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**UNDERSTANDING THE SIGNIFICANCE OF REWARD AND THREAT TRIGGERS—
PRACTITIONERS' PERSPECTIVES**

**A Research Project
Presented to the Faculty of
The George L. Graziadio
School of Business and Management
Pepperdine University**

**In Partial Fulfilment
of the Requirements for the Degree
Master of Science
in
Organization Development**

**by
Ashley Carson
August 2014**

This research project, completed by

ASHLEY CARSON

under the guidance of the Faculty Committee and approved by its members, has been submitted to and accepted by the faculty of The George L. Graziadio School of Business and Management in partial fulfillment of the requirements for the degree of

MASTER OF SCIENCE
IN ORGANIZATION DEVELOPMENT

Date: August 2014

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Abstract

This study examined organization development (OD) practitioners' perspectives on the relative importance of the five domains of a neuroscience-based motivation framework that categorizes common issues that trigger *toward* or *away* responses in the brain. The SCARF Model's five domains include Status, Certainty, Autonomy, Relatedness, and Fairness (Rock, 2008). This study sought to understand if practitioners' perspectives are in line with existing research and ultimately to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. The first phase of this study employed an online survey using pairwise comparison, or forced choice, of each domain on a weighted scale. This methodology required explicit choices be made among each of the SCARF domains in order to answer a single question: Active management of which reward/threat trigger poses the greater benefit to a change effort, and by how much? The survey methodology resulted in a prioritization by 48 OD practitioner respondents that depicts the magnitude of each domain's benefit and ultimately implies that active management of the highest ranking domain (Fairness) offers significantly greater benefit than the other four. The second phase of this study included interviews of eight OD practitioners during which the survey results were presented. This phase of the study discovered a dominant theme of communication as a means of threat trigger mitigation and reward trigger maximization for all of the SCARF domains.

Table of Contents

	Page
Abstract	iii
List of Tables	vii
List of Figures	viii
Chapter 1: Introduction	1
Background	1
Purpose and Significance	4
Methodology	5
Thesis Outline	5
Chapter 2: Introduction	6
The SCARF Model	6
Review of SCARF Domains	7
Certainty	7
Status	11
Relatedness	12
Autonomy	14
Fairness	15
Summary: SCARF'S Relationship to NFCC and the Schwartz Value Theory	17
Threat Response Mitigation	18
Emotional self-regulation	18
Labeling	18
Mindfulness	20

Reappraisal	20
SCARF-specific measures	21
Status	21
Certainty	21
Autonomy	22
Relatedness	22
Fairness.....	22
Summary and Looking Ahead.....	22
Chapter 3: Methodology	24
Research Design	24
Research Sample and Data Collection.....	25
Measurement	26
Data Analysis	28
Protection of Human Subjects.....	29
Summary.....	30
Chapter 4: Results.....	31
SCARF Prioritization—Overall Results	31
SCARF Prioritization—Women Versus Men	34
SCARF Prioritization—Internal Versus External	38
SCARF Prioritization—Years of Experience	41
Trigger Mitigation Stories.....	44
Best Intervention Techniques to Avoid Threat Responses	45
Best Intervention Techniques to Maximize Reward Responses	47

Impact to Interviewees.....	48
Differences between Personal Preferences and What Best Contributes to a Change Effort.....	48
Additional Discovery: Bias	49
Summary.....	50
Chapter 5: Summary, Conclusions, and Recommendations	57
Conclusions.....	57
Implications for OD.....	64
Limitations	65
Suggestions for Future Research.....	66
References	67
Appendix A: Participant Survey	72
Appendix B: Interview Questions	77
Appendix C: Online Survey Advertisement/Post.....	81
Appendix D: Personalized Survey and Interview Invitation	83
Appendix E: Survey Results	85
Appendix F: Institutional Review Board Approval Letter	90
Appendix G: Certificate of Completion	92
Appendix H: Survey Consent Form.....	94
Appendix I: Interview Consent Form.....	97

List of Tables

	Page
Table 1. Participant Population Data.....	27
Table 2. Abbreviated Version of the Fundamental Scale for Pairwise Comparisons.....	28
Table 3. Pairwise Comparison Matrix—Complete Data Set.....	29
Table 4. Summary of Findings	51

List of Figures

	Page
Figure 1. Theoretical Model of Relations among Ten Motivational Types of Value.....	10
Figure 2. Relationship among Need for Cognitive Closure, Schwartz Value Theory, and the SCARF Model Domains	19
Figure 3. SCARF Prioritization—All Practitioners.....	32
Figure 4. SCARF Prioritization—Women Versus Men	35
Figure 5. SCARF Prioritization—Internal Versus External	38
Figure 6. SCARF Prioritization—Years of Experience	42
Figure 7. Comparative Ranking of SCARF Prioritizations.....	58
Figure 8. Aspects of Organizational Justice	62

Chapter 1: Introduction

The rate of learning about the brain has exponentially risen in the last 20 years. Each year the knowledge bank grows as scientists and researchers continue to apply new technologies to answer questions about the most mysterious part of the human body: the brain. The application of the wealth of neuroscience-related discoveries to leadership and organization development (OD) started around 2000 and is still gaining momentum. The magnitude of implications to the practice of OD is vast as neuroscience-backed research poses to expand current thinking around why people and organizations behave the way they do. OD consultants and practitioners, education specialists, change management consultants, human resources professionals, and others are beginning to integrate these neuroscience-related principles into their work, yet little has been published to document their methods and results.

Background

There are a variety of neuroscientific study areas that relate to behavior and by extension are of interest to OD practitioners and scholars: social, behavioral, affective, cognitive, social cognitive, and organizational cognitive neuroscience as well as other related study areas such as interpersonal neurobiology and mindful awareness or mindfulness. The list is seemingly endless and comingled. Senior, Lee, and Butler (2011) defined organizational cognitive neuroscience as

the cognitive neuroscientific study of organizational behavior . . . [which] lets us start to understand the relationship between our organizational behavior and our brains and allows us to dissect specific social processes at the neurobiological level and apply a wider range of analysis to specific organizational research questions. (p. 804)

The most prolific group that applies neuroscience research findings to OD areas of interest is the NeuroLeadership Institute (NLI). This group coined the term “neuroleadership” and defines it as “an emerging field of study connecting neuroscientific knowledge with the fields of leadership development, management training, change management, consulting and coaching” (NeuroLeadership Institute, n.d., para. 1). Other groups include the Global Association for Interpersonal Neurobiology Studies, which is “a nonprofit organization whose mission is to advance the science, practice, and application of interpersonal neurobiology to promote health and wellbeing” (GAINS, n.d., para. 1). Yet another is the Mindsight Institute, the mission of which is to “link science with practical applications to cultivate mindsight skills and well-being” (Mindsight Institute, n.d., p. 1).

Unlike the NLI, both the Global Association for Interpersonal Neurobiology Studies and the Mindsight Institute focus on interpersonal neurobiology, a term developed by Siegel (1999) in his work *The Developing Mind*. Not surprisingly, Siegel is a founding member of both organizations. The Mindsight Institute defines interpersonal neurobiology as “an interdisciplinary field which seeks to understand the mind and mental health [with a focus on] . . . the way the brain develops and is shaped by interpersonal relationships” (Mindsight Institute, “Why Us?” n.d., p. 1). Siegel describes mindsight as “our human capacity to perceive the mind of the self and others” (“About Mindsight,” n.d., para. 1) and elaborates further that “it is the basic skill that underlies what we mean when we speak of having emotional and social intelligence” (para. 3). While interrelated, the NLI differentiates itself from the Global Association for Interpersonal Neurobiology Studies and the Mindsight Institute by focusing on

leadership, mostly within the context of business enterprises and organizations. Both the Global Association for Interpersonal Neurobiology Studies and the Mindsight Institute focus more on individual development and the benefits to a broader forum, including communities, families, and organizations.

A review of these three organizations and their commonalities led to a focus on the SCARF Model developed by Rock (2008; 2009; Rock & Cox, 2012), the founder of the NLI. Rock built on the work of Gordon who, with Williams, developed a model to help explain that “the brain has an overarching organizing principle, which is to classify the world around you into things that will either hurt you or help you stay alive” (Rock, 2009, p. 104). Based in this social neuroscience framework, Rock (2008; 2009; Rock & Cox, 2012) developed a method of categorizing the common issues that trigger these *toward* or *away* responses in the brain. As such, the SCARF Model consists of five domains: Status, Certainty, Autonomy, Relatedness, and Fairness (Rock, 2008). Rock (2008) explained

Status is about relative importance to others. Certainty concerns being able to predict the future. Autonomy provides a sense of control over events. Relatedness is a sense of safety with others, of friend rather than foe. And fairness is a perception of fair exchanges between people. (p. 1)

In 2012, Rock and Cox surveyed 6,300 people using a psychometric questionnaire to create individualized SCARF profiles or, rather, personalized prioritizations of the SCARF domains. The survey results showed that a striking “46% of responders indicated that the most important domain was Certainty, followed by Relatedness, which 27% of responders rated as the most important domain” (Rock & Cox, 2012, p. 10). Similarly, a case study mapping the SCARF Model to leadership behaviors identified in NASA’s leadership development program

showed that 37% of leadership behaviors address the issue of Certainty (Donde & Williams, 2012), the highest ranked domain within the SCARF Model. These findings generated multiple questions and ultimately the basis for the current research.

Purpose and Significance

The focus of this research was to first better understand why Certainty might be the primary concern for individuals among the SCARF Model domains. A second focus was to increase understanding of what OD practitioners, educators, and consultants are witnessing and experiencing in the field, particularly during change efforts. More so, in the context of increasingly frequent change in organizational settings, it was hoped that this research would identify the best intervention techniques, practices, or activities that OD practitioners employ to mitigate threat triggers and maximize reward triggers.

To date, in the vast body of knowledge of OD research and publications, little has been published on social neuroscience and organizational cognitive neuroscience-informed methods and frameworks, such as the SCARF Model. A greater understanding of the application of the SCARF Model will help increase awareness of the discipline and create a venue for additional learning. Furthermore, if there are common lessons learned by practitioners, these findings could be communicated back into forums using the SCARF Model and other social neuroscience and organizational cognitive neuroscience-informed methods and frameworks for continued learning.

Methodology

This research was conducted via online survey and individual face-to-face and telephone interviews with practitioners identified through various OD-related and management consulting networks.

Thesis Outline

Chapter 1 explained the research background, purpose, importance, and methodology.

Chapter 2 summarizes a review of available literature, defines key terms, and identifies gaps in the knowledge bank.

Chapter 3 describes the research methodology, context, and intent.

Chapter 4 details the results of data collection.

Chapter 5 outlines the analysis of data collected, discusses implications for the OD field, outlines limitations to the study, and poses suggestions for future research.

Chapter 2: Introduction

The purpose of this research project was to gain a better understanding of whether practitioners' perspectives are in line with existing literature and research on threat and reward responses based on the SCARF Model and ultimately to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. This literature review first addresses the question of why Certainty might be the highest trigger for individuals. The literature suggests multiple reasons, including interrelatedness of domains and the overarching foundational influence of the need for cognitive closure (NFCC), which is proposed to be the underlying construct for the Certainty trigger. This literature review also identifies common threat reduction and mitigation practices and interventions.

The SCARF Model

The SCARF Model, as presented by Rock (2008) in the first issue of the *NeuroLeadership Journal*, responds to two themes surfacing from recent neuroscience research, namely, that the reward/threat response governs motivation for social behavior and that a portion of the same brain circuitry triggering during reward/threat responses does so to both social experiences and basic survival needs. Summarized in the SCARF Model are “the common factors that can activate a reward or threat response in social situations” (p. 1). These factors are captured within the five domains of Status, Certainty, Autonomy, Relatedness, and Fairness. Rock and Cox (2012) maintain that “the [SCARF] model enables people to more easily remember, recognize, and potentially modify the core social domains that drive human behavior” (p. 1) in

order to both minimize threat responses in themselves and others as well as allow “people to motivate others more effectively by tapping into internal rewards” (p. 1). The five domains of the SCARF model are defined as follows:

Status refers to one’s sense of importance relative to others (e.g., peers, co-workers, friends, supervisors). **Certainty** refers to one’s need for clarity and the ability to make accurate predictions about the future. **Autonomy** is tied to a sense of control over the events in one’s life and the perception that one’s behavior has an effect on the outcome of a situation (e.g., getting a promotion, finding a partner). **Relatedness** concerns one’s sense of connection to and security with another person (e.g., whether someone is perceived as similar or dissimilar to oneself, a friend or a foe). Finally, **Fairness** refers to just and non-biased exchange between people (e.g., praise for or acknowledgment of one’s efforts, equivalent pay for equivalent work, sharing a candy bar with everyone, etc.). (Rock & Cox, 2012, p. 3)

In trying to understand why Certainty might rank the highest among all five domains among individuals surveyed in existing research, further research was conducted on the psychological constructs for each of these domains. The findings of this literature review follow.

Review of SCARF Domains

Certainty. As noted above, within the SCARF framework, Certainty pertains to clarity and predictability (Rock & Cox, 2012). Rock and Cox explain that “people differ in their need for certainty and their ability to tolerate uncertain or ambiguous situations. Specifically, intolerance of ambiguity is the tendency for one to perceive ambiguous or uncertain situations as sources of threat” (p. 5). Examples of when Certainty might trigger a threat response include situations in which one lacks clarity about the strategic direction of his or her organization, how organizational change might impact his or her role, or how a leader will respond to a conflict.

“The desire for a definitive answer to a question and the eschewal of continued uncertainty or ambiguity concerning the nature of such an answer” is the definition of an

epistemic motivator called need for cognitive closure or NFCC (Kruglanski & Sheveland, 2012, p. 16). Fischer and Connell (2003) explained that “epistemic motivation promotes development of skills and knowledge of the world” (p. 103). Individuals are ranked on a continuous scale ranging from strong need for closure to a strong need to avoid closure (Pierro, Kruglanski, & Raven, 2012) or high and low NFCC, respectively. Calogero, Bardi, and Sutton (2009) described the five different ways in which the NFCC is exhibited: preference for order, preference for predictability, discomfort with ambiguity, close-mindedness, and decisiveness. Based on these findings and nearly synonymous definitions of SCARF’s Certainty and NFCC, it can be surmised an individual perceiving ambiguous situations as threatening would likely be ranked as having a high NFCC.

Kruglanski, Orehek, Dechesne, and Pierro (2010) explained that NFCC “is an epistemic motivation that propels knowledge formation and has widely ramifying consequences for individual, interpersonal, and group phenomena” (p. 939). Research by Calogero et al. (2009) explored the associations between the NFCC as an epistemic motivator and the Schwartz Theory of Basic Values (Schwartz, 1992, 2012). The Schwartz value theory and associated survey have been translated into many languages and tested in over 80 countries. The Schwartz value theory identifies ten different basic personal values and explains their origin (Schwartz, 2012). These are listed below and depicted graphically in Figure 1.

