personal, professional, and organization development topics. She has spent over 15 years working in higher education in staff, faculty, and administrative roles and is a Society of Human Resources Management Certified Professional (SHRM-CP). Carla is currently pursuing a doctoral degree in Organization Development and Change at Bowling Green State University in Bowling Green, Ohio. She has an associate of arts degree from Santa Fe College in Gainesville, Florida, of which she is most proud. She also has a Bachelor of Science in business administration and a Master of Arts in educational leadership with a concentration in higher education and policy studies, both from the University of Central Florida in Orlando, Florida. Carla's favorite pastimes include traveling, listening to music, and working on jigsaw puzzles. She is an avid beachgoer and has recently developed a love for cycling. Carla can be reached at *clmcknight23@gmail.com*.

"Introducing cross-gender mentorship, with the goal of integrating it into the existing practice and programs within an organization, should be viewed as a significant change initiative requiring a change model approach."

Realizing Unrealized Potential Through Cross-Gender Mentorship

By David R. Perry

Abstract
Much has been written on the concept of mentorship yet relatively little focuses on cross-gender mentorship (defined in this article as men mentoring or sponsoring women) and the benefits to the advancement of women.

This article addresses the question: *To what extent can cross-gender mentorship enable female leaders to realize their full leadership potential and help their organizations achieve their objectives?*

By integrating learning from personal experience, published research, and the application of Lewin's force field model, I address ways for professionals of Organization Development and Change to transform organizations by realizing the full potential of their female (and male) leaders.
Keywords: mentorship, cross-gender mentorship, change theory, Lewin's force field model, systems thinking

Unrealized potential represents a significant opportunity for employees and organizations (Wodon & De La Briere, 2018). The benefits to organizations include improved recruitment and retention, higher employee engagement, productivity, market value, and revenue growth (Dhanalakshmi, Gurunathan, 2014). Although there are numerous ways to address unrealized potential in the workplace, including talent management and development programs, this article focuses on a specific strategy that is more interpersonal than programmatic—**mentorship** of women. The emphasis here is on a particular form of mentorship: cross-gender mentorship.

Examples of mentorship in business date back to the early 1900s when James Cash (JC) Penny introduced a store management training program based on mentorship (Roche, 1979). After World War II, many programs based on an apprenticeship model were introduced (Vickerstaff, 2007). These programs were primarily developed for men by men who dominated the management ranks at the time. They offered limited access to women and were slow to evolve to meet the needs of the growing number of women managers in the workforce. As a result, both real and perceived obstacles to the mentorship of women remain (Johnson, Smith, 2016; Neal, et al., 2013).

In this article, I pose the question: ***To what extent can cross-gender mentorship enable female leaders to realize their full leadership potential and help their organization achieve their objectives***?

Motivated in part by my own experience as a male being mentored by women, I argue that the answer to the above question is, *to a great extent*.

Beginning in the mid-1980s, most of my supervisors or clients have been women. My first job out of college was at Proctor & Gamble where I reported to a

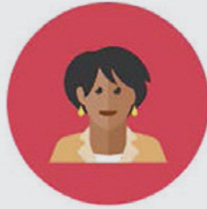

Figure 1: Female and Male Views on Mentorship and the Upside

dynamic woman who mentored me. After earning my MBA, I worked at Microsoft, where two of my early supervisors were women. One was the influential Melinda French Gates and the other, a brilliant leader who helped introduce Microsoft Office and became one of the first female vice presidents at Microsoft. More recently, I have worked directly for females who were the president of a top business university and the CEO and the dean of a nationally recognized academic health system. I benefitted greatly from working with these female leaders and seeing how they viewed and framed challenges and opportunities. I also benefited from observing the power dynamics and the inherent obstacles they encountered in their male-dominated organizations. Through this experience, I learned that mentoring could lead to an exchange of different perspectives on leadership and that there is an opportunity for senior men to use their positional power to help elevate future female leaders through cross-gender mentoring.

A Historical View

Two significant events in the advancement of women were the Women's Suffrage movement and the Title IX legislation. Two men, George Francis Train, and Senator Birch Bayh were influential in these movements and together they provide examples of how males have, in the past, used their positional power in either supportive roles or to advocate for women.

In the early 1900s, George Francis Train, in his support of Susan B. Anthony and Elizabeth Cady Stanton and their efforts in securing women's voting rights, developed, launched, and funded *The Revolution*, a women's rights newspaper. Train, who was a contrarian, was willing to challenge tradition, stand up for his beliefs, and used his power as a wealthy, connected male leader to promote women's suffrage (Holland, 1987).

