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# Authentic Leadership, Leader-Member Exchange, and Organizational Citizenship Behavior: A Multilevel Analysis

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AUTHENTIC LEADERSHIP, LEADER-MEMBER EXCHANGE, AND ORGANIZATIONAL

CITIZENSHIP BEHAVIOR: A MULTILEVEL ANALYSIS

By

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University of Nebraska, 2012

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This field study examined the relationship between leaders' authentic leadership (as rated by leader and follower) and five constructs of organizational citizenship behavior (OCB) (altruism, civic virtue, conscientiousness, courtesy, and sportsmanship) as moderated by leader-member exchange.

Data were collected from 32 leader participants and 243 raters from seven for-profit organizations in the Midwest. A multilevel data analysis was conducted using Hierarchical Linear Modeling. Three of the five OCB constructs (conscientiousness, courtesy, and civic virtue) were analyzed as multi-level. Altruism and sportsmanship were analyzed using regression.

First, the direct effect of the leader's level of authentic leadership was tested on each of the OCB constructs. Leaders rating as authentic had a positive effect on follower altruistic behavior (helping behaviors). Leaders rating as authentic had a positive effect on civic virtue and courtesy at the group level. This means that leader authenticity, influences behaviors that support the organization (civic virtue) and foster organizational communication (courtesy).

Leader authenticity was significant at the individual level, but not at the group level in conscientiousness. Leaders rated as authentic only influence individual followers

behaviors regarding rules and regulations.  The leader will not influence the group.

Leader authenticity did not influence follower sportsmanship behaviors.

Leader-member exchange (LMX) was examined as a moderating variable.  LMX

positively moderated the relationship between authentic leadership and altruism – high

LMX will yield followers' engagement in altruistic behaviors.

The constructs of conscientiousness and courtesy were partially moderated by

LMX.  LMX moderated conscientiousness at the individual level, but not at the group

level, indicating LMX has a positive effect on individual conscientious behaviors – but

not the overall group.  In courtesy, LMX was significant at the group level, but only

within groups.  LMX will only influence courteous behaviors on a group by group basis.

Comparisons between groups are not possible.

Civic virtue and sportsmanship were not moderated by LMX.  The leader-

follower relationship has no effect on follower behaviors that support the organization

nor will followers refrain from petty complaints.

Dedication

This work is dedicated to the memory of my mother, Gloria K. Stewart.  Mom always reminded me how competent, intelligent, and worthy I was of achieving any goal I set.  She loved me unconditionally and always told me how very proud she and my father were of me.  My mom's untimely death left a huge hole in my heart, but I know she has been with me for every step of this journey.  I love you, Mom.

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*"Don't ask what the world needs. Ask what makes you come alive, and go
do it. Because what the world needs are people who have come alive."*

Howard Thurman (1900-1981)

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frustrations, smiles and tears.  It takes much support from a community of scholars,

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give me strength. "*I can do everything through Him who gives me strength*" Philippians

4:13.

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**CHAPTER I**

**Introduction and Statement of the Problem**

*I have often thought that the best way to define a man's character would be to seek out the particular mental or moral attitude in which, when it came upon him, he felt himself most deeply and intensively active and alive. At such moments, there is a voice inside which speaks and says, "This is the real me." William James, Letters of William James (Gardner, Avolio, Luthans, May, Walumbwa, 2005, p. 343).*

Organizations face many challenges in establishing an enduring, profitable presence in a competitive marketplace. Effective leadership is one difference between those organizations that successfully meet the challenges and those that do not. Achieving success in the marketplace requires a coordinated effort of many individuals, where the leader illuminates the way, influences and directs others, and coordinates organizational activities towards achieving a shared vision.

Leaders are often thought of as being the top management team, but not necessarily the individual possessing the most formal authority (Fernald, Solomon, & Tarabishy, 2005). Leaders may be found in all levels of an organization, and may even lack a formal title, but are, nonetheless, the individuals that others turn to for direction towards accomplishing goals big and small – as all collectively contribute to establishing enduring success.

In current times, turmoil in society has strengthened a need for a new focus on what constitutes genuine leadership (Avolio & Gardner, 2005; Avolio & Luthans, 2006; George, 2003; Lorenzi, 2004; Northouse, 2010; Puente, Crous, & Venter, 2007). It was only 10 years ago that we witnessed terrorist attacks on American soil. In addition to the crisis on 9-11-2001, Americans have recently dealt with severe corruption in government (Avolio & Gardner, 2005), massive failure in the banking system, and ethical corporate

scandals at companies like WorldCom, Arthur Anderson, and Enron (George, 2003; May, Chan, Hodges, & Avolio, 2003; Northouse, 2010). What began as a small number of executives charged with violating the law, quickly changed into issues of corporate control and the failure of our governance systems (George, 2003). These scandals have not only cost the U.S. economy hundreds of billions of dollars (May et al., 2003), but overall, the general public is losing faith in leadership. Public, private, governmental, and volunteer organizations are facing challenges to identify or locate a true form of leadership (Avolio & Gardner, 2005).

George (2003) notes a 2002 Time/CNN poll reporting 71% of those polled feel that "the typical CEO is less honest and ethical than the average person" (p. 2). When people were asked to rate the moral and ethical standards of CEOs of major corporations, 72% rated them "fair or "poor."

In addition to consumers, shareholders, stakeholders, and employees have also become much less tolerant of inconsistencies between leaders' espoused values, principles, and their actual conduct. Shareholders and stakeholders expect key organizational leaders to operate at higher levels of integrity (Avolio & Gardner, 2005; Mayet al., 2003; Northouse, 2010; Walumbwa, Avolio, Gardner, Wernsing, & Peterson 2008). Employees expect their leadership to be honest, trustworthy, and sensible.

Given the various incidents of malfeasance in management, people are seeking leaders who have the ability to restore confidence in basic institutions and enhance this confidence so collectively, a better, more secure world can be achieved (Avolio & Gardner, 2005; Gardner, Avolio, Luthans, May, & Walumbwa, 2005; May et al., 2003; Walumbwa et al., 2008).

Scholars have identified a form of leadership concerned with developing leaders who have high moral standards and integrity (Avolio, Gardner, Walumbwa, Luthans, & May, 2004), lead with veracity and morality (Ilies, Morgeson, & Nahrgang, 2005) and value positive leader-follower relationships (May et al., 2003). To capture the qualities of leaders who facilitate these positive outcomes and describe the type of "positive" leadership required, theorists of leadership are drawing from the fields of leadership, ethics, and positive organizational scholarship and attempting to describe in detail the qualities that represent good leadership (Cooper, Scandura, & Schriesheim, 2005; Eagly, 2005). Proponents of this research desire to train and develop leaders who will proactively promote positive environments and conduct business in an ethical, socially responsible manner (Cooper et al., 2005).

Avolio and Gardner (2005) indicate various forms of positive leadership theory have been studied to capture attractive qualities of leaders, especially in the case of authentic leaders. This theory is a unique collaboration of Avolio's past research on transformational (Avolio & Bass, 1988; Bass & Avolio, 1993, 1994) and full-range leadership (Avolio; 1999, 2005). Also rooted in the theory of authentic leadership are ideas from Greenleaf's (1970) work on servant leadership, Fry's (2003) work on spiritual leadership, Conger and Kanungo's (1999) research on charismatic leadership, and principles of ethical leadership espoused by Treviño, Brown, and Hartman (2003).

Advocates of authentic leadership require leaders to set high standards of behavior and follow through ensuring their actions match their words and vice versa. Bhindi and Duignan (1997) believe authentic leadership draws upon stewardship and spirituality (constructs of servant leadership), transformational leadership, and ethical

leadership.  They argue that leadership is authentic to the degree that it is ethical, sincere, genuine, and trustworthy in leadership action and interaction.  Bhindi and Duignan (1997) explain some studies have been empirically analyzed by multiple researchers; however, due to the fact authentic leadership is relatively new and untested, it is well suited to respond to the expectations placed on leaders by organizational stakeholders.

To date, an increasing number of scholars have begun addressing this phenomenon called authentic leadership (Ilies et al., 2005; Northouse, 2010; Walumbwa et al., 2008).  Cooper et al. (2005) explains the scholarly interest in this new perspective on leadership stems from the recent rise in corrupt management practices, scandals in organizations, and overall management malfeasance.

Bhindi, Riley, Smith, and Hansen, (2008) describe authentic leadership as a type of leadership where the leader eludes to a higher moral and ethical purpose for the betterment of not only their followers, but themselves.  Conceptually, authentic leadership has been comprehensively reviewed and attention has been focused on what constitutes authentic leadership within both the applied (Gardner & Schermerhorn, 2004; George, 2003; George, Sims, McLean, & Mayer, 2007; May et al., 2003; Searle & Barbuto, 2010) and academic management literatures (Avolio et al., 2004; Avolio & Luthans, 2006; Avolio & Walumbwa, 2006; Gardner, Avolio, Luthans, et al., 2005; Luthans & Avolio, 2003).

However, to date, few empirical studies have been conducted on authentic leadership and particularly, the theory's relationship with positive organizational outcomes.  The majority of literature has described the premise of authentic leadership (Gardner, Avolio, Luthans, et al., 2005), stated the need for broader theoretical

frameworks (Avolio et al., 2004), or presented it conceptually (Eagly, 2005; Ladkin & Taylor, 2010; Puente et al., 2007; Shamir & Eilam, 2005).

Much of the literature suggests that because of authentic leaders' moral capacity, they have the innate ability to look at problems from various angles and they can take into consideration diverse employee needs. May et al. (2003) points out authentic leaders have a modern sense of how their role as a leader carries a responsibility to act morally and ethically. It is also noted that authentic leaders realize their ethical behavior sends a strong message to their followers influencing what they attend to, what they think, how they create their own roles, and ultimately how they behave. An authentic leader is someone who is very self-aware, has a clear moral center, is transparent, and is a fair and balanced decision maker (George, 2003).

In addition to roles and behavior, May et al. (2003) also explains that authentic leaders are effective at recognizing moral dilemmas. This type of leader has the inherent ability to take several different points of view upon making decisions while reflecting on the appropriateness of their own values and goals.

Authentic leadership theory stresses the idea of leading by example (Avolio et al., 2004). Leading by example includes setting high moral standards, honesty, and veracity. Luthans and Avolio (2003) state that authentic leaders are directed by a set of end values that represent a direction towards doing what is right and fair for the leader and the followers.

Authentic leaders have a highly developed sense of accountability – they are aware of the moral and ethical ramifications of their actions (Avolio et al., 2004). Hogg (2001) suggests quality leaders are people who have the characteristics of the type of

leader that best fits situational requirements. Authentic leaders realize their ethical behavior sends an impassioned message to followers influencing what they deal with, what they think, how they construct their own roles, and ultimately how they make choices and behave (Avolio et al., 2004; Northouse, 2010; Walumbwa et al., 2008).

As previously mentioned, a majority of the literature surrounding authentic leadership is conceptual meaning it is mostly concerned with the definitions or relations of the concepts rather than with empirical research. Therefore, there is a growing need for empirical research in the field of authentic leadership (Avolio & Gardner, 2005; Walumbwa et al., 2010; Walumbwa et al., 2008). Northouse (2010) reinforces this notion by stating that there is a considerable lack of data to determine if authentic leadership is related to positive organizational outcomes. Walumbwa, Luthans, Avey, and Oke (2009) explain "in order to better understand the mechanisms by which authentic leaders exert their influence on effective behaviors" (p. 4), conducting empirical research on authentic leadership is a necessity.

Leadership is not a static event; it is the process of influence that involves two or more persons (Northouse, 2010). When studying the field of leadership, it is necessary to study both the leader and the follower. Graen and Uhl-Bien (1995) claim the body of literature exploring the concept of leadership is deficient if it focuses only on the characteristics of the leader. Matkin (2005) explains when conducting research in leadership, the following three domains are to be included: the leader, the follower, and the relationship.

According to Gallup (2007), quality management ranks as one of the top requirements of today's employees. In fact, the top reason an employee leaves his/her

job is poor leadership, specifically, poor leadership by their immediate supervisor. However, in the current economy, many people do not have the luxury of being able to just up and leave their job. Therefore, when an employee frowns upon management and/or feels unappreciated, instead of leaving the company, they stop contributing to the overall well-being of the organization.

A Gallup (2007) survey found that roughly 18% of the 24.7 million U.S. workers are actively disengaged. An actively disengaged employee is one who is not only tremendously unhappy at work, but they exude that unhappiness and undercut the efforts of employees who are actively engaged (Gallup, 2007). It is estimated that this lower productivity of actively disengaged workers costs the U.S. economy about $382 billion. Overall, it is the responsibility of the leaders to acquire more effective way of managing the people on whom they depend.

Therefore, this study will examine the relationship of authentic leadership with two important organizational outcomes in the workplace. Organizational outcomes are conclusions or results that develop in the work environment (Moorman, 1991). These outcomes are typically related to behaviors and perceptions of the work environment. Outcomes are the purpose or the reason for the existence of the organization, unit, or work group. There are many organizational outcomes that have been studied by scholars in the social and behavioral sciences. These outcomes include, but are not limited to, workplace tenure (Luthans & Youssef, 2004), workplace turnover (Wayne & Green, 1993), leader-member relations (Matkin, 2005; Story, 2010), extra-role behavior (Organ, 1988), trust in leader (Story, 2010), organizational commitment (Quinn, 1998),

perception of fairness (Matkin, 2005; Moorman, 1991), satisfaction with supervisor (Story, 2010), and perceived organizational support (Matkin, 2005).

Gardner and Schermerhorn (2004) published a conceptual piece that explains when authentic leaders actively involve and develop followers, two positive organizational outcomes should result: follower job commitment and high in-role performance. Avolio et al. (2004) adds to this list by including the outcome of trust in leadership. A positive organizational outcome is a desired result (behavior or perception) in the workplace.

The literature calls for additional empirical research that focuses on authentic leadership and its effect on positive organizational outcomes. Gardner, Cogliser, Davis, and Dickens (2011) explain the importance of examining the components are of significance when testing the authentic leader-follower relationships. They also note the importance of reporting findings that are "occupationally diverse" and from "multiple sources" (p. 1140).

Two organizational outcomes that significantly have an effect on the workplace are leader-member exchange (LMX) and organizational citizenship behaviors (OCB). LMX theory states that leadership is a process focused on interactions between leaders and followers. According to LMX, supervisors do not use the same style in dealing with all subordinates, but rather develop a different type of relationship or exchange with each subordinate (Liden & Maslyn, 1998). Subordinates in relationships with high-quality exchanges receive a greater amount of attention as well as higher performance evaluations. These employees typically are more satisfied with their work, more

committed to the organizational mission, have lower turnover rates and are generally more satisfied with their supervisor (Liden & Maslyn, 1998).

Literature suggests that quality of LMX has an influence on subordinates' workplace experiences (Vecchio & Gobdel, 1984). The prevalence of empirical evidence surrounding the quality of the leader-follower relationship has led researchers to conclude that this relationship is one of the most important an employee has (Liden, Sparrowe, & Wayne, 1997), and potentially one of the most important predictors of workplace outcomes (Matkin, 2005).

Elements of OCB developed by Organ (1988) include non-task behaviors that are not outlined in an employee's job description. These behaviors support the more extensive organizational, social, and psychological workplace environment. Borman and Motowidlo (1997) saw these behaviors as important because "they contribute to organizational effectiveness in ways that shape the organizational, social, and psychological context that serves as the catalyst for task activities and processes" (p. 100). This study will examine the five constructs of OCB: altruism, civic virtue, conscientiousness, courtesy, and sportsmanship espoused by Organ (1988) and empirically validated by Podsakoff, Mackenzie, Moorman, and Fetter (1990).

As previously mentioned, the conceptual and empirical links between authentic leadership and follower attitudes, behaviors, and performance outcomes have not been fully developed (Avolio et al., 2004; Avolio & Gardner, 2010; Walumbwa et al., 2010). Therefore, this study will add to the literature of authentic leadership by empirically focusing on the relationship between authentic leadership, LMX, and OCB constructs: altruism, civic virtue, conscientiousness, courtesy, and sportsmanship.

The remainder of this chapter will go into more depth on the purpose of this study, relevant research questions, discussion of the study's proposed significance, and the organization of the remainder of research.

## Purpose Statement

The purpose of this research is to examine the relationship between a leader's level (the average of a leader's self-report authentic leadership questionnaire and their respective follower's other-report (rating their leader) authentic leadership questionnaire) of authentic leadership (AL) and the follower ratings of the five constructs (altruism, civic virtue, conscientiousness, courtesy, and sportsmanship) of OCB. This study will also examine the relationship between AL and OCB constructs moderated by LMX.

## Research Questions

This study will focus on the following research question:

1. Is there a relationship between a leader's rating of authentic leadership and follower ratings of the five constructs of OCB (altruism, civic virtue, conscientiousness, courtesy, and sportsmanship)?

2. How does this relationship change when LMX is present?

## Delimitations and Limitations of the Study

This study does not intend to examine authentic leadership of leaders outside of the scope of the organizations tested in this study. Nor does it attempt to create any type of intervention for leaders in terms of authentic leadership, LMX, or OCB. Creating interventions may be a future research topic, but it is not addressed in this study. Additionally, the information presented in this study should not be generalized to types of organizations outside of the context/scope of this study. Since a specific model of

authentic leadership is used, this study is not intended to suggest that results found will be applicable to other models of authentic leadership. A definition of terms is included in Appendix A. This study is a field study and not an experiment, which limits the ability to make cause-and-effect claims.

## Significance of the Study

The concept of authentic leadership has been examined since the early 1970s. It has been within the past decade that scholars have intensified the examination of authentic leadership. Therefore, to advance the theory of authentic leadership, empirical inquiry is necessary. According to Northouse (2010), there is lack of empirical research to support the ideas set forth as authentic leadership. Furthermore, investigating the relationship between authentic leadership and positive organizational outcomes will help substantiate the theory and lend to a greater understanding of the theory's value.

It is hoped that this study will contribute to authentic leadership theory by examining the relationship of authentic leadership, LMX, and OCB. The results of this study will be significant to training and development personnel, human resources management, leadership scholars, practitioners, and top-level management.

## Organization of the Remainder of the Study

This dissertation is organized as follows: this chapter provided an introduction and overview of the study; Chapter II will review and critique the literature on authentic leadership, LMX, and OCB and proposes hypotheses for testing; Chapter III presents the methodology crafted to study the problem, including research design, population, sampling and survey distribution/administration; Chapter IV will present and analyze the study findings with respect to the hypotheses; and Chapter V will discuss insights and

conclusions drawn from the analysis in chapter four, including the significance of the study, the limitations, implications, and suggestions for future research.

**CHAPTER II**

**Review of the Literature**

The goal of this research is to test the effect of authentic leadership on OCB

directly and while moderating for LMX.  This chapter will begin with the research on

traditional theories of leadership.  Then, positive theories of leadership will be examined

along with each theory's relationship with authentic leadership.  The outcome variables,

which are the positive organizational outcomes, are addressed next to establish the

foundation for the study.  Historical traditions of authenticity and historical perspectives

of authentic leadership are reviewed along with the evolution of the theory and the

overall current theory of authentic leadership.  Authentic leadership is then linked to

relevant research on LMX and the five constructs of OCB.  Hypotheses will be developed

between the outcome variables and authentic leadership.

**Creating the Context**

The challenge of effective leadership is sufficiently complex as there are multiple

models, approaches, and theories, each promoting necessary behaviors and qualifications

for success in the leadership role.  Authentic leadership is a complex process that is

difficult to define.  There are multiple definitions written from differing viewpoints with

varied emphasis (Northouse, 2010).  Theoretically, Walumbwa et al. (2008) define

authentic leadership as:

> …a pattern of leader behavior that draws upon and promotes both positive
>
> psychological capacities and a positive ethical climate, to foster greater self-
>
> awareness, and internalized moral perspective, balanced processing of

information, and relational transparency on the part of leaders working with followers, fostering positive self-development. (p. 94)

Authentic leadership has become known as a central component in positive leadership studies since its conceptualization in the late 1970s.  Avolio and Gardner (2005) describe this theoretical extension as a *root construct in leadership theory* (p. 315).  There have been various attempts to conceptualize authentic leadership.  In-depth research on the theory of authentic leadership began in the early 2000s (Avolio & Gardner, 2005).

Since this form of leadership is coined a *root construct*, it draws upon relatively similar perspectives/traditions of leadership.  The researchers state that leadership can be coined as *authentic* to the degree that it is sincere, ethical, genuine, and fosters trust in leadership by the leader's actions and interaction with followers (Bhindi & Duignan 1997).

There is an expectation that authentic leaders will uphold honesty and integrity in their daily work and constantly search for self-enhancement and eliminate actions and interactions that are considered to be deceptive, insincere, deceitful, and manipulative.  Authentic leaders implement stewardship through leader/follower mutuality, interdependence, and concern.  Bhindi and Duignan (1997) explain that authenticity is neither accidental nor unnatural but intentional and deliberate.  Generally, authentic leaders' actions represent their inner thoughts, feelings, and values.

According to Avolio et al. (2004), authentic leadership is a construct of positive forms of leadership that incorporate charismatic, transformational, visionary, ethical, transactional, directive, and participatory leadership.  This means that authentic leaders

display the genuine ethical qualities of leadership when engaged with followers (Zhu, 2006). Overall, authentic leadership encompasses positive leadership qualities to include high ethics, moral reasoning, and positive orientation.

There is growing evidence that an authentic approach to leading is desirable and effective for achieving positive outcomes in organizations. There are various personal benefits of authenticity, as shown by growing evidence from social, cognitive, and positive psychology as well as organizational studies (Walumbwa et al., 2008). These personal benefits include improved feelings of friendliness, higher levels of emotional well-being, additional "best possible" levels of self-esteem, and elevated performance (Grandey, Fisk, Mattila, Jansen, & Sideman, 2005). When organizational leaders know and act upon their true beliefs, strengths, and values – along with helping followers to do the same – higher levels of employees' will achieve well-being. This in turn has been shown to positively influence follower performance (Ryan & Deci, 2001).

**Research on Theories of Leadership**

When embarking upon research about a fairly new theory of leadership (in this case, authentic leadership), it is important to note theories that serve as precursors to the theory of study. Traditional theories of leadership include trait approach, skills approach, style approach, situational leadership, contingency theory, and path-goal theory.

According to Northouse (2010), transformational leadership became the first positive leadership theory developed. The significant positive leadership theories include transformational, charismatic, servant, ethical, spiritual, and authentic leadership. Authentic leadership is put forward as the root construct of all the positive leadership

theories (Avolio, 2010).  This section will briefly address various theories of traditional

and positive forms of leadership (See Figure 1).

| Traditional Theory Influences: Trait Approach |
| Conscientiousness |

| Traditional Theory Influences: Skills Approach |
| Problem-solving skills, Social judgment skills, Knowledge-base |

| Traditional Theory Influences: Style Approach |
| Task behaviors |

| Traditional Theory Influences: Situational Leadership |
| Delegating, Supporting, Coaching, Directing |

| Traditional Theory Influences: Contingency Theory |
| Quality of leader-member relations |

| Traditional Theory Influences: Path-Goal Theory |
| Leader's style + subordinate characteristics + work setting |

| Contributions from Transformational Leadership: |
| Confidence, Optimism, Cognitive flexibility, High moral character |

| Contributions from Servant Leadership: |
| Wisdom, Persuasive mapping, Organizational stewardship |

| Contributions from Charismatic Leadership: |
| Vision and articulation, Sensitivity to the environment |

| Contributions from Ethical Leadership: |
| Individual characteristics, Consideration of ethical consequences |

| Contributions from Spiritual Leadership: |
| Trust, Hope, Integrity, Resiliency |

Authentic Leadership

Leader-Member Exchange

Organizational Citizenship Behavior:
Altruism (H1a, 2a+)
Civic Virtue (H1b, 2b+)
Conscientiousness (H1c, 2c+)
Courtesy (H1d, 2d+)
Sportsmanship (H1e, 2e+)

*Figure 1. Summary of leadership theory influences and contributions to authentic leadership and proposed outcomes.*

**Traditional Theories of Leadership**

The discipline of leadership examines how a person must think and act to lead his or her teams to great success. For the past 70+ years, opinions have progressed from believing that one is or is not born a leader to more current theories stressing leadership can be learned and it combines charisma, attention to employees' motivation and feelings, and environmental forces (Northouse, 2010). This section discusses six traditional leadership theories that for the basis of leadership literature: trait approach, skills approach, style approach, situational approach, contingency theory, and path-goal theory.

**Trait approach.** The early 1900s spawned the "Great Man Theories." The theories are titled as such because of the claimed qualities leaders should have to be great politicians, religious leaders, or army leaders. Stogdill (1948) challenged these traits by noting that a person cannot become a leader solely on the premise they have a certain combination of traits. He focused a study on traits interacting with situational demands on leaders and analyzed more than 124 leadership studies starting from 1904 to the present time and found eight traits related to leadership: alertness, confidence, initiative, insight, intelligence, persistence, responsibility, and self-sociability. Stogdill (1948) reexamined the trait approach and deduced leadership as a relationship between people in a social situation.

Stogdill (1974) analyzed 163 new studies with his 1948 finding and validated his original findings. In this study, he found 10 characteristics that relate positively with leadership: achievement, cooperativeness, influence, initiative, insight, persistence, responsibility, self-confidence, sociability, and tolerance. According to Northouse

(2010), Stogdill's work confirmed the original trait premise that the leader's

characteristics are in reality a part of leadership.

Kirkpatrick and Locke (1991) determined six traits make up the "Right Stuff" for

leaders: cognitive ability, confidence, drive, integrity, motivation, and task knowledge.

In research today there are five traits professed to contribute to the development of

leaders: intelligence, self-confidence, determination, integrity, and sociability (Northouse,

2010).

Judge, Bono, Ilies, and Gerhart (2002) conducted a meta-analysis and examined

the Five Factor Personality Model and its relationship to leadership, (or the "Big 5":

extraversion, conscientiousness, neuroticism, openness, and agreeableness.)  This

research determined a strong relationship between five personality traits and leadership.

Extraversion is the factor most strongly and positively associated with leadership.  It is

considered to be the most important trait of effective leaders.  Conscientiousness is the

second most strongly and positively related factor.  Neuroticism and openness are the

next most related; however, neuroticism is negatively associated to leadership.  It was

found that agreeableness is only weakly related to leadership.