Power: Social status and prestige, control or dominance over people and resources (social power, authority, and wealth)

Achievement: Personal success through demonstrating competence according to social standards (successful, capable, ambitious, and influential)

Hedonism: Pleasure and sensuous gratification for oneself (pleasure, enjoying life, and self-indulgent)

Stimulation: Excitement, novelty, and challenge in life (daring, a varied life, and an exciting life)

Self-Direction: Independent thought and action—choosing, creating, exploring (creativity, freedom, independent, curious, and choosing own goals)

Universalism: Understanding, appreciation, tolerance and protection of the welfare of all people and of nature (broadminded, wisdom, social justice, equality, a world at peace, a world of beauty, unity with nature, and protecting the environment)

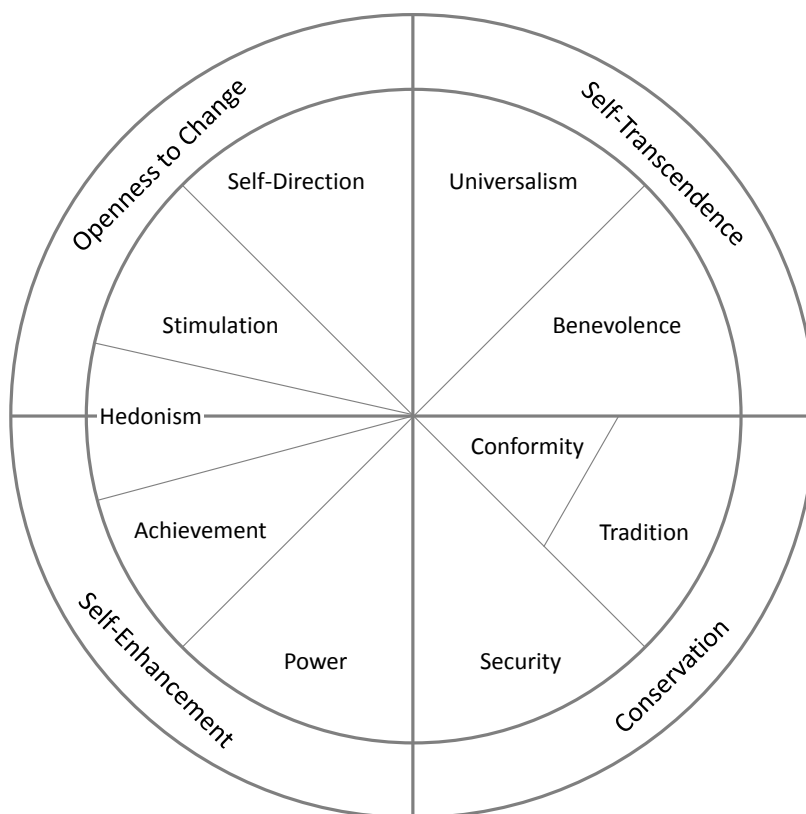
Benevolence: Preservation and enhancement of the welfare of people with whom one is in frequent personal contact (helpful, honest, forgiving, loyal, and responsible)

Tradition: Respect, commitment, and acceptance of the customs and ideas that traditional culture or religion provide the self (humble, accepting my portion in life, devout, and respect for tradition, moderate)

Conformity: Restraint of actions, inclinations, and impulses likely to upset or harm others and violate social expectations or norms (politeness, obedient, self-discipline, and honoring parents and elders)

Security: Safety, harmony and stability of society, of relationships, and of self (family security, national security, social order, clean, and reciprocation of favors). (Calogero et al., 2009, p. 155. Reprinted from *Personality and Individual Differences*, 46(2), R. M. Calogero et al., “A Need Basis for Values: Associations between the Need for Cognitive Closure and Value Priorities,” 154–159, Copyright 2009 with permission from Elsevier)

Fundamental to Schwartz’s value theory is the “circular structure . . . that captures the conflicts and compatibility among the ten values [that are] . . . apparently culturally universal” (Schwartz, 2012, p. 2) as evidenced by extensive use and validation around the world (Schwartz, 2012; Calogero et al., 2009). As such, “each value is positively correlated with adjacent values in the circle, and each value is negatively correlated with opposite values in the circle” (Calogero et al., 2009, p. 154). Calogero et al. hypothesized that high NFCC (e.g., the desire to attain closure) would be positively correlated with values associated with Certainty, specifically the



Note. From “An Overview of the Schwartz Theory of Basic Values,” by S. H. Schwartz, 2012, *Online Readings in Psychology and Culture*, 2(1), p. 9. <http://dx.doi.org/10.9707/2307-0919.116>. Reproduced with permission.

Figure 1. Theoretical Model of Relations among Ten Motivational Types of Value

Conservation category, which includes security, tradition, and conformity. Similarly, they posited that low NFCC (e.g., the desire to avoid closure) would be “best satisfied by openness to change values” (p. 156). Their research results support both of these proposed associations, stating that “individual differences in NFCC give rise to values which match and satisfy individual needs to attain or avoid cognitive closure” (p. 154). These findings, showing the strong positive relationship between one’s NFCC, or tolerance of uncertainty, and both the values of conformity and security (for high NFCC) and self-direction and stimulation (for low

NFCC) demonstrate that the link between values and NFCC is especially strong. Based on these findings, the high percentage weighting for Rock's Certainty domain is far less surprising.

Status. Rock (2008) defined Status as one's "relative importance to others" (p. 1).

Included in this domain are social and economic status and one's place in the hierarchy at work.

A peer's promotion to a position for which an individual was competing might trigger a threat response, whereas public acknowledgement for excellent performance might trigger a reward response.

Rock's Status domain overlaps with the Schwartz value theory's concept of Power, defined as "social status and prestige, control or dominance over people and resources (social power, authority, and wealth)" (Calogero et al., 2009, p. 155). Schwartz (2012) explained further that "power values (e.g., authority, wealth) emphasize the attainment or preservation of a dominant position within the more general social system" (p. 6). Since power falls within the context of the value theory that is shown above to be influenced by NFCC and Certainty, it stands to reason that Status's weight would be lower than Certainty's in Rock & Cox's 2012 survey (12% versus 46%, respectively).

Rock and Cox, in a review of recent neuroscience research, noted several interactions between certain elements of the SCARF model. Two are cited in Rock and Cox (2012), the first of which is the interaction between Status and Relatedness. They explained that a recent study by Anderson, Kraus, Galinsky, and Keltner (2012) supported a theory that "increased social status that grows from better relatedness to others appears to be more rewarding than economic status" (Rock & Cox, 2012, p. 8). Conversely, another cited finding is that lower status

individuals are higher in empathy than their higher class counterparts because they “more accurately tracked the hostile emotions of their friend” (Kraus, Horberg, Goetz, & Keltner, 2011, p. 1376) during a study about threat vigilance and hostile reactivity. The latter study suggests that Status influences Relatedness, not vice versa as the former study suggests. Kraus et al. (2011) also mentioned a theory that “individuals with high social power—that is, elevated control and freedom—are less contextually oriented and tend to shape their social environments using their own traits and dispositions, rather than shifting their cognitions to align with the social context” (p. 1384). It is evident that there is a connection between Status and Relatedness, but the findings cited above do not consistently support Rock and Cox’s (2012) survey results of Relatedness being ranked above Status in relative importance (27% and 12%, respectively). Perhaps, as discussed below for Autonomy, the population group’s demographics resulted in a reduced concern for Status threats due to their relative rank in society.

Relatedness. Rock and Cox (2012) described Relatedness as “one’s sense of connection to and security with another person (e.g., whether someone is perceived as similar or dissimilar to oneself, a friend or a foe)” (p. 3). Realizing that colleagues share common interests could result in a Relatedness reward trigger, for example, whereas perceiving only dissimilarities may generate a threat response. Similar to Rock’s definition, the Security element of the Schwartz value theory pertains to “safety, harmony, and stability of society, of relationships, and of self” (Schwartz, 2012, p. 6). Schwartz also identified a sense of belonging as being a motivational goal of security.

Kruglanski and Sheveland (2012) suggested that high NFCC individuals are attracted to groups that “offer firm shared realities to their members, affording stable cognitive closure” (p. 25). Research by Kruglanski, Shaw, Pierro, and Mannetti (2001) suggested a preference for homogeneous over heterogeneous groups by individuals with high NFCC, but only when homogeneity is paired with self-similarity). They concluded that “such groups may be perceived as likely to support one’s world views (self-similarity) and do so in a way promising epistemic coherence and stability (through their homogeneity)” (p. 661).

Taking this concept further, research by Roets and Van Hiel (2011) supports the theory that the NFCC is the primary basis for prejudice but shows that positive contact with out-groups can reduce the negative attitudes presented prior to such contact. Furthermore, Walton, Cohen, Cwir, and Spencer (2012) showed findings that support Roets and Van Hiel’s optimism by illuminating the relationship between Relatedness and motivation. Walton et al. showed that even minor social relatedness, such as a shared birthday, had a significant positive impact on task motivation and reduced negative attitudes regarding task and group.

Rock and Cox (2012) themselves noted the crossover between Relatedness and Certainty, citing the research of Jenkins and Mitchell (2010), which studied the impact of ambiguity and uncertainty on those trying to relate to others. Their work showed that “perceivers face a number of uniquely different mentalizing challenges: not only the ability to infer a wide variety of mental states—such as beliefs, knowledge, feelings and preferences—but also the ability to mentalize under varying degrees of uncertainty and ambiguity” (Jenkins &

Mitchell, 2010, p. 409). Put another way, one's capacity to relate to others and perceive what they are thinking is influenced by situational ambiguity.

As with Rock's Status and Schwartz's Power discussed above, there is considerable crossover of the SCARF Relatedness and Schwartz value theory Security concepts. More so, an individual's level of tolerance for ambiguity as represented by his or her NFCC strongly influences connection to and attitudes about certain types of groups depending on their level of similarity to themselves. Given this research finding, it is again not surprising that Certainty was rated higher than Relatedness in Rock and Cox's 2012 survey; however, it should be noted that Relatedness was the second highest at 27%.

Autonomy. Rock (2008) described Autonomy as "the perception of exerting control over one's environment; a sensation of having choices" (p. 5). As such, having a considerable amount of freedom to make decisions may pose as a reward trigger while the opposite may generate a threat response. Inesi, Botti, Dubois, Rucker, and Galinsky (2011) proposed that "power and choice share a common attribute: They both satisfy the need for *personal control*, the belief that events are influenced by and contingent upon one's own behavior and not fate, circumstances, other people, or uncontrollable forces" (p. 1042). Rock's Autonomy domain is most similar to the Self-Direction concept within the Schwartz value theory, which includes "independent thought and action—choosing, creating, exploring" (Schwartz, 2012, p. 5). As with Status and Relatedness above, because the NFCC determines an individual's values, it stands to reason that Certainty would carry a higher percentage weight in Rock's survey than the other four domains. In this case, however, there is considerable difference between the

weights—Autonomy scored only 3%, the least of all five domains. One reason may be that the population surveyed may have ranked higher on the NFCC scale versus lower. Higher NFCC has been shown to relate positively with more conservative values (Kruglanski & Sheveland, 2012; Schwartz, 1996). If indeed the surveyed population was found to rank as high (versus low) NFCC, then it stands to reason that the other SCARF model domains (Status and Relatedness) represented by Power and Security in the value framework were shown to be more important than Autonomy. As previously noted, Power and Security fall within or close to the Conservation quadrant and Self-Direction, the value associated with SCARF's Autonomy, falls within the Openness to Change quadrant of the circular model of the value theory. Another reason might be that the population surveyed does not perceive Autonomy as a threat for other reasons, such as that they feel secure in their careers and exercise a fair amount of control and choice already. This area is worth exploring further to better understand the extreme difference in weights and why Autonomy was ranked so low.

Fairness. Rock and Cox (2012) explained that “Fairness refers to just and non-biased exchange between people” (p. 3). Examples of Fairness threat triggers could be the equal pay for equal work, perceived preferential treatment of others, and nepotism. Rock's concept of Fairness maps most closely to Schwartz's Universalism value, which is defined as “understanding, appreciation, tolerance and protection of the welfare of all people and of nature (broadminded, wisdom, social justice, equality, a world at peace, a world of beauty, unity with nature, and protecting the environment)” (Calogero et al., 2009, p. 155).

While, as referenced above, Rock and Cox (2012) identified two specific interactions between SCARF domains—first, Status and Relatedness and, second, Certainty and Relatedness—potential interaction between Fairness and Certainty was not identified. However, Van den Bos and Lind's (2002) research shows a strong connection of fairness to uncertainty, in so much that it can be used for uncertainty reduction. Giacomantonio, Pierro, and Kruglanski (2011) explored this relationship and postulated

If, as proposed by Van den Bos and Lind (2002), fairness is used as a heuristic to reduce uncertainty, individuals particularly concerned with uncertainty reduction should be especially sensitive to variations in the perceived procedural fairness of the leader's behavior. In contrast, individuals who are more tolerant toward uncertainty may not accord fairness an equally central role in determining their conflict management approach. Put differently, if a general feeling of uncertainty leads to an increased attention to fairness, then individuals with high motivation to avoid uncertain situations should be more sensitive to fairness. (p. 360)

This research by Giacomantonio et al. (2011) focused on perceptions of leaders' fairness, followers' conflict management strategies, and the influence of NFCC. Their findings demonstrated strong correlation between perceived fairness and solution-oriented conflict management strategies, particularly for high NFCC individuals, thus supporting the hypothesis above. The research by Giacomantonio et al. supports a hypothesis that Certainty via NFCC exhibits influence over Fairness, thus supporting the relative weighting of Rock and Cox's 2012 survey in which Fairness' percentage weight (12%) is less than Certainty's (46%). However, not all of the literature reviewed fully supported the relative weightings of Rock and Cox's (2012) survey results. Based on a pan-cultural examination of Schwartz's value survey results, Schwartz (2012) reported

Individuals differ substantially in the importance they attribute to the ten values. Across societies, however, there is surprising consensus regarding the hierarchical order of the values. Across representative samples, using different instruments, the importance ranks for the ten values are quite similar. Benevolence, universalism, and self-direction values are most important. Power and stimulation values are least important. (p. 14).

This passage refers to a 2007 study examining the ten Schwartz values in 20 countries, in which mean importance calculations show Benevolence as the highest ranked, followed by Universalism and then Self-Direction (Schwartz, 2007, p. 184). As previously noted, Universalism is most closely related to SCARF's Fairness domain and Self-Direction is most similar to Autonomy, which was ranked 3% in Rock and Cox's 2012 survey. Schwartz's 2007 study indicates Fairness and Autonomy would carry more significant weight than 12% and 3%, respectively. While it is evident interaction exists between the Certainty and Fairness domains, the literature reviewed does not consistently support the relative weightings of domains in Rock and Cox's 2012 survey. Additional research is warranted to further understand these relationships.

Summary: SCARF'S Relationship to NFCC and the Schwartz Value Theory

This literature review aimed to better understand why the Certainty domain of Rock's SCARF model of common threat/reward triggers was ranked highest in Rock and Cox's 2012 survey. The literature suggested multiple reasons, including interrelatedness of domains and the overarching foundational influence of the epistemic motivating factor NFCC. The literature demonstrated that NFCC determines individuals' basic values, as presented in the Schwartz value theory. Definition of Rock's Certainty domain is nearly synonymous with that of NFCC. Therefore, it follows that Certainty influences many of the other SCARF domains, which is one

of the findings of this review. Furthermore, there are four SCARF domains that map to the Schwartz value theory model, specifically Self-Direction and Autonomy, Power and Status, Universalism and Fairness, and Security and Relatedness (Figure 2). In kind, there is a fair amount of evidence of influence by NFCC (Certainty) on these concepts. As such, it stands to reason that the survey results would express the relative importance of Certainty to the other domains.