In 1972, Senator Birch Bayh of Indiana helped to author and introduce to the United States Senate the Title IX legislation that secured equal rights in women's collegiate sports. His empathy for women in sports was informed by his own experiences as an athlete and importantly, those of his wife, Marvella Bayh, and the inequities she had experienced as an aspiring female in a male-dominated world. Senator Bayh realized that male leaders in positions of power would need to become advocates for change (Johnson, 2022). By using his position of power for the purpose of listening and involving other stakeholders, Bayh employed a diplomatic and consensus-based approach that is a model for male advocates and mentors to study.

What is Cross-gender Mentorship? Why Pursue It?

Cross-gender mentorship is defined primarily as males mentoring females. While senior women's mentorship of junior women can be very effective and should be encouraged, there are a limited number of senior women available for mentorship. In one study, 63% of women reported never having had a formal mentor (Neal, et al., 2013). For more women to have mentors, more men in senior-level positions need to serve as mentors or sponsors of junior women (Johnson, Smith, 2016).

Mentorship, particularly cross-gender mentorship, can accelerate the development of a young, diverse pipeline of female leaders. By connecting senior male leaders who occupy most key leadership roles to high-potential female leaders, mentorship programs can leverage senior male leaders' knowledge and experience while concurrently providing greater exposure to women's challenges in the workplace. Both groups benefit from an interpersonal relationship that can produce a mindset shift through which they gain a broader perspective (Moser, Branscombe, 2021).

Results of a survey on mentoring among men and women (Neal, et al., 2013) provide compelling reasons to invest in these cross-gender mentoring (see *Figure 1*).