**Skills approach.**  The skills approach is similar to the trait approach, as it is

leader-centered (Northouse, 2010).  In contrast to the trait approach, the skills approach

focuses on skills and abilities or what a leader can accomplish.  It is noted in the research

that unlike inherent traits, skills can be learned and developed.

Katz (1955) encouraged the shift from trait theory to the skills approach.  This

approach is a leader-centered perspective with emphasis on skills and abilities that can be

learned and developed.  This approach also notes the ability to use one's knowledge and

competencies to accomplish a set of goals and objectives.  Katz (1955) developed a set of

basic administrative skills that are deemed necessary at various levels of an organization:

technical, human, and conceptual.  Leaders need all three skills, but skill importance is

dependent on level of management.

The skills approach was revisited by Mumford, Zaccaro, Harding, Jacobs, and

Fleischman (2000).  This research emphasized that a leader's effectiveness was mainly

based upon the leader's inherent ability to solve complex organizational problems.  The

Mumford et al. (2000) skills-based model focuses on individual attributes, competencies,

and leadership outcomes.  Individual attributes include cognitive ability, motivation, and

personality.  Competencies include problem-solving skills, social judgment skills, and

knowledge-base.  Leadership outcomes included effective problem solving and

performance.

**Style approach.**  The style approach, which emphasizes the leader's behavior, is

markedly different from the trait and skills approach (Northouse, 2010).  Emphasis for

the style approach is on task-orientation, or how a leader delegates tasks, and people-

orientation, or how a leader works with people.

Stogdill (1963) advanced the original work of the Leadership Behavior

Description Questionnaire (LBDQ).  His work, the LBDQ - XII resulted in a shortened

version of the LBDQ and, according to Northouse (2010), is considered to be the most

widely used leadership assessment instrument.  According to this instrument, there are

two general types of leader behaviors: task and relationship.

Task behaviors explain how leaders provide structure for subordinates.  These

behaviors include: organizing work, giving structure to the work context, defining role

responsibility, and scheduling work activities.  Relationship behaviors explain how leaders nurture subordinates by building camaraderie, respect, trust, and liking between leaders and followers.

Northouse (2010) explains that these two types of leadership behaviors can be conceptualized as opposite ends of a single continuum.  The task behaviors are related with production orientation, or leaders who stress the technical aspects of a job.  The relationship behaviors are related with employee orientation, or leaders who place strong emphasis on human relations.

**Situational approach**.  Northouse (2010) describes how Hersey and Blanchard (1969) developed a theory known as the situational approach.  Situational leadership focuses on the leader's ability dependent on various situations.  One of the unique aspects of the situational approach is that this approach to leadership recognizes that each situation demands different kinds of leadership.  The situational approach compels the leader to adapt to different situations within the organization or work department (Northouse, 2010).

Northouse (2010) explains how the emphasis is placed on the two components of situational leadership.  Situational leadership is comprised of both a directive and supportive dimension.  Each dimension must be applied appropriately in a given situation, and then leaders evaluate employees to assess their competence and commitment to perform a given task.

Situational leadership is centered on the idea that subordinates fluctuate along the developmental continuum of competence and commitment.  Leader effectiveness depends on assessing a subordinate's developmental position and adapting his/her

leadership style to match subordinate developmental level.  The situational approach requires leaders to demonstrate a strong degree of flexibility (Northouse, 2010).

Four leadership styles (Northouse, 2010) are associated with situational leadership: delegating, supporting, coaching, and directing.  Delegating refers to low supportive and low directive behaviors – this leadership style points toward a person (or team) who is both familiar with the task and motivated to do the work.  Supporting represents high supportive and low directive behaviors – this leadership style points toward a person (or team) who is familiar with the task but needs to be motivated to get the job done.  Coaching signifies high directive and high supportive behaviors - this leadership style points toward a person (or team) who is not familiar with the task and needs motivation and/or support.  Finally, directing corresponds to high directive and low supportive behaviors – this leadership style points toward a person (or team) who is very motivated to do a task but needs guidance on how to complete the task.  Later research on this theory added a sliding scale which indicates the developmental level (high, moderate, or low) of the followers.  This scale assisted in utilizing supportive and directive behaviors (Northouse, 2010).

Situational leadership stresses that effective leaders are those who can alter their style based on task requirements and subordinate needs.  This approach to leadership is straightforward, and it clearly outlines a leader's behavior and decision making for various settings.  It can be easily understood and applied in a variety of settings (Northouse, 2010).

**Contingency theory.**  Fiedler and Chemers (1974) researched a widely recognized theory of leadership that incorporates the style approach with the situational

approach called contingency theory.  Contingency theory implies that certain leadership

styles are more effective than other styles contingent upon the situation necessitating

leadership.  This theory attempts to match leaders to appropriate situations.  Leadership

styles of task-oriented and relationship-oriented were cross-referenced with three

situational variables: leader-member relations, task structure, and position power.  The

leader's effectiveness depends on how well the leader's style fits the context (Northouse,

2010).

Leader-member relations refer to the followers' feelings about the

organizational/cultural context and their relationship with their leader (immediate

supervisor).  Task structure refers to tasks under the leader's control (highly structured

tasks) and tasks under the follower's control (highly unstructured tasks).  Structured tasks

give the leader independence and control in order to establish exact task completion.

Unstructured tasks give followers independence and control to determine task

completion.  Position power refers to the amount of authority the leader has to discipline

or reward followers.  Strong position power is held when the leader has the authority to

hire and fire.  Low position power is held when the leader lacks this authority

(Northouse, 2010).

Fiedler and Chemers' (1974) generalizations about which styles of leadership are

best and worst are based on empirically grounded generalizations.  By assessing three

situational variables, (leader-member relations, task structure, and position power), any

organizational context can be placed in one of eight categories represented in the

contingency theory model.  After the characteristics of a situation are determined, the fit

between leader's style and the situation can be evaluated.

Contingency theory has been tested by many researchers and found to be a valid and reliable approach to explaining how to achieve effective leadership (Northouse, 2010). This theory has broadened the scope of leadership understanding from a focus on a single, best type of leadership (e.g., trait approach) to emphasizing the importance of a leader's style and the demands of different situations. Because contingency theory is predictive, it provides relevant information regarding the type of leadership that is most likely to be effective in particular contexts (Northouse, 2010).

Contingency theory contends that leaders should not expect to be effective in every situation; thus businesses should strive to place leaders in optimal situations according to their leadership style. This theory supplies data on leadership styles that could be useful to organizations in developing leadership profiles for human resource planning.

**Path-goal theory.** Path-goal theory is a complex, but also practical, approach to leadership. This theory explains how leaders should choose a leadership style that best fits the needs of their subordinates and their subordinates' work. Path-goal theory provides a set of assumptions about how different leadership styles will interact with subordinate characteristics and the work situation to affect employee motivation.

Northouse (2010) explains that path-goal theory moves the focal point back to the leader. Path-goal theory emphasizes the way leaders influence and motivate followers toward goal achievement. Leaders who focus on follower motivation anticipate attaining enhanced follower performance and follower satisfaction. The refocus on the leader's relationship with followers incorporates using the appropriate leadership style with

knowledge of motivational theories while joining together these components into the workplace setting.

House (1971) defines path-goal theory as a theory that centers on how leaders motivate subordinates to accomplish designated goals.   This theory emphasizes the relationship between the leader's style, the characteristics of the subordinates, and the work setting.  The goal of path-goal theory is to enhance employee performance and satisfaction by focusing on employee motivation.

The motivational principles of path-goal theory are based on expectancy theory. Subordinates will be motivated if they believe they are capable of performing their work, that their efforts will result in a certain outcome, and that the payoffs for doing their work are worthwhile.

The behaviors leaders demonstrate in path-goal theory are directive, supportive, participative, or achievement-oriented (House & Mitchell, 1974; Northouse, 2010). Directive leadership is where the leader tells the followers how and when certain tasks must be completed.  Supportive leadership is where the leader is friendly and approachable, hence creating a positive work environment and positive follower relationships.  This leader behavior is very focused on follower needs and well-being. Participative leadership is where the leader invites followers to participate in decision making.  Lastly, achievement-oriented leadership is when the leader challenges his/her followers to do their best work.

The needs of the followers are also a focus of this theory.  Northouse (2010) explains how followers have need for affiliation, a range of desires for control, various preferences for structure, and self-perceived abilities regarding task competence.  The

needs of the follower will influence their level of motivation separate from any efforts made by the leader. However, if tasks are appropriately structured contingent upon follower abilities, followers can gain a sense of accomplishment and value for their work. The unique focus of path-goal theory is for leaders to assist followers with overcoming any and all obstacles to their success.

**Positive Theories of Leadership**

There are five forms of positive leadership that contribute to the development of authentic leadership: transformational, servant, ethical, charismatic, and spiritual (Avolio, 2010). Authentic leadership is believed to be "more generic" (Avolio, 2010, p. 328) and characterizes a root construct of the preceding positive forms of leadership. Avolio (2010) uses the term root construct to mean "that it forms the basis for what then constitutes other forms of positive leadership" (p. 328).

Positive leaders make choices that promote their personal and professional development (self-actualization) and the personal and professional development of those around them (promoting the public good). Leaders who practice positive leadership are not swayed or influenced by external pressures and expectations. They live their lives transparently (openly and honestly), which develops trust with and among those around them. This section will describe the five forms of positive leadership theories that add to the development of authentic leadership, and then each theory will be compared and contrasted with authentic leadership. Table 1 provides a comprehensive overview of the main differences between authentic leadership and each of the five positive forms of leadership.

*Table 1. Positive Theories of Leadership and Authentic Leadership: Differences "At a Glance"*

| Positive Leadership Theory | Differences with Authentic Leadership |
|---|---|
| Transformational Leadership | Authentic leadership is very focused on leader development.<br><br>Transformational leadership is very focused on developing followers into leaders.<br><br>Authentic leaders are not necessarily transformational.<br><br>Transformational Leadership's general focus is to create productive change in the followers with the end goal of developing followers into leaders.<br><br>Charisma is a core component of transformational leadership. Authentic leaders are not necessarily charismatic. |
| Servant Leadership | Authentic leadership is very focused on leader development.<br><br>Servant leadership is very focused on follower development.<br><br>Authentic leaders lead with purpose and values, and are not necessarily inspirational, where servant leaders are very inspirational.<br><br>The fundamental difference between servant leadership and authentic leadership lies in the approach. While servant leadership strives to be "right," authentic leadership strives to be "real."<br><br>The core principle of servant leadership is to give priority to the interest of others. The primary duty of the servant leader is to serve others by fulfilling their needs, aspirations, and desires. |
| Ethical Leadership | Authentic leadership is very focused on leader development.<br><br>Ethical leadership is very focused on follower development. Ethical leaders' care and concern for others is paramount.<br><br>Authentic leadership contains content that is not related to ethical. Authenticity and self-awareness are not part of the ethical leadership construct. |

| Charismatic Leadership | Authentic leaders lead with purpose and values, and are not necessarily charismatic. |
|---|---|
| | Charismatic leaders can be very theatrical. Authentic leaders are not theatrical; they seek to be real. |
| | Charismatic leaders influence with inspirational appeals, dramatic presentations, or other forms of impression management. |
| | Charismatic leaders employ expression to persuade, influence, and mobilize followers. Authentic leaders energize followers by creating meaning and positively socially constructing reality for themselves and followers. |
| Spiritual Leadership | Authentic leadership is very focused on leader development. |
| | Spiritual leadership claims to focus on follower development. Avolio and Gardner (2005) felt the theory of spiritual leadership is not well grounded in empirical research. |
| | Authentic leaders lead with purpose and values, and are not necessarily inspirational or spiritual. |
| | Spiritual leadership is completely exclusive of discussion regarding self-regulation for leaders or followers, as well as the moderating role of a positive organizational context. Authentic leadership theory supports the notion of self-regulation. |

**Transformational leadership.** Burns (1978) and Bass (1985) researched a concept where leaders and followers help each other move to a higher level of self-confidence and motivation. This leadership approach is called transformational leadership, and it creates constructive change in the followers with the end goal of developing followers into leaders. Transformational leaders are commonly seen as passionate, full of energy, and hold high concern for their followers. These leaders are very involved in the process and they are motivated by helping every member of the group succeed. Transformational leaders enhance the motivation, confidence, and performance of their followers through a variety of mechanisms.

Bass (1985) proposed four different factors of transformational leadership which have been applied to the research of authentic leadership:

- Intellectual Stimulation – This factor describes leaders who challenge their followers on an intellectual basis. They stimulate followers to be creative and innovative and to challenge their own values and beliefs. They also encourage their followers to challenge the values and beliefs of the organization. This type of leader is very supportive of followers embarking upon new approaches to organizational issues. They encourage followers to think on their own and engage in problem solving.

- Individualized Consideration – This factor describes leaders who provide a supportive environment in which they listen carefully to the individual needs of followers. These leaders act as coaches and advisers. They are fully engaged in helping their followers on an individual basis.

- Inspirational Motivation – This factor describes leaders who communicate high expectations to followers. They inspire followers through motivation to become committed to the shared goals of the organization. These types of leaders enhance team spirit and make followers feel as if they are a part of the group.

- Idealized Influence – This factor describes leaders who serve as strong role models for followers. Followers identify with these leaders because they trust and respect the leader. These leaders provide followers with a vision and a sense of mission, and they typically have very high standards of ethical and moral conduct and can be counted on to "do the right thing". Followers typically emulate the leader and internalize his or her ideals.

Northouse (2010) explains that transformational leadership is a process that changes and transforms individuals. It involves an exceptional form of influence that motivates followers to accomplish more than what is usually expected. Transformational leadership is concerned with the leader's and follower's emotions, values, ethics, standards, and long-term goals. There is an encompassing approach to transformational leadership. It describes a wide range of leadership influence where followers and leaders are bound together in the transformation process.

*The relationship between transformational and authentic leadership.* Authentic leadership theory includes a comprehensive focus on leader and follower self-awareness and regulation, positive psychological capital, and the moderating role of a positive organizational climate. There is a conceptual relationship between transformational leadership and authentic leadership. Gardner, Avolio, Luthans, May, and Walumbwa. (2005) posit authentic leadership "as a root construct underlying transformational

leadership as well as other positive forms of leadership" (p. 352). Plainly interpreted, authentic leadership becomes a precursor to transformational leadership.

Transformational leaders have been described as being confident, optimistic, hopeful, cognitively flexible, and of high moral character (Bass, 1985, 1998). These are characteristics of authentic leaders too, but authentic leaders are not necessarily transformational.

To be viewed as transformational by both the definitions of Bass' (1985) and Burns' (1978) research necessitates that a leader be authentic; importantly, however, being an authentic leader does not necessarily mean that the leader is transformational. For example, authentic leaders may or may not be proactively focused on developing followers into leaders, even though they have a positive effect on them via role modeling (Avolio & Gardner, 2005).

Burns (1978) suggests that to be transformational, leaders need to be morally encouraging or ethically oriented. Bass (1998) suggests in later writings that high moral values are an important base and necessary stipulation for transformational leadership. "This heightening of awareness requires a leader with vision, self-confidence, and inner strength to argue successfully for what he [sic] sees is right or good, not for what is popular or is acceptable according to established wisdom at that time" (Bass, 1985, p. 17).

As previously mentioned, transformational leaders have been described as being confident, optimistic, and hopeful (Bass, 1985, 1998). Authentic leaders emulate these traits; however, Walumbwa et al. (2010) notes that although authentic leadership could be

highly related to the four dimensions of transformational leadership, these two leadership concepts are separate.

Authentic leaders demonstrate their values and beliefs more through their actions than through their words (Ilies et al., 2005). Moreover, authentic leaders lead with purpose and values, and are not necessarily charismatic or inspirational (Avolio & Gardner, 2005; George, 2003). Conversely, transformational leaders may also have a deep sense of self, and are able to transform others and organizations.

One of the noteworthy differences between authentic leadership and transformational leadership is the theory's general focus. With regard to transformational leadership, the construct focuses on what the leader will do with regard to the follower. Recall, the purpose of transformational leadership is to create productive change in the followers with the end goal of developing followers into leaders (Burns, 1978; Bass, 1985). Transformational leadership posits "transforming" followers by challenging them intellectually (intellectual stimulation), providing a supportive environment (individualized consideration), communicating high expectations (inspirational motivation), and serving as a strong role model (idealized influence).

In contrast, the construct of authentic leadership focuses more on the development of the leader. As noted by George (2003), "We need leaders who lead with purpose, values, and integrity; leaders who build enduring organizations, motivate their employees to provide superior customer service, and leaders [sic] to create long-term value for shareholders" (p. 9).

Bass (1985) notes charisma as the core component of transformational leadership. Therefore, another contrast between transformational leadership and authentic leadership

is that authentic leaders may or may not be charismatic (George, 2003). Authentic

leaders work hard, build stable and long-term relationships, and lead with principles,

meaning and values, but are not necessarily described as charismatic by others (Avolio &

Gardner, 2010).

The theory of authentic leadership focuses on what makes the leader authentic and

then how the leader's authentic behavior reflects on the followers. An authentic leader is

a leader: who is willing to assess their personal values, along with acknowledging their

weaknesses and strengths (self-awareness); who will behave in accordance with their

values and beliefs (relational transparency); who is able to impartially analyze all relevant

information before making a decision (balanced processing); and who is completely

immersed in their core beliefs and values (internalized moral perspective).

Another distinction is that authentic leaders are characterized with high self-

awareness. They know their own values and beliefs and are transparent with their

followers, colleagues, and others (Zhu, 2006). Authentic leaders express their values and

beliefs more through their actions than through their words (Ilies et al., 2005).

Additionally, authentic leaders lead with purpose and values, and are not necessarily

charismatic or inspirational (Avolio & Gardner, 2005; George, 2003).

Bass' (1985) theory of transformational leadership connects the concepts of

leadership and authenticity in emphasizing the role that authenticity and morality play in

the way leaders transform organizations and lead their followers to higher levels of

performance. Bass and Steidlmeier (1999) make the point that the literature surrounding

transformational leadership has been consistently linked with historical literature on

virtue and morality.  Therefore, the moral character exemplified by authentic leaders is consistent with the transformational leadership model.

The literature on transformational and authentic leadership is similar with respect to remaining aware of internal strengths and weaknesses and how precursor experiences help define and shape a leader. "The aspiring transformational leader must be willing continuously to reexamine his or her strengths and weaknesses as a leader" (Avolio, 1999, p. 12).  Likewise, the self-awareness component of authentic leadership asserts this same importance (Kernis, 2003; Luthans & Avolio, 2003; Sparrowe, 2005; Walumbwa et al., 2008).

Authentic and transformational leadership are positive forms of leadership. Authentic and transformational leaders draw from prior experiences; both embrace the importance of role modeling, follower development, and leadership succession.  Both styles also emphasize performance, although how performance is defined differs. Authentic leadership favors individual moral performance more so than competitive business performance.

Transformational leaders are responsible for not only envisioning a different end state, but also relishing the responsibility for ensuring the vision becomes reality.  This takes place through the combined efforts of an entire organization where leader values define a transformational culture that is proactive, empowered, dynamic, and innovative (Kernis, 2003).  Strong moral values underlie authentic leadership and transformational leadership, although more prominent and culture defining for authentic leadership.

Avolio and Gardner (2005) believe "the key distinction is that authentic leaders are anchored by their own deep sense of self; they know where they stand on important

issues, values, and beliefs" (p. 329). The authors acknowledge that transformational leaders may also have a deep sense of self which would join the two views of leadership or transform others via a powerful, positive vision, an intellectually stimulating idea, and a clear sense of purpose.

    **Servant leadership.** Greenleaf (1970) asserted leadership requires two essential dimensions: the desire to serve others and the desire to serve something beyond themselves. Robert Greenleaf first asserted the concept of servant leadership in a 1970 essay, which integrated the counterintuitive concepts of servant and leader. In Greenleaf's (1970) essay, "The Servant as Leader," he coined the terms *servant-leader* and *servant leadership.* The servant leader serves the people they lead which imply that employees are an end in themselves rather than a means to an organizational purpose or bottom line. Greenleaf (1970) describes the servant-leader in this manner:

> It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. The difference manifests itself in the care taken by the servant – first to make sure that other people's highest priority needs are being served. The best test is: do those served grow as persons; do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? (p. 4)

    As previously stated, Bhindi and Duignan (1997) believe authentic leadership draws upon the stewardship and spirituality constructs of servant leadership. Stewardship assumes, first and foremost, attending to the needs of others. Leaders seek to meet the needs of society more than the needs of the organization (Barbuto & Wheeler, 2006).

Barbuto and Wheeler (2006) conducted a review of the literature with regard to the constructs of servant leadership. Their research yielded 11 subscale items developed to measure potential dimensions of servant leadership: calling, listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, growth, and community building. Following the literature review, a scale was created to clarify the constructs of servant leadership. Their results generated five servant leadership factors: altruistic calling, emotional healing, persuasive mapping, wisdom, and organizational stewardship.

Altruistic calling illustrates a leader's innate desire to make a positive difference in their follower's life by placing a follower's needs before the needs of the leader. Emotional healing describes a leader who is exceedingly empathetic and a good listener so they can commit to encouraging a follower's recovery from an adversity or trauma. Leaders who emulate emotional healing create work environments that are "safe for employees to voice their personal and professional issues" (Barbuto & Wheeler, 2006, p. 319).

Wisdom refers to as a leader's ability to be aware of their surroundings and foresee problems and related consequences. Barbuto and Wheeler (2006) explain when leaders are able to combine these two attributes, they become able to grasp cues from the environment and understand implications. Persuasive mapping explains how leaders use their ability to reason and flesh out mental frameworks. Leaders who have a high ability in persuasive mapping are capable of organizing workplace issues and involving others to conceptualize potential. One of the unique things a leader who is high in persuasive mapping does is offer convincing reasons to encourage their followers to envision the

organization's future (Barbuto & Wheeler, 2006). Lastly, organizational stewardship explains the extent to which a leader prepares an organization to contribute positively to their community. This contribution can be in the form of education, outreach, developmental programs, and service. "Organizational stewardship involves an ethic or value for taking responsibility for the well-being of the community and making sure that the strategies and decisions undertaken reflect the commitment to give back and leave things better than found" (Barbuto & Wheeler, 2006, p. 319).

Stewardship also emphasizes the use of openness and persuasion, rather than control. Sendjaya, Sarros, and Santora (2008) explain how the literature reviewed supports the notion that spirituality is the motivational basis for servant leaders to engage their followers in authentic and thoughtful ways that transform them to be what they are capable of becoming.

*The relationship between servant and authentic leadership*. Both servant leadership and authentic leadership are positive leadership concepts that have much in common. Authentic leaders are confident, hopeful, optimistic, and resilient individuals deeply aware of how they think and behave. Such people display a high level of integrity and remain committed to building an organization through purpose, value, heart, relationships, and self-discipline.

Servant leadership and authentic leadership have many characteristics in common. Both leadership styles have a genuine desire to serve others and are interested in establishing relationships and empowering the people they serve (van Dierendonck, 2011). They both place a high importance on values and remain guided by qualities of compassion and passion and refuse to compromise on principles. Each leadership style

relies on personal charisma to get things done and lead from personal conviction rather than a desire for status or reward. Lastly, both servant and authentic leadership focus on building people's strengths rather than focusing on what is wrong with people and their weaknesses (Nayab, 2010).

The basis of both authentic leadership and servant leadership lies in either explicit or implicit recognition of the leader's self-awareness and the focus on integrity, trust, courage, and hope. While these remain established traits in authentic leadership, they remain largely theoretical and not supported by empirical research in the servant leadership model (Scheid, 2010).

The major difference between servant leadership and authentic leadership lies in approach, application, and style (van Dierendonck, 2011; Avolio et al, 2004). While servant leadership strives to be "right," authentic leadership strives to be "real." Servant leadership is a normative leadership style that lays down set characteristics that all leaders are supposed to emulate to attain success and tries to shape the character and personality of the leader to such values.

Conversely, authentic leadership, is character driven and does not recognize leadership styles or a fixed set of characteristics that leaders are supposed to emulate. Authentic leadership theory holds that each leader has their own unique style developed through study, experience, consultation and introspection, and consistent with their character and personality (George, 2003).

Another major difference between authentic leaders and servant leaders relates to serving other's needs. The core principle of servant leadership is to give priority to the

interest of others. The primary duty of the leader is to serve others by fulfilling their needs, aspirations, and desires (Spears, 2010).

On the contrary, authentic leadership does not encourage the leader to be too responsive to the desires of others. This type of leader does not go overboard to meet the desires of each individual because it can create problems such as: organizational goals suffering due to competing interests, danger of deviating from course of action, or leaders not making difficult decisions due to fear of offending followers. Moreover, the concept of authentic leadership focuses on the leader and how they progress in the development of becoming an authentic leader. Servant leadership's focus is on the development of followers.

Servant leadership's one-dimensional approach does not change in response to the situation. This leadership style recommends listening, persuasion, and empathy even during times of grave crisis (Spears, 2010). Authentic leaders are more proactive and adapt their style to fit the immediate situation. Such leaders can be inspiring and motivating on one occasion, and tough about people-related or financial decisions on another occasion.

While both servant leaders and authentic leaders look for opportunities to partner with individuals and groups to address organizational, societal, and environmental issues, the difference between servant leadership and authentic leadership is that authentic leaders foster innovation better and help their organizations discover unique and creative solutions to issues.

**Ethical leadership.** Treviño et al. (2003) espoused the concept of ethical leadership in their inductive interview-based study aimed at defining the perceived

content domain of executive ethical leadership. Ethical leaders respect the human rights and dignity of others. Ethical leaders exhibit a high level of integrity which encourages leader trustworthiness, which is vital for followers to accept the vision of the leader. The ethical leader's character and integrity provide a basis for the leader's ethical beliefs, values, and decisions (Treviño et al., 2003). Individual values and beliefs influence ethical decisions of leaders.