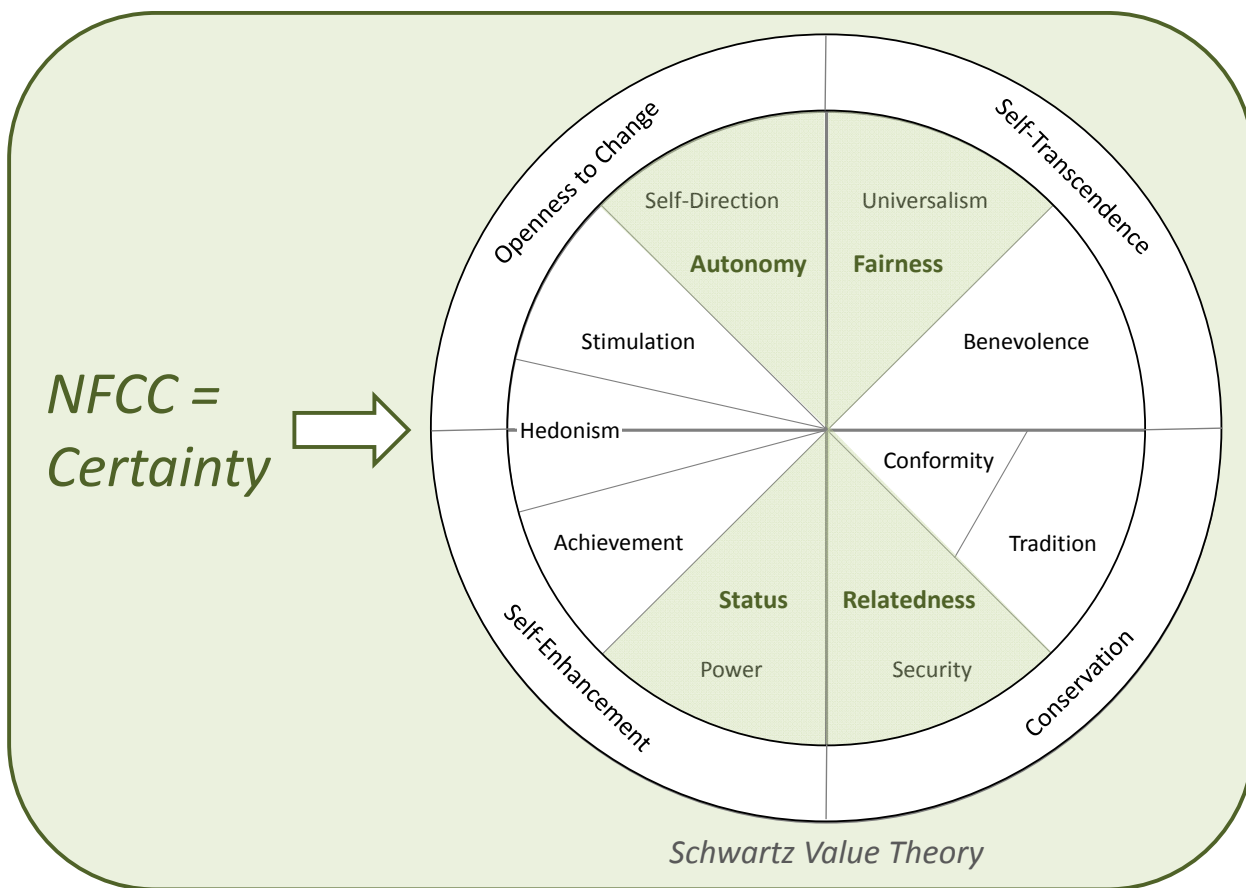
Threat Response Mitigation

Next in the process is to review common threat reduction and mitigation practices and interventions. Review of literature identified a series of general emotional self-regulation practices as well as specific ways to reduce threat responses in others related to the SCARF Model.

Emotional self-regulation.

Labeling. One of the most prevalent emotional self-regulation tools found in the literature is the practice of labeling emotions (Lieberman, 2009; Rock, 2009; Rock & Cox, 2012; Siegel, 2010). Research by Lieberman (2009) showed that affect labeling, or describing emotions with words, triggers a part of the brain that was previously shown to have increased activity during activities related to self-control. Lieberman's research also showed that

when people engaged in affect labeling . . . activity throughout the limbic system in general and in the amygdala in particular, diminished. Putting feelings into words diminished participants' emotional responses to emotional pictures, even though putting feelings into words involves attending to the emotional aspects of the pictures. (p. 5)



NFCC = Need for Cognitive Closure

Note. Figure created by author. Original circle graphic from "An Overview of the Schwartz Theory of Basic Values," by S. H. Schwartz, 2012, *Online Readings in Psychology and Culture*, 2(1), p. 9. <http://dx.doi.org/10.9707/2307-0919.116>. Adapted with permission. SCARF domains from *Your Brain at Work: Strategies for Overcoming Distractions, Regaining Focus and Working Smarter All Day Long* [Kindle Edition] by D. Rock, 2009, Retrieved from Amazon.com.

Figure 2. Relationship among Need for Cognitive Closure, Schwartz Value Theory, and the SCARF Model Domains

Mindfulness. Another prevalent self-regulation technique is mindfulness. Lieberman (2009) explained that “mindfulness involves a non-judgmental awareness of what one is thinking, feeling, and experiencing which bares [sic] some strong resemblances to affect labeling” (p. 6).

Reappraisal. Rock (2009) explained that “a series of studies shows that reappraisal generally has a stronger emotional braking effect than labeling, thus, it’s a tool for reducing the impact of bigger emotional hits” (p. 126). Heilman, Crişan, Miclea, Miu, and Houser (2010) showed that “the increased effectiveness of cognitive reappraisal in reducing the experience of emotions underlies its beneficial effects on decision making” (p. 257). Also called reframing, re-contextualizing, and reassessing (Rock, 2009), reappraisal involves thinking about things in new ways. Rock described four types of reappraisal: reinterpreting, normalizing, reordering, and repositioning. Reinterpreting is fairly self-explanatory and involves a shift in the way one assesses something. Normalizing involves understanding why one is experiencing an emotion, particularly when it is a “normal” response. Rock stated that “having an explanation for an experience reduces uncertainty and increases a perception of control” (2009, p. 128). Essentially, normalizing involves giving oneself permission to feel an emotion and as a result dampen its magnitude. Rock described reordering as a complex cognitive change in which one reprioritizes values ascribed to various things or activities. “Reordering how you value the world changes the hierarchical structure of how your brain stores information, which changes how your brain interacts with the world” (p. 129). Such a major shift might be akin to reprioritizing personal happiness over career success. Rock’s fourth form of reappraisal is repositioning and

involves looking at something from another's perspective. All four reappraisal types work to reduce threat responses and create greater understanding.

SCARF-specific measures.

Status. When it comes to status threats and rewards, Rock (2008) recommended having subordinates rank and evaluate their own performance and provide themselves feedback versus conducting an evaluation of them and providing them with feedback. He stated that "people feel a status increase when they feel they are learning and improving and when attention is paid to this improvement" (p. 4). Therefore, self-evaluation can produce a Status reward as well as avoid Status threats from anticipated feedback.

Certainty. As described in the first part of this chapter, threats related to ambiguity, uncertainty, and unpredictability are very strong. To mitigate these, Rock (2008) explained that "as people build business plans, strategies, or map out an organization's structure, they feel increasing levels of clarity about how an organization might better function in the future" (p. 5). As such, the act of planning (and communicating the plan to those who were not involved) goes a long way to reduce uncertainty. Rock (2008) and Glaser (2012) also recommended being open and transparent with colleagues and subordinates to reduce threats of ambiguity and uncertainty. Rock (2008) demonstrated that this can be as simple as "making implicit concepts more explicit, such as agreeing verbally how long a meeting will run, or stating clear objectives at the start of any discussion" (p. 5). Communication activities such as these frame situations with known expectations so that all or some parties involved are not left guessing; they create context that results in greater shared understanding.

Autonomy. The primary way to reduce threat responses to Autonomy is to give people choices or options. Rock (2008) explained that even seemingly insignificant choices can have a substantial impact: “allowing people to set up their own desks, organize their workflow, even manage their working hours, can all be beneficial if done within agreed parameters” (p. 5). Rock recommended using “sound policy” to establish clear parameters and define in which areas employees can be creative.

Relatedness. As Relatedness generates trust, Rock (2008) and Glaser (2012) both recommended sharing personal stories, allowing oneself to be vulnerable, and encouraging “water cooler” conversations (Rock, 2008, p. 6). These types of activities build personal social connections among individuals, thereby increasing trust, intrinsic motivation, and productivity.

Fairness. Lastly, as it relates to reducing Fairness threat responses among colleagues and subordinates, Giacomantonio et al. (2011) recommended leaders “adopt a fair, clear and consistent decision making style, allowing subordinates to express their opinions and appeal decisions whenever possible” (p. 367). Demonstrating this type of clarity and consistency will likely decrease certainty threats as well.

Summary and Looking Ahead

In addition to understanding why the Certainty domain of Rock’s (2008; 2009; Rock & Cox, 2012) SCARF model was ranked the highest in Rock & Cox’s 2012 survey, this research aimed to understand the mitigation strategies common to all of the SCARF domains. Reducing the threat and increasing the reward response can be done through emotional self-regulation. Similarly, there are common behaviors that reduce threat triggers in others as discussed above.

These include frequent and clear communication, being transparent, allowing self-evaluation, giving choices, and allowing oneself to be vulnerable.

This research aimed to gain a better understanding of whether the research findings above are in line with practitioners' perspectives. Furthermore, this research attempted to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. This research was conducted via survey and individual face-to-face interviews with practitioners identified through various OD-related and management consulting networks.

Chapter 3: Methodology

As previously discussed, the SCARF Model developed by Rock (2008; 2009; Rock & Cox, 2012) categorizes reward and threat responses into five domains: Status, Certainty, Autonomy, Relatedness, and Fairness. Rock and Cox (2012) surveyed 6,300 people to generate individual SCARF profiles reflecting which domains were most important to each person. The purpose of the present research project is to gain a better understanding of whether practitioners' perspectives are in line with existing research findings and ultimately to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. This research was conducted via online survey and individual face-to-face and telephone interviews with practitioners identified through various OD-related and management consulting networks. This chapter outlines the research design, research sample and data collection, measurement techniques, data analysis, and procedures used to protect human subjects.

Research Design

This study consisted of a mixed qualitative and quantitative methodology involving an online survey and individual interviews. The survey included definitions of each of the SCARF domains and requested prioritization of the domains via weighted pairwise comparison scales. The prioritization survey resulted in percentage weight rankings of each of the five SCARF domains using the Analytic Hierarchy Process methodology described by Saaty (2008) in his work *Decision Making for Leaders*. The survey results (e.g., percentage rankings) were then presented to interviewees to understand their impressions of the results, gauge how similar or

dissimilar the results were to their experience, and discover which practices they use to avoid negative triggers and maximize positive triggers. The survey and interview questions are included in Appendixes A and B, respectively.

Research Sample and Data Collection

The study sample was comprised of 48 practitioners who completed the online survey (see Appendix A), 8 of whom also participated in individual, one-hour interviews with the researcher. The online survey was advertised (see Appendix C) on multiple LinkedIn.com group pages, each with membership ranging from 463 to 40,651. Because this study explored a neuroscience model in the context of organizational change, the group pages included Business Process Improvement and Change Management, Change Management and Transformation Strategy, Change Management Network, Future of OD, NeuroLeadership, OD Network, OD Professional Group, Pepperdine Graziadio School Alumni and Students (OFFICIAL), and the Pepperdine MSOD Alumni Network. The survey also was advertised on the Pepperdine University Alumni and MSOD Community pages within Yammer.com.

Personalized invitations for the survey and interview (see Appendix D) also were sent to individuals identified through convenience sampling of the Portland, Oregon, chapter of OD Network; Project Management Institute, Portland chapter; and online searches. A snowball sampling technique also was used to identify additional participants recommended through the convenience sample originally identified. Participants identified through convenience and snowball sampling were sent invitation emails to complete the survey and participate in interviews.

Each interviewee received a PDF document containing the survey results (see Appendix E) prior to the interview. Seven interviews were conducted via telephone and one was held in person. All interviews were electronically audiorecorded and transcribed by the researcher at a later time. Length of the interview transcripts varied between 5 to 12 pages each, with a total yield of 56 pages of text. Table 1 shows the statistics of the survey and interview populations.

Measurement

As noted earlier, Rock and Cox (2012) created a psychometric questionnaire for the 2012 survey of the SCARF domains. In lieu of repeating their research with a similar methodology, this research project used a more direct self-report mechanism to develop practitioners' opinions of which domains were more critical to the success of change efforts. The methodology used was a pairwise comparison, or forced choice, of each domain on a weighted scale. In lieu of asking "which is more important, x or y?", weighted pairwise comparison questions seek to understand the extent of the importance as well. As such, a single question was developed for each of the comparisons: Active management of which reward/threat trigger poses the greater benefit to a change effort, and by how much? The scale used was an abbreviated Analytic Hierarchy Process Fundamental Scale for Pairwise Comparisons (Saaty, 2008) as shown in Table 2. While respondents could select the full 1–9 range, only definitions for 1, 5, and 9 were provided. In lieu of the term "importance," the term "benefit" was used to reflect the positive contribution made by management of that domain to a change effort. A definition for the term "change effort" was not provided.

Table 1. Participant Population Data

Category	Online Survey	Interview
Total Respondents	<i>N</i> = 48	<i>N</i> = 8
Men	<i>n</i> = 21	<i>n</i> = 3
Women	<i>n</i> = 27	<i>n</i> = 5
Internal Organization Development Practitioners	<i>n</i> = 14	<i>n</i> = 2
External Organization Development Practitioners	<i>n</i> = 30	<i>n</i> = 2
Other	<i>n</i> = 4*	<i>n</i> = 4**
Years of Experience Practicing in the Organization Development Field		
0–5 years	<i>n</i> = 9 (M = 1, W = 8) (I = 3, E = 6)	<i>n</i> = 2 (W = 2) (O = 2 Both)
6–10 years	<i>n</i> = 10 (M = 4, W = 6) (I = 2, E = 8)	<i>n</i> = 0
11–15 years	<i>n</i> = 9 (M = 5, W = 4) (I = 4, E = 4, O = 1 Both)	<i>n</i> = 2 (M = 1, W = 1) (I = 1, E = 1)
16–20 years	<i>n</i> = 8 (M = 4, W = 4) (E = 7, O = 1 Retired)	<i>n</i> = 0
21 or more years	<i>n</i> = 12 (M = 7, W = 5) (I = 3, E = 7, O = 2 Both)	<i>n</i> = 4 (M = 2, W = 2) (I = 1, E = 1, O = 2 Both)

*3 = Both, 1 = Retired but did not specify Internal or External

**2 = Both with greater experience in External, 2 = Both with greater experience in Internal

Legend: M = Men, W = Women, I = Internal, E = External, O = Other

Table 2. Abbreviated Version of the Fundamental Scale for Pairwise Comparisons

Intensity of Importance	Definition	Explanation
1	Equal Importance	Two activities contribute equally to the objective
5	Strong Importance	Experience and judgment strongly favor one activity over another
9	Extreme Importance	The evidence favoring one activity over another is the highest possible order of affirmation
Reciprocals of above	If activity <i>i</i> has one of the above nonzero numbers assigned to it when compared with activity <i>j</i> , then <i>j</i> has the reciprocal value when compared with <i>i</i>	A comparison mandated by choosing the smaller element has the unit to estimate the larger one as a multiple of that unit

Note. Adapted from *Decision Making for Leaders* (p. 73), by T. L. Saaty, 2008, Pittsburgh, PA: RWS Publications.

Data Analysis

Once the survey data collection was complete, proprietary software was used to calculate the mean pairwise comparison ratings for each SCARF domain as well as the global priorities for each domain. Priorities also can be calculated by collecting the mean ratings for each domain and entering them into a matrix like the one shown in Table 3, the pairwise comparison matrix. The mean rating for each comparison is shown in the orange cells while their inverses are shown on the opposite side of the diagonal in the green cells. The global priorities are then calculated by dividing each rating by the sum of the five ratings in each column, and then averaging the result by the number of ratings (in this case, five). For instance, in Microsoft Excel, the formula to calculate the global priority for Fairness is

$$=((1/2.476)+(2.479/5.339)+(2.146/5.363)+(3.125/8.108)+(3.479/11.187))/5.$$

This data was then compiled, as previously mentioned, and used during interviews to better understand practitioners' perspectives. Qualitative data resulting from interviews was collected and analyzed for common themes and to help understand practices used to best mitigate threat triggers and maximize reward triggers.