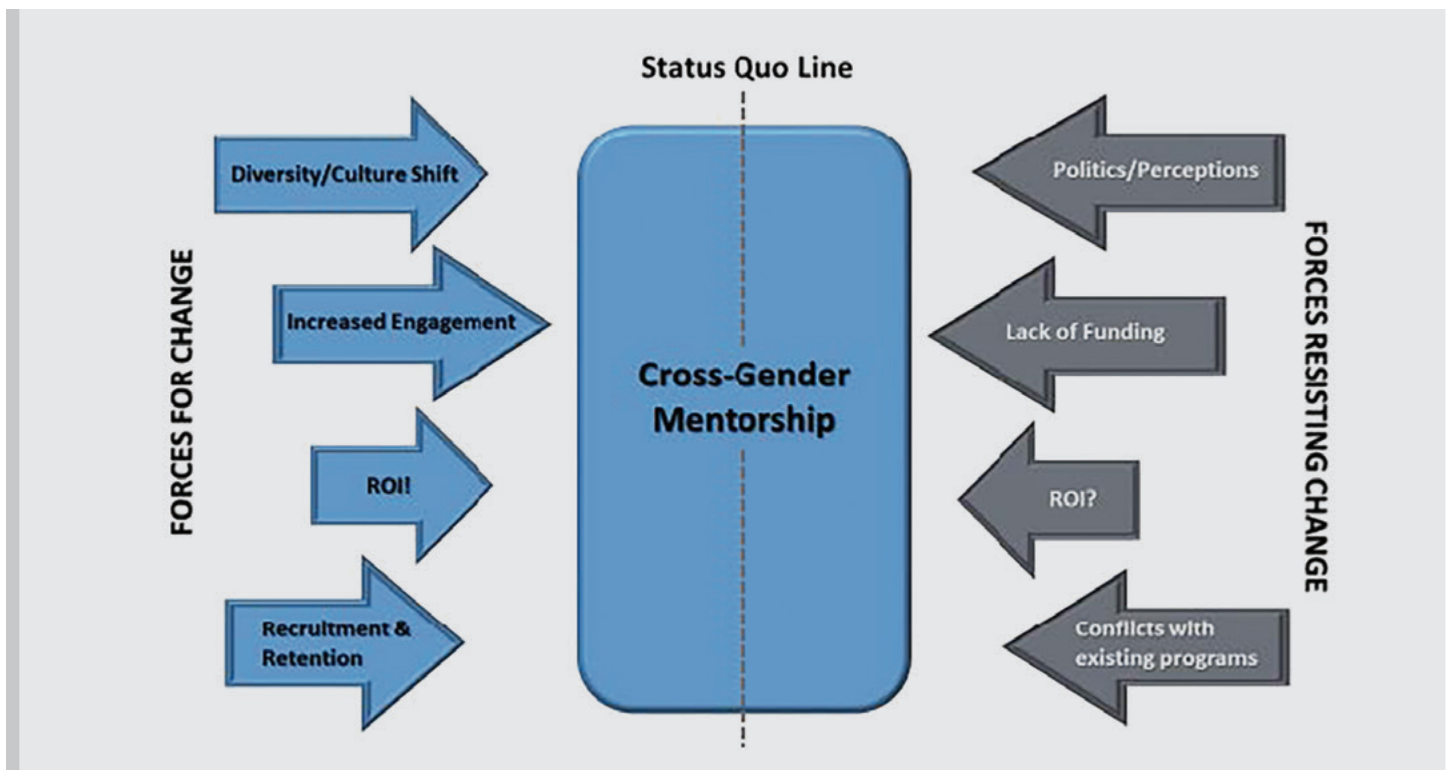

Figure 2: Lewin's Force Field Model Applied to Cross-Gender Mentorship

Researchers have identified the difficulties encountered in cross-gendering mentoring. Kram (1983) and Clawson and Kram (1984) used the mentor role theory to outline nine mentoring roles divided into two sets—psychosocial and career development—and the related perceptions including stereotyping, intimacy, and public scrutiny. Other studies have examined the perceptions, infrequency, and barriers to cross-gender mentoring relationships for women in the workplace (Ragins, 1989, 1996; Ragins et al., 1990, 1991, 1994). Ragins (1989) offers steps organizations can take to help female managers overcome barriers to mentoring, including creating opportunities (networking, events, etc.), training, cultivation, and institutionalization.

Looking at the Opportunity Through a New Lens

Despite the insightful research on cross-gender mentorship and the advancement of women into leadership roles, there have been few meaningful changes to mentorship in the last 40 years. Many of the barriers identified by Kram and Ragins remain. Furthermore, it can be argued that the barriers have been amplified in recent years by high-profile cases of sexual harassment that led to the #MeToo movement. Women fear being targets of sexual harassment or other inappropriate behavior, while men with good intent fear risking the perception of undue influence or becoming the target of an unwarranted accusation. These challenges inform and support taking a fresh, OD&C-informed, systems-thinking view of the problem using a lens that incorporates new workplace norms and policies, and evolved attitudes and perceptions of a new generation of women and men in the workplace.

By transforming a compelling concept into something actionable, this OD&C-informed change approach could increase the probability of realizing potential in the form of three desired outcomes that contribute to but go beyond financial ROI:

1. **Cultural mindset shift:** Elevating mentorship (informal and formal) to a core element of the organizational culture that benefits mentees and mentors of all genders
2. **"Baked In" Integration:** Linking mentorship to HR policies—recognition and incentives for mentors/mentees, incorporation into performance reviews, criteria for promotion, alignment/incorporation with development systems and DEI goals
3. **Advancement:** A pipeline of women moving to higher levels of leadership that cultivate greater diversity of gender and thought and improved overall outcomes.

A Change Roadmap to Desired Outcomes and Cultural Change

The opportunity to realize the unrealized potential of both female and male leaders through mentorship is an unresolved challenge that requires some form of organizational change. Professionals in Organization Development and Change can be integral in introducing cross-gender mentorship approaches and developing organizational programs.

Lewin's force field analysis (Lewin, 1951) provides a useful framework that identifies enabling forces for change and the corresponding forces that resist change. It provides a strategic approach to introduce, evolve, and potentially transform existing mentorship relationships and programs.

The force field model, as illustrated in *Figure 2,* serves as a diagnostic framework that allows leaders and teams to: a) identify

and assess the current driving and restraining forces of change that are motivating or hindering the status quo of a cross-gender mentorship culture; and b) prioritize focus areas to impact desired change(s). This analysis could lead to using more focused frameworks (i.e., Lewin's three stage model of change, etc.) to address resistance to change or leverage positive forces respectively.

Conclusion

Realizing the unrealized potential in the workplace is an intriguing but elusive concept that ultimately requires putting theories into actionable practice. In this article I have explored how mentorship could be used to realize the potential among women in the workplace and identified cross-gender mentorship between men and women as a more focused way to help advance and elevate women and to provide senior men with a broader perspective.

Existing research confirms strong interest among women and men in mentorship. Still, challenges exist, such as women lacking mentorship experiences and men lacking the knowledge of how best to support their female colleagues (Neal, Boatman, and Miller, 2013). Beyond the benefits to the mentor and mentee, the organization can realize more comprehensive advantages in improved recruitment, retention, higher employee engagement, productivity, market value, and revenue growth (Dhanalakshmi, et al., 2014).