Brown and Treviño (2006) conducted a thorough literature review focusing on the emerging construct of ethical leadership. The researchers compared the construct of ethical leadership with related concepts of leadership to include spiritual, authentic, and transformational leadership because they share a common interest for a moral dimension of leadership. In their review of the literature, they note leader effectiveness can be linked with follower's perceptions of the leader's honesty, integrity, trustworthiness; cognitive trust, care in work, professionalism, and dependability.

***The relationship between ethical and authentic leadership.*** Authentic leadership very well may incorporate charismatic leadership, transformational leadership, and ethical leadership as well as integrity (Luthans & Avolio, 2003). However, the authors also argue that these constructs are distinctive. At its core, authentic leadership is self-awareness, openness, transparency, and consistency. Adding to this notion includes the motivation of positive end values and concern for others, rather than being motivated by self-interest. Authentic leaders model positive attributes such as hope, optimism, and resiliency and are proficient when having to judge ambiguous ethical issues. More often than not, an authentic leader will view issues from multiple perspectives and then align decisions to their own moral values (Brown, Treviño, & Harrison, 2005).

Authentic leadership appears to overlap with ethical leadership, particularly in terms of individual characteristics (Brown & Treviño, 2006). Both authentic and ethical leaders are ethically principled and consider the ethical consequences of their decisions while sharing social motivation and consideration for others.

However, authentic leadership also contains content that is not related to the ethical leadership construct. For example, authenticity and self-awareness are not part of the ethical leadership construct (Brown & Treviño, 2006). Authenticity, or being true to oneself, was rarely if ever mentioned in the ethical leadership interviews conducted by Treviño, Hartman, and Brown (2000). Rather than self-awareness, interviewees who spoke of ethical leaders commonly discussed what might be termed *other awareness*. Ethical leaders' care and concern for others is paramount (Treviño et al., 2000).

The key similarities of authentic leadership and ethical leadership are that both leadership styles emulate altruism, or concern for others. Both types of leaders utilize integrity and practice role modeling (Brown & Treviño, 2006). The key differences are that ethical leaders tend to emphasize moral management (more transactional) and acute awareness of others (focused on the behaviors of the follower). Authentic leaders, in particular, emphasize authenticity and self-awareness (focused on the behaviors of the leader).

With regard to empirical evidence that distinguishes ethical and transformational leadership from authentic leadership, Walumbwa et al. (2008) established that authentic leadership is positively related to ethical and transformational leadership. However, the confirmatory factor analysis proved that authentic leadership is significantly distinguishable from both ethical and transformational leadership.

**Charismatic leadership.** The charismatic leader gathers followers through impression management. Charismatic leaders are acutely aware of personality and charm, and they attract followers based on this premise rather than any form of external power or authority. Conger and Kanungo (1998) describe five behavioral attributes of charismatic leaders that indicate a more transformational viewpoint: (a) vision and articulation; (b) sensitivity to the environment; (c) sensitivity to member needs; (d) personal risk taking; and (e) performing unconventional behavior.

Musser (1987) notes that charismatic leaders seek to instill both commitment to ideological goals and also devotion to themselves. The extent to which either of these two goals is dominant depends on the underlying motivations and needs of the leader.

Charismatic leadership involves a great deal of theatrical behavior. A charismatic leader is a persuasive speaker and a master of body language. Charismatic leaders are skillful at interpreting the occasion and will tailor their behavior to suit the mood. At the same time, they are willing to take personal risk and make sacrifices in order to build their own credibility and trustworthiness in the eyes of their followers (Conger & Kanungo, 1998). Once their leadership is established, they will try to carve a distinct identity for their group of followers and build an image of superiority for it. At the same time, these leaders identify themselves so strongly with the group that the group and the leader become nearly synonymous.

*The relationship between charismatic and authentic leadership.* There are several important differences between the perspective of authentic leadership theory and the perspective of charismatic leadership theory (Conger & Kanungo, 1998; Shamir, House, & Arthur, 1993). Distinguishing between authentic and charismatic leaders, it is

anticipated that authentic leaders will influence followers' self-awareness of values/moral

perspective, more based on their individual character, personal example, and dedication,

than on inspirational appeals, dramatic presentations, or other forms of impression

management (Gardner & Avolio, 1998). For example, while charismatic leaders employ

expression to persuade, influence, and mobilize followers, an authentic leader energizes

followers by creating meaning and positively socially constructing reality for themselves

and followers.

       **Spiritual leadership.** Spiritual leadership generates hope/faith in the

organization's vision that keeps followers looking forward to the future. Spiritual

leadership requires that an organization's culture be based on values of altruistic love.

This must be demonstrated through leaders' attitudes and behavior and produces a sense

of membership – that part of spiritual well-being that gives one a sense of being

understood and appreciated (Spiritual Leadership Theory, 2010).

       Fry (2003) developed the concept of spiritual leadership and believed this theory

was an alternative to other positive leaderships, including authentic leadership. Fry and

Whittington (2005) stated the purpose of spiritual leadership was using a vision to create

value congruence for individuals, groups, and organizations to foster higher levels of

commitment and productivity. Ultimately, "spiritual leadership is an intrinsic motivation

cycle based on vision (performance), altruistic love (reward), and hope/faith (effort) that

results in an increase in one's sense of spiritual survival (e.g., calling and membership)"

(pp. 187-188).

       Spiritual leadership provides a consensus on the values, attitudes, and behaviors

necessary for spiritual well-being and, ultimately, positive human health, psychological

well-being, life satisfaction, organizational commitment and productivity, sustainability and financial performance (*Spiritual Leadership Theory,* 2010).

The purpose of spiritual leadership is to tap into the fundamental needs of both leader and follower for spiritual well-being through calling and membership; to create vision and value congruence across the individual, empowered team, and organization levels; and, ultimately, to foster higher levels of organizational commitment and productivity. Operationally, spiritual leadership comprises the values, attitudes, and behaviors that are necessary to intrinsically motivate one's self and others so they have a sense of spiritual well-being through calling and membership. This requires creating a vision wherein leaders and group members experience a sense of calling in that their life has meaning, purpose, and makes a difference; and establishing a social/organizational culture based on altruistic love whereby people have a sense of membership, feel understood and appreciated, and have genuine care, concern, and appreciation for both self and others (Spiritual Leadership Theory, 2010).

***The relationship between spiritual and authentic leadership.*** The theory of spiritual leadership advanced by Fry (2003) includes an inherent acknowledgment of the role of leader self-awareness with a focus on vision and leader values and attitudes that are broadly classified as altruistic love and hope/faith. These values/attitudes are also described as leader behaviors, producing some uncertainty regarding the constructs and their role in spiritual leadership. Similarities between authentic and spiritual leadership theories include focus on trust, hope, integrity, audacity, and perseverance (resilience) (Avolio & Gardner, 2010).

Avolio and Gardner (2005) felt the theory of spiritual leadership was not well grounded in empirical research. Spiritual leadership was completely exclusive of discussion regarding self-regulation for leaders or followers, as well as the moderating role of a positive organizational context.

<div align="center">

**Research on Authentic Leadership**

</div>

**Authentic Leadership**

Authentic leaders behave according to their deep personal values and convictions. This behavior builds credibility and gains the trust and respect of followers. When supervisors/managers build networks of collaborative relationships with followers and encourage diverse viewpoints, they lead in a manner that followers recognize and describe as authentic (Avolio et al., 2004).

In the early 2000s, authentic leadership emerged as a formal leadership theory in response to "challenging and turbulent times" (Avolio & Gardner, 2005, p. 316), "ethical corporate meltdowns" (May et al., 2003, p. 247), and "corporate scandals and management malfeasance" (Cooper et al., 2005, p. 475). Luthans and Avolio (2003) describe authentic leadership using the terms genuine, reliable, trustworthy, real, and veritable. May et al. (2003) adds, "knowing oneself and being true to oneself are essential qualities of authentic leadership" (p. 248) and further that authentic leaders are "totally immersed in their core values and beliefs" (p. 248).

Authentic leadership requires an honest sense of awareness of self and others and a higher level of moral values. The higher level of the self implies a strong and virtuous character. May et al. (2003), posits authentic leadership as specifically positive-valued oriented and influences positive organization behavior, including confidence, hope, and

resiliency (Gardner & Schermerhorn, 2004; Luthans, 2002). Requiring positive values

supports authentic leaders as having the moral courage to do the right thing "despite

pressures from either inside or outside the organization to do otherwise" (May et al.,

2003, p. 255). Such leaders can be implicitly counted on not to waiver from their

positive core beliefs.

Authentic leaders maintain honesty and integrity in their everyday interactions

and constantly search for "true self" (Avolio & Gardner, 2005) and reject actions and

interactions that are deceptive, hypocritical, duplicitous, and manipulative. Authentic

leaders exercise stewardship through mutuality, interdependence, and compassion. For

such leaders, authenticity is neither inadvertent nor contrived but intentional.

Authenticity is also indicated by sensibility to others. The constructs that comprise

authentic leadership are shown to be positively related to measures of transformational

and ethical leadership, but were also sufficiently independent (Avolio, 2010).

**Authenticity**

In order to fully understand authentic leadership, the concept of authenticity must

be addressed. Merriam Webster, 2011, describes authentic as:

(a) worthy of acceptance or belief as conforming to or based on fact [paints an

authentic picture of our society]; (b) conforming to an original so as to reproduce

essential features [an authentic reproduction of a colonial home]; c) made or done

the same way as an original [authentic Mexican fare]; (d) not false or imitation:

real, actual [an authentic southern accent]; (e) true to one's own personality,

spirit, or character.

Philosophically, authenticity has been articulated by describing individual virtues and ethical choices, while the psychological meanings of authenticity have been expressed as individual traits and identities. The philosophical significance of authenticity was first promoted by the Greek Stoics, as a moral response to declining civic and religious values (Novicevic, Harvey, Brown-Radford, & Brown-Radford, 2006).

Kierkegaard was the first philosopher to combine the motivational and cognitive foundation of authenticity with the emotional foundation (Novicevic et al., 2006). From this philosopher's perspective, authenticity can be understood as "one's emotional orientation toward the world" (Furtak, 2003, p. 424). The primary assumption of this perspective is that emotions, which are considered essential, are a part of one's way of thinking (Novicevic et al., 2006).

Authenticity (i.e., the notion of "being genuine," "being legitimate," or "being true") is becoming a fundamental focus of responsible behavior of leaders (Northouse, 2010). Leader authenticity is described today more broadly as leaders choose to take responsibility for personal freedom along with obligations to their organization and community. It is crucial to understand that leaders need to make choices that will help them construct themselves as moral individuals.

In such volatile times, leader authenticity becomes important because continuity of organizations as social systems is paramount (Novicevic et al., 2006). Organizations can become predisposed to multiple discrepancies among responsibilities involving the leader, the followers, and other stakeholders (Novicevic et al., 2006). Numerous

meanings of authenticity and inconsistencies in authenticity have been examined in philosophy and psychology.

Supervisors, managers, and other leaders in organizations typically face various social pressures when making critical decision. The overall concept of authenticity gains importance because these decisions can be influenced from various sources (Novicevic et al., 2006). Leadership is a constantly evolving process where leaders face a considerable amount of change. This process requires leaders with a stable sense of self, as well as respect and esteem for others in the organization and community.

Psychological traditions of authenticity originate from humanistic approaches to personality psychology. Erickson (1995) argues that we can tap into the authenticity construct more appropriately by viewing it through the meanings that we attach in self-referential terms to our particular identities.

The concept of authenticity has received a significant amount of attention recently as people search for meaning and happiness, particularly in their work lives. Authenticity refers to the truthfulness of origins, attributions, commitments, sincerity, devotion, and intentions (Kernis, 2003). Currently, the concept of authenticity has been viewed as a basis for research on leadership, training and development, interventions, and employee empowerment.

It is argued that being authentic means being true to one's values, thoughts, emotions, and beliefs and acting consistent with the true self, values, thoughts, and mindsets (Avolio, 2005). It is also proposed that authenticity is continuous, which means that people are judged to be more or less authentic rather than authentic versus inauthentic (Tate, 2008). Kernis (2003) proposed that being authentic could lead to one's

optimal self-esteem, such as being genuine, true, stable, consistent, and congruent, and being high in self-awareness.  Authenticity does not mean perfection or moral/ethical superiority.  With regard to leaders being authentic, there is no place for arrogance or feeling as if you, as the leader, are superior to your followers.

Authenticity is not a static state located in a moment of time (Quinn, 1998, 2004), but flows from being truthful, open, and honest in a relationship.  Authenticity can be illustrated through descriptive words such as "genuine, reliable, trustworthy, real, and veritable" (Luthans & Avolio, 2003, p. 242).

According to Quinn (2004), authentic leaders are other focused, externally open, internally directed, and purpose centered.  This discussion provides the basis for launching into the operational definition of what constitutes authentic leadership and its development and influence process.

**Early Conceptions of Authentic Leadership**

Terry (1993) describes authenticity as a genuineness, trustworthiness, and needing "to be true to ourselves and be true to the world" (p. 189).  Terry recognizes the challenges of being authentic in a leadership role, stating "acting authentically requires courage, coping with fear, a sense of the common good, and hope" (p. 236).  However, authenticity should not be an act, for acting is the equivalent of a façade and a deception.  Rather, authenticity is better viewed as being, not acting, where behavior in a given situation can be counted on, and predicted in advance.

Cashman (1997) defines authentic leadership as an aggregation of five authentic actions, knowing oneself, listening to others, expressing real thoughts and feelings that come from within, appreciating others, and serving others.  Cashman's self-referential

description of authenticity implies, like Terry (1993), a strong character base that is revealed through routine behaviors, and being self-reflective. In contrast to Terry (1993), Cashman (1998) places a greater emphasis on followers. Cashman's authenticity suggests leaders drop all pretenses when looking at themselves so they reflect truth, honesty, and a genuine concern for others to "make people want to exceed their goals and perceived limits" (p. 60). This stimulating force is also found in George's (2003) model of authentic leadership.

May, Chan, Hodges, and Avolio (2003) explain that authentic leadership development has three prerequisite moral components: moral capacity, moral courage, and moral resiliency. All three develop over time, influence moral actions, and model the way for followers and other leaders. An authentic institutional culture that promotes ethical behavior and supports their employees tends to foster authentic leadership development.

George (2003) defines authentic leadership in five dimensions: understanding one's purpose and motivating passion, having solid values and character underscored by integrity, engaging the hearts of followers through purpose and genuine interest, developing close and enduring relationships, and a self-discipline that reflects values consistent with who they are. George's authenticity tenets resemble Luthans and Avolio (2003) on self-awareness, positive self-regulation, positive psychological capabilities, and positive self-development (Gardner & Schermerhorn, 2004, p. 272). Similar to Terry (1993), George believes courage is integral for those leaders who refuse to compromise when their principles and values are tested. Authentic leaders, therefore, are those that summon up the courage to prioritize principles over profit.

Unlike Cashman (1998), George's (2003) framework explicitly includes a purpose component, which subsequently becomes a vision and mission for organizations. When that sense of purpose allows followers to find a deeper purpose in their work, it has the "ability to ignite souls of their employees to achieve greatness far beyond what anyone imagined possible" (George, 2003, p. 22). Motivational influence, also posited as an outcome by Cashman (1998), is suggestive of transformational leadership, which motivates followers to rise above their self-interests for a collective mission, vision, and/or purpose. George (2003) embraces genuineness, actions that match the words, and building a culture focused on a shared long-term mission and vision, integrity and trust, as opposed to phoniness and hypocrisy.

Northouse, (2010) explains how integrity is claimed to be one of the most significant factors in successful leadership. The concept of integrity is specifically included in many authentic leadership models (e.g., George, 2003; Shamir & Eilam, 2005; Terry, 1993). George (2003) associates behavioral integrity as a match of words and action, but exclusive of the morality of the actions.

Palanski and Yammarino (2007) distinguish integrity from authenticity, with the latter including an additional consistency to internal values. Thus, integrity may be interpreted as foundational to authenticity. Authentic leadership researchers have created frameworks similar to Michie and Gooty's (2005) model based on values and emotions, suggesting authentic leaders are highly committed to values and behave consistently within their values. Novicevic, Davis, Dorn, Buckley, and Brown (2005) explain that authentic leaders are positioned to possess moral creativity resulting from placing importance on both personal moral code and organizational moral code.

The preceding models share a common theme that places constant positive values toward oneself and others at the heart of authentic leadership. Strong personal resolve to moral and positive values is an essential element of authentic leadership but, as the theory has evolved, the moral and positive values become one of several components, as described in the next subsection.

**Theory Evolution**

A review of the current research concentrating on authentic leadership explains how the definition of authentic leadership has evolved around several underlying dimensions. Luthans and Avolio (2003) originally defined authentic leadership "as a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development" (p. 243).

Kernis (2003) provides an expanded basis of authenticity where the four tenets of awareness, unbiased processing, action, and relational orientation have become a most influential foundation of authentic leadership. For example, Ilies et al., (2005) extend Kernis' model to self-awareness, unbiased processing, authentic behavior/acting, and authentic relational orientation. The proposed view of authentic leadership suggests that authentic leaders show to others that they genuinely desire to understand their own leadership to serve others more effectively (George, 2003).

Shamir and Eilam (2005) portray authentic leaders as people who have the following attributes: "(a) the role of the leader is a central component of their self-concept, (b) they have achieved a high level of self-resolution or self-concept clarity, (c)

their goals are self-concordant, and (d) their behavior is self-expressive" (p. 399).

Walumbwa et al. (2008) defines authentic leadership as:

> …a pattern of leader behavior that draws upon and promotes both positive
>
> psychological capacities and a positive ethical climate, to foster greater
>
> self-awareness, an internalized moral perspective, balanced processing of
>
> information, and relational transparency on the part of leaders working
>
> with followers, fostering positive self-development. (p. 34)

Most recently, Walumbwa et al. (2008) operationalized authentic leadership on the four constructs of self-awareness, relational transparency, balanced processing, and internalized moral perspective.

**The moral component of authentic leadership**.  One of the unique aspects of authentic leadership is the theory's focus on the moral perspective of the leader.  It is suggested that authentic leaders have three significant aspects of their moral perspectives – moral capacity, moral efficacy, and moral courage, to manage impending moral dilemmas and challenges (Avolio et al., 2004; May et al., 2003).

The first factor of moral perspective is the authentic leaders' moral capacity, which is described as a leader's ability to distinguish issues of differing moral intensity, to view these issues from several perspectives, and to gauge the moral implications of alternative courses of action (May et al., 2003).  It is maintained that authentic leaders have high levels of moral capacity (Luthans, 2003; May et al., 2003) and have reached an advanced level of moral development, such as Kohlberg's (1969) Stage 6 (universal ethical principles).

Authentic leaders rely on a more objective and highly developed understanding of moral intricacies in order to evaluate moral issues from a wide variety of angles and perspectives (Kuhnert & Lewis, 1987). To begin, it is claimed that authentic leaders possess well-developed metacognitive abilities (Avolio et al., 2004; Metcalfe & Shimamura, 1994) that enable them to decide not only whether they should consider moral issues, but also to reflect on how they think about and assess such moral issues (May et al., 2003). Therefore, authentic leaders are able to look at various moral issues using a wide variety of perspectives and are better prepared to comprehend the potential biases that may warp their moral judgments (Kuhnert & Lewis, 1987). Finally, profoundly involved in moral issues, authentic leaders can reflect on the suitability of their own and other stakeholders' moral goals and values, and recognize the subtle moral contradictions that can exist with complex ethical issues (May et al., 2003).

The second factor of moral perspective is the authentic leaders' moral efficacy, which is described as a person's belief that they possess the skills, resources, and ultimately the impetus to accomplish a particular moral action (Bandura, 1993). Luthans and Youssef (2004) maintain that moral efficacy can predict ethical performance and that moral magnitude (the level of moral task difficulty at which individuals anticipate being able to perform) and moral strength (the extent of certainty that individuals have about their ability to perform at a designated level of moral task difficulty) each have an effect on ethical decision making.

The final factor of moral perspective is the authentic leaders' moral courage which is defined as "the leader's fortitude to convert moral intentions into actions despite pressures from either inside or outside of the organization to do otherwise" (May et al.,

2003, p. 255).  Leaders who have moral courage are able to assume a set of moral beliefs concerning ethical dilemmas related to business contexts (Furnham, 2002).

Therefore, an authentic leader's moral courage allows them to tackle moral dilemmas, challenges and ordeals, though they may experience personal sacrifices. These sacrifices enable the authentic leader to be consistent with the underlying values they possess.  Additionally, moral courage can strengthen a leader's belief that they are able to handle potential moral and ethical dilemmas and challenges in the future.

Hannah, Lester, and Vogelgesang (2005) explain how the moral component drives authentic leadership.  They present a model of authentic-moral leadership that sets the conditions for a leader to make moral decisions though the establishment of, and agreement between, the leader's current self (the leader's current perception of him/herself), possible self (who he/she would like to become), and current goals (what the leader wants to accomplish).  The authors explain that the interaction of mental models, moral knowledge, and moral experiences drives an authentic leader's behavior.

One of the key elements explained by Hannah et al. (2005) is how any moral conduct that does not coincide with genuine virtue and moral altruism (with regard to motivation) is, by definition, inauthentic.  The authors go on to describe authentic leadership as a process which: "(1) emanates from the leader; (2) is driven by the abilities and motives inherent in a highly developed moral self-concept; and (3) is fueled by leader virtue and an altruistic desire to exercise agentic control over the leadership domain." (p. 51)

**Measuring Authentic Leadership**

In an effort to understand and capture what constitutes authentic leadership, Walumbwa et al. (2008) utilized Avolio, Gardner, and colleagues (e.g., Avolio & Gardner, 2005; Gardner, Avolio, Luthanset al., 2005) and Ilies et al.'s (2005) conceptualizations of the construct to develop a measure of authentic leadership. The authentic leadership questionnaire (ALQ) was developed in two parts. The first study (Study 1) looked at the constructs of authentic leadership. Walumbwa et al. (2008) reviewed numerous publications regarding authentic leadership to operationalize the authentic leadership construct and reduce conceptual overlap between various constructs. After rigorous item development and validation, the final 16-item pool was sent to two independent samples from the United States and the People's Republic of China. A confirmatory factor analysis was performed on the two data sets. Specific dimensions of validity and reliability will be addressed in Chapter III: Methodology.

The second study (Study 2) conducted by Walumbwa et al. (2008) consisted of examining authentic, ethical, and transformational leadership and follower work outcomes. Specifically, this study hypothesized that (a) authentic leadership would be positively related to ethical and transformational leadership; (b) authentic leadership is positively related to OCB, organizational commitment, and follower satisfaction with supervisor when controlling for (a) ethical leadership and (b) transformational leadership. The sample for Study 2 was full-time employed students in the evening MBA program. This sample was not industry specific.

It was shown that authentic leadership is positively related to ethical and transformational leadership (Hypothesis 1). Also, the confirmatory factor analysis

proved that authentic leadership is significantly distinguishable from both ethical and transformational leadership.

Regarding Hypothesis 2, Walumbwa et al. (2008) used structural equation modeling to determine if authentic leadership can predict positive organizational outcomes when controlling for ethical and transformational leadership. According to the structural equation model (SEM), Hypothesis 2 is supported in the student sample; however the study was not industry specific.

Overall, the suggested view of authentic leadership proposes that authentic leaders show others that they legitimately desire to understand their own leadership. They truly want to serve others more effectively (George, 2003). These leaders emulate deep personal values and passion to build credibility and win the respect and trust of followers. By encouraging diverse viewpoints and constructing networks of collaborative relationships with followers, authentic leaders manage in a way that followers understand to be authentic (Avolio et al., 2004; Walumbwa et al., 2008).

The following four constructs have been validated for use in the ALQ: self-awareness, relational transparency, balanced processing, and internalized moral perspective (Walumbwa et al., 2008).

**Self-awareness**. Self-awareness refers to a willingness to assess personal values, preferences, and behaviors, and in so doing, acknowledge weaknesses as well as strengths (Kernis, 2003; Luthans & Avolio, 2003; Sparrowe, 2005; Walumbwa et al., 2008). Additionally, Ilies et al. (2005) suggest that achieving higher self-awareness may require having "more positive self-concepts and higher emotional intelligence" (p. 378). Goleman's (1995, 1998) five broad emotional intelligence categories of self-awareness,

self-regulation, motivation, empathy, and social skill support that assertion, as embodied in characteristics of self-confidence, realistic self-assessment, trustworthiness, and integrity. Self-awareness means that leaders must know who they are, be confident and trust themselves, and lead themselves to a higher plateau before taking others there.

      **Relational transparency**. Authentic leaders are positively valued and act in accordance with those values and strongly held beliefs (Gardner & Schermerhorn, 2004; Walumbwa et al., 2008), adherence to which is linked to personal integrity and underlies other authentic leadership constructs (Ilies et al., 2005). Relational transparency involves leaders allowing followers to see their authentic self in all day-to-day interactions and decisions. This construct refers to the degree to which the leader reinforces a level of openness with others (followers) that provides them (followers) with an opportunity to be forthcoming with their ideas, challenges, and opinions. Relational transparency is defined as "relational in nature, inasmuch as it involves valuing and achieving openness and truthfulness in one's close relationships" (Kernis, 2003). Relational transparency involves leaders' engagement and commitment to demonstrate one's both positive and negative aspects to their followers. Some scholars argued that relational transparency and dissemination of information is crucial to the development of authentic leadership (Walumbwa et al., 2008).

      Avolio et al. (2004) also stated that authentic leaders are more likely to transparently express their authentic and true feelings and emotions to their followers as compared to less authentic leaders. Additionally, authentic leaders also try to manage their regular emotions and avoid inappropriate or extreme emotions toward other people, while also maintaining peace within their own hearts.

**Balanced processing**.  Balanced processing entails the leader to "objectively analyze all relevant information before coming to a decision" (Walumbwa et al., 2008, p. 95), including soliciting views from others, including those that may challenge deeply held positions (Gardner, Avolio, Luthans, et al., 2005).  As the challenges facing businesses today are beyond the abilities of any one individual, authentic leaders recognize when they do not have all the answers, and understand they must create an atmosphere that promotes cooperation.  Such leaders also seek views that challenge their deeply held positions (Gardner, Avolio, Luthans et al., 2005).

In sum, organizations need to project a single voice, one formed and unified from the voices of many. Authentic leaders are willing to admit they do not have all the answers and do not worry about being perceived as weak or incapable because of it.

