ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM)

User Guide

Creating a more diverse and inclusive workforce

Edith Cowan University
School of Business & Law

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Project Team, Edith Cowan University

Dr Judy Lundy
Dr Uma Jogulu
Dr Fleur Sharafizad
Professor Tim Bentley
Ms Hannah Murphy

For more information contact:

Dr Judy Lundy
School of Business and Law
Edith Cowan University
j.lundy@ecu.edu.au
+61 8 6304 5140

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Quick Guides

The following Quick Guides have been created to help organisations to take the first steps towards making their workplaces more diverse, equitable and inclusive using the ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM*). The Quick Guides are designed to be used in conjunction with other resources available in this suite, including an Excel-based self-assessment tool and PowerPoint presentations.

The following resources are available in this User Guide:

1.   Introducing the ECU D&I CMM quick guides

2.   Quick Guide 1: Harnessing the power of diversity & inclusion through the ECU D&I CMM

3.   Quick Guide 2 : What to consider before conducting a D&I self-assessment

4.   Quick Guide 3 : Using the ECU D&I CMM self-assessment tool

5.   Quick Guide 4 : Reporting back and planning for D&I continuous improvement

6.   Glossary

Introducing the ECU D&I CMM
Quick Guides

The ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM*) are available resources are designed to help decision-makers and D&I personnel to make decisions and support continuous improvement in working towards a truly diverse and inclusive workplace. The ECU D&I CMM provides organisations with a practical, evidence-based approach to self-assessing their current D&I maturity level.

This series of Quick Guides is part of a wider suite of resources available to help you and your organisation to take steps to improve diversity and inclusion in your workplace. Each Quick Guide covers key information to help you use the ECU D&I CMM. The guides can be read in succession or accessed as standalone documents as needed.

There are four Quick Guides:

1. Harnessing the power of diversity and inclusion through the ECU D&I CMM
2. What to consider before conducting a D&I self-assessment
3. Using the ECU D&I self-assessment tool
4. Reporting back and planning for D&I continuous improvement

What other resources are available?

Other resources to help you get the most out of the ECU D&I CMM are available by clicking here on this link: ECU D&I CMM Resources. These include:

- **ECU D&I CMM Self-Assessment Tool:** An Excel-based tool that enables you to conduct a self-assessment against the CMM's dimensions and maturity levels. The self-assessment tool includes lists of evidence examples to help you identify what level of D&I maturity you are at.

- **Selling the ECU D&I CMM:** a PowerPoint presentation aimed at getting the buy-in of the Senior Executive team.

- **Implementing the ECU D&I CMM:** a PowerPoint stepping you through the CMM process - perfect for involving a range of staff members in the process).

Look for these throughout the guides:

Key points
This icon signals a key point or useful tip.

Talking point
This icon signals a discussion point that may need to be discussed to decide on the best approach for the organisation.

Questions to ask
This icon signals key questions that are worth asking during the process.

ECU D&I CMM

Quick Guide 1

Harnessing the power of diversity & inclusion through the ECU D&I CMM

This Quick Guide provides information on the benefits of using the ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM*) to increase diversity and inclusion in your workplace.

The Importance Of Diversity & Inclusion

Having a diverse and inclusive workforce is critical in today's changing world. This is particularly important in the public sector, where there is a need to reflect the diversity of Australian communities.[1] Diversity and Inclusion (D&I) offers organisations a wealth of benefits. In addition to being critical to meeting workforce and societal expectations, having a truly diverse and inclusive workforce offers organisations: [2,3,4]

- alternative perspectives
- greater creativity and innovation
- improved problem-solving
- robust decision-making processes
- increased productivity and performance.

Why Use A Capability Maturity Model?

Organised in a matrix format, capability maturity models (CMMs) identify relevant dimensions or focus areas as well as typical maturity levels that correspond to different stages of organisational development. Typically, the maturity levels evolve, with each progressive level offering greater potential for better outcomes. The number of levels and dimensions will depend on the individual CMM and area of focus. Used as a tool to help organisations to self-assess their strengths and weaknesses in a particular area of focus, CMMs also assist in:

- identifying an organisation's current maturity level
- setting realistic target levels
- planning for continuous improvement by analysing gaps and barriers and prioritising steps for improvement.

There are CMMs available for a wide range of business practices, such as D&I, information management, workforce planning and cybersecurity.

Why Use The ECU D&I CMM?