Introducing cross-gender mentorship, with the goal of integrating it into the existing practice and programs within an organization, should be viewed as a significant change initiative requiring a change model approach. Thus, it will often involve professionals of Organization Development and Change serving as agents of change in introducing concepts, models, and frameworks to help organizations introduce or expand cross-gender mentorship, with Lewin's force field analysis as a change model serving as a framework for identifying and addressing positive and restraining forces of change.

The perceived need and lack of cross-gender mentorship is a challenge. A challenge that presents a unique opportunity for OD&C professionals to add significant value. With select change models and frameworks such as Lewin's force field analysis, OD&C Professionals can help transform organizations by realizing the full potential of their female (and male) leaders.

References

Ambri, S., Tahir, L. M., & Alias, R. A. (2019). An overview of glass ceiling, tiara, imposter, and queen bee barrier syndromes on women in the upper echelons. *Asian Social Science, 15*(1).

Baulcomb, J. S. (2003). Management of change through force field analysis. *Journal of Nursing Management, 11*(4), 275–280.

Clawson, J. G., & Kram, K. E. (1984). Managing cross-gender mentoring. *Business Horizons, 27*(3), 22–32.

Dhanalakshmi, R. V., & Gurunathan, K. B. (2014). A study on talent management as a strategy to influence employee engagement and its affect on the organizational outcome. *International Journal of Business and Administration Research Review, 2*(4), 183–186.

Frankel, B., Richards, S., & Ferris, M. (2019). *The gender gap at the top*. Working Mother Research Institute.

Holland, P. G., (1987) "George Francis Train and the Woman Suffrage Movement, 1867–70," *Books at Iowa 46*(1), p. 8–29. doi: https://doi.org/10.17077/0006-7474.1135

Jamieson, D. W., Auron, M., & Shechtman, D. (2010). Managing 'use of self' for masterful professional practice. *Organization Development Practitioner, 42*(3), pp 1–11.

Jamieson, D. W., & Davidson, J. E. (2019). Advancing thinking and practice on use of self. *Organization Development Journal, 37*(1), 39–53.

Johnson, Greg, (June 2022), The origins of Title IX, NCAA Features. Retrieved on September 2, 2022 from https://www.ncaa.org/news/2022/6/23/features-the-origins-of-title-ix.aspx

Kram, K. E. (1983). Phases of the mentor relationship. *Academy of Management Journal, 26*(4), 608–625.

Lalanne, M., & Seabright, P. (2011). The old boy network: Gender differences in the impact of social networks on remuneration in top executive jobs.

LeanIn.org, McKinsey & Company. (2021). *Women in the workplace 2021*. LeanIn.org, McKinsey & Company. Retrieved from https://www.mckinsey.com/featured-insights/diversity-and-inclusion/women-in-the-workplace

Lewin, K. (1951). *Field theory in social science: Selected theoretical papers* (Edited by Dorwin Cartwright.).

Moser C.E., Branscombe N.R. Male Allies at Work: Gender-Equality Supportive Men Reduce Negative Underrepresentation Effects Among Women. *Social Psychological and Personality Science,* August 2021. https://doi.org/10.1177/19485506211033748

Neal, S., Boatman, J., Miller, L (2013), Women as mentors: Does she or doesn't she? A global study of businesswomen and mentoring, development. Dimensions International, Inc., https://media.ddiworld.com/research/women-as-mentors_research_ddi.pdf

Ragins, B. R. (1989). Barriers to mentoring: The female manager's dilemma. *Human Relations, 42*(1), 1–22.

Ragins, B. R. (1996). Jumping the hurdles: Barriers to mentoring for women in organizations. *Leadership & Organization Development Journal*.

Ragins, B. R., & Cotton, J. L. (1991). Easier said than done: Gender differences in perceived barriers to gaining a mentor. *Academy of Management Journal, 34*(4), 939–951.

Ragins, B. R., & McFarlin, D. B. (1990). Perceptions of mentor roles in cross-gender mentoring relationships. *Journal of Vocational Behavior, 37*(3), 321–339.

Ragins, B. R., & Scandura, T. A. (1994). Gender differences in expected outcomes of mentoring relationships. *Academy of Management Journal, 37*(4), 957–971.

Roche, G.R. (1979), Much ado about mentors. *Harvard Business Review, 1*, 14–31.