**Internalized moral perspective**.  The internalized moral perspective construct provides the moral foundation for authentic leadership.  Whereas self-awareness provides the opportunity for leaders to understand what values and beliefs are important to them, internalizing that moral perspective necessitates leaders "must be totally immersed in their core beliefs and values" (May et al., 2003, p. 249).  Referred to as an internalized and integrated form of self-regulation (Walumbwa et al., 2008), authentic leaders are guided foremost by internal high moral standards and values and are resilient in the face of outside pressure to compromise those values.

Remaining committed to and living by a deep moral perspective has proved challenging for many now-fallen leaders and companies that succumbed to the pressures. Sparrowe (2005) writes of needing a true test of values, a position analogous to George's (2003) assertion that values must be tested "in the crucible of life's experiences" (p. 37),

where the outcome may not be known until experiencing the challenge. Northouse (2010) describes George's assertion as "trigger events" and explains how leaders can evolve as authentic leaders due to key circumstances in life.

May et al. (2003) comprehends moral capacity as something that can be developed, in part, from "discussion and self-reflection about the role of leaders in organizations and the moral responsibility associated with their actions" (p. 257). The self-reflection aspects are consistent with Shamir and Eilam's (2005) life-stories approach, but fall short in that the focus is placed very narrowly on organizational leader responsibilities more so than reflecting on a lifetime of character testing and building events.

Authentic leaders remain steadfast even if they may displease others, forfeit a reward, or result in punishment (Kernis, 2003). There is an adage that "every man has his price," implying that significant rewards may allure even the best-intentioned leaders to compromise their principles. Authentic leaders accept the material consequences for leading from the highest moral level, knowing that greater victories will subsequently result.

## Research on Positive Organizational Outcomes

This research focuses on two predominantly important organizational outcome variables: OCB and LMX. The literature on each will be briefly reviewed next.

### Organizational Citizenship Behavior

Many organizations have modified their use of strict hierarchical structures and individualized jobs and shifted towards a more streamlined, somewhat self-directed team-based work structures. The implementation of this work structure has increased the

importance of individual initiative and cooperation (LePine, Erez, & Johnson, 2002).

The individual initiative and cooperation can be looked at as in-role (within formal job

description) or extra-role (outside of formal job description) behavior, or what

researchers have coined as OCB.

Organ (1988) describes OCB as, "individual behavior that is discretionary, not

directly or explicitly recognized by the formal reward system, and that in the aggregate

promotes the effective functioning of the organization" (p. 4).  OCB has quickly become

one of the most extensively studied topics in applied psychology and organizational

behavior (Bowler, Halbesleben, & Paul, 2010).  These behaviors are a special type of

work conduct beneficial to the organization.  OCBs are discretionary, not directly or

explicitly recognized by the formal reward system.  These behaviors can maintain,

enhance, and support performance in the organization (Organ, 1997).  OCB is considered

essential for organizational success.

Katz and Khan (1966) list several actions that fall into the category of OCB:

stepping up to answer a question, suggesting ways to improve methods and procedures,

being responsible in learning your job, and creating a favorable impression of the

organization in the community.

Bateman and Organ (1983) gave other examples of OCB: helping a fellow worker

with a problem, conserving resources, willingly accepting orders, resisting the urge to

complain about impositions, keeping workspace neat and uncluttered, assisting in the

maintenance of a positive work environment, and placing the organization in a positive

light.  Although these behaviors are not formally recognized, they promote the

effectiveness of the organization (Moorman & Blakely, 1995; Organ, 1988; 1990).

Therefore, these behaviors are rather a matter of personal choice, such that omission of a particular behavior is not typically considered as punishable.

Early empirical studies that specifically address OCB were presented by Bateman and Organ (1983) and Smith, Organ, and Near (1983). Bateman and Organ predicted a fundamental connection exists between prior overall satisfaction and subsequent display of various citizenship behaviors. In particular, a strong connection for satisfaction with supervision was predicted. The rationale the researchers gave for this prediction is that the immediate supervisor represents the most direct source that can influence positive behaviors. Furthermore, citizenship behaviors, it is assumed, are more often seen as "for" (i.e., benefiting, helping, assisting) the supervisor than for any other single person employed by the organization.

Bateman and Organ (1983) developed one of the first measures of "citizenship behaviors." They asked managers in an academic setting to assess employees' levels of "compliance, altruism, dependability, housecleaning, complaints, waste, cooperation, criticisms of and arguing with others, and punctuality" (p. 589). They found that there was a positive correlation between job satisfaction and "citizenship behaviors". Their measure was one-dimensional. Later research would support a multifactor model of OCB.

Smith et al. (1983) were interested in predicting employee behavior that was useful to the organization but not officially rewarded and could not be enforced by the organization in terms of formal in-role expectations or job descriptions. The researchers conducted structured interviews where supervisors identified "instances of helpful but not

absolutely required job behavior" (p. 656). These managers were then asked to rate how distinguishing each behavior was of the particular employee.

Factor analyses of these ratings designated two factors. The first factor, labeled *altruism,* described behavior intended to help a specific person in face-to-face situations (e.g., helping others who have been gone, volunteering for duties that are not required, orienting new people even though it is not required, helping others who have heavy workloads). The second factor, labeled *generalized compliance* (later would be named conscientiousness) described impersonal behaviors such as compliance with norms defining a good worker (e.g., punctuality, not spending time in idle conversation).

Measures of these dimensions continue to be used by researchers; however, some have adapted the response scales. Organ (1988) proposed an expanded classification of OCBs that include altruism (a more focused version than the altruism of Smith et al., 1983), conscientiousness (a narrower form of generalized compliance), sportsmanship (e.g., not complaining about insignificant issues), courtesy (e.g., checking with others prior to taking action), and civic virtue (e.g., keeping up with matters that affect/involve the organization). These five constructs will be examined in this study.

Podsakoff et al. (1990) were among the first researchers to define Organ's (1988) five dimensions so they can be expressed quantitatively. The researchers used the definitions provided by Organ (1988) and developed items that were then subjected to a Q-sort and a confirmatory factor analysis (CFA). A Q-sort is a ranking of variables typically presented as statements printed on small cards, according to some "condition of instruction" (Block, 1961). It is a method of assessing reliability and construct validity of questionnaire items that are being prepared for survey research. The method is applied at

the pretest stage which comes after the item generation through literature search and before the administering of questionnaire items in a survey.

CFA is a special form of factor analysis. It is used to test whether measures of a construct are consistent with a researcher's understanding of the nature of that construct (or factor). In contrast to exploratory factor analysis, where all loadings are free to vary, CFA allows for the explicit constraint of certain loadings to be zero (Harrington, 2009).

The measure asked supervisors to rate the extent to which they agreed that their employees engaged in the behavior(s) reflected in the items. The OCB scales developed by Podsakoff et al. (1990) have served as the basis for OCB measurement in a large number of empirical studies.

Even though some of the literature notes the relationship between OCBs and benefits to the immediate supervisor, OCBs are also thought to have an important impact on the effectiveness and efficiency of work teams and organizations as a whole, therefore contributing to overall productivity (Organ, 1988; 1990).

In recent years, there has been a shift in the focus of leadership research regarding leader behavior. Interest has shifted from the transactional style of leadership (contingent rewards) to the discovery and examination of behaviors exhibited by the leader that can make their subordinates increasingly aware of "the importance and values of task outcome, activate their higher-order needs and induce them to transcend self-interests for the sake of the organization" (Podsakoff, et al., 1990. p. 108).

Podsakoff, et al. (1990) explains that leader behavior that is more charismatic and/or transformational may augment transactional leader behaviors when outcomes are

considered.  It has been noted that when followers respect and trust their leader, they are motivated to go above and beyond when it comes to work assignments (Yukl, 1989).

A majority of the research on leader behavior and its consequences has focused on the in-role performance of employees and employee satisfaction rather than performance that is "above and beyond" or "extra" (Podsakoff, et al., 1990).  Therefore, it is necessary to look at leader behavior and how it has an effect on performance that is described as "extra" or "above and beyond."

Podsakoff et al. (1990) examined the effect of transformational leader behaviors on OCBs.  This examination yielded five constructs that correlate with transformational leadership behaviors: (a) altruism, (b) conscientiousness, (c) sportsmanship, (d) courtesy, and (e) civic virtue.

Podsakoff et al., (1990) explains that different views on leadership "share the common perspective that effective leaders transform or change the basic values, beliefs, and attitudes of followers so that they are willing to perform beyond the minimum levels specified by the organization" (p. 108).

Various models have suggested that a relationship exists between OCBs and job attitude and job satisfaction (Bateman & Organ, 1983; Moorman & Blakely, 1995; Smith, et al., 1983), organizational commitment (Moorman & Blakely, 1995) and perceptions of fairness (Moorman, 1991).  Other studies have suggested that a relationship exists between OCBs and interpersonal trust (Moorman & Blakely, 1995; Podsakoff et al., 1990).  Organ and Ryan (1995) concluded that other attitudinal measures (perceived fairness, organizational commitment, leader supportiveness) correlate with OCB at roughly the same level as satisfaction.

**Leader-Member Exchange**

LMX is a leadership theory that differs from many of the other theories because it focuses on the unique relationship between leader and follower dyads. LMX entails the extent to which leaders and followers develop a trusting, self-directed, and mutually beneficial relationship (Graen & Uhl-Bien, 1995). The dyad typically consists of a leader – usually a supervisor – and an organization member (employee), usually a subordinate (Graen & Scandura, 1987).

Many researchers agree that organizational social processes result in vertical dyadic relationships (Graen, Dansereau, & Minami, 1972). Dansereau, Graen, and Haga (1975) presented the theory of vertical dyad linkage. This model suggests that a leader has different relationships or patterns of behavior with each person they supervise. LMX is unique in its adoption of the dyadic relationship as its level of analysis (Gerstner & Day, 1997). Graen and Cashman (1975) and Dansereau et al. (1975) continued to develop the theory of LMX.

Dienesch and Liden (1986) suggest LMX is a multidimensional construct and propose that LMX relationships may develop in many ways and the relationships are based on three varying amounts of "currencies of exchange" (p. 625). These currencies of exchange involve both parties in the leader-member dyad and explain what each person can bring to the relationship. The three currencies of exchange include task-related behaviors (labeled contribution), loyalty to each other (labeled loyalty), and simply liking one another (labeled affect). An exchange might be based on one, two, or all three of these dimensions (Dienesch & Liden, 1986).

Contribution plays a major role in LMX. It refers to the perception of the amount, direction, and quality of work-oriented activity each member puts forth toward the mutual goals of the dyad. Loyalty occurs when a good-quality LMX relationship is reciprocated by both leader and member. Liden and Maslyn (1998) state that loyalty has been discussed in previous research as instrumental in determining the types of tasks that are entrusted to members. Leaders are more likely to ask loyal members to take on tasks that require independent judgment or responsibility. The third currency, mutual liking, or affect, is considered to be extremely important as the relationship develops (Dienesch & Liden, 1986). This dimension of LMX can be hindered or developed. Affect occurs if the leader and subordinate enjoy being around each other and enjoy being in each other's company, developing commitment and friendship through work interactions.

Liden and Maslyn (1998) discuss in more detail the three currencies listed above and added a fourth currency, "professional respect" (p. 43). LMX theory suggests that the quality of a leader-member dyadic relationship predicts more positive organizational outcomes than do the traits or behaviors of supervisors (Burns & Otte, 1999). Based on the quality of the formed relationship between the leader and follower, the subordinate is placed within an in-group or out-group (Dansereau, et al., 1975; Northouse, 2010).

The primary LMX theory research focused on the nature of the differences between the characteristics of the in-group and the out-group. It is stated that early in the relationship-building process, factors other than behavior affect how the relationship develops (Dienesch & Liden, 1986). Through behavior, each member of the dyad invests resources in the development of the relationship. For example, the leader may offer increased job latitude or delegation to the member and the member may offer strong

commitment to work goals or high levels of effort and performance to the leader (Dienesch & Liden, 1986; Liden & Graen, 1980; Scandura & Graen, 1984). Various studies indicate that the quality of leader-member exchanges can have an effect on subordinates' experiences in the workplace (Liden & Maslyn, 1998; Matkin, 2005).

LMX theory directs attention to the importance of communication in leadership (Northouse, 2010). Relationships and exchanges between the leader and each individual develop over time and are unique. These interactions are classified as a high-LMX relationship (in-group) or a low-LMX exchange (out-group). High-LMX includes relationship aspects. Low-LMX is typically characterized by "exchanges" based on work tasks.

The in-group/out-group status is typically based on: (a) how well a subordinate works with the leader and how well the leader works with the subordinate; (b) whether a subordinate involves him/herself in expanding their role responsibilities with the leader; and (c) whether a subordinate negotiates to perform activities beyond the formal job description (Northouse, 2010).

Typically, followers with low-LMX or out-group status are described as less compatible with the leader and tend to receive minimal support and limited trust from their supervisor along with few benefits outside their employment contract. Employees who are not interested in taking on additional responsibilities typically become a part of the out-group. As a rule, out-group members typically just come to work, do their job (within the prescribed job description), and go home.

Benefits of high LMX or in-group status includes: (a) followers receiving more information, influence, confidence, and concern from the leader, and; (b) followers, in

turn, are more dependable, highly involved, and communicative than those in the out-group (Northouse, 2010).

Researchers found that high-quality leader-member exchanges are related to important organizational outcomes such as less employee turnover (Graen, Liden, & Hoel, 1982), subordinate satisfaction and greater organizational commitment (Graen, Novak, & Sommerkamp, 1982; Scandura & Graen, 1984), higher frequency of promotions and faster career progress over 25 years (Graen et al., 1982), more desirable work assignments and ratings of member performance (Graen et al., 1982; Liden & Graen, 1980; Scandura & Graen, 1984), increased amount of participation and member extra-role performance (Wayne & Green, 1993).  Graen and Uhl-Bien (1995) posit that perceived high-quality LMX is positively related to feelings of energy in employees.

Gerstner and Day (1997) found that leaders and followers in high-LMX relationships often report enhanced levels of satisfaction and effectiveness, as well as mutual influence, more open and honest communication, greater access to resources, and more extra-role behaviors.  Maslyn and Uhl-Bien (2001) explain that low-LMX exchanges, in contrast, appear to put subordinates at a relative disadvantage in terms of job benefits and career progress.

Membership in either group is based on how employees involve themselves in developing and expanding their role responsibilities with their supervisor.  Those employees who choose to negotiate responsibilities typically become part of the in-group. These negotiations usually involve projects that are above and beyond the typical job description.  In turn, the supervisor will do more for the employee like providing information, influence, confidence, and concern (Northouse, 2010).

A subsequent area of research began to address how LMX theory was related to organizational effectiveness. Specifically, these studies focus on how the quality of the LMX is related to positive outcomes for supervisors, their employees, work teams, and the organization.

Liden and Maslyn (1998) explain that at the core of LMX research is the idea that a positive leader-member relationship provides affective benefits to group members, and these benefits hold the power to motivate an employee and maintain their commitment to the leader's directives. The Leadership Making Model (Graen & Uhl-Bien, 1995) notes that leaders form special relationships with all subordinates, leaders should offer each subordinate an opportunity for new roles/responsibilities, leaders should nurture high-quality exchanges with all subordinates, and rather than concentrating on differences, leaders should focus on ways to build trust and respect with **all** subordinates – resulting in the entire work group becoming an in-group.

Harris, Wheeler, and Kacmar (2009) examined how LMX theory is related to empowerment. This study was an exploration of how empowerment moderates the impact of LMX on job outcomes such as job satisfaction, turnover, job performance, and organizational citizenship behaviors (Northouse, 2010). It was deduced that empowerment and LMX quality had a slight synergistic effect on job outcomes.

Bowler, et al. (2010) examined how LMX relationships influences a leader's evaluation of their follower's performance. LMX has been related to leader evaluations of both in-role and extra-role behavior by the follower (Wayne, Shore, & Liden, 1997). Supervisors demonstrate more favorable evaluations of follower behavior when the two are linked by a high-quality LMX relationship (Liden & Maslyn, 1998). The natural

consequence of this is that supervisors tend to negatively evaluate the behaviors of employees with whom they lack a high-quality LMX relationship.

According to LMX, the value of the relationship that develops between leader and follower is predictive of outcomes at the individual, group, and organizational level of analysis (Gerstner & Day, 1997). Overall, the various findings in the studies mentioned clearly illustrate the intended gain for organizations that have supervisors/managers who can create good working relationships with their employees.

Researchers have examined the role of various leader characteristics, attitudes, and perceptions as predictors of high quality LMX. Leaders reporting high quality exchanges with followers were more likely to ascribe effective direct report performance to internal characteristics such as ability and effort (Matkin, 2005).

Other research investigating predictors of LMX have examined the role of various member characteristics, attitudes, and behaviors including liking of the leader (Liden & Maslyn, 1998) and ingratiation (Wayne, Liden & Sparrowe, 1994).

**The relationship between organizational citizenship behavior and LMX.** The level of the relationship between the leader and the follower tends to enhance the choice to perform OCBs (Organ, 1990). Various empirical studies have identified OCBs as outcomes of high LMX between leaders and followers (Settoon, Bennett, & Liden, 1996; Wayne & Green, 1993). Based on social exchange theory (Blau, 1964), high-quality LMX relationships are characterized by mutual trust, respect, and commitment (Liden & Maslyn, 1998).

The high-quality exchange between leaders and followers is thought to lead to more positive treatment by the leader, which evokes an obligation on the part of

followers to reciprocate positive treatment from leaders with extra-role behaviors.  This idea has roots in early LMX research.  Liden and Graen (1980) suggest that high-quality exchanges result in employees performing behavior beyond their job duties that support and benefit the leader's objectives.  This LMX relationship is a related variable that likely has a differential influence on the attributions of OCB motives when viewed from different perspectives.

Within the past two decades, research has been conducted in search of links between organizational citizenship behavior and LMX.  Tansky (1993) investigated the relationship between perceptions of overall fairness, organizational citizenship behavior, employee attitudes, and the quality of the supervisory/subordinate relationship based on the justice and organizational citizenship literature.  The research found, conceptually, that the quality of the relationship between leader and follower related to the Podsakoff et al. (1990) constructs of OCB: altruism, civic virtue, conscientiousness, courtesy, and sportsmanship.

Manogran, Stauffer, and Conlon (1994) found that the relationship between fairness and OCB should be mediated by the quality of LMX.  Meaning, a follower who gave greater effort was rewarded by the leader with greater career opportunities.  This was perceived as fairness by the follower.

**Linking Authentic Leadership and LMX**

Avolio and Gardner (2005) stated that when leader-follower relationships were authentic, this authentic relationship promoted open and honest communication due to deeply held shared values, thereby promoting the pursuit and attainment of shared goals. Gardner, Avolio, and Luthans (2005) noted authentic relationships describe the

relationships between leaders, followers, and others. The mutually reciprocal relationships allowed for follower and leader self-development, as well as an understanding of the interrelatedness of their professional association. Avolio and Gardner (2005) added that the cohesion of this relationship was not based on perceptions of leader or follower actions, but on judgments of attribution made by followers or leaders regarding the others' intentions, effectiveness, and authenticity.

Lewis (2011) conducted an empirical study and found that authenticity was strongly related to leadership effectiveness and LMX mediated the relationship between authenticity and leadership effectiveness. Leaders who were viewed as authentic and responsible were better able to form positive relationships with their direct reports and, therefore, were viewed as efficient and effective.

Rousseau (1995) discussed the psychological contract between leader and follower based on consistent, transparent interactions that resulted in positive outcomes. Followers learned over time what decisions to make, even in the leader's absence, based on the psychological contract of common understanding and responsibilities of the mutual parties. Meeting both parties' expectations strengthened mutual trust that fostered an authentic relationship, which ultimately enhanced outcomes and performance. Avolio (1999) posited that followers developed trust over time (relational trust) in the leader's intentions, which gave leaders the benefit of the doubt.

Dirks and Ferrin (2002) asserted followers who have a high level of trust in their respective leader tended to have higher levels of job satisfaction, organizational commitment, professional behaviors, and job performance. These positive organizational outcomes are said to contribute to sustainability and overall organizational effectiveness.

Robins and Boldero (2003) maintained that when leaders and followers saw themselves as being similar due to shared values and goals, consistently acting transparently enhanced authentic relationships. When followers had high congruence between their true and possible selves with the leader's true and possible selves, high levels of trust, intimacy, cooperation, and goal alignment were achieved. The accuracy of the presented and perceived selves from followers and leaders was important to ensure high levels of trust and intimacy. Incongruent behavior resulted in hierarchical, superficial, or dominant roles and relationships, which negatively influenced the organizational culture.

There has been extensive research on various forms of leadership and their relationship to LMX. Ballinger, Lehman, and Schoorman (2010) investigated the role of leadership succession as a moderator between LMX and employee turnover. It was concluded that high-LMX employees were less likely to leave the business prior to a succession event; however, the high-LMX employees were more likely to leave (versus their low-LMX counterparts) following a succession event. The researchers found that LMX is foretelling of affective and perceptive reactions to succession events. It was also noted in the research that the relationship between LMX, transformational leadership, and instrumental value system congruence between leader and follower, does influence perceived effectiveness of leader and work unit, follower satisfaction with leader, follower's motivation to put in extra effort, and follower's intention to quit the organization.

Wang, Law, Hackett, Wang, and Chen (2005) developed a model in which LMX mediated between perceived transformational leadership behaviors and follower's task

performance and OCB in the People's Republic of China.  The researchers indicated that LMX fully mediated transformational leadership and task performance as well as OCB.

**Moderating for leader-member exchange.**  Because OCB is considered to be an antecedent of LMX, it will be important to determine whether or not the presence of LMX will change the relationship between authentic leadership and organizational citizenship behavior.  Love and Forret (2008) investigated how perceptions of the exchange relationships among coworkers in conventional work-group settings are related to supervisor evaluations of OCB.  The research showed that team-member exchange (TMX) was related to supervisor ratings of an aggregate measure of OCB.  In addition, TMX was related to four of the five subdimensions of OCB: altruism, civic virtue, courtesy and conscientiousness.  TMX was not related to sportsmanship.  The results indicate the strong influence of social exchange and the norm of reciprocity for engaging in OCB.

Wang. Law, Hackett et al. (2005) posit a positive association between LMX and OCB.  This can be assumed because OCB helps fulfill the reciprocity responsibilities of followers, and represents an exchange that is verbose, unspecified, and weakly time-bound.  Moreover, in high-quality exchange, leaders appeal to the higher-order social needs of followers by getting them to place collective interests over short-term personal gratification (Graen & Uhl-Bien, 1995).

The moderating role of LMX in the relationship between authentic leadership and OCB is grounded in the perception that high-quality LMX reflects an affective bonding accompanied by largely unstated mutual expectations of reciprocity.  Such a relationship evolves from a predominantly transactional exchange into a social exchange as mutual

trust, respect, and loyalty are earned (Graen & Uhl-Bien, 1995). It can be argued that authentic leadership encourages and promotes high-quality LMX.

It is evident through the research that the leader has a profound role in the shaping of LMX and constructing a positive work environment that yields positive results (OCB). Therefore, when examining the relationship between authentic leadership and OCB, it will be necessary to moderate for LMX.

### Linking Authentic Leadership and OCB

Thus far, a small amount of empirical research has been conducted to better understand the means by which authentic leaders exercise their influence on positive organizational behaviors (Walumbwa, et al., 2009). There has been empirical research conducted on the antecedents of OCB (Moorman, Niehoff, & Organ, 1993; Organ, 1997; Smith et al., 1983; Story & Barbuto, 2011), servant leadership and OCB (Walumbwa, Hartnell, & Oke, 2010), and transformational leadership and OCB (Cho & Dansereau, 2010).

OCB as both an overall theory and as constructs has not been empirically examined in relationship to authentic leadership in the Western culture. Walumbwa, Wang, Wang, Schaubroeck, and Avolio (2010) found that authentic leadership was significantly positively related to overall OCB in a sample of 387 Chinese telecom workers.

Culturally, this makes sense when the cultural dimension of power distance is examined. According to Hofstede (2001) China sits in the higher rankings of Power Distance Index or PDI (PDI = 80, on a scale of 1-100). Power distance focuses on the level of equality in a society. The higher the power distance, the more inequality exists.

Therefore, China is a society that believes that inequalities amongst people are acceptable. The leader-follower relationship tends to be polarized, and power use and abuse by superiors exists. Individuals who are part of a high power distance culture tend to be influenced by formal authority and are confident about their leader's rank and capacity for leadership. High PDI societies do not question leadership, and individuals should not have aspirations beyond their rank.

In contrast, the United States reports a PDI = 40. Within American organizations, hierarchy is established for convenience, supervisors are typically accessible, and they rely on individual employees and teams for their expertise. Both leaders and followers expect to be consulted, and questioning authority is a normal occurrence. Unlike China, where communication between leader and follower tends to be formal, leader-follower communication in the United States is typically informal, direct, and participative.

Walumbwa, et al. (2010) call for an examination of authentic leadership and OCBs as applied in Western culture. It is suggested to determine the extent to which these findings extend to other societal cultures besides China, specifically in Western culture. "It is possible that the overall level of effects of authentic leadership might be stronger in cultures where individuals follow allocation norms that are based more on equity than on egalitarianism such as the US and Western Europe" (p. 911). The researchers also noted the importance of examining OCBs per construct versus overall because altruism is not the same as civic virtue and so forth.

Scholars have consistently listed characteristics, attitudes, and behaviors of leaders who emulate authentic leadership; however, many of these relationships need to be tested. Much of the literature attempts to make contextual links between authentic

leadership and various theories of organizational outcomes.  Leilei and Peilan (2009) conceptually examined four relevant structure models that make theoretical links between authentic leadership, OCB, and other concepts such as organizational commitment, satisfaction with supervisor, leader trust, self-regulation, hope, and positive emotions.

Much of the research has also focused on individual-level outcomes; there has been a lack of expansion to test the relationships on the dyad, group/team, and organizational level.  Yammarino, Dionne, Schriescheim, and Dansereau (2008) undertook a meso, multilevel perspective on authentic leadership and positive organizational behaviors.  In their opinion, there has been no real attempt to fully integrate the related notions of positive organizational behaviors and authentic leadership in a meso, multi-level approach.