The ECU D&I CMM provides organisations with a practical, evidence-based approach to ensuring D&I is embedded throughout the organisation.

What sets the ECU D&I CMM apart from other D&I CMMs is its recognition of inclusion as an undervalued and rarely mastered organisational capability and its ability to address 'next practice' D&I by providing practical implementation guidance.

Incorporating four evolving maturity levels (compliance, managerial, integrative and transformative), the ECU D&I CMM addresses four dimensions (drivers and focus, responsibility/leadership, D&I measurement, mechanisms and defining features), providing maturity indicators for each level. Organisations can exist at different maturity levels across different dimensions. Organisations can assess what maturity level they are at for each dimension by using the ECU D&I Self-Assessment Tool. It is important to note that this CMM is not designed to be prescriptive; rather, it provides organisations with a systematic process to evaluate their current level of maturity, which can guide and support a continuous improvement approach to developing maturity.
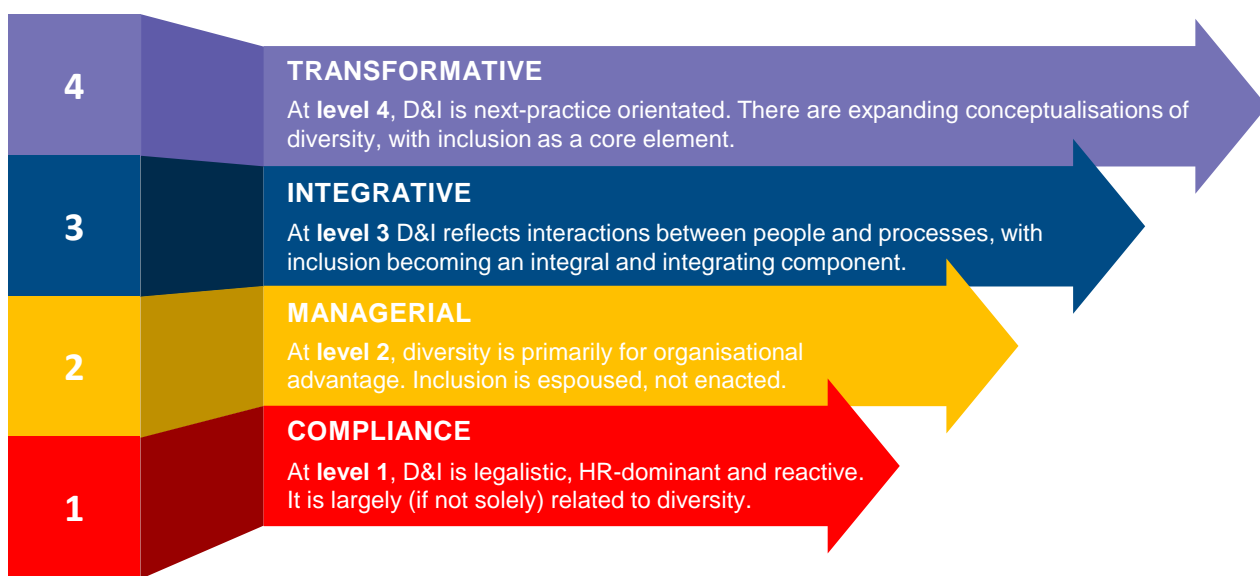
Who Should Use The ECU D&I CMM?

While initially developed for public sector managers and leaders, anyone interested in harnessing the power of a diverse and inclusive workforce should use the ECU D&I CMM to help them on their D&I journey.

The ECU D&I CMM

The ECU D&I CMM has four levels of maturity (compliance, managerial, integrative and transformative) and addresses four dimensions that are critical to building a diverse, equitable and inclusive workforce (drivers & focus, responsibility & leadership, D&I measurement and mechanisms & defining features). The ECU D&I CMM in matrix format is provided on the next page.

ECU D&I CMM Maturity Levels

4 **TRANSFORMATIVE**
At **level 4**, D&I is next-practice orientated. There are expanding conceptualisations of diversity, with inclusion as a core element.

3 **INTEGRATIVE**
At **level 3** D&I reflects interactions between people and processes, with inclusion becoming an integral and integrating component.

2 **MANAGERIAL**
At **level 2**, diversity is primarily for organisational advantage. Inclusion is espoused, not enacted.