Stillmaker, K., Oka, L. G., Plascencia, J. G., Schwartz-Doyle, C. C., & Lor, K. (2020, June). Investigating the role of faculty gender in mentoring female engineering students for success. In *2020 ASEE Virtual Annual Conference Content Access*.

Working Mother Institute. (2019). The gender gap at the top—What's keeping women from leading corporate America? Retrieved from: *https://www.slideshare.net/SubhaBarry/the-gender-gap-at-the-top-whats-keeping-women-from-leading-corporate-america-159923722*

Vickerstaff, S. (2007). 'I was just the boy around the place': What made apprenticeships successful?. *Journal of Vocational Education and Training, 59*(3), 331–347.

Wodon, Q., & De La Briere, B. (2018). *Unrealized potential: The high cost of gender inequality in earnings*. The World Bank.

David Perry is the Executive Vice President of Strategy at Bowstring Studios and the Principal & Founder of Perry IQ, a strategy, marketing, and organizational consultancy serving clients in healthcare, higher education, and high technology. He is pursuing a doctorate in Organization Development and Change at Bowling Green State University.

Before his roles at Bowstring Studios and Perry IQ, Perry served as Chief Marketing Officer of University of Utah Health. Prior to U of U Health, Perry served as Chief Marketing Officer at Bentley University in Waltham, Massachusetts, and earlier as Vice President of Marketing and Communications at Seattle Children's Hospital and Research Institute.

David brings over 25 years of marketing and management experience in fields as varied as academia, health care, technology, and consumer products with organizations including Stanford Medicine, Microsoft, Quaker Oats, and startup ventures. Perry holds an MBA from Northwestern University's Kellogg School of Management, a BBA from the University of Kentucky, serves on the boards of Lindsey Wilson College and the Madison House Autism Foundation and is a former adjunct professor at Seattle University.

Contact: *perrydr@bgsu.edu*

"Unexpected for many of the authors was the renewed sense of purpose as thought leaders and change leaders. They found that the act of thinking through their experiences and writing about them was formative and helped to refine their thoughts, enhancing the substance of their work."

Author Reflections on "Advancing OD Doctoral Education Through Publishing"

By Argerie Vasilakes

Cultivating Scholar-Practitioner Writing

A distinguishing characteristic of the *OD Review* is that it offers authors the choice of a double-blind review or an open, developmental review. With the present issue, readers see the fruits of a third, more intensive process based on the open review. This enhanced process was an experiment to cultivate newer authors—especially those at the threshold of scholar-practitioner writing.

The intention of the extended author development project was to strengthen OD scholar-practitioners' authoring skills through the open, developmental review process. Eight doctoral students from diverse fields volunteered to participate in the project, with the understanding that it was separate from their doctoral coursework. Afterwards, we asked each author to reflect on their experiences with the author-development project. Each described a labor that resulted in a sense of accomplishment and, for some, a better sense of themselves as influential OD thought leaders.

The process began in early 2022 when the *OD Review* received submissions from nine student-authors who are in the BGSU doctoral program in OD and Change. A panel of reviewers from the *ODR* review board concluded that all the manuscripts showed promise, but they were not ready to be published. They were good ideas but all needed work to turn them into clear and persuasive arguments. And so, the author development project was conceived. A small editorial team proposed a process by which the articles could be made ready and published in a special section of *ODR*. The desire of the editorial team was to simultaneously work the process and learn from it.

The Author-Development Process

Eight authors participated in the project. Four reviewers from the *ODR* review board ensured, as usual, that the manuscripts had adequate depth and high-quality writing, and that the articles elevated the OD perspective by bringing in OD theory. Over several months, each author engaged with one reviewer in a process more intensive than the usual open peer review, which usually offers one to two rounds of written feedback. Authors and reviewers met in a series of interactions by Zoom, email, and phone. One participant remarked, "The reviewers took the time, in some cases a lot of time, to help us progress to the finish line." When the article was nearly at its final stage, it went to the issue's senior editor for final editorial comments.

Our desire as a review team was to both work the process and learn from it. We asked the participating authors to reflect anonymously on a few survey questions. Each one told us that their experience was different from what they expected. For many it surpassed their expectations, calling the process engaging, pleasurable, smooth, and manageable, despite, as many noted, "taking a great

deal of time" with "significantly more iterations than I imagined." One person did not expect to receive "different direction from the two reviewers," spent more time editing than expected, and was the only respondent who said they are unlikely to submit another article. Seven authors said they were extremely or very satisfied with their final article, and five said they were extremely likely or likely to submit another article.