Yammarino et al. (2008) reviewed and analyzed 27 conceptual and empirical publications in the area of authentic leadership.  These publications were

…reviewed and coded in terms of (1) the degree of appropriate inclusion of levels of analysis in theory and hypothesis formulation; (2) the extent to which levels of analysis are represented appropriately in the measurement of constructs and variables; (3) the degree to which levels of analysis are addressed in data analytic techniques; and (4) the extent to which theory and data are aligned from a levels-of-analysis perspective in the drawing of inferences. (p. 695)

They determined that authentic leadership can be formulated as a multilevel construct.  The authentic leadership approach can operate at each level of analysis (individual, dyad, group, organization) and across levels of analysis (multilevel view).

They also determined that there are positive associations among authentic leadership, positive organizational behaviors, and performance. These associations are multilevel in nature. The researchers believe this framework has various implications for future meso leadership theory research in general and particularly for subsequent multilevel testing of authentic leadership (Yammario et al., 2008). Yammarino et al. (2008) states:

> In essence, meso, multi-level leadership theory and research must become the norm, not the exception, for the advancement of our [the leadership] field. One-to-one leader–follower dyadic (interpersonal) relationships, leader-group and leader-team dynamics, leadership within different types of organizations and industries, strategic-level leadership, and cross-cultural leadership are all higher levels-of analysis conceptualizations, beyond individual differences, for leadership scholars to address more fully. Such higher levels of analysis also can serve as moderators and mediators in various multi-level leadership approaches that should be considered in future theory and research. (p. 703-704)

While very little research has been conducted between a leader's level of authentic leadership (as conceptualized above) and individual and group level organizational outcomes, it can be assumed – based on the research and the relationships proposed above – that leaders who emulate authenticity and act as an authentic leader will be able to develop a high quality relationship (LMX) with followers and bring out the best in their employees (OCB), therefore leading employees to exhibit positive behaviors above and beyond their stated job description.

**Linking Authentic Leadership and OCB Constructs**

**Authentic leadership and altruism**. Podsakoff et al. (1990) define altruism (OCB-A) as "discretionary behaviors that have the effect of helping a specific other person with an organizationally relevant task or problem" (p. 115). However, according to the research on servant leadership (Barbuto & Wheeler, 2006; Sendjaya, et al., 2008), altruistic calling entails a leader placing the needs of the followers before themselves.

With regard to authentic leadership, the leader is inclined to serve their needs before the needs of their followers as long as all decisions represent their moral and ethical stance. As previously mentioned, both authentic leadership and ethical leadership emulate altruism; however ethical leaders tend to emphasize an acute awareness of others (focused on the behaviors of the follower) and authentic leaders, in particular, emphasize authenticity and self-awareness (focused on the behaviors of the leader).

However, taking into consideration the moral component of authentic leadership and how a highly developed moral self-concept facilitates the leader's moral behavior (Hannah et al., 2005), the concept of linking authentic leadership and altruism can be valid. In essence, authentic leaders are considered to be moral leaders, and these leaders hold heightened levels of altruism especially when motivating followers (Hannah, et al., 2005).

A conceptual link between altruism and authentic leadership can be supported by noting an authentic leader, in theory, promotes positive ethics and moral perspective, and positive social exchanges in the workplace (Avolio & Gardner, 2005). Positive ethics and moral perspective recognizes the appropriateness of incorporating conceptions of self-interest into work, hence obtaining satisfaction from work behavior. This work

behavior includes such intrinsically motivating activities as using skills and creativity, working directly with others for their benefit, and experiencing competence and progress as well as indirectly benefiting society (Avolio & Gardner, 2005).

According to theory, authentic leaders genuinely draw upon positive moral perspective. This is an ethical and transparent decision process whereby leaders draw upon moral capacity, efficacy, courage, and resiliency, and achieve and sustain positive moral actions (May et al., 2003). Therefore, the following hypothesis is proposed:

Hypothesis 1a: Leader's level of authentic leadership will be positively related to followers' ratings of organizational citizenship behavior altruism (OCB-A).

Positive social exchanges explain the processes whereby leaders establish effective social exchanges with followers. Two of the components of authentic leadership theory – relational transparency and unbiased processing – are vital to positive social exchanges. Leaders who engage in authentic relationships develop leader-follower relationships that are characterized by high levels of trust, which in turn promote high quality and close relationships, greater value similarity, and follower attitudes and behavior that are consistent with the leader's values (Avolio & Gardner, 2005). Therefore, the following hypothesis is proposed:

Hypothesis 2a: Leader's level of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior altruism (OCB-A) when moderating for LMX.

**Authentic leadership and civic virtue**.  Podsakoff et al. (1990) define civic virtue (OCB-CIV) as "behavior on the part of the individual that indicates that he/she responsibly participates in, is involved in, or is concerned about the life of the company." (p. 115) Civic virtue is the fostering of habits of personal living that are claimed to be important for the success of the community.  Research indicates positive leadership assists the life of a company.  The organizational stewardship (Barbuto & Wheeler, 2006) construct of servant leadership explains leaders who emulate servant leadership characteristics promote their organization in the community.

With regard to authentic leadership, the four constructs (self-awareness, relational transparency, internalized moral perspective, and balanced processing) explain how a leader uses his or her moral gauge to determine what the "right" thing is to do.  Youssef and Luthans (2005) explain that authentic leadership plays a considerable role in the development of resilient organizations.  Consequently, from a leader's perspective, it is morally and ethically correct to place your company in a positive light.  Overall, practicing civic virtue, as a leader, will lead to betterment of the organization and community.

A link between civic virtue and authentic leadership can be supported by noting positive, strength-based cultures (Avolio & Gardner, 2005).  Positive strength-based cultures provide resources and support to followers, make available open and ample access to information, and provide an equal opportunity for everyone to learn, grow, and develop.  This, in turn, empowers and permits both leaders and followers to finish their work more efficiently and effectively.  Therefore, the following hypothesis is proposed:

Hypothesis 1b: Leader's level of authentic leadership will be positively related to followers' ratings of organizational citizenship behavior civic virtue (OCB-CIV).

In a culture that is positive and strength based, selecting and placing individuals in positions that provide them with daily opportunities to work within their areas of strength is of immense importance (Harris et al., 2009, Northouse, 2010). This helps strengthen the relationship between leader and follower which, in turn, accentuates career growth and personal development (Avolio & Gardner, 2005). Furthermore, Graen and Uhl-Bien (1995) explain how high levels of LMX lead to more positive objective assessment of a follower's talents and abilities. Therefore, the following hypothesis is proposed:

Hypothesis 2b: Leader's level of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior civic virtue (OCB-CIV) while moderating for LMX.

**Authentic leadership and conscientiousness**. Podsakoff et al. (1990) define conscientiousness (OCB-CON) as "discretionary behaviors on the part of the employee that go well beyond the minimum role requirements of the organization in the area of attendance, obeying rules and regulations, taking breaks, and so forth" (p. 115). The tendency of a conscientious leader is to show self-discipline, act dutifully, and aim for achievement against measures or outside expectations (Organ, 1988).

Dollinger and LaMartina (1998) found that conscientiousness was positively associated with higher levels of moral reasoning. Walumbwa and Schaubroeck (2009) indicate that conscientiousness is one of the best predictors of performance in the workplace. Conscientious people value truth and honesty, experience a high degree of moral obligation, maintain a high regard for duties and responsibilities, and are less easily corrupted by others. Leaders who rate high on conscientiousness display traits such as caution, achievement striving, reliability, self-discipline, attention to detail, responsibility, reflection, and diligence (Walumbwa & Schaubroeck, 2009).

Walumbwa and Schaubroeck (2009) conducted a study regarding the antecedents and consequences of ethical leadership. In this study, leader traits of agreeableness, conscientiousness, and neuroticism were measured by direct reports. With regard to conscientiousness, Walumbwa and Schaubroeck hypothesized that leader conscientiousness would be positively related to ethical leadership. This relationship was proven to be positive. Although links exist between conscientiousness and ethical leadership, there is a lack of previous research that has examined conscientiousness as an antecedent of actual perceived authentic leadership behavior. Since authentic leadership is considered to be a "root construct" (Avolio & Gardner, 2005) or a "key ingredient" (Avolio, 2010) to positive forms of leadership, the following hypothesis is proposed:

Hypothesis 1c: Leader's level of authentic leadership will be positively related to followers' ratings of organizational citizenship behavior conscientiousness (OCB-CON).

As previously stated, conscientiousness as suggested by Podsakoff et al. (1990) are optional behaviors that are significantly more than showing up for work and complying with policy. Fisk and Friesen (2012) explain in their study that the quality of LMX influenced follower reactions to job satisfaction (higher LMX = higher satisfaction) and therefore, participation in more prosocial behaviors. Lapierre and Hackett (2007) conducted a meta-analysis regarding correlations between trait conscientiousness and LMX. They built on the premise that "more conscientious employees are more satisfied at work because they behave in ways that lead to more rewards" (p. 540). Their meta-analysis included seven studies representing eight samples that measured conscientiousness and LMX. The studies analyzed are noted in Table 2.

Table 2.

*Primary Studies Used in Lapierre and Hackett (2007) Meta-analysis*

| Author(s) & year | Title of study |
| --- | --- |
| Bauer, Erdongan, Liden, & Wayne (2006) | *A longitudinal study of the moderating role of extraversion: LMX, performance, and turnover during new executive development.* |
| Deluga (1998) | *LMX quality and effectiveness ratings: The role of subordinate-supervisor conscientiousness similarity.* |
| Hannan & Jimmieson (2003) | *The impact of individual and organizational characteristics on organizational citizenship behavior and job burnout among elementary school teachers.* |
| Kraus (2002) | *Personality and job performance: The mediating roles of LMX and action control.* |
| Sears (2005) | *The dispositional antecedents of LMX and organizational citizenship behavior: A process perspective.* |
| Smith (2003) | *Effects of subordinate-supervisor personality 'fit' on subordinate attitudes and turnover.* |
| Vatanen (2003) | *Leader-follower relations in an intercultural Chinese context.* |

Lapierre and Hackett (2007) found a significant correlation between trait conscientiousness and LMX ($r = .13$; $z = 3.56$, $p < .001$).  Therefore, the following hypothesis is proposed:

Hypothesis 2c: Leader's level of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior conscientiousness (OCB-CON) while moderating for LMX.

**Authentic leadership and courtesy**.  Podsakoff et al. (1990) define courtesy (OCB-COURT) as "discretionary behavior on the part of the individual aimed at preventing work-related problems with others from occurring" (p. 115).  Courtesy consists of actions such as consulting with others before making decisions, giving others advance notice, passing along information, and issuing reminders to others.  Overall, there is a lack of research regarding linking the construct of courtesy and authentic leadership.

Luthans and Avolio (2003) explain that one of the challenges to being an authentic leader is being able to identify a follower's strengths and then utilize these strengths in the workplace.  Followers tend to identify with leaders they admire.  For this reason, it is suggested (Avolio et al., 2004) that authentic leaders have a significant influence on their followers and therefore, helping to shape attitudes and behaviors that can resist tension in the workplace.

Authentic leadership and courtesy can be linked by reviewing the research on positive social exchanges (Avolio & Gardner, 2005).  These exchanges involve the leader

and the follower engaging in behaviors that are transparent and unbiased, like the actions of OCB-courtesy (sharing information, sharing reminders, etc.). Avolio and Gardner claim leaders who engage in authentic relationships develop ties with their followers that can be characterized by high levels of trust, which in turn promotes high quality and close relationships, greater value similarity, and follower attitudes and behavior that are consistent with the leader's values (Avolio & Gardner, 2005). Therefore, the following hypothesis is proposed:

> Hypothesis 1d: Leader's level of authentic leadership will be positively related to followers' ratings of organizational citizenship behavior courtesy (OCB-COURT).

As previously mentioned, when a coworker engages in behaviors that are in line with courtesy, they are enhancing the communication within the dyad or group. As noted by Graen and Uhl-Bien (1995), the third phase of leadership making (in the theory of LMX) concerns mature partnerships. In these mature partnerships, both leader and follower experience a high degree of mutual trust, respect, and obligation toward each other; they have a high degree of reciprocity; and they have developed patterns of relating that produce positive outcomes for both themselves and the organization. Therefore, the following hypothesis is proposed:

Hypothesis 2d: Leader's level of authentic leadership will be more positively

related to followers' ratings of organizational citizenship behavior courtesy

(OCB-COURT) while moderating for LMX.


**Authentic leadership and sportsmanship**.  Podsakoff et al. (1990) define

sportsmanship (OCB-S) as "willingness of the employee to tolerate less than ideal

circumstances – without complaining" (p. 115).  According to Organ (1988),

sportsmanship is "not complaining, railing against real or imagined slights, and making

federal cases out of small potatoes" (p. 11).  Sharpe, Brown, and Crider (1995) conducted

a study of sportsmanship and link this behavior to positive social behavior.  Their study

demonstrated a positive correlation between student moral reasoning and positive social

patterns.

Trevino and Brown (2004) focused on the function of leadership and how it

affects employees' ethical and unethical conduct.  Dirks and Ferrin (2002) did a meta-

analysis regarding trust in leader and positive outcomes.  Included in the positive

outcomes was the role of citizenship behaviors (that will be examined in this study).  The

researchers concluded there is a positive relationship between general forms of positive

leadership and citizenship behaviors to include the construct of sportsmanship (Trevino

& Brown, 2004).  Therefore, the following hypothesis is proposed:


Hypothesis 1e: Leader's level of authentic leadership will be positively related to

followers' ratings of organizational citizenship behavior sportsmanship (OCB-S).

The relationship between leader and follower can determine whether or not an employee exhibits sportsmanship. It can be suggested that when LMX is low, or in the first phase of leadership making, the interactions are typically rule-bound, contractual, and the motives of the subordinate are directed toward self-interest rather than good of the group. As LMX increases, or as the dyad progresses through the phases of leadership making, the leader-follower relationship becomes more transformational versus transactional (Graen & Uhl-Bien, 1995). This means the leader and follower are more interested in what is good for the work team and organization versus what is good for them as individuals and will tend to exhibit more prosocial behaviors (Avolio & Gardner, 2005). Therefore, the following hypothesis is proposed:

Hypothesis 2e: Leader's level of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior sportsmanship (OCB-S) while moderating for LMX.

The models for hypothesis testing are displayed in figures 2 and 3. Each model represents how the previously mentioned hypotheses were tested. The following models show that this research will identify the effect authentic leadership and LMX has on the respective OCBs.

```
                                              ┌─────────────────────────┐
                                         ───► │ H1a (+) (OCB-A)          │
                                         ──── ├─────────────────────────┤
┌──────────────────────────┐            ───► │ H1b (+) (OCB-CIV)        │
│  Authentic Leadership     │───────────────►├─────────────────────────┤
│  (leader & follower rating)│           ───► │ H1c (+) (OCB-CON)        │
└──────────────────────────┘            ──── ├─────────────────────────┤
                                         ───► │ H1d (+) (OCB-COURT)      │
                                         ──── ├─────────────────────────┤
                                         ───► │ H1e (+) (OCB-S)          │
                                              └─────────────────────────┘
```
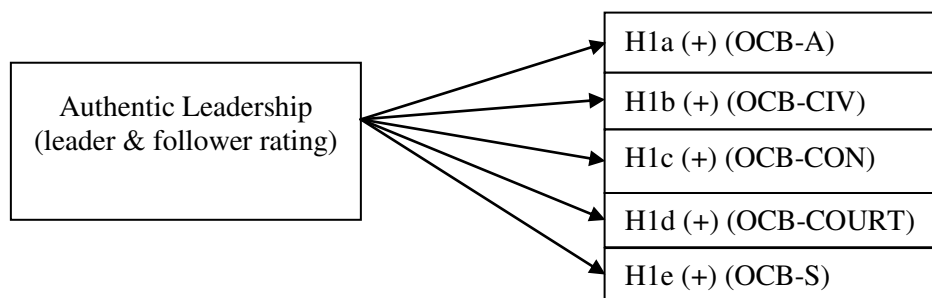
*Figure 2.* Proposed Model for Hypothesis "1" Testing

```
                        ┌──────────┐           ┌─────────────────────────┐
                        │   LMX    │           │ H2a (+) (OCB-A)          │
                        └────┬─────┘           ├─────────────────────────┤
                             │                 │ H2b (+) (OCB-CIV)        │
┌──────────────────┐        ▼                  ├─────────────────────────┤
│   Authentic       │───────────────────────►  │ H2c (+) (OCB-CON)        │
│   Leadership      │                          ├─────────────────────────┤
│   (leader &       │                          │ H2d (+) (OCB-COURT)      │
│   follower rating)│                          ├─────────────────────────┤
└──────────────────┘                           │ H2e (+) (OCB-S)          │
                                               └─────────────────────────┘
```
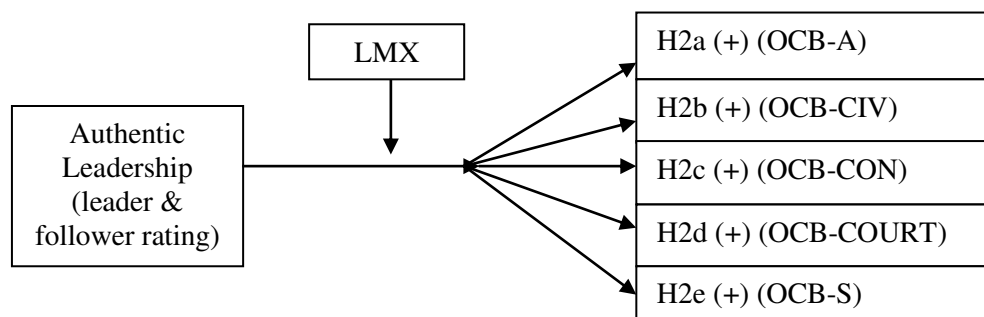
*Figure 3.* Proposed Model for Hypothesis "2" Testing

**CHAPTER III**

**Methodology**

This chapter reports the methods used to study the relationship between leaders'
and followers' averaged ratings of authentic leadership, followers' ratings of leaders'
LMX, and followers' perceived ratings of their OCB. LMX was tested as a moderator of
the relationship between authentic leadership and the constructs of OCB as posited by
Organ (1988) and Podsakoff et al. (1990). Data were analyzed as a cross-sectional
multilevel study with two levels. Level 1 consisted of individual reports of LMX. Level
2 consisted of group reports of authentic leadership.

The research design is a multilevel model consisting of employees from multiple
organizations nested within groups who report to the same leader. A web-based survey
was used for data collection. The sections directly following describe the population,
research design, and instrumentation. The chapter then outlines the variables in the
study.

**Recruitment**

A recruitment letter was sent via e-mail to the human resources departments of
various for-profit organizations to request participation in this study. The recruitment
letter is located in Appendix B.

**Population/Participants**

Participants in this study were leader-follower dyads and groups from multiple
for-profit organizations in the Midwestern U.S. Participating organizations were chosen
via snowball sampling. In order to be included in the data analysis, the leaders must
supervise at least two permanent staff (either part time or full time). The human

resources department of each organization was contacted regarding participation in the study. When the organization chose to participate, a request for the company's organizational chart and departmental leaders' e-mail was placed. Once received, each departmental leader was contacted and asked if their department or division would take part in the study, and then a request was placed for a list of supervisors and their corresponding employees with e-mail addresses.

E-mails were sent from the researcher directly to participants asking for their voluntary participation at the beginning of the spring semester, 2011. A link with a password was provided in the e-mail to the SurveyMonkey™ website if the participant decides to take part in the study. A "decline" link was provided for those who did not want to be involved and preferred to opt out of any further contact. A small incentive was offered to encourage participation in the form of six $25 gift certificates to Amazon.com. All participants who participated in the survey were entered into the drawing.

The timeframe for data collection was 30 days from the sending of the first e-mail. One follow-up e-mail was sent ten days prior to the 30-day deadline. The follow-up was only sent to those who had not responded. Return rates were calculated as the actual number of surveys returned. It was necessary to match leaders and followers in the data analysis; therefore, leaders with no corresponding followers, and followers with no corresponding leaders, had to be eliminated from the study. Leader and follower data were linked by using unique codes developed prior to sending the initial email.

Of the 519 follower surveys distributed, 310 were returned (60%) resulting in 243 usable surveys. Of the 85 leader surveys distributed, 46 were returned (54%) resulting in

32 usable surveys. Table 3 shows the distribution and return rate of surveys from the various organizations participating in the study.

Table 3.

*Number of Surveys Distributed, Returned, and Used by Organization*

| Organization | Distributed | | Returned | | Usable | |
|:---:|:---:|:---:|:---:|:---:|:---:|:---:|
| | Leaders | Followers | Leaders | Followers | Leaders | Followers |
| #1 | 6 | 72 | 3 | 32 | 2 | 25 |
| #2 | 5 | 40 | 3 | 18 | 2 | 15 |
| #3 | 3 | 24 | 1 | 9 | 1 | 7 |
| #4 | 12 | 105 | 8 | 70 | 4 | 66 |
| #5 | 16 | 69 | 8 | 45 | 7 | 39 |
| #6 | 12 | 64 | 8 | 31 | 6 | 27 |
| #7 | 31 | 145 | 15 | 105 | 10 | 64 |
| Totals | 85 | 519 | 46 | 310 | 32 | 243 |

Leaders were 74% male and 26% female with an average age of 42 years. Sixty-four percent of the leaders had obtained bachelor's degrees, 12% master's degrees, and 2% PhDs. The remaining 22% had high school diplomas or associates degrees. Three percent of the leaders identified themselves as persons of color while the remainder identified as White/Caucasian.

Followers were 52% female and 48% male with an average age of 39 years. Sixty-one percent of the followers had obtained bachelor's degrees, nine percent master's degrees, and 0% PhD's. The remaining 30% had high school diplomas or associate's degrees. Five percent of the followers identified as persons of color while the remainder identified as White/Caucasian. Table 4 provides an overview of participant demographics by leader, follower, and overall.

Table 4.

*Participant Demographics (N=275; 32 leaders – 243 followers)*

| Group | Leaders | Followers | Total |
|---|---|---|---|
| Gender | | | |
| Male | 24 | 126 | 150 |
| Female | 8 | 117 | 125 |
| Race | | | |
| White/Caucasian | 31 | 231 | 262 |
| Other | 1 | 12 | 13 |
| Age Range | | | |
| 21-40 | 7 | 103 | 110 |
| 41-50 | 18 | 66 | 84 |
| 51-60 | 6 | 62 | 68 |
| 60 and over | 1 | 12 | 13 |
| Education Level | | | |
| H.S. Diploma/Associates | 7 | 73 | 80 |
| Bachelor's Degree | 20 | 148 | 168 |
| Master's Degree | 4 | 22 | 26 |
| Ph.D. | 1 | 0 | 1 |

**Research Design**

This study builds on prior exploratory research and tests existing theory suitably using a quantitative methodological approach. Three instruments will be used to collect quantitative data on each of the variables: authentic leadership, LMX, and OCB. Followers were to complete the Authentic Leadership Questionnaire -Rater Form (to rate their leader), the LMX -7 and the Organizational Citizenship Behavior Scale (Appendix E). Leaders were to complete the Authentic Leadership Questionnaire -Self Rater Form (Appendix F). A brief demographic survey preceded the survey instruments on the web-based survey site (Appendix G). In order to obtain the leaders' rating, each follower's other-report (rating of their respective leader) will be added together and then averaged. That score, averaged with their respective leader's self-rating score determines the overall rating of the leader's authentic leadership.

Walumbwa et al. (2008) chose to define the higher order construct of authentic leadership at the individual level of analysis. The researchers explain that this individual level is not meant to "rule out the potential for dyadic, group, or organizational levels of analysis for a type of 'collective' authentic leadership in the future" (p. 119). As a rule, the concept of leadership has strong theoretical and empirical bases to be conceptualized at multiple levels of analysis. Within most organizations followers are nested within leaders, and because organizations are typically comprised of multiple levels of leaders, a multilevel approach is appropriate (Yammarino, Dionne, Chun, & Dansereau, 2005).

Data in this study were collected from individual employees as well as their respective supervisors. Because some employees report to the same supervisors, it can be assumed that some similarities in how they will rate those supervisors and the "independence of observations" assumption that underlies traditional statistical approaches (Raudenbush & Bryk, 2002) may not be satisfied. Data of this nature are said to be "nested" where lower-level data (collected from employees) can be aggregated into higher-level groups or clusters (employees who report to the same supervisor).

Because data were collected from both leaders and followers (raters), multilevel analysis was used. Multilevel analysis allows variance in the outcome variables to be analyzed at multiple levels, whereas in simple linear and multiple linear regression all effects are modeled to occur at a single level. In organizational psychology research, data from individuals must often be nested within teams or other functional units. By utilizing a multilevel analysis, researchers can analyze individual and group level variance and obtain higher statistical rigor than simple correlations and regression analysis, while avoiding assumptions of independence (Snijders & Bosker, 1999).

**Variables in the Study**

The outcome variables were the individual constructs of organizational citizenship behavior. The moderating variable was LMX. The predictor variable was authentic leadership.

**Potential Ethical Issues**

The ethical considerations for this research will be few as there was minimal interaction between the researcher and the respondents. The individual survey responses did not collect any personal data that could be traced back to the respondents as all information was coded. All respondents were fully informed about the use of the data. Assurances were made to ensure their responses were fully confidential and secure.

**Measures**

**Authentic Leadership Questionnaire**

The Authentic Leadership Questionnaire (ALQ) is a theory-driven leadership survey instrument designed to measure the components that have been conceptualized as comprising authentic leadership (Walumbwa et al., 2008). Multirater assessments provide insightful comparisons of how people see themselves relative to how others see them; therefore, this method will generate the most accurate rating of the leader. Therefore, the raters for this measure will be both the leader and their respective followers. The ratings from the followers will be added and averaged. The self-rating from the leader will be added to the averaged follower rating and then those two score will be averaged. The highest score that can be received on the ALQ is 64.

The ALQ is a 16-item survey measured on a 5-point Likert-type scale ranging from 0 (not at all) to 4 (frequently if not always). This measure of authentic leadership

has shown to be reliable.  The internal consistency reliability for each ALQ measure is as

follows: self-awareness, $\alpha$ = .73; relational transparency, $\alpha$ = .77; internalized moral

perspective, $\alpha$ = .73; and balanced processing, $\alpha$ = .70 (Walumbwa et al., 2008).