1 **COMPLIANCE**
At **level 1**, D&I is legalistic, HR-dominant and reactive. It is largely (if not solely) related to diversity.

ECU D&I CMM Dimensions

DRIVERS & FOCUS
The drivers and focus dimension focuses on the drivers of workplace diversity and inclusion and where the key focus of activity is in the organisation

RESPONSIBILITY & LEADERSHIP
The responsibility and leadership dimension focuses on the leadership approach and how responsibility is devolved throughout the organisation

D&I MEASUREMENT
The D&I measurement dimension focuses on where the emphasis is placed on measurement on how D&I is measured throughout the organisation

MECHANISMS & DEFINING FEATURES
The mechanisms and defining features dimension considers how D&I is being achieved throughout the organisation and includes tools and activities

1. Lundy, J., Keast, R., Farr-Wharton, B., Omari, M., Teo, S., & Bentley, T. (2021). Utilising a capability maturity model to leverage inclusion and diversity in public sector organisations. *Australian Journal of Public Administration, 80*(4), 1032–1045. https://doi.org/10.1111/1467-8500.12521

2. Davis, P.J., Frolova, Y., & Callahan, W. (2016). Workplace diversity management in Australia: What do managers think and what are organisations doing? *Equality, Diversity and Inclusion, 35*(2), 81-98. https://doi.org/10.1108/EDI-03-2015-0020

3. Hunt, V., Prince, S., Dixson-Fyle, S., & Dolan, K. (2020, May 19). *Diversity wins: How inclusion matters.* McKinsey & Company. https://www.mckinsey.com/featured-insights/diversity-and-inclusion/diversity-wins-how-inclusion-matters

4. Shore, L., Cleveland, J., & Sanchez, D. (2018). Inclusive workplaces: A review and model. *Human Resource Management Review, 28*(2), 176-189. https://doi.org/10.1016/j.hrmr.2017.07.003

	Level	Drivers and focus	Responsibility/leadership	Inclusion and diversity measurement	Defining features	Mechanisms
Inclusion	**Transformative**	**Inclusion embedded in corporate DNA, diversity a given** Organisational adoption of continuous 'next practice' future focus. Holistic and inclusive value creation. Multi-generational socially minded workforce.	Mutual responsibility/accountability Leadership relational: Re-generative, authentic and inclusive/distributive (change agents modelling inclusion)	Inclusion emphasis Empowered workforce. Demographic and cognitive diversity (multivariant). **Measures:** Advanced analytics (augmented AI, AR, cognitive computing).	Alignment of personal, organisational and social values (individual/collective intentionality). Flexibility mainstreamed. High performing/diverse thinking teams. Hyper-connected systems. Trust-based connectivity culture. Agile management, human centred design thinking.	Collaboration, cocreation and experimentation. Bespoke inclusion programs recognising individual uniqueness (drawn from big data, social media etc.) and creating "belonging" Transparency, openness – decision-making/hold organisation to account. New moral/ethical obligations.
Inclusion	**Integrative**	**Inclusion matters, diversity embedded** Strategy, mission, policies D&I ingrained in business strategy and integrated into systems and all organisational components.	Top down (primary), with increased bottom-up responsibility. Transformational/integrative, distributive leadership. Strategic HR driven.	Diversity/differences embraced as core organisational element. Inclusion is conscious use of engagement, intrinsic benefits focus on intrinsic engagement (shared purpose). Multi-dimensionality and intersectionality focus. **Measures:** quantitative and qualitative (maturing analytics, online surveys) Worker profiles, satisfaction levels. Employee experiences, inclusion metrics, culture audits.	Shared purpose/benefits negotiated. Systemic barriers addressed. D&I culture embedded and monitored. Multiple role models. Employee and stakeholder preferences listened to and acted on.	Flexible conditions. Evidence-based programs. D&I advocacy. Partnerships with stakeholders. Input into work design. Meaningful work.
Diversity	**Managerial**	**Diversity for gain** Mission, strategy, policies Aligning organisation/worker needs/goals, competitive advantage (productivity)	Strategic/HR Transactional Leadership. Vision from senior leaders. Middle managers assume some responsibility	Unique diversity dimensions harnessed for productivity (visible and invisible dimensions). Inclusion espoused (structural). **Measures:** Quantitative and qualitative. Demographic numbers and targets. Beginning analytics/online.	Business case articulated. Focus primarily on observable diversity dimensions. Ad hoc stand-alone initiatives ERG, ally.	Inclusion espoused, beginning efforts. Targeted recruitment, T&D, career development focussed on helping employees to apply skills.
Diversity	**Compliance**	**Diversity as required** Legal framework guiding policies, procedures. Compliance with legislation, mandated, anti-discrimination.	Legal/HR, delegated autocratic limited involvement in driving D&I forward.	Narrow visible definition of diversity. Largely homogenous workforce. Inclusion silent. **Measures:** Quantitative tick boxes 'counts', reporting mandated/limited	Interventions on opportunity equality. Passive exclusions and individual backlash. Reactive compliance actions. Limited training.	