It appears that reviewers' encouragement and technical assistance had a mostly positive effect on authors' confidence as professional contributors. Authors said, "The reviewer made me believe I have something good to contribute to the field," and another: "My writing mentor was not only encouraging but gave many practical tips to help improve my article and my writing overall."

Growing into Scholar-Practitioner Leadership

Unexpected for many of the authors was the renewed sense of purpose as thought leaders and change leaders. They found that the act of thinking through their experiences and writing about them was formative and helped to refine their thoughts, enhancing the substance of their work.

Initially, submitting an article was "about getting something to put on the vita." After the review process, it became—"as a practitioner, to influence change." "Now it's personal," said one author. "I can be a reporter of my own experience."

Several authors became more aware of their own core values and committed themselves to advance them. Said one author: "I need to believe in myself and follow my passion, while another observed, "I learned quickly that you need to take a stand and believe in it," and another: "I learned about my desire for authenticity, even in writing. I want work to matter."

For several authors, the review process was like a mythic transformative trial, where the means of passage was the act of writing as a scholar-practitioner. "I assumed the writing process would include multiple edits," said one person, "but I didn't expect to have so much change in the purpose of the article itself."

Authors' eyes opened to the value they have to share with the OD community and their colleagues. "As a practitioner who hasn't worked in a direct OD position," one person revealed, "I was skeptical about what I had to offer at this point in my career. I learned that my experience has value."

For most, tenacity itself was an achievement. "I learned that I am capable of overcoming challenges. I was discouraged but I pushed myself to be able to achieve the goal."

Would these writers encourage other authors to submit articles to *OD Review*? "Go for it!" said one. "Not only do you share some of your ideas with the community, but you have the opportunity to develop your thought leadership and hear feedback from other OD professionals."

One author advised: "Be clear about the "why" behind your article and the actions or recommendations you want practitioners to consider. Once I was clear on that, the process became so much easier."

What Now?

We're sold. We want to offer this author development process again to other doctoral students if for no other reason, because "the process sharpens your OD practice and contributes to your professional thought leadership."

"These articles are to be appreciated as the skilled work of doctoral students in Organization Development and Change. But to just appreciate them as graduate level papers understates the value that these have to the field."

Reviewer Reflections on "Advancing OD Doctoral Education Through Publishing"

Reflections by George Hay, Debra Orr, and Argerie Vasilakes

The dedication of members of the Review Board is a critical quality factor for every peer reviewed journal. For this Special Section, the *OD Review* is fortunate to have benefited from the service of three outstanding reviewers, George Hay, Debra Orr, and Argerie Vasilakes, who reflect on their experience participating in this project in the following commentaries. The editorial team of the *OD Review* is deeply grateful for their contributions.

By George W. Hay, PhD

Organization Development professionals can be viewed as epistemic technicians who successfully integrate different domains of knowledge about change. These domains follow the lead of Aristotle who advances four domains of knowledge—experience (*empeiria*), craft (*techne*), theory (*episteme*), and practical wisdom (phronesis). (See Tenkasi & Hay, 2008). Furthermore, masterful scholar-practitioners of Organization Development and Change are distinguished by their ability to link theory with action to generate organizational results and new knowledge of the discipline. In other words, masterful scholar-practitioners link theory with action through the integration of experience, craft, theory, and practical wisdom.

The articles within this section are written by scholar-practitioners with deep experience within their fields. For example, Herbert Homan is a retired Commander within the Ohio State Highway Patrol who witnessed the demonstrations following high-profile police shootings as well as the January 6th protests. David Perry leverages his experiences as a mentee of a female mentor to explore cross-gender mentorship. Completing this deep experience is an appropriate use of theory. Raynel Frazier applies Schein's culture model (1985) to analyze the key drivers of DEI strategies within the programming of arts organizations. This article leaves the reader with an appreciation of the specific steps that can be taken to realize DEI as well as the motivation to do so. The articles also speak to the practical wisdom that is requisite for organizational change efforts to contribute to greater social inclusion and equity. Val Kaba illuminates the role of banking within low-income communities. He advances a model that promotes good banking habits within low-income communities. Sara Kline argues for empathy as foundation for furthering municipal public policy. Other demonstrations of masterful scholarship and practice are evident within all the articles.

These articles are to be appreciated as the skilled work of doctoral students in Organization Development and Change. But to just appreciate them as graduate level papers understates the value that these have to the field. Of greater significance, these articles align with the Aristotelian framework of Organization Development knowledge and action. The articles move between the general principles of theoretical frameworks and the