**LMX**

The LMX-7 (Scandura & Graen, 1984) is an instrument that measures the quality

of the leader-follower relationship based on rater's perception of the relationship.  The

LMX-7 is a 7-item survey measured on a 7-point Likert-type scale ranging from 1

(strongly disagree) to 7 (strongly agree).  The LMX-7 has been the most commonly used

instrument in LMX research (Gerstner & Day, 1997), and is reported to have high

reliability and freedom from social desirability (Liden & Maslyn, 1998).  This measure of

leader-member exchange has shown to be reliable with internal reliability ranging from $\alpha$

= .80 to .90 (Gerstner & Day, 1997; Graen & Uhl-Bien, 1995).

The rater for this measure will be the follower.  This choice is justified because of

the substantive differences that exist between leader and follower perspectives.  LMX has

been found to be assessed more reliably from a member's perspective versus a leader's

perspective (Gerstner & Day, 1997).  It is possible that dyad members may not perceive

LMX relationships in the same way.  This will certainly affect the formation,

development, and effectiveness of leader-member relationships since some degree of

mutuality or shared understanding is at the core of a purposeful exchange relationship

(Blau, 1964).

Furthermore, Graen and Scandura (1987) acknowledge that supervisors are

hesitant to discriminate between lower and higher quality dyads.  Consequently, for

example, it is possible that a supervisor may respond to the seventh item of the LMX-7

scale ("How would you characterize your working relationship with your subordinate," Graen & Uhl-Bien, 1995) differently than would his/her subordinate assessing the same relationship.

**Organizational Citizenship Behavior**

The measure of organizational citizenship behavior (OCB) that will be used in this study was developed by Podsakoff et al. (1990). For each of the five constructs (altruism, civic virtue, conscientiousness, courtesy, and sportsmanship), respondents are asked to indicate their level of agreement or disagreement with each of the 24 items using a 7-point scale (1 = strongly disagree and 7 = strongly agree) with a midpoint labeled "neither agree nor disagree."

Podsakoff et al. (1990) assessed the convergent and discriminant validities by conducting a CFA for the OCB scales. The Tucker-Lewis goodness-of-fit index (TLI), which measures how well the model accounts for the sample variance and covariances on a scale of 0 (no fit) to 1 (perfect fit), was .94. The internal consistency reliabilities (Cronbach's alpha) averaged $\alpha = .81$ (altruism, $\alpha = .85$; civic virtue, $\alpha = .70$; conscientiousness, $\alpha = .82$; courtesy, $\alpha = .85$; and sportsmanship, $\alpha = .85$).

Tests of discriminant validity indicated that all of the constructs were empirically distinct, although altruism shared about two-thirds of its variance with conscientiousness and courtesy. Podsakoff et al. (1990) hold that their measure of OCB possesses sufficient content validity, and most of the items tap relevant aspects of the domain of the construct they were intended to represent.

In the last decade, most studies of OCB have used supervisor ratings. However, Allen, Barnard, Rush, and Russell (2000) argue that many citizenship behaviors are

performed in front of coworkers and peers versus in front of a supervisor. London and Smither (1995) emphasize that managers should not rate behavior they have not observed. Moorman (1991) suggests that only a part of the citizenship behaviors are actually observed by the immediate supervisor. Therefore, the rater for this measure will be the follower.

## Demographics

A series of demographic profile questions asked participants to select their sex, age, ethnicity, and level of education from a list of options. The questions were optional and may be useful for further research.

## Overview of Data Analysis

Data will be run at the Nebraska Evaluation and Research Center (NEAR) by a statistician. Once the run is complete, the results will be discussed with the researcher and then the researcher will begin analysis.

**CHAPTER IV**

**Results**

This chapter outlines the results of this study. Authentic leadership was analyzed to determine its effect on followers' OCB: altruism, conscientiousness, courtesy, civic virtue, and sportsmanship. LMX was examined as a moderating variable between the leader's aggregated self- and other-rating of authentic leadership and followers' ratings of their own OCB: altruism, conscientiousness, courtesy, civic virtue, and sportsmanship. Hierarchical linear modeling analysis and regression analysis were used to identify relationships between the predictor and outcome variables, and to test for moderating effects.

**Simple Statistics and Correlations**

Variable means, standard deviations, and correlations appear in Table 5. A significance level of .05 ($p < .05$) was used in the data analysis.

Leader participants completed a self-rating measurement of authentic leadership. Rater participants completed an "other-rating" measurement of authentic leadership (where followers rated their perception of their leader's authentic leadership), a LMX measurement, and a measurement of OCB.

Table 5.

*Descriptive Statistics and Correlation Matrix for Authentic Leadership, LMX, and Organizational Citizenship Behavior*

| Variable | N | M | SD | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 1.  L AL | 32 | 54.22 | 6.85 | (.88) | | | | | | | |
| 2.  R AL | 238 | 46.39 | 10.36 | .21* | (.93) | | | | | | |
| 3.  R LMX | 238 | 38.29 | 6.87 | .13* | .47* | (.89) | | | | | |
| 4.  R OCB-A | 238 | 29.78 | 3.60 | .17* | .42* | .44* | (.85) | | | | |
| 5.  R OCB-CON | 238 | 30.61 | 3.32 | .25* | .36* | .33* | .57* | (.74) | | | |
| 6.  R OCB-COURT | 238 | 30.32 | 3.67 | .17* | .38* | .41* | .60* | .63* | (.84) | | |
| 7.  R OCB-CIV | 238 | 20.87 | 3.34 | .21* | .38* | .36* | .49* | .50* | .60* | (.71) | |
| 8.  R OCB-S | 238 | 11.03 | 4.66 | .25* | .23* | .14* | .31* | .41* | .50* | .30* | (.78) |

Note. Reliability coefficient estimates ($\alpha$) are in parenthesis along diagonals. *$p<.05$, (two-tailed test).

L AL = Leader's authentic leadership
R AL = Rater's ratings of their leader's authentic leadership
R LMX = Rater's ratings of LMX
R OCB-A = Rater's scores of their OCB, altruism
R OCB-CON = Rater's scores of their OCB, conscientiousness
R OCB-COURT = Rater's scores of their OCB, courtesy
R OCB-CIV = Rater's scores of their OCB, civic virtue
R OCB-S = Rater's scores of their OCB, sportsmanship

Scale reliabilities were acceptable per Nunnally and Bernstein's (1994) conclusion that minimum reliability (Cronbach's alpha) measures should be at .70. Authentic leadership self-rating and other-rating had a reliabilities of $\alpha$ = .88 and $\alpha$=.93 respectively. LMX ($\alpha$ = .89), organizational citizenship behavior – altruism ($\alpha$ = .85), organizational citizenship behavior – conscientiousness ($\alpha$ = .74), organizational citizenship behavior – courtesy ($\alpha$ = .84), organizational citizenship behavior – civic virtue ($\alpha$ = .71), and organizational citizenship behavior – sportsmanship ($\alpha$= .78) also had acceptable reliability coefficients.

Correlations were found among all the variables in the study. Leaders' self-rating of authentic leadership and rater's other-rating of authentic leadership were correlated at $r$ = .21. Leaders' self-rating of authentic leadership was correlated with LMX ($r$ = .13) and each subscale of organizational citizenship behavior: altruism ($r$ = .17), conscientiousness ($r$ = .25), courtesy ($r$ = .17), civic virtue ($r$ = .21), and sportsmanship ($r$ = .25).

Rater's other-rating of authentic leadership was correlated with LMX ($r$ = .47) and each subscale of organizational citizenship behavior: altruism ($r$ = .42), conscientiousness ($r$ = .36), courtesy ($r$ = .38), civic virtue ($r$ = .38), and sportsmanship ($r$ = .23).

The moderating variable, LMX was correlated to each subscale of organizational citizenship behavior: altruism ($r$ = .44), conscientiousness ($r$ = .33), courtesy ($r$ = .41), civic virtue ($r$ = .36), and sportsmanship ($r$ = .14). Finally, the outcome variables were highly correlated to each other. Altruism was significantly correlated with conscientiousness ($r$ = .57), courtesy ($r$ = .60), civic virtue ($r$ = .49), and sportsmanship ($r$ = .31). Conscientiousness was significantly correlated with courtesy ($r$ = .63), civic

virtue ($r = .50$), and sportsmanship ($r = .41$).  Courtesy was significantly correlated with civic virtue ($r = .60$), and sportsmanship ($r = .50$) and civic virtue was significantly correlated with sportsmanship ($r = .30$).

Data in this study were collected from leaders and their direct reports.  Because some employees report to the same supervisor, there is potential for some similarities in how they will rate those supervisors.  Therefore, the "independence of observations" assumption that underlies traditional statistical approaches may not be satisfied (Raudenbush & Bryk, 2002).  Data of this nature are said to be "nested" where lower level data (collected from employees) can be aggregated into higher-level groups or clusters (employees who report to the same supervisor).

**Hierarchical Linear Modeling**

Hierarchical linear modeling (HLM) is a statistical procedure that analyzes relationships at two levels: raters (level one) and leaders (level two) (Snijders & Bosker, 1999).  HLM adopts this two-level approach to investigate relationships within a particular hierarchical level as well as relationships between or across hierarchical levels (Snijders & Bosker, 1999).  Therefore, one can model both individual and group level variance in individual outcomes while utilizing individual predictors at the individual level and group predictors at the group level.

Data in this study were collected from followers and their leaders.  Data collected from two sources can be coined as multilevel as it is drawn from the leaders (level two) and the followers (level one).  The analysis provided by HLM takes on a two-level approach to cross-level investigations where the Level 1 model is estimated separately for each follower.  Authentic leadership and the five outcome variables (OCB: altruism,

conscientiousness, courtesy, civic virtue, and sportsmanship) were examined separately: authentic leadership is a Level 2 variable and the OCB constructs are a Level 1 variable. The moderating variable of LMX is a Level 2 variable. The between variables are Level 2 variables and they represent the average score for each leader. The within variables are Level 1 variables and they represent the raters scores minus the leader mean.

The within model for Level 1 (direct reports) variables and their effect on the five outcome variables took the form of a regression based model and is expressed as:

$$\gamma_{ij} = \beta_{0j} + \beta_{1j}\chi_{ij} + \beta_{2j}\chi_{ij} + \beta_{3j}\chi_{ij} + \beta_{4j}\chi_{ij} + r_{ij}$$

where $\gamma_{ij}$ is the outcome measure for individual $i$ in group $j$. $X$ is the values of the predictor variables for each individual $i$ in group $j$. $\beta_{0j}, \beta_{1j}, \beta_{2j}, \beta_{3j}, \beta_{4j}$ are the intercepts and slopes estimated separately for each group and $r_{ij}$ is the residual.

The Level 2 model that attempts to explain the variation in the Level 1 parameters. The Level 2 equation is expressed as:

$$\beta_{0j} = \gamma_{00} + \gamma_{01}(G_j) + U_{0j}$$

where $G_j$ is the group level variable (authentic leadership), $\gamma_{00}$ is the second stage intercept term, and $\gamma_{01}$ is the slope relating to $G_j$ to the intercept and slope terms from the level 1 equation and $U_{0j}$ is the level 2 residual.

Data were analyzed using hierarchical linear modeling procedures using SAS PROC MIXED. SAS PROC MIXED is a very flexible program for fitting HLM models (Singer, 1998). LMX and the OCB constructs were entered as first-level outcome variables. Questions for LMX were rated on a scale of 1-7 with 1 indicating the lowest level of LMX and 7 as the highest level of LMX. Questions for the OCB constructs were rated on a scale of 1 – 7 with 1 indicating the rater "strongly disagreed" with the

statement about OCB and 7 indicating the rater "strongly agreed" with the statement about OCB. A rating of 4 indicated "neutral". Authentic leadership scores were entered from both the leader and the follower as the level two predictor variables.

The hypothesized model was not successful regarding data convergence. This means there was no variability between intercepts for each leader. Intercepts are the predicted values of an individual's status at some fixed point and in this data's case the intercepts were too similar and therefore could not be analyzed as one model. Therefore, each outcome variable (OCB: altruism, conscientiousness, courtesy, civic virtue, and sportsmanship) had to be analyzed separately.

**Results: HLM and Regression**

The units of analysis are usually individuals (at a lower level) who are nested within contextual/aggregate units (at a higher level). The coefficient of intraclass correlation (ICC) is an ANOVA-based type of correlation that measures the relative similarity within groups in ratio to the total variation (Raudenbush & Bryk, 2002).

The ICC is often used in assessing inter-rater reliability. In HLM, ICC is used to test the appropriateness of using a multilevel model. ICC is large and positive when there is no variation within the groups, but groups means differ. It will be at its largest negative value with group means are the same but there is great variation within groups. Maximum ICC positive value is 1.0. Maximum ICC negative value is $-1/(n-1)$. With regard to the data in this study, it was appropriate to use multilevel modeling for three of the five outcome variables: OCB conscientiousness (ICC = 0.086), courtesy (ICC = 0.0094), and civic virtue (ICC = 0.088). The ICC for OCB altruism and sportsmanship were not significant and therefore will be explained by using regression.

**Hypothesis 1a: testing the relationship of authentic leadership and OCB - altruism.**

*Hypothesis 1a: Leader's level (as reported by leader and follower) of authentic leadership will be positively related to followers' ratings of organizational citizenship behavior altruism (OCB-A).*

The ICC for testing hypothesis 1a and 2a was not significant to yield the use of a multilevel model. As a result, a simple regression model was used. $R^2$ for this model was 0.396 and therefore explains 39.60% of the total variation in the data about the average.

A significant, positive relationship was found between authentic leadership (L1_AUTH_FOL, as reported by leader and follower) and OCB – altruism (OCB-A) (see Table 6). This means authentic leadership has a significant, positive effect on individual followers choosing to engage in OCB-A (helping behaviors). Since this construct did not report an ICC that was significant, behaviors at the group level were not able to be measured. It is not known as to whether or not a leaders' level of authentic leadership (as reported by leader and follower) will have an effect on a group of followers' (as a whole) decision to engage in OCB-A behaviors (see Table 6).

**Hypothesis 2a: testing the relationship of authentic leadership and OCB – altruism as moderated by LMX.**

*Hypothesis 2a: Leader's level (as reported by leader and follower) of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior altruism (OCB-A) when moderating for LMX.*

When LMX was added in as a moderating variable (LMX_GM38*L1_AUTH_LEAD), there was a significant positive relationship (see

Table 6). This means the additive effect of a positive leader-follower relationship has a

positive effect on whether or not an individual follower will engage in OCB-A behaviors.

As previously mentioned, this construct was not measured at the group level. Therefore,

it is not known if the level of authentic leadership would have an effect on the entire

group. The relationship between authentic leadership and OCB-A is found in Table 6.

Table 6.

*Authentic Leadership and OCB Altruism Regression Table*

| Variable | Estimate | Standard Error | Pr> \| t \| | *B* |
|---|---|---|---|---|
| Intercept | 30.07 | 0.217 | <.0001* | 0 |
| LMX_GM38 | 0.047 | 0.044 | 0.290 | 0.086 |
| AUTH_LEAD | 0.012 | 0.033 | 0.711 | 0.022 |
| LMX_GM38*AUTH_LEAD | -0.004 | 0.004 | 0.376 | -0.048 |
| L1_AUTH_FOL | 0.15 | 0.030 | <.0001* | 0.375 |
| L2_AUTH_FOL | 0.095 | 0.056 | 0.093 | 0.104 |
| LMX_GM38*L1_AUTH_LEAD | -0.013 | 0.002 | <.0001* | -0.312 |
| $R^2$ | 0.396 | | | |

*\*p < .05*

**Hypothesis 1b: testing the relationship of authentic leadership and OCB –**

**civic virtue.**

*Hypothesis 1b: Leader's level (as reported by leader and follower) of authentic*

*leadership will be positively related to followers' ratings of organizational*

*citizenship behavior civic virtue (OCB-CIV).*

The ICC for testing hypothesis 1b and 2b was 0.08778. This indicates that 8.8 %

of the variability in the model occurred at the group level (Level 2) and was a positive

indicator to utilize a multilevel modeling for this outcome variable. We can infer from

the ICC (0.08778) that the remaining 91.2% of the variability in the model occurs at

Level 1. The pseudo R-squared value of .479 for the model in Level 2 indicates that

47.9% of the 8.8% variability occurs at Level 2. The pseudo R-squared value of .137 for

the model in Level 1 indicates that 13.7% of the remaining 91.2% variability occurs at

Level 1.

There was a significant positive relationship between overall authentic leadership

(AUTH_LEAD) and OCB-CIV (see Table 7). This means that the leaders' level of

authentic leadership will positively influence a followers' engagement in OCB-CIV

behaviors (a follower's concern and active interest in the life of the organization). The

higher the leaders' level of authentic leadership, the more likely a follower will engage in

OCB-CIV.

**Hypothesis 2b: testing the relationship of authentic leadership and OCB –**

**civic virtue moderated by LMX.**

*Hypothesis 2b: Leader's level (as reported by leader and follower) of authentic*

*leadership will be more positively related to followers' ratings of organizational*

*citizenship behavior civic virtue (OCB-CIV) while moderating for LMX.*

When LMX was added in as a moderating variable (LMX_GM38*AUTH_LEAD

and SUP_MEANLMX*AUTH_LEAD), the relationship between authentic leadership

and OCB-CIV was not significant (see Table 7). This means the additive effect of the

leader-follower relationship has no effect on whether or not a follower will engage in

OCB-CIV behaviors. The relationship between authentic leadership and OCB-CIV is

found in Table 7.

Table 7.

*Authentic Leadership and OCB Civic Virtue Solution for Fixed Effects*

| Effect | Estimate | Standard Error | Pr> \|t\| |
|---|---|---|---|
| Intercept | 20.79 | 0.27 | <.0001* |
| LMX_GM38 | 0.16 | 0.03 | <.0001* |
| SUP_MEANLMX | -0.36 | 0.14 | 0.02* |
| AUTH_LEAD | 0.13 | 0.04 | 0.003* |
| LMX_GM38*AUTH_LEAD | -0.007 | 0.004 | 0.09 |
| SUP_MEANLMX*AUTH_LEAD | 0.041 | 0.023 | 0.09 |

*\*p < .05*

**Hypothesis 1c: testing the relationship of authentic leadership and OCB –**

**conscientiousness.**

> *Hypothesis 1c: Leader's level (as reported by leader and follower) of authentic*
>
> *leadership will be positively related to followers' ratings of organizational*
>
> *citizenship behavior conscientiousness (OCB-CON).*

The ICC for testing hypothesis 1c and 2c was 0.09334.  This indicates that 9.3 %

of the variability in the model occurred at the group level (Level 2) and was a positive

indicator of the need to utilize multilevel modeling for this outcome variable.  We can

infer from the ICC (0.09334) that the remaining 90.7% of the variability in the model

occurs at Level 1.  The pseudo R-squared value of .179 for the model in Level 2 indicates

that 17.9% of the 9.3% variability occurs at Level 2.  The pseudo R-squared value of .244

for the model in Level 1 indicates that 24.4% of the remaining 90.7% variability occurs at

Level 1.

There a significant, positive relationship between authentic leadership and OCB-

CON at the individual level (Level 1) (see Table 8).  This means that the leaders' level of

authentic leadership has a positive effect on individual followers' engagement in OCB-CON behaviors (being mindful of the amount of time spent on breaks, arriving on time, leaving at the appropriate time, obeying company rules and regulations). However, at the group level, there was no relationship.

**Hypothesis 2c: testing the relationship of authentic leadership and OCB – conscientiousness.**

*Hypothesis 2c: Leader's level (as reported by leader and follower) of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior conscientiousness (OCB-CON) while moderating for LMX.*

When LMX was added in as a moderating variable, the relationship between authentic leadership and OCB-CON was not significant at Level 2, but was significant at Level 1 (see Table 8). This means that at the group level, there is no significant effect when adding in LMX. However, at Level 1, which is the individual level, the additive effect of the leader-follower relationship has a positive effect on whether or not individual followers will engage in OCB-CON behaviors. This means, the more authentic a leader, the more likely an individual will engage in conscientious behaviors. The relationship between authentic leadership and OCB-CON is found in Table 8.

Table 8.

*Authentic Leadership and OCB Conscientiousness Solution for Fixed Effects*

| Effect | Estimate | Standard Error | Pr> \|t\| |
|---|---|---|---|
| Intercept | 31.00 | 0.29 | <.0001* |
| LMX_GM38 | -0.031 | 0.05 | <0.506 |
| SUP_MEANLMX | -0.317 | 0.16 | 0.0648 |
| AUTH_LEAD | -0.004 | 0.04 | 0.9293 |
| LMX_GM38*AUTH_LEAD | -0.0003 | 0.004 | 0.9343 |
| SUP_MEANLMX*AUTH_LEAD | 0.005 | 0.02 | 0.8422 |
| L1_AUTH_FOL | 0.139 | 0.031 | <.0001* |
| L2_AUTH_FOL | 0.202 | 0.086 | 0.060 |
| LMX_GM38*L1_AUTH_FOL | -0.0083 | 0.002 | 0.0005* |

*\*p < .05*

**Hypothesis 1d: testing the relationship of authentic leadership and OCB –**

**courtesy.**

*Hypothesis 1d: Leader's level (as reported by leader and follower) of authentic*

*leadership will be positively related to followers' ratings of organizational*

*citizenship behavior courtesy (OCB-COURT).*

The ICC for testing hypothesis 4a and 4b was 0.05131. This indicates that 5.1%

of the variability in the model occurred at the group level (Level 2). It is a positive

indicator of the need to utilize multilevel modeling for this outcome variable. We can

infer from the ICC (0.05131) that the remaining 94.9% of the variability in the model

occurs at Level 1. The pseudo R-squared value of .861 for the model in Level 2 indicates

that 86.1% of the 5.1% variability occurs at Level 2. The pseudo R-squared value of .203

for the model in Level 1 indicates that 20.3% of the remaining 94.9% variability occurs at Level 1.

There was a significant positive relationship between authentic leadership (AUTH_LEAD) and OCB-COURT (see Table 9). This means that the leaders' level of authentic leadership has a positive effect on a followers' decision to engagement in OCB-COURT behaviors (consulting with others before making decisions, giving others advance notice, passing along organizational information and issuing reminders to others).

**Hypothesis 2d: testing the relationship of authentic leadership and OCB – courtesy as moderated by LMX.**

*Hypothesis 2d: Leader's level (as reported by leader and follower) of authentic leadership will be more positively related to followers' ratings of organizational citizenship behavior courtesy (OCB-COURT) while moderating for LMX.*

When LMX was added in as a moderating variable, the relationship of authentic leadership and OCB-COURT was significant and positive within each group of followers (LMX_GM38*AUTH_LEAD) (see Table 9). This means that within each group, the additive effect of the leader-follower relationship positively influences a follower's choice to engage in OCB-COURT behaviors. However, when reviewing the between group relationship (SUP_MEANLMX*AUTH_LEAD), no relationship was present. This means group components are independent between groups, but dependent within groups. The relationship between authentic leadership and OCB-COURT is found in Table 9.

Table 9.

*Authentic Leadership and OCB Courtesy Solution for Fixed Effects*

| Effect | Estimate | Standard Error | Pr> \|t\| |
|---|---|---|---|
| Intercept | 30.35 | 0.23 | <.0001* |
| LMX_GM38 | 0.22 | 0.03 | <.0001* |
| SUP_MEANLMX | -0.28 | 0.12 | 0.05* |
| AUTH_LEAD | 0.12 | 0.034 | 0.006* |
| LMX_GM38*AUTH_LEAD | -0.014 | 0.005 | 0.005* |
| SUP_MEANLMX*AUTH_LEAD | 0.008 | 0.02 | 0.68 |

*\*p < .05*

**Hypothesis 1e: testing the relationship of authentic leadership and OCB -**

**sportsmanship.**

> *Hypothesis 1e: Leader's level (as reported by leader and follower) of authentic*
>
> *leadership will be positively related to followers' ratings of organizational*
>
> *citizenship behavior sportsmanship (OCB-S).*

The ICC for testing hypothesis 1e was not significant to use a multilevel model.

As a result, a simple regression model was used. There was no relationship between

authentic leadership and OCB – sportsmanship (OCB-S) (see Table 10). This means that

the leaders' level of authentic leadership will not influence a followers' decision to

engage in OCB-S behaviors (the willingness of a follower to refrain from complaining

about less than ideal work circumstances and/or conditions).

**Hypothesis 2e: testing the relationship of authentic leadership and OCB -**

**sportsmanship.**

*Hypothesis 2e: Leader's level (as reported by leader and follower) of authentic*

*leadership will be more positively related to followers' ratings of organizational*

*citizenship behavior sportsmanship (OCB-S) while moderating for LMX.*

When LMX was added in as a moderating variable, the relationship did not

change. This means the additive effect of the leader-follower relationship has no effect

on whether or not a follower will engage in OCB-S behaviors. The relationship between

authentic leadership and OCB-S is found in Table 10.

Table 10.

*Authentic Leadership and OCB Sportsmanship Regression Table*

| Variable | Estimate | Standard Error | Pr> $\mid$ t $\mid$ | *B* |
|---|---|---|---|---|
| Intercept | 28.98 | 0.29 | <.0001* | 0 |
| LMX_GM38 | 0.21 | 0.04 | <.0001* | 0.316 |
| AUTH_LEAD | 0.02 | 0.04 | 0.71 | 0.023 |
| LMX_GM38*AUTH_LEAD | -0.001 | 0.004 | 0.82 | -0.014 |
| $R^2$ | 0.102 | | | |

*\*p < .05*

Table 11 presents a summary of hypothesized relationship findings.

Table 11.