Table 3. Pairwise Comparison Matrix—Complete Data Set

SCARF Domains	Fairness	Certainty	Autonomy	Relatedness	Status	Global	Priority
Fairness	1	2.479	2.146	3.125	3.479		39%
Certainty	0.403	1	1.167	1.729	2.354		20%
Autonomy	0.466	0.857	1	1.833	1.979		19%
Relatedness	0.320	0.578	0.545	1	2.375		13%
Status	0.287	0.425	0.505	0.421	1		9%
Subtotals	2.476	5.339	5.363	8.108	11.187		

Protection of Human Subjects

Approval to proceed with the proposed research by Pepperdine University's Institutional Review Board was received on October 11, 2013 (see Appendix F). As part of the Institutional Review Board application process, the researcher completed the training course "Protecting Human Research Participants," developed by the National Institute of Health Office of Extramural Research on November 13, 2012 (see Appendix G).

Prior to collecting any survey data, each prospective responder was provided with an online consent form that included a summary of the research being conducted and its purpose,

research procedures, potential risks, potential benefits, the responder's right to deny or withdraw from participation, and confidentiality procedures. Contact information was provided for the primary researcher, Pepperdine University faculty supervisor, and chairperson of the Graduate and Professional Schools' Institutional Review Board at Pepperdine University if the responder wished to ask further questions. See Appendix H for a copy of the survey consent form. Prior to conducting interviews, each interviewee received, signed, and returned a similar form (see Appendix I) providing consent to participate.

Data obtained for this research study will be kept confidential. The confidentiality of the researcher's records has been, and will continue to be, maintained in accordance with applicable state and federal laws. Research records will be kept for a minimum of three years as required by federal regulations. Surveys were submitted anonymously. Interview data does not have identifiers connected to it, and participant responses will be kept confidential and only aggregate data reported.

Summary

This chapter outlined the research design, research sample and data collection, measurement techniques, data analysis, and procedures used to protect human subjects associated with this research project. Chapter 4 describes the collected data discussed herein.

Chapter 4: Results

This chapter outlines the findings from the research described in the previous chapter. The data presented below follows the results of each of the two research phases: first, the online survey and, second, the individual interviews. Since the data presented herein was used during the individual interviews, the results are combined.

SCARF Prioritization—Overall Results

The purpose of the present research project was to gain a better understanding of whether practitioners' perspectives and experiences managing change efforts are in line with existing research regarding the relative importance of the SCARF domains and ultimately to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. The first phase of this study consisted of an online survey in which respondents were asked to select which SCARF domain, if actively managed, would pose the greater benefit to a change effort, and by how much. While not made explicit, the current research asked survey respondents to report on their opinion of what is important *to others* based on their perspective and experience managing change as OD practitioners. Their selections resulted in a prioritization of the SCARF domains. Figure 3 shows the resulting prioritization based on the average responses for all 48 respondents.

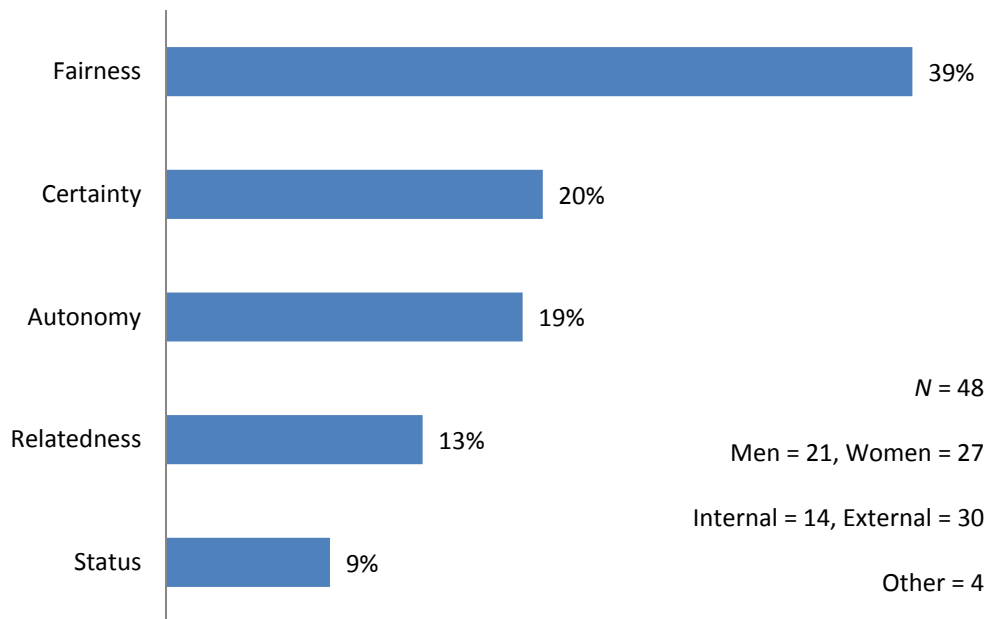


Figure 3. SCARF Prioritization—All Practitioners

Eight OD practitioners were interviewed in total as part of the second phase of the current research. Several general demographic questions were asked, which included whether the interviewees had been familiar with the SCARF model prior to the interview. After discussing demographics, the Figure 3, SCARF Prioritization—All Practitioners chart was presented, and all interviewees were asked what their first impressions of the data were and what surprised them. Two of the eight interviewees responded that they were surprised by how highly Fairness was rated. One provided the following explanation:

My experience is that internally, among the executive members of the organization internally, Fairness is highly valued and appreciated because any deviation/unfairness will come up and bite big time. From the perspective of rank-and-file individuals, I would say greater concerns were in the Autonomy and Relatedness, and a little less so on the Fairness.

Another interviewee supported Fairness's place in the prioritization, explaining that

Relatedness and Status are important . . . but I think they are more relevant when the organization is running smoothly, and they are not in crisis and not in big change mode. People can then focus on their higher level needs, social needs, and how important they are viewed within the organization. . . . For me personally, [Fairness] . . . is a pretty big value that I have. It's a lens that I look through at almost everything that affects me. So that's the first place I go, whether it's change management or anything . . . if I felt that I'm being dealt with unfairly, I may go to a story that it's intentional; that they're specifically favoring the benefit to some other person at my loss or my cost.

A second interviewee remarked that Fairness was accurately placed but felt Relatedness was low relative to the other SCARF domains:

In general, for western cultures where you have to engage the entire organization in change . . . I would think Relatedness would be higher. When people go through change, they need a sense of community—that's the meaning I put on it. The surprise is Relatedness is lower. The confirmation is Fairness [is] pretty much in the right place for the entire population of an organization.

Another interviewee remarked that Relatedness seemed low and provided the following explanation that Relatedness can be viewed as influencing Fairness:

The relationships between people in the organization are pretty key indicators . . . the health of those relationships, the way they work together, how they feel about each other are key indicators of the health of the organization. Like the whole thing of Fairness would be under Relatedness, because if you and I have an excellent relationship where we trust each other, and we have a strong connection, then I tend to see what you do as more fair than I would with a stranger or someone I didn't trust.

Three interviewees commented that Certainty seemed low relative to the other domains; two of their comments follow:

My first knee-jerk reaction is that you would have thought Certainty would have been the highest. . . . My experience is . . . a lot of folks, when we're talking about change, that's really what they're looking for, some Certainty of what's going to remain, what to anticipate in the future.

I'm surprised that Certainty wouldn't be a little higher. Because, if you look at some of the models out there, the one significantly I'm thinking of is the PROSCI change management model, which is called ADKAR. ADKAR is an acronym for a process people go through when they experience change. Knowledge and awareness are two of those letters, and that has to do with knowing what you're supposed to do, understanding why things are happening the way they are, being given the knowledge necessary to operate into the future . . . the future state . . . knowing where you lie in the new future state in terms of your job, your role, your location, who you report to . . . some of those important things that happen in a lot of change efforts, especially in organizations when everything is just turned upside down. The degree of information that people receive that helps them feel secure about their role is, I think, part of Certainty . . . part of the need for Certainty.

Two remarked that Autonomy seemed low, providing the following rationale:

I really did expect Autonomy to be larger, because it seems to me as times are more and more uncertain, in terms of predictability of employment and any kind of sense of stability or sense of control over any aspect of their work, that's the issue I hear the most often.

My group is an anomaly because of expectations of Autonomy that you get with faculty members, which is not what you're going to get in the real world. Their Autonomy threats are off the charts because they have really high expectations for Autonomy. And, I think, a little bit higher tolerance for uncertainty. Maybe it's not quite as much as a threat. And I would move Status *way* higher if we're talking about faculty.

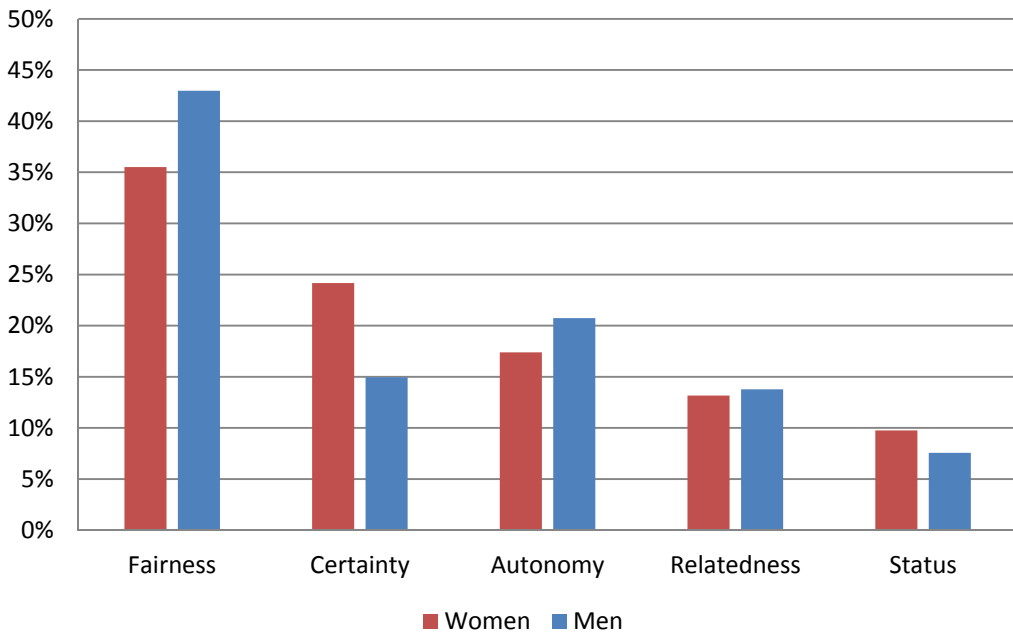
As with the last comment about Status being low for this interviewee's group, another interviewee held a similar view of Status playing a larger role:

Status and Fairness are related. Some of the Status would have been taken care of in the Fairness. When people are wondering, where do I stand next to this person, where do I fit in when I walk into a room, when we're trying to change the culture, modify the organizational structure . . . where do I now stand, where do I now fit into the picture comes up quite a bit. So, that's why I think Status in my experience plays a little bit more of a role than what is depicted in this graph.

SCARF Prioritization—Women Versus Men

The interviewees were then presented with Figure 4, SCARF Prioritization—Women Versus Men, where the overall survey results were sorted by gender. Interviewees were asked

if the data presented surprised them, if the graph reflected or did not reflect their experience, and why.



N = 48
Men = 21
Women = 27

Years of Experience
0-10 = 19 (M = 5, W = 14)
11-20 = 17 (M = 9, W = 8)
21+ = 12 (M = 7, W = 5)

Internal = 14 (M = 8, W = 6)
External = 30 (M = 12, W = 18)
Other = 4 (M = 1, W = 3)

Figure 4. SCARF Prioritization—Women Versus Men

One interviewee noted surprise at the results:

I was surprised. Probably by this graph more than any other. Where Fairness and Certainty are—men appreciate Fairness more and Certainty less than women. My experience is opposite. My experience is that women look to Fairness, at least as strongly as men if not more so. And men seek Certainty as much or more than women. It’s about equal for internal and external perspective.

Three interviewees remarked that in their experience, women do not expect to be treated fairly:

Men by nature are more competitive than women. Their egos may be a little more sensitive to how they're treated and where they fall out on things . . . decision making . . . so they may be more hypersensitive to the Fairness issue. Women may be on the other side . . . women may be a little more tolerant, a little more forgiving, a little more grace giving . . . decisions are made and that's just the way it is . . . and maybe not so much emphasis on their specific place . . . maybe more willingness to go with the flow—women.

Women are more attuned to Fairness but expect it less. They don't expect the world to be fair because they know it's not. Men would have a higher sensitivity to Fairness because they have an expectation that life will be fair.

Fairness is surprising to me. . . . I'm two generations back in the current workforce. Women working in organizations 20 to 30 years ago would not expect to be treated fairly, so they have accepted that.

Five of the eight practitioners interviewed noted agreement with women's higher prioritization for Certainty than men's; comments from four practitioners follow:

That didn't surprise me at all. . . . A lot of the women in my generation, but not me, were responsible for their families' finances for the longest time, so their need for a level of certainty was significantly higher because I think women have a tendency to be less willing to gamble with somebody else's future than I think some men . . . I don't think either gender is given to taking [it] too [far] . . . at least I hope not . . . but it's been my experience that there is a significantly more conscious angst involved when a female manager is having to make decisions around layoffs and things like that. I don't think that managers that happen to be men are oblivious, I just have never gotten the impression through the working sessions or through any of the others that they attach as emotionally to the issues of certainty and predictability in the workplace. I'm speaking from a very narrow perspective . . . I'm speaking from a perspective from where "who is going to have a job come Monday" and the level of emotion and the level of heat tied with that emotion, leads me to believe that women attach a great deal more to Certainty, not just for themselves but for other people.

Being in a less secure position makes the desire for Certainty stronger. And I think women would see themselves in a less secure position.

The need for Certainty is tied with risk taking; [the graph] . . . could make sense because women who are traditionally the keepers of home and family would probably vote for Certainty over uncertainty.

I think women value greater clarity in what's expected of them, where they are, what their role is, what their job is, etc. So, having the need for higher Certainty makes sense to me.

Three interviewees commented that Status seemed low for men. One explained

Status—I would have thought men would have been a little higher on the Status part. Because we're more status conscious in the workplace and our position . . . how we're viewed by the organization, who we have our relationships with in the organization, our access to people of power and our title maybe, and other things that distinguish men I think are a little bit more important.

Six interviewees remarked about the small percentage difference between men's and women's prioritization for Autonomy. Additionally, three noted it seemed to be the appropriate prioritization for men, three noted it was appropriate for women, and one implied it was high for women. Their remarks included

I kept thinking there would be a greater difference in the Autonomy prioritizations between men and women. I think that there is a growing sense of women in the workplace that the level of Autonomy that you have is self-defined. And it's not really a question of how much Autonomy someone is willing to give you. I think more women are finding it's more about how much Autonomy you are willing to take on. . . . Because women in general in a lot of industries have a tendency to, whether consciously or unconsciously, wait for someone to give them permission to do something, and I think it's a hugely different paradigm anymore . . . I don't think it happens nearly as often. . . .

For Autonomy I think because men consider themselves to be dominant, if you will, in most cases . . . or willing to lead, let's say. They like to have . . . need to have that flexibility or freedom to make decisions . . . but I know that's important to women too. . . .

Autonomy—that goes to my experience that women are acculturated for collaboration and taking direction and being okay with that.

SCARF Prioritization—Internal Versus External

After discussing the prioritizations sorted by gender, interviewees were presented with Figure 5, SCARF Prioritization—Internal Versus External. This graph shows the relative priority rankings of the domains for internal and external OD practitioners. The interviewees were asked if the presented data surprised them and if it matched their experience.