Figure 1. ECU D&I CMM
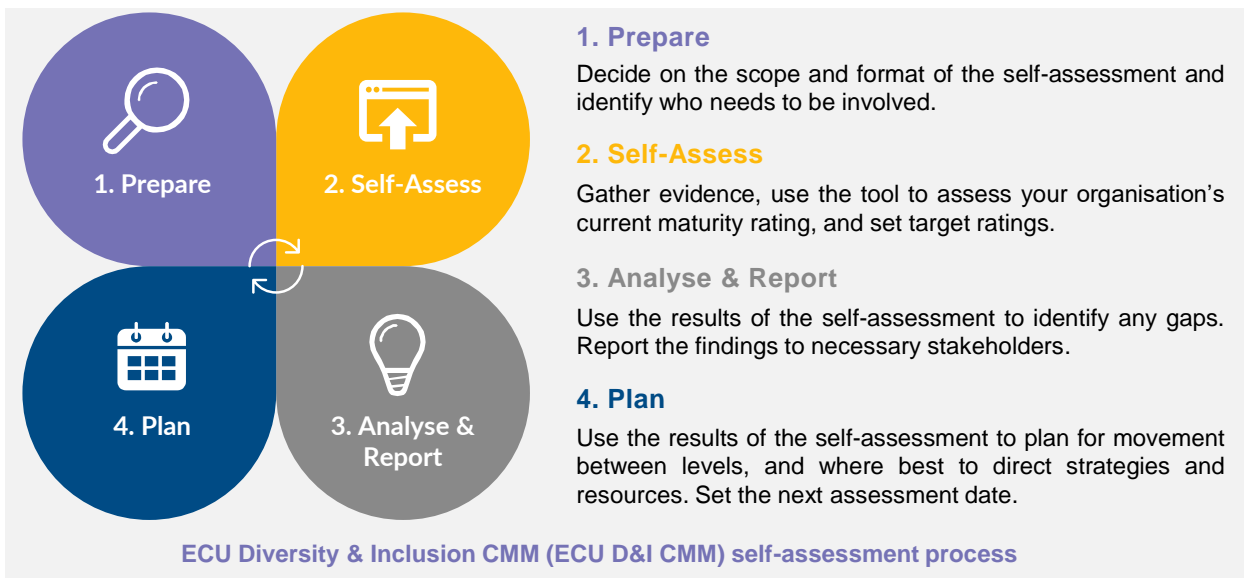
THE ECU D&I CMM **QUICK GUIDE No. 1**

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ECU D&I CMM
Quick Guide 2

What to consider before conducting a D&I self assessment

This Quick Guide provides information on what to consider prior to conducting your D&I maturity assessment.

1. Prepare

Decide on the scope and format of the self-assessment and identify who needs to be involved.

2. Self-Assess

Gather evidence, use the tool to assess your organisation's current maturity rating, and set target ratings.

3. Analyse & Report

Use the results of the self-assessment to identify any gaps. Report the findings to necessary stakeholders.

4. Plan

Use the results of the self-assessment to plan for movement between levels, and where best to direct strategies and resources. Set the next assessment date.

ECU Diversity & Inclusion CMM (ECU D&I CMM) self-assessment process

The ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM, © 2021 Institute of Public Administration) self-assessment process includes four main stages (above). Maturity self-assessment is a continuous process, which ideally should be carried out at regular intervals (say yearly) to measure and track progress and identify new gaps in light of environmental changes and allow for time to successfully implement strategies associated with each review.

Defining the Scope: The Self-Assessment

The ECU D&I CMM can be implemented in a number of ways. Defining the scope and format of your organisation's assessment should be one of the first steps taken in planning the self-assessment. In terms of scope, the self-assessment can focus on:

- individual work units (e.g., business units, divisions, geographic locations)
- tire organisation/department/agency
- a specific diversity or inclusion capability (e.g., gender, race, cognitive diversity) or a full D&I assessment.