*Summary of Hypothesized Relationship Findings*

| Hypothesis | Multilevel or regression | Support? |
|---|---|---|
| H1a OCB-A | Regression | Supported. Significant positive relationship. |
| H2a OCB-A w/LMX | Regression | Supported. Significant positive relationship. |
| H1b OCB-CIV | Multilevel | Supported. Significant positive relationship. |
| H2b OCB-CIV w/LMX | Multilevel | Not supported. No significant relationship. |
| H1c OCB-CON | Multilevel | Supported at the individual level (Level 1). Significant positive relationship. Not supported at the group level (Level 2). No significant relationship. |
| H2c OCB-CON w/LMX | Multilevel | Supported at the individual level (Level 1). Significant positive relationship. Not supported at the group level (Level 2). No significant relationship. |
| H1d OCB-COURT | Multilevel | Supported. Significant positive relationship. |
| H2d OCB-COURT w/LMX | Multilevel | Partially supported. Significant positive relationship within groups. No significant relationship between groups. |
| H1e OCB-S | Regression | Not supported. No significant relationship. |
| H2e OCB-S w/LMX | Regression | Not supported. No significant relationship. |

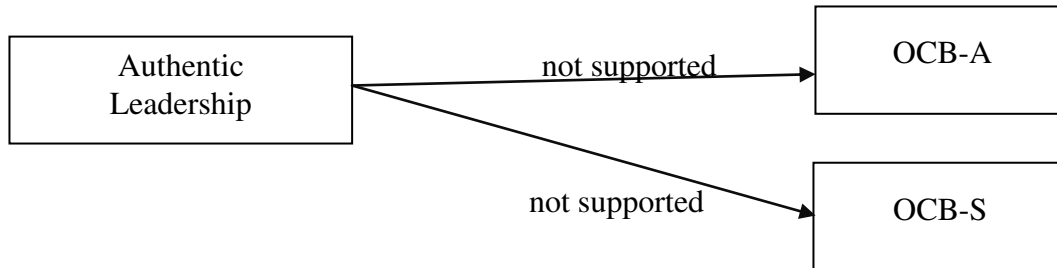The final model for hypothesis testing 1a and 1e is provided in Figure 4.



*Figure 4.* Final Model for Testing Hypothesis 1a and 1e

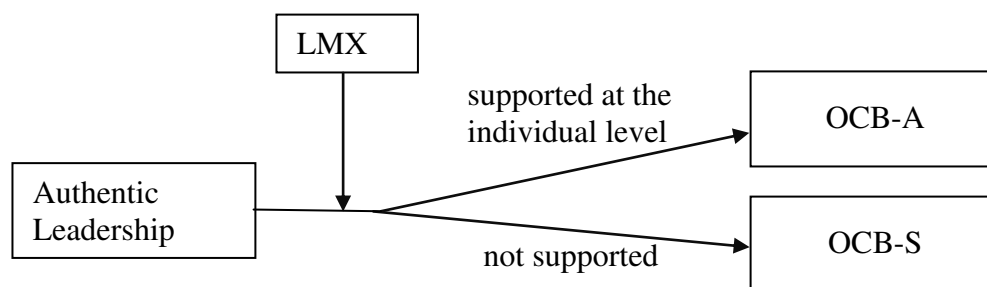The final model for hypothesis testing 2a and 2e is provided in Figure 5.



*Figure 5.* Final Model for Testing Hypothesis 2a and 2e

The final model for hypothesis testing 1b and 2b is provided in Figure 6.
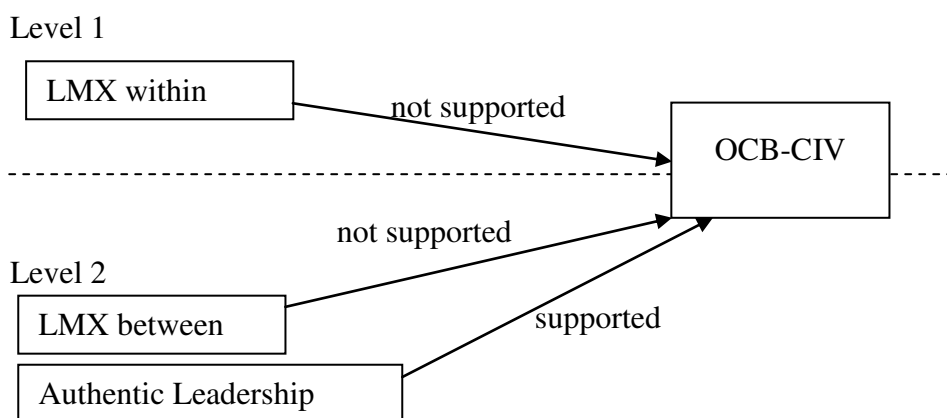


*Figure 6.* Final Model for Testing Hypothesis 1b and 2b

The final model for hypothesis testing 1c and 2c is provided in Figure 7.

Level 1

```
┌─────────────────────┐
│  LMX within         │
└─────────────────────┘
                                    supported
┌─────────────────────┐
│ Authentic Leadership –│
│ individual level    │
└─────────────────────┘       supported        ┌──────────────┐
- - - - - - - - - - - - - - - - - - - - - - - - │  OCB-CON     │ - -
                                                 └──────────────┘
                        not supported
Level 2
┌─────────────────────┐
│  LMX between        │
└─────────────────────┘
                              not supported
┌─────────────────────┐
│ Authentic Leadership –│
│ group level         │
└─────────────────────┘
```
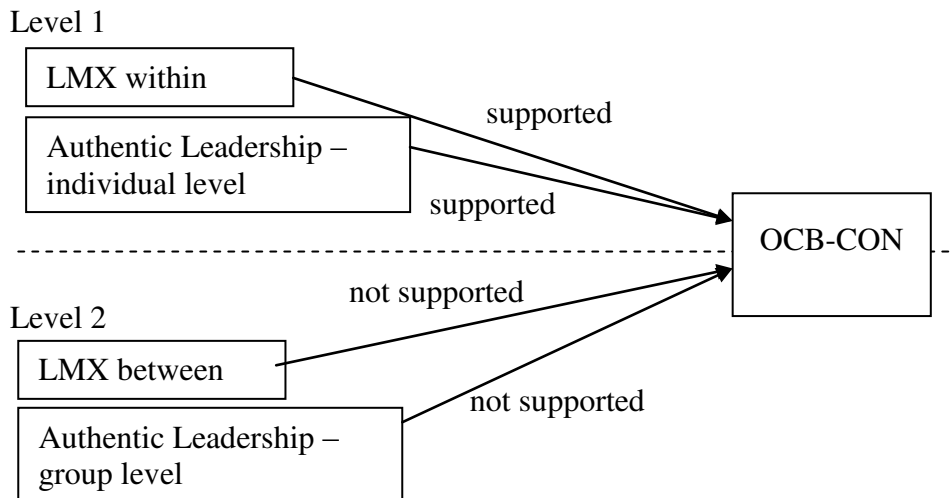
*Figure 7.*  Final Model for Testing Hypothesis 1c and 2c

The final model for hypothesis testing 1d and 2d is provided in Figure 8.

Level 1

```
┌─────────────────────┐
│  LMX within         │        within group supported
└─────────────────────┘                              ┌──────────────┐
- - - - - - - - - - - - - - - - - - - - - - - - - - -│  OCB-        │ - - -
         between group, not supported                │  COURT       │
Level 2                                               └──────────────┘
┌─────────────────────┐
│  LMX between        │
└─────────────────────┘              supported
┌─────────────────────┐
│ Authentic Leadership │
└─────────────────────┘
```

*Figure 8.*  Final Model for Testing Hypothesis 1d and 2d

**CHAPTER V**

**Discussion**

This study tested the effect of authentic leadership on the constructs of OCB: altruism, civic virtue, conscientiousness, courtesy, and sportsmanship.  It was predicted that 1) authentic leadership would be positively related to follower's ratings of the organizational citizenship behavior c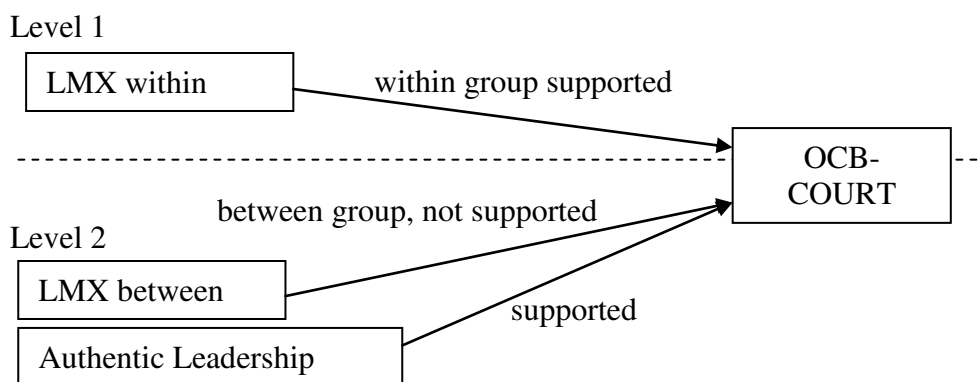onstructs and 2) LMX would positively modify the relationship such that when LMX was present, the relationship between authentic leadership and the OCB would be stronger.  This chapter will focus on the interpretation of the results, limitations of this study, implications for research and practice, and suggestions for future research.

**Authentic Leadership, OCB Altruism, and LMX**

Hypothesis 1a suggested that when a leaders' rating (rating is from the follower and leader perspective) of authentic leadership is high, followers would be more likely to engage in altruistic (helping) behaviors.  This study found a relationship between individual direct reports and their respective leaders' level of authentic leadership. However, at the group level, there was no relationship found.  This means, a leader who is seen as authentic will have a positive effect on individuals they supervise, but they will not have any effect on the overall group.  It is important to remember that OCB are *discretionary* – meaning they are not required nor enforced by management.

Altruistic behaviors consist of coworkers helping one another with a task or problem that is organizationally related (Bambale, Shamsuin, & Subramaniam, 2011).  It can be assumed from this definition that the leader does not have a direct effect on whether or not a group of coworkers choose to help each other – it is the decision made

by the employees.  However, when reviewing the data presented in this study, the leader

can have a positive effect on individuals making this decision.

Overall, it is the relationship between the coworkers that can determine whether

or not one chooses to demonstrate altruistic behaviors in the workplace.  Another reason

the leader's authenticity may or may not have an effect on this relationship could be the

potential for the follower to think that if their leader sees them "helping" another

coworker, this behavior is taking away time from their current task at hand (Carmeli &

Freund, 2002).

Hypothesis 1b suggested when high LMX is present between leader and follower,

the relationship between authentic leadership and OCB-A would be strengthened.  When

LMX was added into the relationship between authentic leadership and altruism, the

relationship became significant and positive only at the individual level.  This means that

the perception by the individual follower, of the leader's authenticity along with the

individual relationship between each leader and their respective follower will have a

positive effect on an employee's decision to engage in helping behaviors.

This finding is supported by Walumbwa et al. (2010).  In their research, they

explain how leaders who seek out positive relationships (high LMX) in the work place

along with being perceived as more authentic foster helping behaviors by 1) emphasizing

the importance of helping your coworkers; and 2) demonstrating helping behaviors in the

workplace.

**Authentic Leadership, OCB Civic Virtue, and LMX**

Hypothesis 2a suggested that when a leaders' rating of authentic leadership is

high, followers would be more likely to engage in behaviors that positively support the

organization and keep employees "in the loop" (i.e., attending meetings, reading memos, etc.). This study found a significant, positive relationship between a leaders' level of authentic leadership and follower civic virtue behaviors. Supporting this finding, Podsakoff, Ahearne, and MacKenzie, (1997) linked civic virtue to effective workplace teams because this behavior involves using organizational information to make constructive suggestions about how the team can improve efficiency, and in turn, either make resources more available and/or make employees more effective.

One can support this finding by understanding that authentic leaders are involved in their organization because they truly believe in the organization's objectives, mission, and vision. With regard to the authentic leadership constructs of self-regulation and relational transparency, authentic leaders promote this belief of the organization to their followers. When followers witness their leader engaging in behaviors that support and enhance the organization, they, in turn, are more inclined to do so.

Hypothesis 2b suggested when high LMX is present between leader and follower, the relationship between authentic leadership and OCB-CIV would be strengthened. Interestingly, the relationship between authentic leadership and civic virtue was not significant when LMX was present. Most LMX studies have measured LMX and overall OCB (Ilies et al., 2002; Posakoff et al., 1997; Wayne & Green, 1993). These studies assumed that higher LMX would lead to followers engaging in more and more overall OCBs. However, this study is one of the first to use LMX to moderate a relationship between a leadership theory and a specific OCB construct.

It is possible that when a leader is truly authentic and has high LMX, the subordinates may receive enough internal organizational information to where they (the

followers) do not feel they have to act upon organizational issues. It is also possible that in this study, certain followers were not included in meetings, memos, or functions and therefore, they deemed these items as not important.

When reviewing the early literature on LMX (Dansereau, Graen, & Haga, 1975; Graen & Cashman, 1975), emphasis was placed on the in-group and out-group status. Those who were deemed "in-group" tend to have expanded/negotiated role responsibilities (additional work-related roles). In-group leader-follower relationships are marked by liking, mutual trust, respect, and reciprocal influence. Typically, in-group followers receive more information, influence, confidence, and concern than out-group members. The out-group consists of employees who strictly follow the formal employment contract (defined-roles). Typically, these leader-follower relationships are marked by formal communication based solely on job descriptions.

To shed light on these assumptions, Table 12 lists the construct questions for OCB-Civic Virtue. Each response is rated on a 1-7 Likert scale (1 = strongly disagree; 7 = strongly agree). Each question is subjective and depending on where a person lands regarding in-group or out-group (or where they perceive they land) can dictate how each question is answered. Other factors that should be considered are family commitments, job structure, level/title in the organization and tenure with the organization.

Table 12.

*Civic Virtue Scale (OCB-CIV)*

1. I attend functions that are not required, but help the company's/institution's image.

2. I read and keep up with organization/institution announcements, memos, and so on.

3. I attend meetings that are not mandatory, but are considered important.

4. I keep abreast of changes in the organization/institution.

**Authentic Leadership, OCB Conscientiousness, and LMX**

Hypothesis 1c suggested that when a leaders' rating of authentic leadership is high, followers would be more likely to engage in conscientious behaviors. This study found a significant, positive relationship between authentic leadership and conscientiousness at the individual level (Level 1) which would be from the perspective of individual followers (L1_AUTH_FOL) but not at the group level (Level 2), which is a group of followers (L2_AUTH_FOL) assigned to a particular leader. This means, from the individual perspective of the follower, their immediate supervisor's authenticity has a positive effect as to whether or not a follower will comply with norms that define a good worker and carry out in-role behaviors (i.e., individual task performance) well beyond the minimum required levels. However, when the data is analyzed at the group level, the relationship is not significant. This means that when the group is looked at as a whole, the authenticity of the leader does not have an effect on the entire group's decision to engage in conscientious behaviors.

Hypothesis 2c suggested when high LMX is present between leader and follower, the relationship between authentic leadership and OCB-CON would be strengthened. This study found the relationship between authentic leadership and conscientiousness at

the individual level (LMX_GM38*L1_AUTH_FOL) was moderated by LMX.  This means when there is a high leader-member relationship per individual team member, the follower is more likely to engage in OCB-CON behaviors.  The relationship was not significant at the group level.  This means that overall, the leader does not have an effect on the group as a whole.

Conscientiousness is the attribute of being meticulous and careful, or the characteristic of behaving in accordance with the principles of one's conscience.  It includes such elements as self-discipline, carefulness, thoroughness, organization, deliberation, and need for achievement (Fisk & Friesen, 2012).  In fact, conscientiousness is one of the "Big Five" personality traits – personality traits that have been historically attributed to leaders (Northouse, 2010).  According to Hogan (1983) personality factors underlie a "service orientation".  Such an orientation indicates a person's disposition to be helpful, kind, respectful, and cooperative.

Job satisfaction may play a larger role in a follower's decision to engage in conscientious behaviors versus authentic leadership and LMX.  Barnard (1938, p. 85) hypothesized that "willingness to cooperate…is the expression of the net satisfactions or dissatisfactions experiences or anticipated…"  This proposition was tested in several studies.  Bateman and Organ (1983) found a correlation of .41 between employee satisfaction and supervisory OBC ratings in a group of 77 nonacademic university employees.  Smith, Organ, and Near (1983) reported correlations of .33 and .29 between job satisfaction and, respectively, altruism and compliance in a study of 422 employees of two large banks.

For the most part, conscientiousness is very personal and typically cannot be dictated by an outside influence. However, according to this study, individual followers in this data set believe they will engage in more conscientious behaviors if their respective leader is more authentic and they have a quality relationship.

**Authentic Leadership, OCB Courtesy, and LMX**

Hypothesis 4a suggested that when a leaders' rating of authentic leadership is high, followers would be more likely to engage in courteous behaviors. This study found a significant, positive relationship between a leaders' level of authentic leadership and follower behaviors of OCB courtesy.

Hypothesis 4b suggested when high LMX is present between leader and follower, the relationship between authentic leadership and OCB-COURT would be strengthened. This study found a significant, positive relationship between a leaders' level of authentic leadership and follower behaviors of OCB courtesy when LMX was present within groups. However, no significant relationship was found when the data was analyzed between groups. According to the data, the leader's LMX within a group has a significant, positive effect on the group's followers. However, each group is independent and cannot be compared with the others – that is why there is no relationship between.

Sharing information with co-workers, whose work could be affected by one's own decisions, "touching base" consultation, passing along information, sharing advance notice, giving reminders are all examples of OCB courtesy behaviors (Organ, 1988). It is likely that when a leader demonstrates this kind of behavior with their followers, it is likely the followers will demonstrate the behaviors as well. It is also likely that when a

leader, who is high in authentic leadership, shares expectations with his or her team (relational transparency) team members will follow suit.

The addition of leader member exchange strengthened this relationship. It is more likely that a leader, who rates high in authentic leadership (as rated by leader and follower), who also has high LMX with their followers, will have a team that is more likely to engage in OCB courtesy behaviors. Overall, this finding explains the notion that subordinates will model leader behavior they find appealing (Northouse, 2010).

**Authentic Leadership, OCB Sportsmanship, and LMX**

Hypothesis 5a suggested that when a leaders' rating of authentic leadership is high, followers would be more likely to engage in altruistic behaviors. Hypothesis 5b suggested when high LMX is present between leader and follower, the relationship between authentic leadership and OCB-S would be strengthened. This study found no relationship between authentic leadership and OCB-S. Also, LMX did not moderate the relationship between authentic leadership and OCB-S.

This means that no matter how authentic the leader appears to be, or how developed the relationship is between the leader and the follower, there is no direct leader influence on the decision of the follower to engage in sportsmanship behaviors in the workplace.

Organ (1990) defined sportsmanship as "a willingness to tolerate the inevitable inconveniences and impositions of work without complaining" (p. 96). However, his definition seems somewhat constricted. For example, Podsakoff et al., (2000) explains that good sports are "people who not only do not complain when they are inconvenienced by others, but also maintain a positive attitude even when things do not go their way, are

not offended when others do not follow their suggestions, are willing to sacrifice their

personal interest for the good of the work group, and do not take the rejection of their

ideas personally" (p. 517).

This being said, when the construct questions are reviewed, it should be

recognized that participants in this study may have had a different view on how to answer

each question. Also, each question is reverse coded, therefore if a participant chose to

rate all of their perceived OCBs the same (not taking enough time to carefully read each

question) the data may not accurately reflect a participant's actual stance on

sportsmanship related behaviors. See Table 13.

---

*Table 13.*

*Sportsmanship Scale (OCB-S)*

---

1. I tend to make "mountains out of molehills." (R)

2. I always find fault with what the organization/institution is doing. (R)

3. I consume a lot of time complaining about trivial matters. (R)

4. I am the classic "squeaky wheel" that always needs greasing. (R)

5. I always focus on what's wrong, rather than the positive side. (R)

---

*(R) = reverse coded*

It also can be argued that a highly developed relationship between leader and

follower could potentially have the opposite effect on sportsmanship. If a leader is

genuinely authentic and the leader-follower relationship is in phase three of the

leadership-making process as outlined by Graen and Uhl-Bien (1995) (which is marked

by high-quality LMX, high degree of mutual trust, respect, and obligation toward each

other, high degree of reciprocity between leaders and subordinates, well developed

patterns of relating that produce positive outcomes for both themselves & the organization), a follower could feel empowered to speak to their leader about negative organizational matters.

## Recommendations

**Implications for Practice**

There are various practical implications pertaining to this study.  In the training and development sector, human resources personnel can use the study to better understand human behavior – how people are motivated, how they are influenced (or not influenced) by their manager, and what kind of methods to use to help get the best work out of employees.  This will assist in the process forming teams in the workplace, hiring new employees, and the occasional need to discharge some employees.

This study can assist leaders in organizations to recommend effective strategies to positively influence follower behavior across different organizational levels.  The results of this study can be used at the individual, group, and organizational level.  The results can also be used at the employee, team leader, manager, and CEO level.  Various strategies include targeted training and development along with accommodations and changes in the work environment.  Additionally, organizations may also apply the research findings to propose solutions to develop authentic leadership across different organizational levels.

Consistent with the suggestion of George (2003), it is recommended for organizations to develop the authenticity of leaders in their respective organizations.  For example, leaders may need to be trained to develop high self-awareness, to understand

their own strengths and areas of improvement, and to lead with purpose, values, consistency, and self.

**Strengths of Findings**

A major strength of this study is that this is the first study known to link authentic leadership with five distinct constructs of organizational citizenship behavior. Several significant results were found that lend to the understanding of how a leaders' authentic leadership and the leader-follower relationship can have an effect on those with whom they work. All of the measures in this study performed above recommended reliability. High level statistical analysis was utilized, offering a depth of analysis not often found in much of the leadership research.

**Limitations of Findings**

In the current study, authentic leadership was able to explain 13.7% to 86.1% of the variance in the outcome variables. Thus, significant variability was left unexplained at both Level 1 and Level 2. The data did not converge in this study. This means there was no variability between intercepts for each leader. Intercepts are the predicted values of an individual's status at some fixed point and in this data's case the intercepts were too similar and therefore could not be analyzed as one model. This may have been a result of the correlation of the OCB constructs.

Finally, the results of this study cannot be generalized to all industries or organizations. The sample population was drawn from seven distinctly different for-profit organizations in the Midwest with well-defined hierarchies and reporting structures. Findings should not be generalized to not-for-profit organizations or

organizations with a flat reporting structure.  Findings should not be generalized to different geographic areas of the United States or a global organization.

**Suggestions for Future Research**

This study is among the first to explore the relationship between authentic leadership and the five constructs of organizational citizenship behavior, modified by LMX.  As a result, there are numerous ways in which research can continue to refine and develop this framework.  There is a need to collect measures of other related leadership constructs to assess if authentic leadership uniquely contributes to positive follower outcomes above and beyond other positive forms of leadership such transformational, servant, and ethical leadership.

There is a need to expand this research to not only larger sample sizes within the for-profit setting, but also to expand to other types of organizations and industries, including not-for-profit and educational.  Other moderating and mediating variables (ex. organizational culture, trust in leader, values) could be added to the framework to measure effect and results.

It is important to emphasize that the hypotheses tested in this study centered on the general theory of authentic leadership, not its specific constructs.  For that reason, it is suggested that future research regarding authentic leadership should continue to investigate each of the four constructs, as well as the overall theory, e.g., self-awareness is not the same relational transparency, and so forth.

Finally, with regard to methodology and rigor, it is suggested to incorporate qualitative methods of researching authentic leadership.  This will add richness to the

data and lead to better understanding of general authentic leadership and authentic

leadership development.

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    and employees: Multi-level theory building for sustained performance. In W. L.

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    *follower moral identity* (Doctoral dissertation, University of Nebraska-Lincoln,

    Lincoln, NE). (UMI No. 3216345)

**APPENDIX A - Definitions of Terms**

Authentic behavior: Actions that are guided by the leader's true self as reflected by core

values, beliefs, thoughts, and feelings, as opposed to environmental contingencies

or pressures from others" (Gardner et al., 2005, p. 347).

Authentic leaders: Leaders who are "anchored by their own deep sense of self (self-

awareness)…know themselves and remain true to their values" (Walumbwa et al.,

2008, p. 104).

Authenticity: "The unobstructed operation of one's true, or core, self in one's daily

enterprise" (Kernis, 2003, p. 13).

Bivariate Regression: Also referred to as simple linear or ordinary least-square (OLS)

regression. The simplest regression model is the bivariate one, in which there is

one response or dependent variable, and one predictor or independent variable,

and the relationship between the two is represented by a straight line (Blaikie,

2003).

Clustered data: Individual data that can logically be grouped based on some commonality

(e.g., litters of kittens, children who have the same teacher, employees who report

to the same supervisor). Simply grouping non-related data together is not

clustered data.

Confirmatory Factor Analysis (CFA): A special form of factor analysis used to test

whether measures of a construct are consistent with a researcher's understanding

of the nature of that construct (or factor). CFA allows for the explicit constraint

of certain loadings to be zero (Harrington, 2009).

Hierarchical data: Involves measurement at multiple levels such as individual and group.

Leader-Member Exchange (LMX): Describes the relationship between supervisors and

    direct reports. More specifically, high-quality LMX relationships are

    characterized by high mutual influence, trust, respect, liking, and reciprocity

    (Liden & Maslyn, 1998), while low-quality LMX relationships are more

    commonly based on task-related behaviors and a stricter employment-contract

    relationship.

Level 1: Lowest level of data. In the current study, represented by employee responses.

    Also referred to as micro level.

Level 2: Second level of data. In the current study represented by supervisor responses.

    Also referred to as macro level.

Multilevel model: A form of hierarchical regression analysis developed to handle

    hierarchical data and clustered data.

Organizational Citizenship Behaviors (OCB): Nontask behaviors that are not outlined in

    an employee's job description. These behaviors are important because "they

    contribute to organizational effectiveness in ways that shape the organizational,

    social, and psychological context that serves as the catalyst for task activities and

    processes" (Borman & Motowidlo, 1997, p. 100).

Parameter: A quantity that serves to relate functions and variables using a common

    variable when such a relationship would be difficult to explicate with an equation.

Q-sort: A ranking of variables typically presented as statements printed on small cards,

    according to some "condition of instruction"; a method of assessing reliability and

    construct validity of questionnaire items that are being prepared for survey

    research (Block, 1961).

Structural Equation Modeling (SEM): A statistical technique for testing and estimating
causal relations using a combination of statistical data and qualitative causal
assumptions. SEM allows both confirmatory and exploratory modeling, meaning
they are suited to both theory testing and theory development (Bagozzi & Yi,
2012).