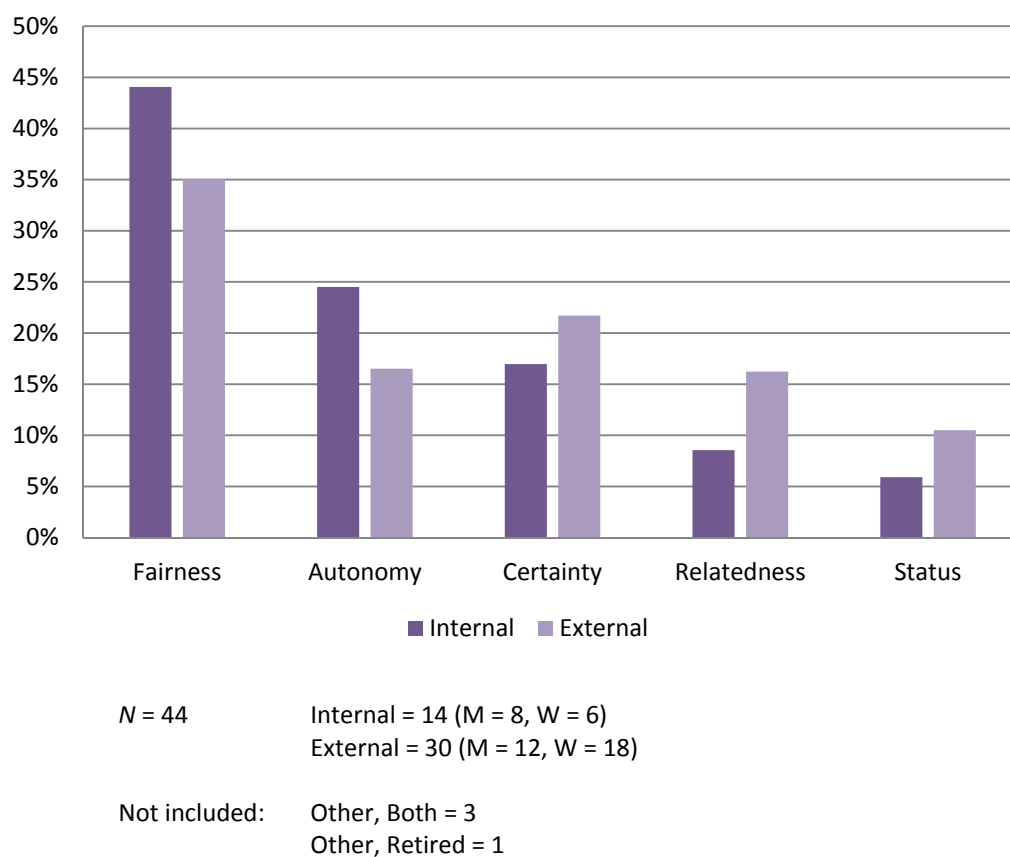


Figure 5. SCARF Prioritization—Internal Versus External

Three interviewees supported the higher prioritization of Fairness by internals:

This is really speaking to me, because I do have a split—what I focused on, what my lens was. This corresponds almost exactly to the practice I experienced in terms of internal and external clients, whether I'm internal or external. Almost exactly. With my internal

clients, the internal consultant has a better sense of the readiness of the community to see things as fair or unfair. So that is really high in terms of internal consultants.

Fairness—it doesn't surprise me at all that an internal would rate that higher than an external because it's going to be . . . that is a huge thing . . . because you're living with these people for a while yet. It's not as if you're going to be able to walk away. It tends to be a little more important if you're in an internal mode than an external mode, it doesn't have to be the biggest consideration, where in an internal mode, you should really make it more of a consideration because you're going to be faced with the consequences of the decisions on a much more regular basis. Do I think that it means that external OD folks don't pay attention to Fairness . . . not by a long shot . . . what I do think it means is that when it comes into the decision-making process or deciding to implement a particular strategy or philosophy . . . , it doesn't overtly have an outside influence on the decision. Where I think sometimes on an internal basis people tend to fret a little bit more about it. . . .

I think when you are an internal, you're more sensitive to questions of Fairness, frequently I think because you're of the organism and you have your own sense of Fairness and your own Fairness threat.

In a similar vein as the last comment above, three additional interviewees commented upon the influence being “of the organism” has on internals:

Internal consultants in my experience are adapted to the culture, and they worry a lot about working within the constrictions of the culture and not going against it. For example, I was asked if I would come in and do a coaching workshop and when discussing the methodology, they said it was too relationship oriented, too soft, our people are really driven and like to do things efficiently and effectively . . . I was saying the first thing in coaching is to build the relationships.

Autonomy is something that's usually an attribute that's characterized by an external whereas Certainty tends to be higher, in my experience, with an internal. You are an internal, so your mindset is you are relying on the organization—it is your safety net. [The graph] . . . would make sense. Certainty is higher for external as opposed to internal. Internal [practitioners] have the security of the organization whereas [as] externals, you don't.

As externals, we're acutely aware of how much uncertainty affects people's behavior. Their fear of uncertainty. So we would put that higher than perhaps an internal because—even if it's not true—they supposedly have more security, right?

In addition to the two comments above about the high prioritization of Certainty by external practitioners, a third and fourth supported the higher prioritization, noting

Certainty—external consultants focus on the communications process because they don't see it being done as well as it ought to be done. There's an assumption that people need to know what's going on; even if it's uncertain, you need to acknowledge that it's uncertain.

I would say, as an external practitioner, we're talking about mitigating threat on a change project—what I've experienced more is Certainty—dealing with the Certainty issues. Breaking down the ambiguity so they understand what's happening and then the other things fall in line. The ambiguity in the midst of a change project, the ambiguity of the client has shown up as the biggest threat and what they're reacting to, so I've needed to work with clients right from the get-go to reduce ambiguity, clarifying or helping them ride the tension of ambiguity to then be able to move forward with the change projects. Fairness has not stood out as my number one threat to mitigate with a client in order to be successful.

In discussing the difference between Autonomy for internals and externals, two of three practitioners in support of the relative prioritizations remarked

Internally, I think there's a suspicion among the people about why the change is taking place. And they are more fearful of losing Autonomy, and therefore it's a higher concern. As opposed to the external basis—generally, I find when I'm doing OD work externally, there's a more generally widespread understanding that something needs to change in the organization.

I think it makes sense because from an external perspective, there's going to be probably a less focus of control with an external consultant with what they can do about Autonomy versus what an internal practitioner could control—so that is a fair representation.

Another practitioner, who works on an internal basis only, noted the following regarding Autonomy and Certainty:

My observation for people experiencing change in my organization, the concerns I hear more when people voice their issues are really around Certainty more than Autonomy. Certainty around what will the new state look like, what's going to be my job, how is my job going to change, will I be moving, do I get a new boss, am I getting demoted—those are all relevant questions around Certainty. They don't ask questions about am I going

to have the freedom to make my own decisions—it's more of the hygiene factors of change, it's the basics—so then I'll worry about Autonomy later. Autonomy is important to me, but right now these other things are more important. Until that change settles out and then I'll worry about the Autonomy thing.

Two interviewees (both external practitioners) remarked on the low ranking of Status:

Status has stood out more with my clients than what's depicted in the graph.

When you're talking about priority, it's interesting that people aren't as hung up on status. Status—when it comes to external, it's important to the role you play in the change effort. What is your role perceived as in the organization. A true internal, they're already known in an organization, [so it's] less of an issue.

Three interviewees supported the higher prioritization of Relatedness by externals; two commented

I would guess the Relatedness is stronger from the external side because of the perspective of the OD professional. They come in and draw great attention to the Relatedness aspect where internal practitioners do not to that extent.

In terms of Relatedness—external consultants overestimate the personal dislocation people will experience. The internal knows that people will still know the people after the change.

SCARF Prioritization—Years of Experience

The last graph presented to interviewees (Figure 6, SCARF Prioritization—Years of Experience) sorted the survey respondents into three categories based on their number of years of experience. Interviewees were asked to comment on whether the category in which they fell represented their own experience; what they thought of the trajectory over the three categories; and for those with more than 21 years of experience, if the trajectory matched their own evolution.

Two interviewees indicated support for Fairness remaining at the highest prioritization across all three age groups. One in particular noted

I think that's a very interesting question as to why Fairness would be so important to them after 21 years of consulting experience. But it's the question of what's important . . . their experience tells them in their leading, helping to bring about successful change, in change transition work that they've been involved in organizations . . . they're even more convinced after 21 years that Fairness is the overriding factor in the success of that change. . . . So there is a consistent increase across each of the years of experience groupings that confirms because of the gradual increase that experience in OD is relevant to knowing what's important to employees, if you look at it through the SCARF lens.

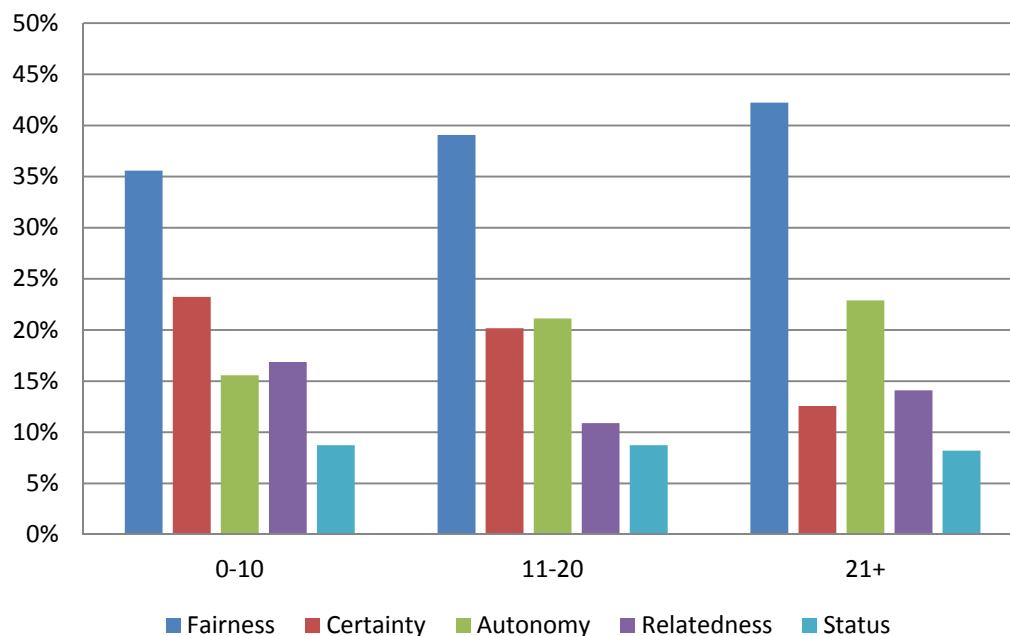


Figure 6. SCARF Prioritization—Years of Experience

One interviewee offered a different perspective:

Fairness? No—that does not track. Mine decreases. That would decrease over my years of experience. Less expectation on my part . . . or members of an organization in general have an expectation things can be fair when there is so much interaction with the external world.

Three interviewees noted the importance to Relatedness:

I find Relatedness has increased over time because of the economy and having four generations working together; there are more challenges and need for Relatedness than

there used to be. Twenty some years ago, it was much more of a monoculture and Relatedness wasn't as strong an issue as it is today.

I come from a complexity perspective—all about relationships within the organization and how people interact at the micro level. That's why Relatedness would be number one for me.

Relatedness—I would not have known in my early years how much people mean to each other.

The responses to Certainty's place in the chart and its decline over the three years of experience groupings brought out a variety of responses:

Certainty—makes total sense to me that it decreases because the longer you're in this business, the more you realize there is no Certainty, although I have to say I've realized there is no Certainty for me, I have come to appreciate the value of Certainty or creating some sense of Certainty—the value of it—in motivating people.

For the earlier years, I think people are still trying to find their role in the organization and how to solidify that, and so Certainty has to do with "I need to know my place here."

I think Certainty can be higher for me. Because for my generation, so many people have had their assumptions about what their retirements are going to be, what their lives are going to be at this stage of their life . . . I think the sense of being able to count on something tends to be somewhat comforting.

As somebody gets more seasoned in facilitating change, they probably know better how to help their clients hold the tension of ambiguity while they instead work on things like Fairness and Autonomy and work to reduce those. So, seasoned practitioners may know . . . we can tell our clients are really having a tough time with ambiguity, but that's not the top threat that we need to address; we actually need to address Fairness.

One interviewee credited the economy with the declining priority for Certainty:

In this era of much more constant change, the importance of Certainty falls just because the economic conditions are such that there's no point in seeking Certainty because you're not going to get it anyway. It has more to do with the change in the economy over time than my mental or emotional impact that comes with years of experience.

Autonomy's increasing trend also brought out varied responses, although overall fewer comments than those on the other domains:

Autonomy—I can see why that goes up. You realize more and more as you practice, you realize how much people value being respected. For me, Autonomy is about you respect the work I do and the value I bring . . . it’s a sign of respect and status.

The Autonomy bar goes up over time, and I agree with that.

Finally, two interviewees voiced agreement in the consistent low prioritization of Status, and two others disagreed. One stated

From my perspective with my experience, Status has stood out as being more important than what’s being reflected here, yet Fairness is definitely a high priority as well.

Trigger Mitigation Stories

Next, interviewees were asked to tell the researcher a story about how they successfully managed or mitigated triggering of the domains. One interviewee recited a project in which he and his team “made sure that the interviews were conducted in the Human Resource leader’s native language,” which he credited as reducing Status threats and enhancing Relatedness. Other elements of the intervention design, such as using external consultants, ensured “Fairness was supported because it was an external group that was professional and known to be taking an objective stance.” Furthermore, he reflected that “Certainty was baselined—everyone was on same playing field because no one who was being interviewed was familiar with the Gestalt approach.” Another interviewee recounted a project in which a Fairness threat arose and described how they mitigated it:

As the group broke out into smaller teams, [it was important] . . . that the teams knew what each other was doing. . . . What are they doing? Are they getting the same amount of time? Same amount of resources? If they get this, then we should get it. . . . There definitely was that kind of Fairness that popped up. So we started being a little more transparent about what each of the teams were [sic] doing. As we were going through the conversations, anyone could see what any of the teams were talking about, what resources were potentially being allocated for that effort or objective, and that kind of calmed the group down so that they knew what everyone was doing and then they

could go on with their own effort. There was just this importance to know what they're doing, getting, what resources that they may be getting that we may not be getting . . . so that is the validation, that Fairness being a threat that needs to be mitigated.

A second interviewee referenced a Fairness issue when a plant was closed for two weeks due to an undefined incident:

So management furloughed everyone for two weeks so they didn't receive any pay for two weeks except that everyone in management and supervisors stayed on and they received their pay. Ostensibly the reason was that they were there to fix the problem. So, when they were ready to bring everyone back into work, HR called me because all of the employees were absolutely livid and furious about the fact that they had been sent off of work for two weeks without pay for something that wasn't their fault and why had management received their full salaries at that time. I said, well, this damage has been done and you're going to have to deal with the consequences of that damage, but in order to avoid any serious accidents or retaliation, we need to get everyone together and the management group needs to come in and you guys need to take responsibility for what happened. I coached the top plant manager, and he was able to go in and take responsibility and say that he acknowledged people's feelings and that he was sorry for how they had been impacted and he wanted to move forward with them and try to make the plant safer and he needed their help. And so after he did that, the acknowledgement of people's hurt and feelings even though he can't change it . . . he said that . . . he doesn't have the authority to change this decision, but I need you in order for us to move forward, keep the plant open, and keep everyone's job secure. He wouldn't have done that if I hadn't coached him to do that. Before that, he was going in very defensive and going in and saying that they were lucky to have their jobs, and all of that was creating more emotional backlash. So he was able to change it around for himself, and I give him a lot of credit for that. This was two years ago and I just talked to the VP of supply chain and he said that their scores on their climate survey have gone up 20%.