If multiple assessments are undertaken by different units within the organisation, these can then be collated to achieve an overall organisational maturity level.

Delivery Format

The ECU D&I CMM can be implemented in a workshop setting (e.g., where individuals come together from different parts of the organisation to discuss and complete the assessment as a group) or as individuals, with the results collated by an overall coordinator or workshopped in more detail after representatives have completed the assessment to achieve an overall result.

The scope and format will impact who needs to be involved in the self-assessment.

There is no 'one-size-fits-all' approach

Organisations should decide on the scope and format that works best for what they want to achieve.

ECU D&I CMM

Who to Involve?

D&I impacts and involves all levels of the organisation. As such, it will be important to include a range of people in the assessment process. This needs to include people outside of the senior management team.

Research tells us that senior leaders have quite a different perception of their organisation's level of D&I maturity compared to employees at lower levels of the hierarchy.[1] There will likely be key individuals within your organisation who have special knowledge or are particularly important in ensuring an accurate picture of the organisation's current D&I maturity level.

Some possible personnel and key stakeholders are suggested below. A balance should be struck between how many people are involved and providing an accurate result. Most importantly, the people involved in the assessment should have knowledge and experience of the organisation's D&I practices.

Possible key personnel and stakeholders

D&I practitioner/Human resources practitioner

Senior managers and leaders (representatives of different business divisions/units)

Employee Resource Group (ERG) representatives or employees who represent diverse groups within the organisation

Subject matter experts (e.g., workplace gender equality representative, legal personnel, recruitment personnel)

Creating a common understanding

The glossary at the back of this User Guide can help make sure that everyone involved in using the ECU D&I CMM has the same understanding of key concepts. You can use it as a discussion point before completing the self-assessment. The glossary is also available in the ECU D&I CMM Self-Assessment Excel Tool.

How to Involve People

Depending on the decisions you made about the scope and format of the D&I self-assessment, there are various ways to involve key stakeholders such as employee representatives. What works best for your organisation will depend on the people involved, your organisational culture, and the time and resources available.

Some key questions to consider:

- When collecting evidence to assess what level of maturity the organisation/work unit is at, did we gather first-hand insight from staff members who are members of diverse groups?

- Have we included those employees who are the most marginalised in our organisation in the process?

- Will staff anonymity be important when requesting input and experiences and, if so, how will we ensure this? (If anonymity is an issue, you could create a short, anonymous online survey requesting feedback; if it is not an issue, a workshop/focus group format might be better).

- Are managers and leaders already committed to D&I or do we need to 'sell' the benefits?

? Preparation questions

Before you embark on the assessment process, consider answering the following questions:

- Why does D&I matter to us personally?

- Where do we want to go?

These questions are inspired by an article written by Ella F. Washington in *Harvard Business Review*, titled 'The five stages of DEI maturity. To read the article in full, visit https://hbr.org/2022/11/the-five-stages-of-dei-maturity

1. Cortis, N., Foley, M., & Williamson, S. (2021). Change agents or defending the status quo? How senior leaders frame workplace gender equality. *Gender, Work & Organization.* http://dx.doi.org/10.1111/gwao.12742

ECU D&I CMM
Quick Guide 3

Using the ECU D&I CMM self-assessment tool

This Quick Guide provides information on the benefits of using the ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM*) to increase diversity and inclusion in your workplace.

The Self-Assessment Tool

To complete your self-assessment using the ECU D&I CMM Self-Assessment Tool, follow these steps:

Step 1

Click the **forward arrow** at the bottom or top of the page to start your assessment. This will take you to the first dimension.

Step 2

Each dimension table lists indicators for each maturity level. Using evidence available within your organisation, use this table to identify what indicators your organisation meets.

Evidence examples are provided for each dimension, indicator and maturity level. These examples will help you determine whether you meet the ECU D&I CMM indicators. You can access these by clicking the **'Click here to check the evidence!'** link at the bottom of each dimension table. Using and collecting evidence is particularly important when discussing or agreeing on a maturity rating in cases where multiple people in your organisation are completing the self-assessment. Using the evidence, you have collected, work through the indicators provided for the dimension you are assessing. **Tick the indicators** that are present in your organisation for each level.