**APPENDIX B - Institutional Review Board Letter of Approval**

August 11, 2011

Heather Stewart
Agricultural Leadership, Education and Communication
300 AGH, UNL, 68583-0709

Gina Matkin
Agricultural Leadership, Education and Communication
300 AGH, UNL, 68583-0709

IRB Number: 20110811945 EP
Project ID: 11945
Project Title: Authentic Leadership, Leader-Member Exchange, and Organizational Citizenship Behavior: A Multilevel Analysis

Dear Heather:

This letter is to officially notify you of the approval of your project by the Institutional Review Board (IRB) for the Protection of Human Subjects. It is the Board's opinion that you have provided adequate safeguards for the rights and welfare of the participants in this study based on the information provided. Your proposal is in compliance with this institution's Federal Wide Assurance 00002258 and the DHHS Regulations for the Protection of Human Subjects (45 CFR 46). Your project has been reviewed as Expedited Category 7.
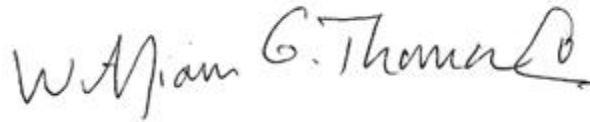
Date of EP Review: 7/26/2011

You are authorized to implement this study as of the Date of Final Approval: 08/11/2011. This approval is Valid Until: 08/10/2012.

1. Please include the IRB approval number (IRB# 20110811945 EP) in the on-line consent documents. Please email a copy of the on-line consent documents, with the number included, to irb@unl.edu for our records. If you need to make changes to the consent documents please submit the revised documents to the IRB for review and approval prior to using them.

2. We wish to remind you that the principal investigator is responsible for reporting to this Board any of the following events within 48 hours of the event:

   * Any serious event (including on-site and off-site adverse events, injuries, side effects, deaths, or other problems) which in the opinion of the local investigator was unanticipated, involved risk to subjects or others, and was possibly related to the research procedures;

   * Any serious accidental or unintentional change to the IRB-approved protocol that involves risk or has the potential to recur;

   * Any publication in the literature, safety monitoring report, interim result or other finding that indicates an unexpected change to the risk/benefit ratio of the research;

   * Any breach in confidentiality or compromise in data privacy related to the subject or others; or

   * Any complaint of a subject that indicates an unanticipated risk or that cannot be resolved by the research staff.

For projects which continue beyond one year from the starting date, the IRB will request continuing review and update of the research project. Your study will be due for continuing review as indicated above. The investigator must also advise the Board when this study is finished or discontinued by completing the enclosed Protocol Final Report form and returning it to the Institutional Review Board.

If you have any questions, please contact the IRB office at 472-6965.

Sincerely,

William Thomas, Ph.D.
Chair for the IRB

**APPENDIX C - Cover Letter to Participants**

**INSTITUTE OF AGRICULTURE AND NATURAL RESOURCES**
DEPARTMENT OF AGRICULTURAL LEADERSHIP,
EDUCATION AND COMMUNICATION

Heather M. Stewart
Agricultural Leadership, Education and Communication
University of Nebraska–Lincoln
P. O. Box 830709
Lincoln, NE 68583-0709
Heather.stewart2@gmail.com
402-430-4672

August 28, 2011

My name is Heather Stewart and I am a doctoral student at the University of Nebraska. I have come to the point of my doctoral program where I must collaborate with an organization to study their leaders/managers and their employees.  Your organization was selected to be contacted for this study because of its reputation or stated commitment to employee development.

This research project (dissertation) is the final requirement for my doctoral degree.  This study is also a potential opportunity for your organization to gather useful, information about your leaders/managers and employees for free.  Ultimately, it is anticipated that this research project will better enable you to understand how to help your employees achieve greater work performance.

I am contacting you in hopes that I may be able to collaborate with your organization.  This research project will examine leader/manager and subordinate/follower characteristics that facilitate behavior related to two positive organizational outcomes – leader-member exchange and positive organizational behavior.  It is anticipated that specific leadership characteristics of leaders/managers will be positively associated with positive behavior related to the organization and better relationships between leaders/managers and their employees.

Participation requires leaders/managers and their respective followers to fill out an on-line survey. The leaders/managers will be asked to complete a web-based survey to measure one thing: their perception of their leadership style.  The leader's respective followers will be asked to complete a web-based survey to measure three things: 1) the follower's perception of their manager's leadership style; 2) the follower's perception of the professional relationship they have with their leader; and 3) the follower's perception of their own work-related behaviors that go above and beyond the basic job description.

All surveys will be distributed electronically.  The leader's survey is 16 questions and should take approximately 4-5 minutes to complete.  The follower's survey is 47 questions and should take approximately 15-20 minutes to complete.  For those employees who serve both as a leader and a follower, I would ask them to fill out both surveys.  This survey contains 63 questions, which would take approximately 25-30 minutes to complete.

All questions are answered on a likert scale (click to answer); this survey does not contain any requests for open-ended responses. **The information gathered from your organization will be confidential. Stringent protocol will be followed to ensure all information will remain confidential.** In order to match up leaders and followers, I will ask for your company's organizational chart and employee's e-mail addresses. I will use the chart only for the purpose of coding the surveys. I will use the e-mail addresses only for the purpose of sending a participant request message (where the employee can immediately access the survey). If needed, I will send only one follow-up message (10 days prior to the survey deadline) to those employees who have not either completed the survey or chosen to opt out. It is requested to allow employees to complete this survey on work time. In addition to this request, to preserve the nature of the research, please ensure each employee has the ability to complete their survey in private.

The surveys will be coded to match leaders and their respective followers. I will code all surveys prior to electronic submission. During the survey completion window, only the Principle Investigator (Heather Stewart) will retain a copy of the coding. The copy of the coding will be kept in a locked filing cabinet in the investigator's private home office (which has a locked door).

This copy of the coding will be retained only for the purpose of sending follow-up emails. The principle investigator will only have access to names of who has completed the survey – there will be no access to the individual responses. Once the survey completion window has expired, all identifying information will be destroyed by utilizing a paper shredder. At all times, only the principle investigator (Heather) will see the identifying information.

Participation will require either an email or a letter of approval from your organization on company letterhead indicating the estimated number of leaders and followers that will participate and who the contact person will be. It is anticipated that I will work with your human resource department in distributing the electronic survey. I would like to distribute this survey in September, 2011, depending on the availability of your organization. If you have questions regarding this request, you may either me or my advisor:

**Names and Phone numbers of investigators:**

Heather M. Stewart, M.S. – Principle Investigator: Cell (402) 430-4672
hstewart@unlnotes.unl.edu

Gina S. Matkin, Ph.D. – Co-Investigator: Office: (402) 472-4454
gmatkin1@unl.edu

Thank you for your consideration of this request.

Sincerely,

Heather M. Stewart
Doctoral Candidate

**APPENDIX D - Study Participants' Informed Consent**

WEB-BASED INFORMED CONSENT FORM: **FOLLOWER**

IRB #: 20110811945 EP

**Identification of Project:**
Authentic Leadership, Leader-Member Exchange, and Organizational Citizenship Behavior: A Multilevel Analysis

You are invited to take part in a research study being conducted at the University of Nebraska-Lincoln. It is important that you read and understand several general principles that apply to all who take part in this research study: (1) taking part in this study is entirely voluntary; (b) you may not benefit directly as a result of taking part in this study, but knowledge may be gained that might benefit others; (c) you are free to withdraw from the study at any time without affecting your relationship with the investigators or the University of Nebraska-Lincoln; (d) leaving the study will not cause a penalty or loss of any benefits to which you are otherwise entitled.

**Purpose of the Research:**
This research is being conducted as a part of the requirement for a doctoral dissertation. You are invited to participate in a research study related to the attitudes and behaviors of authentic leadership. You participation in this study will contribute to the field's understanding of these areas and its impact on leadership, organizational behavior, and performance. You must be 19 years of age or older to participate in the study. Managers and/or training personnel were asked to submit the names of leaders who supervise two or more followers who might be interested in participating in the project. **You are being contacted because your leader (supervisor) has agreed to participate in the study and has identified you as a follower (supervisee).**

**Procedures:**
Participation in this study will be conducted online. If you consent, you will be asked to electronically complete a questionnaire. The questionnaire involves a simple format that will ask you to respond using the scale provided. The questionnaire and scripts require approximately 15-20 minutes of your time. **You are to complete this survey in a private setting.**

**Benefits**
You may find the learning experience from this project enjoyable as you mentally process the personal and organizational oriented questions. Your willingness to take part, may, in the future, help society as a whole better understand this research topic.

**Possible Risks and/or Discomforts**
There are no known risks or discomforts associated with this research. In the event of problems resulting from participation in the study, psychological treatment is available on a sliding fee scale at the UNL Psychological Consultation Center, telephone (402) 472-2351.

**Rewards/Compensation for Study Participation**
You will be entered into a drawing for one of six $25 Amazon.com gift cards. Odds of winning one gift card are based on the total number of participants. Approximate odds are 6:300.

**Additional Costs Related to Participation**
There are no costs to the study participant.

**Freedom to Withdraw**
Participation in this study is voluntary.  You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, or your organization.  You will in no way receive a penalty or loss of benefits to which you are otherwise entitled.

**Confidentiality**
Any information obtained during this study, which could identify subjects, will be kept strictly confidential to the immediate research team, which includes the principle investigator and one co-investigator.  The online data will be stored on a secure server and stored by a unique code (not by participant name).  Any non-electronic data will be stored in a locked cabinet in the investigator's office and will only be seen by the principle investigator during the study and for five years after the study is complete.  The information obtained in this study may be published in scientific journals or presented at scientific meetings but the data will be reported as aggregated data.  Your organization will only see data that is 1) overall/organization wide and 2) aggregated.  Data will not be separated by department, team, or personnel.

**Opportunity to ask questions:**
You may ask any questions concerning this research and have those questions answered before agreeing to participate in or during the study. You may call either of the investigators at any time.  Heather Stewart's cell phone number is (402) 430-4672 and Dr. Gina Matkin's office phone number is (402) 472-4454.  If you have any questions concerning your rights as a research subject that have not been answered by the investigators, you may contact the University of Nebraska-Lincoln Institutional Review Board at (402) 472-6965.

**Consent, Right to Receive a Copy**
You are voluntarily making a decision whether or not to participate in this study.  By clicking the "I Consent" button, you are certifying that you have decided to participate having read and understood the information presented.  You should print a copy of this form for your records.  Your decision to either participate or decline to participate will not be made known to your supervisor or individuals in human resources.

**Names and Phone numbers of investigators:**
Heather M. Stewart, M.S. – Principle Investigator: Cell (402) 430-4672
Gina S. Matkin, Ph.D. – Co-Investigator: Office: (402) 472-4454

By completing and submitting your responses, your consent to participate is implied.

<<<< Click here to proceed to survey >>>>

WEB-BASED INFORMED CONSENT FORM: **LEADER**

IRB #: 20110811945 EP

**Identification of Project:**
Authentic Leadership, Leader-Member Exchange, and Organizational Citizenship Behavior: A Multilevel Analysis

You are invited to take part in a research study being conducted at the University of Nebraska-Lincoln.  It is important that you read and understand several general principles that apply to all who take part in this research study: (1) taking part in this study is entirely voluntary; (b) you may not benefit directly as a result of taking part in this study, but knowledge may be gained that might benefit others; (c) you are free to withdraw from the study at any time without affecting your relationship with the investigators or the University of Nebraska-Lincoln; (d) leaving the study will not cause a penalty or loss of any benefits to which you are otherwise entitled.

**Purpose of the Research:**
This research is being conducted as a part of the requirement for a doctoral dissertation. You are invited to participate in a research study related to the attitudes and behaviors of authentic leadership. You participation in this study will contribute to the field's understanding of these areas and its impact on leadership, organizational behavior, and performance. You must be 19 years of age or older to participate in the study. Managers and/or training personnel were asked to submit the names of leaders who supervise two or more followers who might be interested in participating in the project.  **You are being contacted because your name was submitted as a leader.**

**Procedures:**
Participation in this study will be conducted online.  If you consent, you will be asked to electronically complete a questionnaire.  The questionnaire involves a simple format that will ask you to respond using the scale provided.  The questionnaire and scripts require approximately 5-7 minutes of your time.  **You are to complete this survey in a private setting.**

**Benefits**
You may find the learning experience from this project enjoyable as you mentally process the personal and organizational oriented questions.  Your willingness to take part, may, in the future, help society as a whole better understand this research topic.

**Possible Risks and/or Discomforts**
There are no known risks or discomforts associated with this research. In the event of problems resulting from participation in the study, psychological treatment is available on a sliding fee scale at the UNL Psychological Consultation Center, telephone (402) 472-2351.

**Rewards/Compensation for Study Participation**
You will be entered into a drawing for one of six $25 Amazon.com gift cards.  Odds of winning one gift card are based on the total number of participants.  Approximate odds are 6:300.

**Additional Costs Related to Participation**
There are no costs to the study participant.

**Freedom to Withdraw**

Participation in this study is voluntary.  You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, or your organization.  You will in no way receive a penalty or loss of benefits to which you are otherwise entitled.

**Confidentiality**

Any information obtained during this study, which could identify subjects, will be kept strictly confidential to the immediate research team, which includes the principle investigator and one co-investigator.  The online data will be stored on a secure server and stored by a unique code (not by participant name).  Any non-electronic data will be stored in a locked cabinet in the investigator's office and will only be seen by the principle investigator during the study and for five years after the study is complete.  The information obtained in this study may be published in scientific journals or presented at scientific meetings but the data will be reported as aggregated data.  Your organization will only see data that is 1) overall/organization wide and 2) aggregated.  Data will not be separated by department, team, or personnel.

**Opportunity to ask questions:**

You may ask any questions concerning this research and have those questions answered before agreeing to participate in or during the study. You may call either of the investigators at any time.  Heather Stewart's cell phone number is (402) 430-4672 and Dr. Gina Matkin's office phone number is (402) 472-4454.  If you have any questions concerning your rights as a research subject that have not been answered by the investigators, you may contact the University of Nebraska-Lincoln Institutional Review Board at (402) 472-6965.

**Consent, Right to Receive a Copy**

You are voluntarily making a decision whether or not to participate in this study. By clicking the "I Consent" button, you are certifying that you have decided to participate having read and understood the information presented.  You should print a copy of this form for your records.  Your decision to either participate or decline to participate will not be made known to your supervisor or individuals in human resources.

**Names and Phone numbers of investigators:**

Heather M. Stewart, M.S. – Principle Investigator: Cell (402) 430-4672
Gina S. Matkin, Ph.D. – Co-Investigator: Office: (402) 472-4454

By completing and submitting your responses, your consent to participate is implied.

<<<< Click here to proceed to survey >>>>

WEB-BASED INFORMED CONSENT FORM: **LEADER/FOLLOWER**

IRB #: 20110811945 EP

**Identification of Project:**
Authentic Leadership, Leader-Member Exchange, and Organizational Citizenship Behavior: A Multilevel Analysis

You are invited to take part in a research study being conducted at the University of Nebraska-Lincoln.  It is important that you read and understand several general principles that apply to all who take part in this research study: (1) taking part in this study is entirely voluntary; (b) you may not benefit directly as a result of taking part in this study, but knowledge may be gained that might benefit others; (c) you are free to withdraw from the study at any time without affecting your relationship with the investigators or the University of Nebraska-Lincoln; (d) leaving the study will not cause a penalty or loss of any benefits to which you are otherwise entitled.

**Purpose of the Research:**
This research is being conducted as a part of the requirement for a doctoral dissertation. You are invited to participate in a research study related to the attitudes and behaviors of authentic leadership. You participation in this study will contribute to the field's understanding of these areas and its impact on leadership, organizational behavior, and performance. You must be 19 years of age or older to participate in the study.  Managers and/or training personnel were asked to submit the names of leaders who supervise two or more followers who might be interested in participating in the project. **You are being contacted because as a leader, you agreed to complete the survey AND because your leader (supervisor) has agreed to participate in the study and has identified you as a follower (supervisee).**

**Procedures:**
Participation in this study will be conducted online.  If you consent, you will be asked to electronically complete a questionnaire.  The questionnaire involves a simple format that will ask you to respond using the scale provided.  The questionnaire and scripts require approximately 25-30 minutes of your time. **You are to complete this survey in a private setting.**

**Benefits**
You may find the learning experience from this project enjoyable as you mentally process the personal and organizational oriented questions.  Your willingness to take part, may, in the future, help society as a whole better understand this research topic.

**Possible Risks and/or Discomforts**
There are no known risks or discomforts associated with this research. In the event of problems resulting from participation in the study, psychological treatment is available on a sliding fee scale at the UNL Psychological Consultation Center, telephone (402) 472-2351.

**Rewards/Compensation for Study Participation**
You will be entered into a drawing for one of six $25 Amazon.com gift cards.  Odds of winning one gift card are based on the total number of participants.  Approximate odds are 6:300.

**Additional Costs Related to Participation**
There are no costs to the study participant.

**Freedom to Withdraw**

Participation in this study is voluntary.  You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, or your organization.  You will in no way receive a penalty or loss of benefits to which you are otherwise entitled.

**Confidentiality**

Any information obtained during this study, which could identify subjects, will be kept strictly confidential to the immediate research team, which includes the principle investigator and one co-investigator.  The online data will be stored on a secure server and stored by a unique code (not by participant name).  Any non-electronic data will be stored in a locked cabinet in the investigator's office and will only be seen by the principle investigator during the study and for five years after the study is complete.  The information obtained in this study may be published in scientific journals or presented at scientific meetings but the data will be reported as aggregated data.  Your organization will only see data that is 1) overall/organization wide and 2) aggregated.  Data will not be separated by department, team, or personnel.

**Opportunity to ask questions:**

You may ask any questions concerning this research and have those questions answered before agreeing to participate in or during the study. You may call either of the investigators at any time.  Heather Stewart's cell phone number is (402) 430-4672 and Dr. Gina Matkin's office phone number is (402) 472-4454.  If you have any questions concerning your rights as a research subject that have not been answered by the investigators, you may contact the University of Nebraska-Lincoln Institutional Review Board at (402) 472-6965.

**Consent, Right to Receive a Copy**

You are voluntarily making a decision whether or not to participate in this study.  By clicking the "I Consent" button, you are certifying that you have decided to participate having read and understood the information presented.  You should print a copy of this form for your records.  Your decision to either participate or decline to participate will not be made known to your supervisor or individuals in human resources.

**Names and Phone numbers of investigators:**

Heather M. Stewart, M.S. – Principle Investigator: Cell (402) 430-4672
Gina S. Matkin, Ph.D. – Co-Investigator: Office: (402) 472-4454

By completing and submitting your responses, your consent to participate is implied.

<<<< Click here to proceed to survey >>>>

**APPENDIX E - Follower Survey Instruments**

# Organizational Citizenship Behavior Survey

Please indicate your response to each statement using the following scale:

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Strongly Disagree | Disagree | Somewhat Disagree | Neutral | Somewhat Agree | Agree | Strongly Agree |

\_\_\_\_\_ 1. I help others who have been absent.

\_\_\_\_\_ 2. I always find fault with what the organization or institution is doing

\_\_\_\_\_ 3. I am always ready to lend a helping hand to those around me.

\_\_\_\_\_ 4. I help others who have heavy workloads.

\_\_\_\_\_ 5. I help orient new people even though it is not required.

\_\_\_\_\_ 6. I willingly help others who have work related problems.

\_\_\_\_\_ 7. I am one of the most conscientious employees.

\_\_\_\_\_ 8. I am the classic "squeaky wheel" that always needs greasing.

\_\_\_\_\_ 9. I do not abuse the rights of others

\_\_\_\_\_ 10. I obey company rules and regulations even when no one is watching.

\_\_\_\_\_ 11. I always focus on what's wrong, rather than the positive side

\_\_\_\_\_ 12. I attend functions that are not required, but help the company's/institution's image

\_\_\_\_\_ 13. My attendance at work is above the norm.

\_\_\_\_\_ 14. I believe in giving an honest day's work for an honest day's pay.

\_\_\_\_\_ 15. I do not take extra breaks.

\_\_\_\_\_ 16. I consume a lot of time complaining about trivial matters

\_\_\_\_\_ 17. I consider the impact of my actions on coworkers.

\_\_\_\_\_ 18. I read and keep up with organization or institution announcements, memos, etc.

\_\_\_\_\_ 19. I am mindful of how my behavior affects other people's jobs

\_\_\_\_\_ 20. I try to avoid creating problems for coworkers

\_\_\_\_\_ 21. I tend to make "mountains out of molehills".

\_\_\_\_\_ 22. I take steps to try to prevent problems with other workers

\_\_\_\_\_ 23. I attend meetings that are not mandatory, but are considered important.

\_\_\_\_\_ 24. I keep abreast of changes in the organization or institution.

Podsakoff, P. M., MacKenzie, S. B., Moorman, R. H., & Fetter, R. (1990). Transformational leader behaviors and their effects on follower' trust in leader, satisfaction, and organizational citizenship behaviors. *Leadership Quarterly, 1*(2), 107-142.

## LMX – 7

Please indicate your response to each statement using the following scale:

| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|
| Entirely Disagree | Mostly Disagree | Somewhat Disagree | Neutral | Somewhat Agree | Mostly Agree | Entirely Agree |

\_\_\_\_\_    1.    I usually know where I stand with my supervisor.

\_\_\_\_\_    2.    My supervisor understands my problems and needs.

\_\_\_\_\_    3.    My supervisor recognizes my potential.

\_\_\_\_\_    4.    My supervisor would use her/his power to help me solve problems in my work.

\_\_\_\_\_    5.    My supervisor would "bail me out" at her/his expense if I needed them to.

\_\_\_\_\_    6.    I have enough confidence in my supervisor that I would defend her/his decision if she/he were not present to do so.

\_\_\_\_\_    7.    My working relationship with my immediate supervisor is extremely effective.

Scandura, T. A., &Graen, G. B. (1984). Moderating effects of initial leader-member exchange status on the effects of a leadership intervention. *Journal of Applied Psychology, 69*(3), 428-436.

Sample Questions from the Authentic Leadership Questionnaire

Authentic Leadership Questionnaire (ALQ Version 1.0 **Rater**)

Instructions: The following survey items refer to your leader's style, as you perceive it. **Judge how frequently each statement fits his or her leadership style using the following scale:**

| Not at all | Once in a while | Sometimes | Fairly often | Frequently, if not always |
|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 |

**My leader…**

| | | | | | | |
|---|---|---|---|---|---|---|
| 2. | admits mistakes when they are made | 0 | 1 | 2 | 3 | 4 |
| 8. | asks you to take positions that support your core values | 0 | 1 | 2 | 3 | 4 |
| 12. | listens carefully to different points of view before coming to conclusions | 0 | 1 | 2 | 3 | 4 |
| 15. | knows when it is time to reevaluate his or her positions on important issues | 0 | 1 | 2 | 3 | 4 |

**APPENDIX F - Sample Questions from Leader's Survey Instrument**

Sample Questions from the Authentic Leadership Questionnaire

Authentic Leadership Questionnaire (ALQ Version 1.0 **Self**)

Instructions: The following survey items refer to your leadership style, as you perceive it. **Please judge how frequently each statement fits your leadership style using the following scale:**

| Not at all | Once in a while | Sometimes | Fairly often | Frequently, if not always |
|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 |

**As a leader I…**

| | | | | | | |
|---|---|---|---|---|---|---|
| 5. | display emotions exactly in line with feelings | 0 | 1 | 2 | 3 | 4 |
| 9. | make difficult decisions based on high standards of ethical conduct | 0 | 1 | 2 | 3 | 4 |
| 13. | seek feedback to improve interactions with others | 0 | 1 | 2 | 3 | 4 |
| 16. | show I understand how specific actions impact others | 0 | 1 | 2 | 3 | 4 |

**APPENDIX G - Demographic Questions**

The following questions are for demographic purposes only.

**Please indicate your year of birth:**
(Drop down menu; first choice is "decline to answer")

**Please indicate your sex:**
(Drop down menu; first choice is "decline to answer")

**Please indicate your tenure with the organization (in years):**
(Drop down menu, first choice is "decline to answer" then, "less than one year)

**Please indicate your ethnicity (check all that apply):**
- ☐ Decline to answer
- ☐ American Indian
- ☐ Alaska Native/Eskimo/Aleut
- ☐ Asian/Pacific Islander
- ☐ Black or African American
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ White
- ☐ Hispanic/Latino/Spanish Origin
- ☐ Mexican/Mexican-American
- ☐ Cuban
- ☐ Puerto Rican
- ☐ Other Hispanic/Latino/Spanish Origin (fill in below):
- ☐ Other ethnicity not mentioned (fill in below):

**What is the highest degree or level of school you have completed?** *If currently enrolled, mark the previous grade or highest degree received.*

- ☐ Decline to answer
- ☐ High school graduate – high school diploma or the equivalent (for example: GED)
- ☐ Some college credit, but less than 1 year
- ☐ 1 or more years of college, no degree
- ☐ Associate degree (AA, AS)
- ☐ Bachelor's degree (BA, BS, BFA)
- ☐ Master's degree (MA, MS, MEng, MEd, MSW, MBA)
- ☐ Professional degree (MD, DDS, DVM, LLB, JD)
- ☐ Doctoral degree (PhD, EdD)

**APPENDIX H - Timeline**

Quantitative Dissertation Procedures & Timeline

| Proposal Meeting | June 14, 2011 |
| --- | --- |

| Gain IRB Approval | July, 2011 |
| --- | --- |

| Contact Companies Gain Cooperation | August, 2011 |
| --- | --- |

| Arrange and email surveys to research participants | August/September, 2011<br>Deadline of October 30, 2011 |
| --- | --- |

| Data analysis | November/December, 2011 |
| --- | --- |

- Descriptive statistics
- Inferential statistics
- Multi-level model

| Write up results and discussion | January and February, 2012 |
| --- | --- |

- Statistical results
- Tables
- Multi-level model

- Overall findings
- Discussion

| Prepare defense | March, 2012 |
| --- | --- |

| Defend dissertation | March/April, 2012 |
| --- | --- |