Best Intervention Techniques to Avoid Threat Responses

Next, interviewees were asked what the best intervention techniques, practices, or activities are that they use to avoid threat responses. All of the eight practitioners interviewed referenced either communication directly or specific methods or qualities of communication. One interviewee reported that he uses large group interventions because they are "pretty good at avoiding the Status trigger threat and the Fairness trigger threat." Two interviewees

specifically cited transparency; one stated that practitioners should be “making decisions to be as transparent as possible, being clear about criteria [and] where criteria are being applied, giving people some certainty about the process when you can’t give them certainty about the outcome.” Other methods of communication cited were root cause analysis and structured interviewing (one citation each). Still other types of communication cited included dialogue and conversation. One simply stated “I know it’s old fashioned, but I tend to have a great deal of faith in the power of a good conversation.” In a similar vein, a second interviewee reported

You honor the person’s Status in the conversation, building a relationship of trust with them by acknowledging their Status, respect their Autonomy and let them know about what it is you value about their contributions . . . find out what it is they perceive they need from you, and you establish Fairness in the playing field. It’s conversation and dialogue. There’s no formula for it.

Two practitioners specifically cited frequent communication as a primary threat-avoidance technique. One of them emphasized “the importance of frequent communication around elements of the change and impact of the change” because, as he later noted, “unaddressed uncertainty can lead to perceived unfairness.” A third interviewee explained his perspective on why communicating change is so important throughout all levels of an organization:

I think, in general, when senior management decide changes need to take place, they go through all of the emotional turmoil and they’ve gotten past it by the time they start pushing it to the other levels of the organization. That makes them a little insensitive to the time and emotional response requirements in the rank and file. It’s extremely important to communicate why change has to take place. It needs to be made very clear and apparent, at the risk of being extremely repetitive about it. Make it very clear, get people to universally see why changes need to take place. And then to make best efforts to incorporate the ideas of everyone in putting those changes in place.

Best Intervention Techniques to Maximize Reward Responses

Next, interviewees were asked what the best intervention techniques, practices, or activities are that they use to maximize reward responses. Similar to the results above, seven interviewees cited communication as the best method to maximize rewards, five of whom emphasized either requesting or giving feedback. Other responses included physical process interventions, treating people equally, and providing recognition (one citation each). Comments included the following:

Physical process interventions. Interventions related to movement and perception of physical process, posture, gesture, movement to music, that kind of thing. Those move people from typical cerebral responses in a change management process and moves it more towards operating on a nonverbal, non-cerebral dimension. The rewards [are] Status, Autonomy, and Fairness.

It goes back to communication. Getting all the voices in the room, hearing from people, empowering people to speak up and share even with the caveat that we may or may not adopt what you're suggesting, but we want to hear from you.

I think, again, communication and the quality of the relationship are very important. . . . Appreciative inquiry, team building, the cafes—all of those formats work fine and I use all of those formats, but what makes them super-effective is the way that these triggers are pressed during those interventions. And the secret to using these effectively has to do with the dialogue, conversation, and communication.

This may sound so basic . . . it encompasses a variety of things . . . coaching leadership, coaching management, frequent verbal communication, documented communication, informal connections, etc. . . . Certainty is maximized . . . feels like there's a method to the madness amidst all the chaos of the change. Definitely Status, how do they—each employee in organization—fit into all of this? It helps them understand their place amongst all of the change. It increases their importance in organization. Fairness as well—with all the change, they want to know “what about me?”

I try to treat everyone the same. . . . I think people deserve the same level of attention and focus and respect no matter who they are in the organization, whether a boss, executive, janitor, you know . . . that I give them quality contact, good eye contact, and hold them up as being important and an important part of [the organization]. I always get something back, so that connects to Relatedness.

Impact to Interviewees

Next, interviewees were asked how the survey results might impact their practices. One interviewee first noted it would not impact his general approach but that he would now be more sensitive to differences in the genders' priorities. Another also remarked on the gender differences as well as how the data will help "externals understand better what the perceptions and beliefs of the internals are so that I can communicate more effectively with them." The other six interviewees cited a heightened awareness, mindfulness, or alertness; comments included

It will help me understand a little better where I might want to focus certain kinds of questions that I may have given short shrift in the past.

Being more aware of the other elements other than Certainty. We focus a lot on that when it comes to change. Just a reminder of the other elements that should be considered in change efforts.

I think having these . . . being mindful of these in how I engage with groups is important. Change can be more successful by attending to some of these needs in a much more conscious way than spending a lot of time and effort on Relatedness and Status—those really aren't the big drivers here. They aren't factors that are really important to folks.

Probably the slide that would be the most informative would be years of experience. Those with the most years of experience, they say Fairness is the most important to mitigate—that likely will inform my practice—let me watch how that threat is manifesting itself. It may shift my focus a little bit on what I'm looking for.

I've got a client next week that I need to talk with, and I'll certainly be more alert to rewards and triggers in terms of that engagement coming up. The data inform my practice in terms of when I am collaborating with other consultants because it'll let me explore my assumptions in a way I haven't considered before—internal, external, etc.

Differences between Personal Preferences and What Best Contributes to a Change Effort

The final question asked of interviewees was if the priorities would be different if they were to go back and rank the domains again based on what is important to them personally

versus what poses the greater benefit to a change effort (what is important to others). Three said no, one was undecided, and the remaining four responded that their personal responses would be different:

I think they would be different. That wasn't a question I was asking myself. I was not overriding my [perspective]. . . . Just for me, it would have been different. It would more reflect my general SCARF profile: Fairness wouldn't show up hardly at all, Status would be much larger, the rest would be in the middle somewhere.

If it was just specific to me, if it's just what mitigates my threat response . . . Status is something that is more strong with me, and I've also experienced it with my clients, and Fairness . . . it shows up more for them than for me. Certainty [is] higher for clients than for me. Relatedness would probably show up as a higher need for me.

Probably. Because I'm in a different place than the people I work with, and that's why they bring me in. I would put Certainty dead last . . . , but I know how important it is to the people in the organizations I work with. . . . That's why they bring me in, they have a sense that I'm comfortable with uncertainty. As a consultant, you do need to bring in those aspects that the organization feels it's lacking. You need to have them in your presence, in your person.

In general, because of my place in my life, I think I'd probably only be really interested in . . . Relatedness as a reward and high Autonomy as a reward or threat to the extent that I was feeling . . . these are the existential issues . . . am I alone or not, does my life have meaning or not, and can I act in a way to get that meaning . . . ? From my point of view, from my personal character and place in my life . . . , development is lifelong, but those are the two priorities I'd have right now.

Additional Discovery: Bias

During the course of the interviews, five interviewees reflected at different times about the potential for bias in their own responses as well as those of the other survey respondents. Of particular interest was how well the survey respondents were able to maintain focus on the survey question posed versus focusing on what is important to them personally, resulting in a projection of their own proclivities:

The thing you're most going to manage is the thing you most recognize. My experience has been they most recognize the things that they have more [issues with] and have trouble seeing in other people the things they don't have.

When I looked at this, one of the things that really stood out for me was the Certainty piece . . . where I started to think, I wonder how much people were reflecting what threats they needed to reduce in themselves in order to be successful in the change project. . . .

I have a tendency to ignore questions of Status, so I have to literally remind myself . . . I'm already pretty clear that I have mild biases that I have to combat. so I think that it's more a general awareness that it's not just on one particular area I need to be mindful of where it could possibly affect me.

I believe everything I did was a projection.

Summary

This chapter outlined the findings from this research project and explored the themes of the resulting data. Table 4 shows a summary of findings. Chapter 5 provides a discussion of these results, including a comparison to data found during the literature review and a discussion of implications to the OD field.

Table 4. Summary of Findings

Familiar with SCARF Model Prior to Interview	
Yes	6 (75%)
No	2 (25%)
Summary of Impressions	
SCARF Prioritization—All Practitioners	
Fairness	
High	2 (25%)
Correct Location	2 (25%)
Low	
Certainty	
High	
Correct Location	
Low	3 (37.5%)
Autonomy	
High	1 (12.5%)
Correct Location	
Low	2 (25%)
Relatedness	
High	
Correct Location	
Low	3 (37.5%)
Status	
High	
Correct Location	
Low	3 (37.5%)

Table 4 (Continued)

SCARF Prioritization—Men Versus Women	Men	Women
Fairness		
High	1 (12.5%)	
Correct Location	3 (37.5%)	3 (37.5%)
Low		1 (12.5%)
Certainty		
High		
Correct Location	4 (50%)	5 (62.5%)
Low	1 (12.5%)	
Autonomy		
High		1 (12.5%)
Correct Location	3 (37.5%)	3 (37.5%)
Low		
Relatedness		
High		
Correct Location	3 (37.5%)	2 (25%)
Low		1 (12.5%)
Status		
High		
Correct Location		1 (12.5%)
Low	3 (37.5%)	1 (12.5%)

Table 4 (Continued)

SCARF Prioritization—Internal Versus External	Internal	External
Fairness		
High		1 (12.5%)
Correct Location	3 (37.5%)	1 (12.5%)
Low		
Certainty		
High		
Correct Location	1 (12.5%)	4 (25%)
Low	2 (25%)	
Autonomy		
High	1 (12.5%)	
Correct Location	2 (25%)	1 (12.5%)
Low		1 (12.5%)
Relatedness		
High		
Correct Location	1 (12.5%)	3 (37.5%)
Low		
Status		
High		1 (12.5%)
Correct Location		2 (25%)
Low		1 (12.5%)

Table 4 (Continued)

SCARF Prioritization—Years of Experience	Matches Experience (Y/N)	
Fairness	Yes No	4 (50%) 1 (12.5%)
Certainty	Yes No	4 (50%) 1 (12.5%)
Autonomy	Yes	5 (62.5%)
Relatedness	Yes No	1 (12.5%) 3 (37.5%)
Status	Yes No	3 (37.5%) 1 (12.5%)

Table 4 (Continued)

Best Practices to Avoid Threat Responses	
Communication	8 (100%)
Transparency	2 (25%)
Frequent communication	2 (25%)
Structured interviewing	1 (12.5%)
Conversation/dialogue	1 (12.5%)
Large group interventions	1 (12.5%)
Root cause analysis	1 (12.5%)
Best Practices to Maximize Reward Responses	
Communication	7 (87.5%)
Feedback	5 (62.5%)
Group discussion	2 (25%)
Coaching	1 (12.5%)
Frequent/repetitious communication	1 (12.5%)
Physical process interventions	1 (12.5%)
Treat people equally	1 (12.5%)
Recognition	1 (12.5%)

Table 4 (Continued)

Impact to Interviewees' Organization Development Practices	
Heightened awareness	8 (100%)
More sensitive to gender differences	3 (37.5%)
More sensitive to generational differences	2 (25%)
More sensitive to differences between internal and external practitioners	3 (37.5%)
More sensitive to Fairness	2 (25%)
More focus on elements other than Status	2 (25%)
More focus on elements other than Relatedness	2 (25%)
More focus on elements other than Certainty	1 (12.5%)
Personal Priorities would be Different	
Yes	4 (50%)
No	3 (37.5%)
Undecided	1 (12.5%)
Self-Reported Bias	5 (62.5%)

N = 8

Chapter 5: Summary, Conclusions, and Recommendations

The purpose of this research project was to gain a better understanding of whether practitioners' perspectives on the role of threat and reward responses are in line with existing literature and research on the SCARF Model and ultimately to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards. This chapter concludes this research project with a comparison of the existing literature, discusses implications for the OD field, outlines limitations to the study, and poses suggestions for future research.

Conclusions

The action research portion of this project sought practitioners' perspectives and resulted in a different prioritization of the five SCARF domains than previous research. Instead of Certainty being the dominant concern, Fairness scored the highest (see Figure 7, Comparative Ranking of SCARF Prioritizations). However, it should be reiterated that previous research sought to understand individuals' personal concerns whereas the current research study sought to understand what practitioners identify as important to manage for the success of a change effort. As such, the current research asked practitioners to report on their opinion of what is important *to others* based on their experience in the OD field. In addition to this difference in perspective, while previous research used a psychometric questionnaire to generate individualized SCARF prioritizations, the current research methodology employed a pairwise comparison, or forced choice, of each domain on a weighted scale. This methodology required that explicit choices be made among each of the SCARF domains in order to answer a

single question: Active management of which reward/threat trigger poses the greater benefit to a change effort, and by how much? Therefore, the current research required respondents to choose the domain that poses the greater benefit in a sequence of A versus B comparisons where each domain is compared to the others. This methodology resulted in a prioritization that depicts the magnitude of each domain's benefit and ultimately implies that active management of the highest ranking domain (Fairness) offers significantly greater benefit than the other four.

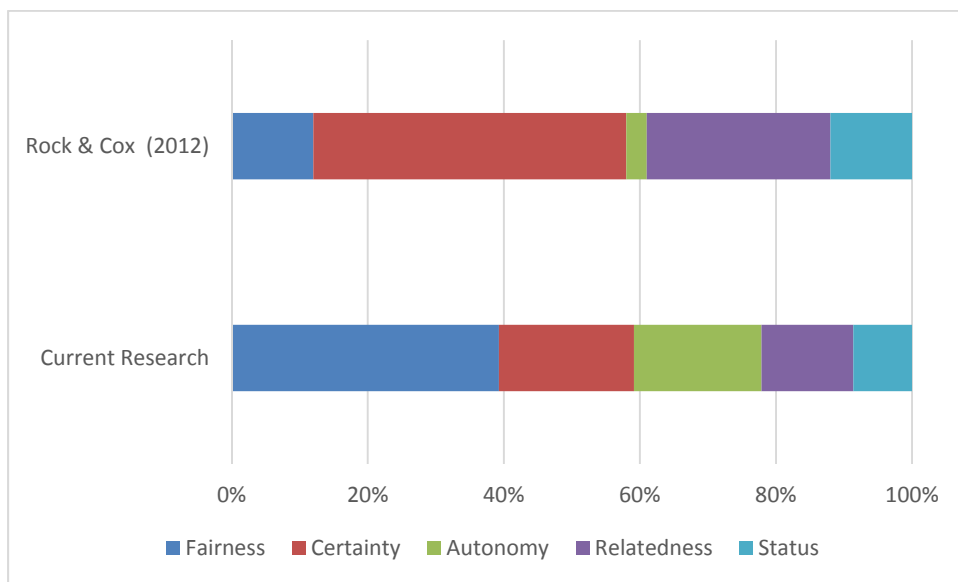


Figure 7. Comparative Ranking of SCARF Prioritizations

The literature reviewed in this research project aimed to understand why Certainty, the dominant concern for Rock and Cox's 2012 survey respondents, might be the highest ranked trigger of the five SCARF domains. The literature suggested multiple reasons, including interrelatedness of domains and the overarching foundational influence of NFCC, which is proposed to be the underlying construct for the Certainty trigger. Kruglanski and Sheveland

(2012) defined NFCC as “the desire for a definitive answer to a question and the eschewal of continued uncertainty or ambiguity concerning the nature of such an answer” (p. 16). Calogero et al. (2009) described the five different ways in which the NFCC is exhibited: preference for order, preference for predictability, discomfort with ambiguity, close-mindedness, and decisiveness. Kruglanski et al. (2010) explained that NFCC “is an epistemic motivation that propels knowledge formation and has widely ramifying consequences for individual, interpersonal, and group phenomena” (p. 939). Fischer and Connell (2003) explained that “epistemic motivation promotes development of skills and knowledge” (p. 103). Recent research by Calogero et al. (2009) explored the associations between the NFCC as an epistemic motivator and the Schwartz Theory of Basic Values (Schwartz, 1992, 2012). Their research results support both of these proposed associations, stating that “individual differences in NFCC give rise to values which match and satisfy individual needs to attain or avoid cognitive closure” (Calogero et al., 2009, p. 154). In other words, there is a strong relationship between the development of one’s core personal value framework and one’s NFCC or relative level of tolerance of uncertainty. Additionally, the other four SCARF domains are similar to four of the ten Schwartz values: Fairness and Universalism, Autonomy and Self-Direction, Status and Power, and Relatedness and Security. As such, the literature reviewed as part of this research suggests that the Certainty domain underlies the formation of personal values and supports it being the primary concern of the SCARF domains for individualized personal prioritizations of the model.