Figure 2: Screenshot of a dimension worksheet from the ECU D&I CMM Excel Self-Assessment Tool

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ECU D&I CMM

Quick Guide 3

Using the ECU D&I CMM self-assessment tool

Step 3

Based on the numbers of ticks in each dimension, decide on an overall rating for that dimension. You can choose a rating from 1 to 4 with 0.5 intervals. For example, you can choose 1.5 if you are between the compliance and managerial level. In selecting a maturity rating, consider whether any indicators are more important to your organisation and weight these accordingly when making your decision. **Select your chosen rating from the drop-down list** provided in the 'Maturity Score' column (see the previous screenshot example). Using the forward arrow, progress to the next dimension. Repeat steps 2 and 3 until all dimensions have a current rating. Once all dimensions are completed, click the forward arrow to take you to the Summary Report.

Figure 4: Screenshot of the Summary Report worksheet from the ECU D&I CMM Excel Self-Assessment Tool

Step 4

On the Summary Report page, you will need to decide on and **select a 'target' rating for each dimension** (this is the rating where your organisation wants to be). Once you have selected a target rating for each of the dimensions in the summary table, an overall target rating will be automatically calculated for you. Both the current ratings (populated for you based on your rating selected on the previous dimension pages) and target ratings for each dimension will then be displayed visually on the spider (radar) chart (see below). This chart will illustrate any gaps or alignments that exist between your current and target ratings.

> **Need more help?**
>
> More detailed instructions are provided in a separate guide: ECU D&I CMM Part B: Technical Guide
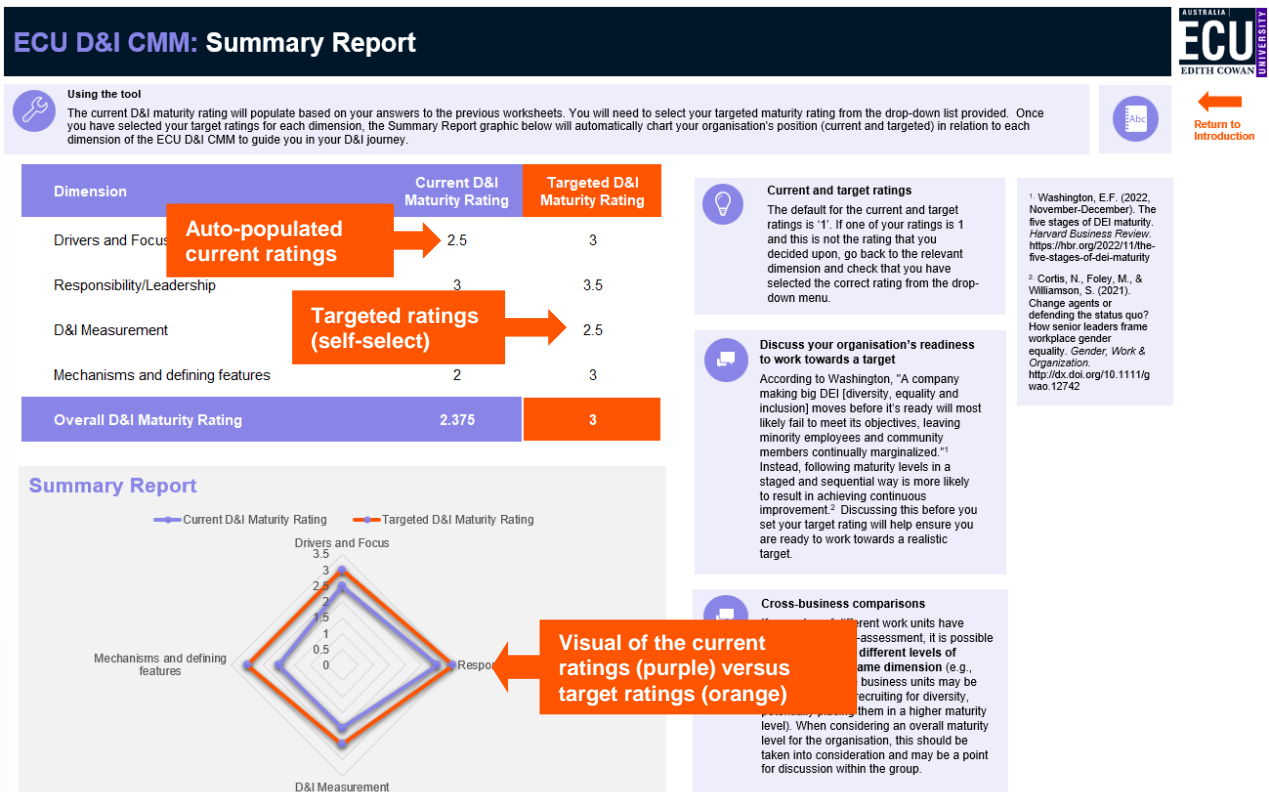
ECU D&I CMM