As previously noted, the current and existing research resulted in different prioritizations. Existing literature related to studies of fairness and organizational justice both explain how the two domains are linked. As previously discussed in chapter 2, Van den Bos and Lind's (2002) research shows a strong connection of Fairness to Certainty, insomuch that Fairness can be used for uncertainty reduction. Giacomantonio et al. (2011) explored this relationship and postulated

If, as proposed by Van den Bos and Lind (2002), fairness is used as a heuristic to reduce uncertainty, individuals particularly concerned with uncertainty reduction should be especially sensitive to variations in the perceived procedural fairness of the leader's behavior. In contrast, individuals who are more tolerant toward uncertainty may not accord fairness an equally central role in determining their conflict management approach. Put differently, if a general feeling of uncertainty leads to an increased attention to fairness, then individuals with high motivation to avoid uncertain situations should be more sensitive to fairness. (p. 360)

While the current action research findings show a higher preference for the active management of Fairness by practitioners, it is proposed that doing so works both to reduce uncertainty as well as allay fears of unfairness as proposed by Giacomantonio et al. (2011) above. Therefore, behaviors and activities that support Fairness and/or reduce unfairness may have a broader range of impact than ones that only work to increase Certainty or decrease uncertainty. One interviewee proposed

If you're taking care of Fairness, the other threats work themselves out. If you look at SCARF as a building block model and Fairness was the entry point, then . . . the other ones are taken care of. If things are fair, then I'm okay with things being more ambiguous. I'm okay if somebody is telling me more of what to do, and I don't have all of the Autonomy that I want to have. I'm okay if I don't have the social interaction that I thought I was going to or my Status is a little lower . . . as long as it's fair, I'm willing to tolerate more of a threat from these other angles.

A study by Schwartz (2007) examining the ten Schwartz values in 20 countries also supported the importance of Universalism, the value that most directly corresponds to Fairness. Mean importance calculations among the 20 countries studied showed Benevolence as the highest ranked, followed by Universalism and then Self-Direction (Schwartz, 2007, p. 184).

Review of organizational justice literature also supports the finding that behaviors and activities that support Fairness and/or reduce unfairness may have a broader range of impact than ones that only work to increase Certainty or decrease uncertainty. In his work related to organizational justice and change, Foster (2010) explained that “organizational justice refers to individual perceptions of fairness within organizations” (p. 12) and cited a 1991 Schweiger and DeNisi study focusing on change efforts which “found that justice curbed employee uncertainty and increased perceptions of organizational trustworthiness and honesty” (Foster, 2010, p. 13). The results of Foster’s (2010) study exploring the relationships among resistance, justice, and change suggest that “organizational justice was significantly related to commitment to change” (p. 31). In other words, perceptions of fairness contributed to an individual’s acceptance and support of a change effort.

Literature reviewed highlighted three aspects of organizational justice: distributive, procedural, and interactional (Beugre & Baron, 2001; Foster, 2010; Frazier, Johnson, Gavin, Gooty, & Snow, 2010; Tata & Bowes-Sperry, 1996) as depicted in Figure 8. Tata and Bowes-Sperry (1996) asserted that “distributive justice is concerned with the fairness of outcomes” (p. 1327), “procedural justice is concerned with the fairness of the process used to

decide the distribution of outcomes” (p. 1327), and “interactional justice is concerned with the interpersonal treatment people receive” (p. 1327). Frazier et al. (2010) and Foster (2010) further differentiated aspects of interactional justice into two categories, informational justice and interpersonal justice, where Frazier et al. (2010) stated that “informational justice focuses on the explanation given to individuals about why certain decisions were made” (p. 42) and “interpersonal justice is defined as the degree to which people are treated with politeness, dignity, and respect by the authority figure that is implementing and/or explaining the procedures in question” (p. 42). Frazier et al. (2010) further clarified that “informational justice concerns the quality of communication regarding decisions that directly affect an individual whereas interpersonal justice reflects the tone and attitude of the same communication” (p. 42).

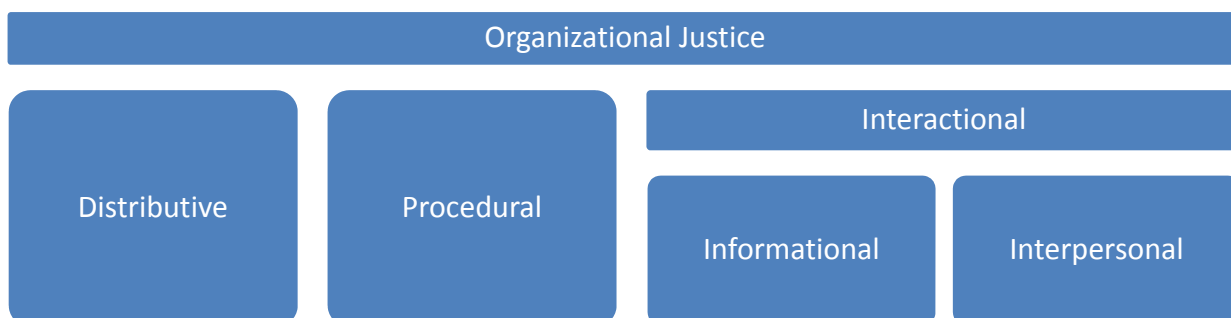


Figure 8. Aspects of Organizational Justice

As the organizational justice framework presented above suggests, communication plays a significant role in individuals’ perceptions of fairness of outcomes, methods, and rationale. This may explain why the current research discovered a dominant theme of communication as a means of threat trigger mitigation and reward trigger maximization for all

of the SCARF domains. One interviewee simply stated “I know it’s old fashioned, but I tend to have a great deal of faith in the power of a good conversation.” Another explained

I think, again, communication and the quality of the relationship are very important. . . . Appreciative inquiry, team building, the cafes—all of those formats work fine and I use all of those formats, but what makes them super-effective is the way that these triggers are pressed during those interventions. And the secret to using these effectively has to do with the dialogue, conversation, and communication.

Finally, yet another emphasized “the importance of frequent communication around elements of the change and impact of the change,” because, as he later noted, “unaddressed uncertainty can lead to perceived unfairness.” This last interviewee highlighted the interrelationship of Certainty and Fairness, suggesting that communication resolves issues related to both. In a similar vein, Schweiger and DeNisi’s (1991) research regarding success of a change effort based on the amount of information communicated about that change led them to conclude that “regardless of its cause, any failure to communicate leaves employees uncertain about their futures, and it is often that uncertainty, rather than the changes themselves, that is so stressful for employees” (p. 110).

In their research, Schweiger and DeNisi (1991) studied two separate plants during a change effort (a merger) and communicated information (referred to as a “preview program”) about the change effort to one plant (the “experimental plant”) and provided the other plant (the “control plant”) with minimal information (p. 113). The results of their study showed the plant that received communications about the change effort had a different experience than the plant that received limited information about the change:

The changes that occurred in the two plants over time are particularly interesting. In the control plant, changes continued to be significant and negative throughout the entire

study. Rather than diminishing, the problems associated with the announced merger continued to reverberate throughout the plant. The situation in the experimental plant was quite different. Immediately following the merger announcement, a change for the worse occurred, much as in the control plant. Once the realistic merger preview program was instituted, though, the situation in the plant began to stabilize. Uncertainty and its associated outcomes did not decline, but they stopped increasing, and over time, perceptions of the company's trustworthiness, honesty, and caring and self-reported performance actually began to improve and move back towards their preannouncement levels. Thus, a realistic merger preview seems to function at least as an inoculation that makes employees resistant to the negative effects of mergers and acquisitions, and its effects may go beyond that. (pp. 128–129)

Furthermore, Schweiger and DeNisi (1991) asserted they “would expect the implementation of changes to have less impact in the plant in which the preview program was instituted” (p. 128). Similarly, Foster's (2010) research concluded that “fair practices in the implementation of a change have significant associations with employee commitment to change” (p. 34).

Therefore, Schweiger and DeNisi's (1991) case study supports the current research findings that communication addresses both Fairness and Certainty domains by actively managing multiple areas of the organizational justice framework while reducing anxiety related to uncertainty. Schweiger and DeNisi's (1991) and Foster's (2010) work also suggest that doing so allows for the potential of the change effort to be more successful, showing further support for the current research findings that active management of Fairness would contribute higher benefit to a change effort.

Implications for OD

Overall, this research sheds light on the importance of Certainty to individuals, demonstrates the significant role Fairness plays in an organizational setting to mitigate threats

and maximize rewards, and solidifies the impact communication can have in the success of change efforts. Foster (2010) asserted that “change is a phenomenon that individuals and organizations face on a daily basis” (p. 3). As organizations move away from single change events to incorporating change into their organizational strategies (e.g., agility), the need to understand threat and reward triggers will escalate. As such, as practitioners continue to use and apply the SCARF Model in their organizations, understanding the interrelatedness of the domains and the highest impact reward-maximization and threat-mitigation strategies will help them more effectively manage the triggers and ultimately increase organizational success.

Limitations

This study has several limitations. First, while the possible exposure of the survey on LinkedIn.com was theoretically broad, the resulting sample size is relatively small: 48 survey respondents and an interview pool of 8. Another limitation related to the sample is that 30 of the 48 survey respondents identified as external practitioners while only 14 identified as internal (the remaining 4 included 3 who identified as both and 1 who identified as retired). Therefore, it is probable that the aggregate survey responses were skewed toward an external practitioner’s perspective.

An additional possible limitation is that it is unclear if survey respondents provided biased responses which reflected their personal views of the relative importance of each SCARF domain versus responding to the single survey question: Active management of which reward/threat trigger poses the greater benefit to a change effort, and by how much? One potential way to reduce this bias in the future would be to hold focus groups in which the

question can be reiterated and individual voting is possible, followed by discussion of each question to gain insight about voting rationale. In a similar vein, while this study focused on practitioners' perspectives on how individuals respond to change (e.g., which triggers are most apparent and require active management), future research could include self-reporting of individuals transitioning through a change effort to eliminate the potential bias of practitioners as third-party observers.

Suggestions for Future Research

While this research study generated further insight into the relationship of NFCC, the Schwartz value theory, and the SCARF Model as well as the interrelationship of SCARF's Certainty and Fairness domains, additional research examining specific intervention models also may prove insightful for the OD community. Furthermore, a longitudinal study of OD practitioners' perspectives on which domains contribute the most to change efforts would provide a more thorough look at the trajectory of their experiences over time and possibly uncover insights related to their professional maturation processes. While the current research question was piqued by Rock and Cox's 2012 findings, separate parallel studies of both the NLI's psychometric SCARF profile survey as well as a pairwise comparison/forced-choice method using the same sample population may prove highly insightful. Finally, research similar to Calogero et al. (2009) examining NFCC, the Schwartz value theory, as well as the SCARF Model profiles for individuals within a population undergoing change may help demonstrate if needs, values, and triggers align in similar patterns during a change process.

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Appendix A: Participant Survey

Participant Survey

DEMOGRAPHICS

Gender

- Male
- Female

How many years of experience do you have practicing in the OD field?

- 0-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- 21 or more years

Which best describes your role as an OD practitioner?

- Internal OD practitioner / consultant / coach
- External OD practitioner / consultant / coach
- Other: _____

If Internal is selected,

Please briefly describe your organization.

If External or Other are selected,

Please briefly describe the organization(s) for which you work.

WEIGHTED PAIRED COMPARISON OF SCARF DOMAINS

BACKGROUND

The SCARF Model was developed by David Rock (2008, 2012), one of the founders of the NeuroLeadership Institute. The model categorizes reward and threat responses into five domains: Status, Certainty, Autonomy, Relatedness, and Fairness (Rock, 2008).

INSTRUCTIONS

Please refer to the reward / threat trigger definitions and follow these instructions to complete the series of paired comparison scales below. When filling these out, ask yourself:

Active management of which reward / threat trigger poses the greater benefit to a change effort, and by how much?

A score of 1 would mean both triggers pose equal benefit.

A score of 5 would mean active management of the selected trigger presents a stronger benefit.

A score of 9 would mean the benefit difference would be extreme.

Reward / Threat Triggers & Their Definitions

Status: One's "relative importance to others" (Rock, 2008, p 1). Included in this domain are social and economic statuses, one's place in the hierarchy at work, etc.

Certainty: Clarity and predictability (Rock, 2012). Rock explains that "people differ in their need for certainty and their ability to tolerate uncertain or ambiguous situations. Specifically, intolerance of ambiguity is the tendency for one to perceive ambiguous or uncertain situations as sources of threat" (2012, p 5).

Autonomy: "The perception of exerting control over one's environment; a sensation of having choices" (Rock, 2008, p 5).

Relatedness: "One's sense of connection to and security with another person (e.g., whether someone is perceived as similar or dissimilar to oneself, a friend or a foe)" (Rock, 2012, p 3).

Fairness: "Just and non-biased exchange between people" (Rock, 2012, p 3).

Appendix B: Interview Questions

Interview Questions

DEMOGRAPHICS

Gender

- Male
- Female

How many years of experience do you have practicing in the OD field?

- 0-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- 21 or more years

Which best describes your role as an OD practitioner?

- Internal OD practitioner / consultant / coach
- External OD practitioner / consultant / coach
- Other: _____

If Internal is selected, please briefly describe your organization.

If External or Other are selected, please briefly describe the organization(s) for which you work.

Were you familiar with the SCARF model prior to taking the survey?

- Yes
- No

INTERVIEW QUESTIONS

What are your first impressions of the data / priorities? What surprised you?

In what ways do the overall survey results reflect or not reflect your experience?

What are your impressions of the differences in the SCARF priorities for each gender? Does this represent your experience working with people from different genders?

What are your impressions of the differences in the SCARF priorities for Internal and External practitioners? As a _____ practitioner, does this reflect or not reflect your experience, and in what ways?

What are your impressions of the differences in the SCARF priorities for the three years-of-experience groups [0-10, 11-20 and 21+]? As a practitioner with _____ years of experience, does this reflect or not reflect your experience, and in what ways? Understanding that the sample represents individual practitioners at different stages in their career at a single point in time, vs the same sample over several decades, what are your impressions of the trajectory over time?

Can you tell me a story about how successfully managed / mitigated triggering of the domains?

What are the best intervention techniques or practices that you use that work to:

- Avoid threat responses?
- Maximize reward responses?

How might the overall survey results inform your practice?

In what way(s) might you alter intervention methods based on these results?

If you were to rank the domains again based on what is important to YOU versus what contributes to the success of a change effort (what is important to others), would the priorities be different and in what ways?

Any other comments that you would like to contribute? Questions you'd like to ask?

Appendix C: Online Survey Advertisement/Post

Online Post: Survey Invite

Seeking input on significance of reward / threat triggers to the success of change efforts

As a current MSOD student at Pepperdine University, I am in the process of conducting research for my thesis project titled Understanding the Significance of Reward / Threat Triggers to the Success of Change Efforts and uses the SCARF domains identified by the NeuroLeadership Group™.

The current phase of this research includes an anonymous survey to learn about practitioners' perspectives regarding active management of the five SCARF domains using a pairwise comparison. Your participation is strictly voluntary and your responses will be kept anonymous and confidential. Completion of the survey will take approximately 5-10 minutes.

Please click here to take the survey:

http://pepperdine.qualtrics.com/SE/?SID=SV_6yPdGmgj25NkQ6h

The deadline to participate is **November 30, 2013**. Please let me know if you have any questions.

Thank you,

Ashley B. Carson

Ashley.carson@pepperdine.edu

Appendix D: Personalized Survey and Interview Invitation

Email: Personalized Survey and Interview Invitation Sample

Dear _____,

I enjoyed meeting you at the Portland PMI meeting last week. As we discussed, I'm a current MSOD student at Pepperdine University and in the process of conducting research for my thesis project titled ***Understanding the Significance of Reward / Threat Triggers to the Success of Change Efforts.***

The research project has two parts. First, I am conducting an anonymous survey to learn about practitioners' perspectives on active management of reward / threat triggers. Participation is strictly voluntary and responses will be kept anonymous and confidential. Completion of the survey will take approximately 10 minutes. The deadline to participate is November 30, 2013. Please click here to take the survey:

http://pepperdine.qualtrics.com/SE/?SID=SV_6yPdGmgj25NkQ6h

The second part of the research aims to gain a better understanding of practitioners' direct experiences. As such, I would also like to invite you to participate in an interview in which I will present the survey findings to learn about your direct experience managing reward / threat triggers. Participation is strictly voluntary. The interview will be one-on-one with me over the phone and will take approximately 30 to 60 minutes.