Quick Guide 4

Reporting Back & Planning for D&I Continuous improvement

This Quick Guide provides information on what to consider after you have conducted your D&I maturity assessment, specifically reporting on the results and planning for D&I continuous improvement.
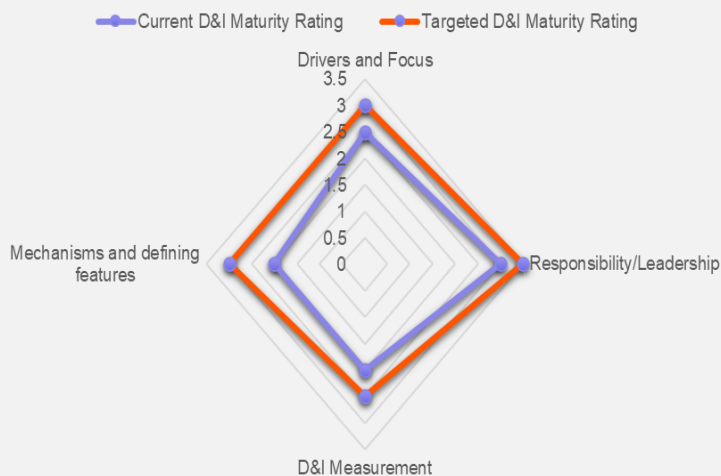
Reporting the Results

It may be useful (or required) for you to report back to senior management and your people across the organisation on the findings of the ECU Diversity & Inclusion Capability Maturity Model (ECU D&I CMM*) assessment. It may be particularly important to report back to any sponsors in the Executive Team (if applicable). Reporting can be important in helping to build commitment to systemic, cultural and behavioural changes required to achieve the target maturity levels.

When reporting back on the results, the following may be useful:

- Identify the organisation's strengths and report on its successes

- Use the spider chart (see example below) to show the gap between where the organisation is currently and where it wants to be (you can copy and paste this from Excel into a presentation or report)

- Use the evidence examples to illustrate any gaps more clearly (i.e. examples of things we are not doing)

- Highlight the benefits of making advancements in the D&I space

- Communicate the overall current D&I maturity rating and the targeted rating

- Provide a brief explanation of the self-assessment process and the use of evidence to guide the ratings.

Summary Tool

Spider chart showing Current D&I Maturity Rating and Targeted D&I Maturity Rating across axes: Drivers and Focus, Responsibility/Leadership, D&I Measurement, Mechanisms and defining features (scale 0 to 3.5).

Cross-unit maturity ratings

Maturity levels may vary across individual work areas. These differences can be a good discussion point, but caution should be taken if deciding to report on ratings across the organisation – comparisons are not the primary purpose of the CMM. There may be valid and historical reasons for these differences (e.g., trialing initiatives, workforce differences etc.).

Using the Excel tool to report back on results

The Excel tool provided as part of the suite of ECU D&I CMM resources provides a visual for you to use in your presentations/reporting back to senior leadership and your people. The spider chart shows any alignment or gaps that exist between the organisation's/work unit's current maturity level and where you want to be. You can copy and paste your spider chart from the tool into another program.

Planning for Continuous Improvement

The ECU D&I CMM is not designed to be a prescriptive tool; rather, it is designed to be used flexibly by organisations to meet their unique needs. Each organisation – and indeed work areas – may have their own business planning processes.

Regardless of how organisations plan for change or business improvement, the following points may be useful to consider during the D&I planning process:

- Using the ECU D&I CMM Self-Assessment Tool, refer back to the indicators and the evidence worksheets for each dimension to identify the strengths and weaknesses – what areas can be expanded on and what areas need attention?

- Are there evidence examples that can be used to inform the continuous improvement plan?

- When considering the gaps identified during the self-assessment, are they gaps that need to be addressed? Although some gaps may exist, these may not be as relevant to your organisation as others.