So that I can best capture your input, I would like to record the interview and have it transcribed. Your responses will be kept anonymous and confidential. If you are interested, send me an email to suggest times and dates that would be most convenient for you during: December 14-21 or any time in January. If you would rather decline, please email me and let me know.

Should you decide to participate in the interview, attached is the consent form. Please read it closely and contact me with any questions you may have. You may deliver the signed consent form to me at the time of the interview.

I appreciate your consideration and hope you decide to take the survey and/or sign up for an interview.

Thank you

Ashley Carson

Ashley.carson@pepperdine.edu

206-714-8257

www.linkedin.com/pub/ashley-carson/2/3b4/49/

Appendix E: Survey Results

UNDERSTANDING THE SIGNIFICANCE OF REWARD / THREAT TRIGGERS TO THE SUCCESS OF CHANGE EFFORTS

DATA FOR INTERVIEWS

Ashley Carson
Pepperdine University

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BACKGROUND

The purpose of this research is to gain an understanding of practitioners' experiences managing the five reward / threat triggers of the SCARF® Model developed by David Rock. The model categorizes reward and threat responses into five domains: Status, Certainty, Autonomy, Relatedness, and Fairness (Rock, 2008).

SURVEY METHODOLOGY

Used a series of pairwise comparisons of the SCARF® domains defined below, asking this question: *Active management of which reward / threat trigger poses the greater benefit to a change effort, and by how much?*

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DEFINITIONS

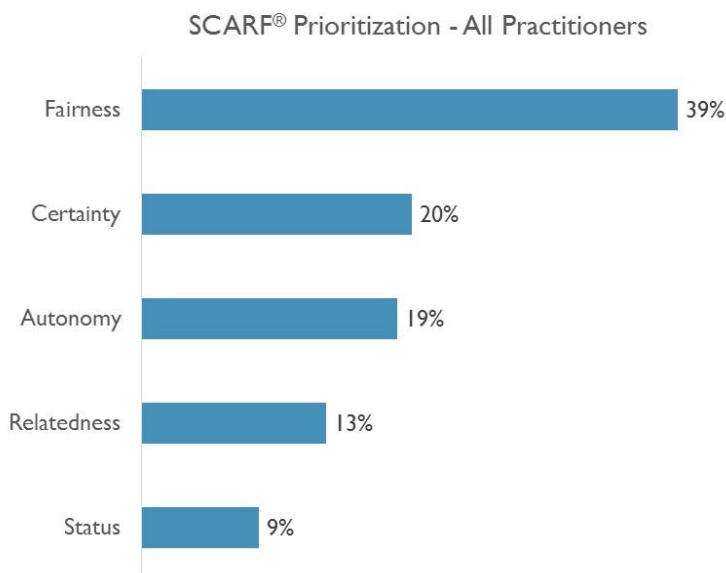
Status: One's "relative importance to others" (Rock, 2008, p 1). Included in this domain are social and economic statuses, one's place in the hierarchy at work, etc.

Certainty: Clarity and predictability (Rock, 2012). Rock explains that "people differ in their need for certainty and their ability to tolerate uncertain or ambiguous situations. Specifically, intolerance of ambiguity is the tendency for one to perceive ambiguous or uncertain situations as sources of threat" (2012, p 5).

Autonomy: "The perception of exerting control over one's environment; a sensation of having choices" (Rock, 2008, p 5).

Relatedness: "One's sense of connection to and security with another person (e.g., whether someone is perceived as similar or dissimilar to oneself, a friend or a foe)" (Rock, 2012, p 3).

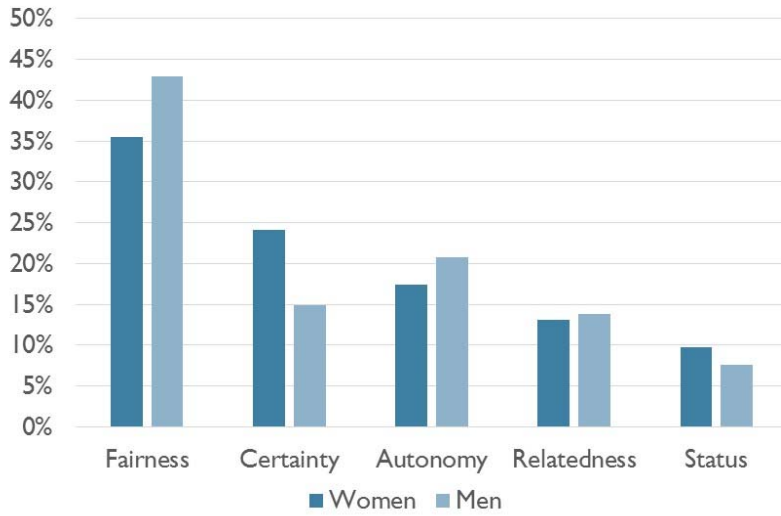
Fairness: "Just and non-biased exchange between people" (Rock, 2012, p 3).



n = 48
Men = 21
Women = 27

Internal = 14
External = 30

SCARF® Prioritization - Women vs. Men



n = 48

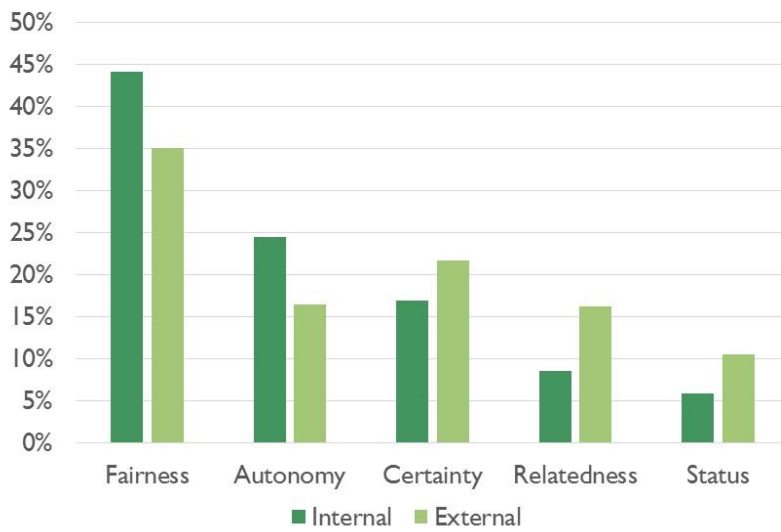
Men = 21
Women = 27

Internal = 14 (M=8,W=6)
External = 30 (M=12,W=18)

Years of Experience
0-10 = 19 (M=5,W=14)
11-20 = 17 (M=9,W=8)
21+ = 12 (M=7,W=5)

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SCARF® Prioritization - Internal vs. External



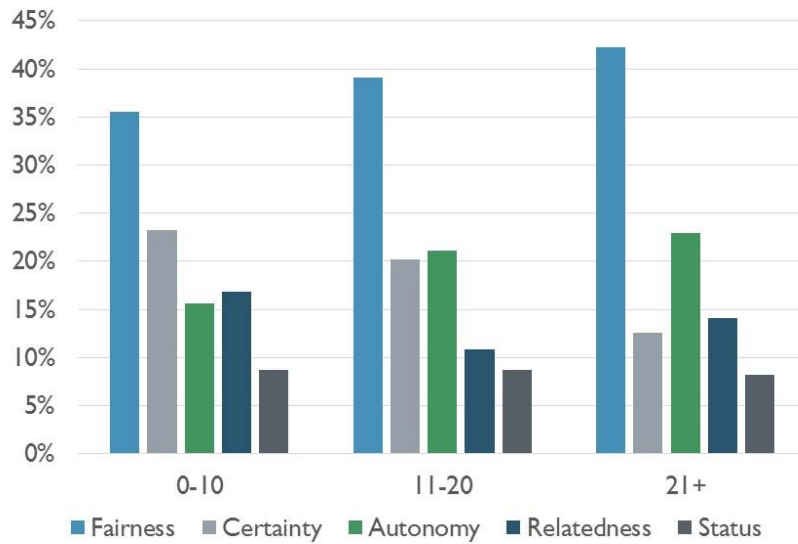
n = 48

Men = 21
Women = 27

Internal = 14 (M=8,W=6)
External = 30 (M=12,W=18)

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SCARF® Prioritization - Years of Experience



n = 48
 Men = 21
 Women = 27
 Internal = 14 (M=8, W=6)
 External = 30 (M=12, W=18)
 Years of Experience
 0-10 = 19 (M=5, W=14)
 11-20 = 17 (M=9, W=8)
 21+ = 12 (M=7, W=5)

Appendix F: Institutional Review Board Approval Letter

PEPPERDINE UNIVERSITY

Graduate & Professional Schools Institutional Review Board

10/11/2013

Ashley Brooke Carson

Protocol #: B1013M02

Project Title: Understanding the Significance of Reward/Threat Triggers to the Success of Change Efforts

Dear Ms. Carson,

Thank you for submitting your application, *Understanding the Significance of Reward/Threat Triggers to the Success of Change Efforts*, for exempt review to Pepperdine University's Graduate and Professional Schools Institutional Review Board (GPS IRB). The IRB appreciates the work you and your faculty advisor, Dr. Terri Egan, have done on the proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations (45 CFR 46 - <http://www.nihtraining.com/ohsrsite/guidelines/45cfr46.html>) that govern the protections of human subjects. Specifically, section 45 CFR 46.101(b)(2) states:

(b) Unless otherwise required by Department or Agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:

Category (2) of 45 CFR 46.101, research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: a) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

In addition, your application to waive documentation of consent, as indicated in your **Application for Waiver or Alteration of Informed Consent Procedures** form has been approved.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit a **Request for Modification Form** to the GPS IRB. Because your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the GPS IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the GPS IRB as soon as possible. We will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the GPS IRB and the appropriate form to be used to report this information can be found in the

Appendix G: Certificate of Completion



Appendix H: Survey Consent Form

Consent Form Used With a Waiver or Alteration of Informed Consent

Understanding the Significance of Reward / Threat Triggers to the Success of Change Efforts

The following information is provided to help you decide whether you wish to participate in a research study. Please take your time to read the information below and feel free to ask any questions before signing this document.

As a student in the Master of Science in Organization Development program at Pepperdine University, Graziadio School of Business and Management, I, Ashley Carson, am currently recruiting individuals for my study entitled, *Understanding the Significance of Reward / Threat Triggers to the Success of Change Efforts*. The professor supervising my work is Dr. Terri Egan.

Purpose of Research Study: The purpose of this research is to gain an understanding of practitioners' experiences managing the five reward / threat triggers of the SCARF Model developed by David Rock. The model categorizes reward and threat responses into five domains: Status, Certainty, Autonomy, Relatedness, and Fairness (Rock, 2008). This survey includes definitions of each of the SCARF domains and requests prioritization of the domains via a weighted paired comparison. The survey results will be presented to the focus groups and individual interviewees to understand their impressions of the results while digging deeper to understand how they as practitioners best manage the situations that arise when a SCARF domain is being negatively triggered. Furthermore, this research hopes to identify the most effective practices that provide the highest level of benefit relative to reducing threat responses and increasing rewards.

Procedures: If you volunteer to participate in this research study, you will be asked to review the definitions of five reward / threat categories and prioritize them using a weighted paired comparison scale. Completion of this survey will take approximately 10 to 15 minutes. Please complete the survey alone in a single setting.

Potential Risks: There are no major risks associated with this study.

Potential Benefit: You will not directly benefit from participating in this research study.

Voluntary/right to deny or withdraw from participation: Your participation in the research study is completely voluntary, and you have the right to deny, withdraw or refuse to participate at any time, with no negative consequences to you.

Confidentiality: Data obtained for this research study, including your responses to the survey will be kept confidential. The confidentiality of my records will be maintained in accordance with applicable state and federal laws. Under California law, there are exceptions to

confidentiality, including suspicion that a child, elder, or dependent adult is being abused, or if an individual discloses an intent to harm him/herself or others. Research records will be kept for a minimum of three years as required by federal regulations.

The results of this research study will be summarized as a whole, as so no persons will identify you.

Contact information for questions or concerns: If you have further questions regarding this research, you may contact me, the primary investigator, Ashley Carson at: ashley.carson@pepperdine.edu, [deleted] or my faculty supervisor, Dr. Terri Egan at terri.egan@pepperdine.edu, [deleted]. If you have questions about your rights as a research participant, you may contact Thema Bryant-Davis, Chairperson of the GPS IRB at Pepperdine University at gpsirb@pepperdine.edu, [deleted].

On-line consent: By checking the box below and by completing the survey online, you are acknowledging that you have read and understand what your study participation entails, and are consenting to participate in the study.

I have read the informed consent (above) and agree to participate in this study.

The survey/questionnaire may be accessed at
http://pepperdine.qualtrics.com/SE/?SID=SV_6yPdGmgj25NkQ6h

Appendix I: Interview Consent Form

Informed Consent for Participation in Research Activities

Participant: _____

Principal Investigator: Ashley B. Carson

Title of Project: Understanding the Significance of Reward / Threat Triggers to the Success of Change Efforts

1. I _____, agree to participate in the research study being conducted by Ashley B. Carson, a student in the Master of Science in Organization Development program at Pepperdine University, Graziadio School of Business and Management, under the direction of Dr. Terri Egan.
2. The overall purpose of this study is designed to investigate practitioners' perspectives on active management of reward / threat triggers relative to the success of change efforts.
3. My participation will involve a 30 to 60 minute interview, which will be conducted face-to-face or on the phone. I grant permission for the interview to be tape recorded and transcribed, and to be used only by Ashley B. Carson for analysis of interview data. I understand my responses will be kept anonymous and confidential. If the findings of the study are presented to professional audiences or published, no information that identifies me personally will be released. The data will be kept in a secure manner for three (3) years, at which time the data will be destroyed.
4. I understand there are no direct benefits to me for participating in the study.
5. I understand there are no major risks associated with this study.
6. I understand that I may choose not to participate in this research.
7. I understand that my participation is voluntary and that I may refuse to participate and/or withdraw my consent and discontinue participation in the interview at any time without penalty or loss of benefits to which I am otherwise entitled.
8. I understand that I may request a brief summary of the study findings to be delivered in about one (1) year. If I am interested in receiving the summary, I will send an email request to Ashley.carson@pepperdine.edu.

9. I understand that the researcher, Ashley B. Carson, will take all reasonable measures to protect the confidentiality of my records and my identity will not be revealed in any publication that may result from this project. The confidentiality of my records will be maintained in accordance with applicable state and federal laws.
10. I understand that the investigator is willing to answer any inquiries I may have concerning the research herein described and that I may contact the researcher, Ashley B. Carson at Ashley.carson@pepperdine.edu or [deleted]. I understand that I may contact Dr. Terri Egan at terri.egan@pepperdine.edu or [deleted] if I have other questions or concerns about this research. If I have questions about my rights as a research participant, I understand that I can contact Thema Bryant-Davis, Chairperson of the Institutional Review Board, Pepperdine University, at gpsirb@pepperdine.edu or [deleted].
11. I understand to my satisfaction the information regarding participation in the research project. All my questions have been answered to my satisfaction. I have received a copy of this informed consent form, which I have read and understand. I hereby consent to participate in the research described above.

Participant Signature

Date

Participant Name

I have explained and defined in detail the research procedure in which the subject has consented to participate. Having explained this and answered any questions, I am cosigning this form and accepting this person's consent.

Principal Investigator: Ashley B. Carson

Date