- Are there critical areas that need to be actioned immediately (e.g. are any business units failing to meet any mandatory or legislative D&I obligations)?

- When comparing the results across areas (if applicable) are there learnings from some areas that can be shared across the organisation? Are there practices that can be implemented organisation-wide?

- Determine how often the assessment should take place to track any action you implement.

?

Planning questions

To better align their organisations, leaders should ask:

- What's our strategy?
- Where do we need to standardise?
- How can we connect D&I work up and down the organization?
- What is our full sphere of influence?

These questions are inspired by an article written by Ella F. Washington in *Harvard Business Review*, titled 'The five stages of DEI maturity. To read the article in full, visit https://hbr.org/2022/11/the-five-stages-of-dei-maturity

Congratulations on taking this step in your D&I journey

We wish you all the best in achieving organisational growth in the D&I capability. If you have any questions about this resource or the ECU D&I CMM please reach out to the project team.

Glossary of Terms

This Glossary provides definitions for key terms used in the ECU Diversity & Inclusion Capability Maturity Model*

Augmented artificial intelligence: A design pattern for a human-centred partnership model of people and artificial intelligence (AI) working together to enhance cognitive performance, including learning and decision-making.

Augmented reality: An enhanced, interactive version of a real-world environment achieved through digital visual elements, sounds and other sensory stimuli via holographic technology.

Cognitive computing: The use of computerised models to simulate and assist human thinking and decision-making in complex situations where the answers may be ambiguous and uncertain.

Dimension: An organisational component that is critical to ensuring D&I is successfully embedded into the workplace. The ECU D&I CMM has four dimensions.

Diversity: The range of human differences that exist in our communities, including (but not limited to) race, gender, ethnicity, sexual orientation, physical and cognitive ability, religious or ethical belief system, social class, age, national origin and political beliefs.

Employee resource groups (ERGs): Voluntary, identity-based groups formed and led by employees whose aim is to foster a diverse, inclusive workplace within the organisations they are part of. They are sometimes known as 'affinity groups'.

Homogenous/homogeneity: A workforce that contains little variety in terms of diversity groups. Members of the workforce are largely from the same diversity group.

Inclusion: The degree to which people of all identities feel a sense of belonging and can contribute as full and valued members of their organisations.

Indicator: In the ECU D&I CMM, indicators are provided for each of the four dimensions as examples of what is expected at each level of maturity in relation to that dimension. These indicators are designed to assist organisations during the self-assessment process.

Intersectionality: The ways in which different aspects of a person's identity can expose them to overlapping forms of discrimination and marginalisation.

Mechanisms: In the ECU D&I CMM, mechanisms refers to the processes, systems and practices that are characteristics of each level of D&I maturity.

Multi-dimensionality: Multi-dimensionality refers to when a concept (e.g. a diversity indicator) focuses on a number of dimensions.

Neurodiversity: Includes conditions like ADHD, autism spectrum disorder and dyslexia, which result in natural differences in human thinking. Being neurodivergent means having a brain that works differently from the average or 'neurotypical' person.

Next practice: Differs from 'best practice' in that it has no precedent; it is future-focused and therefore has many unknowns and ambiguities.

Psychological safety: Promotion of employees' psychological wellbeing and proactive endeavours to prevent harm to employee psychological health.

Pulse survey: A mechanism for measuring feedback using shorter, more frequent check-ins to continuously gain employees' views on subjects related to different aspects of the work environment.

Regenerative, authentic and inclusive/distributive leadership: Leadership that transparently, collaboratively and ethically takes a holistic worldview that considers value creation for and inclusion of all stakeholders including society and the environment.

Relational leadership: A social process through which people work together to accomplish change or make a difference to benefit the common good. Such leadership is inherently caring, empowering, ethical, inclusive and purposeful.

Transactional leadership: A leadership style/approach where leaders rely on rewards and punishments to achieve optimal job performance; it is a structured and task-based approach that relies on rigorous checks and balances.

Transformational/integrative, distributive leadership: A leadership style/approach that empowers and inspires employees to embrace collective change through role-modelling, encouraging vision-aligned innovation and individualised coaching.

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ECU Diversity & Inclusion Capability Maturity Model*

For more information contact
Dr Judy Lundy
School of Business and Law
Edith Cowan University
j.lundy@ecu.edu.au
+61 8 6304 5140