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Leader attributes, behavior, and leadership outcomes: An enrichment of implicit leadership theories

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This thesis is presented for the degree of Doctor of Philosophy of Durham University

DURHAM UNIVERSITY BUSINESS SCHOOL

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Abstract

This thesis enriches the understanding of implicit leadership and followership theories (ILTs and IFTs) by revealing the benefits of persons holding the leader role as being perceived as matching with certain attributes that are more commonly associated with followership prototypes. Specifically, quantitative results from Studies 1-3 of show that attributes previously associated with ILTs and IFTs can usefully be categorized into three groups: (1) *leader-specific prototypical attributes* (LSP; i.e., attributes that are commonly specifically used to describe a typical leader in the organization), (2) *follower-specific prototypical attributes* (FSP; i.e., attributes that are commonly specifically used to describe a typical follower), and (3) *role-common prototypical attributes* (CP; i.e., attributes that are viewed to be possessed by both leaders and followers). Using these empirically derived categories of attributes, I examined the unique contributions of leaders' FSP to leadership outcomes in two additional studies. Results from a follower-only, cross-sectional dataset (Study 4) demonstrated the unique value of FSP in predicting followers' perceptions of their leader's consideration behavior, which was further related to those followers' affective commitment towards the leader and organizational citizenship behavior. These findings were further supported by a multi-wave, leader-follower matched design (Study 5). Moreover, the relationship between leader self-views on the three sets of attributes and that from followers' eyes were investigated, as well as the direct effects of leader self-views on FSP and their structural and considerate behaviors (Study 5). Overall, this thesis has important implications for the current literature.

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DECLARATION

I hereby declare that this Ph.D. thesis entitled "**Leader attributes, behavior, and leadership outcomes: An enrichment of implicit leadership theory**" was carried out by me for the degree of Doctor of Philosophy in Organizational Behavior under the guidance and supervision of Prof Yanjun Guan and Prof Rosalie Hall, Durham University Business School, Durham University, United Kingdom.

For the present thesis, which I am submitting to Durham University Business School, no degree or diploma or distinction has been conferred on me before, either at this or at any other university.

Signature: Xinyi Zhou

Date: 15/5/22

STATEMENT OF COPYRIGHT

The copyright of this thesis rests with the author. No quotation from it should be published without the author's prior written consent and information derived from it should be acknowledged.

Dedication

I dedicate this thesis to my maternal grandfather, Jingyi Cui (1938-2021), and my maternal grandmother, Qinxiu Mu (1941-2022). My maternal grandfather passed away in the Intensive Care Unit on 17th July 2021, at the moment when my wedding ceremony has just finished. When I was on my way rushing to the hospital, I was still wearing my wedding dress. That was the saddest day of my life. Misfortunes never come singly. Six months later, my maternal grandmother passed away, just one day before we entered the period of Chinese New Year. Till now, I still cannot believe what has happened. I was brought up by my maternal grandparents, so I have a very deep bond with them. On the day my maternal grandpa was gone, I saw a big cicada on the balcony. It lay on the window quietly staring at me. It was supposed to be in a tree, in the grass, but instead, it was on a third-floor window. Did my grandpa come to see me?

Also, this thesis is to memorize my puppy, Yaya. Yaya died on 23rd March. She was the prettiest dog I have ever met. She will forever be a part of me and live on in my heart.

These past few months have been pretty rough. I believe in reincarnation and look forward to seeing them again. May there be no pain in heaven.

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Yanjun Guan is my first supervisor, my friend, and a very important person in my life. I met Yanjun Guan in the spring of 2019, and I was impressed by his charm and enthusiastic attitude toward research. Yanjun Guan provided me with professional and kind guidance with my research proposal, trusted me, and allowed me to join in multiple research projects. He always liked to give his students opportunities to develop our academic abilities. Yanjun Guan meant much more to me than just being a supervisor. Getting along with him is a very pleasant thing. His optimistic attitude and passion for life and research encouraged me, and his humor relieved me of a lot of stress during my Ph.D.

I thank Rosalie, who has always been so patient in rescuing me from my research problems. Rosalie is such a kind person who always gave me patient and valuable

guidance. I remembered one time I had no idea about how to structure regression results in an appropriate format, Rosalie wrote a detailed template for me. And When I was stumped by some theoretical questions, she was always willing to talk with me. During the revision process, Rosalie got covid-19 but she still helped me revise my thesis and worked late into the wee hours. I don't know to how to express my gratitude and respect for such a responsible researcher and supervisor like her.

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1 CHAPTER 1 RESEARCH BACKGROUND

1.1 Introduction

Understanding individual perceptions of leadership and followership is a long-standing research topic in leadership science. Among all streams, the work on implicit theories owns its place. Implicit theories, including implicit leadership theories (ILTs) and implicit followership theories (IFTs), posit that individuals are naturally inclined to classify people as leaders or followers based on the match between the characteristics of a target person and pre-existing leadership or followership prototypes derived from socialization and previous experiences and people are categorized as leaders or followers when a successful match to the prototype has been achieved (Engle & Lord, 1997; Epitropaki & Martin, 2004; Lord, Foti, & Phillips, 1982; Lord & Maher, 1993; Sy, 2010). According to the ILTs assumptions, perceived leader attributes predict leadership emergence and important outcomes through followers' cognitive schemas and information processes (e.g., Lord, Foti, & De Vader, 1984; Lord & Maher, 1993). This underlying mechanism broadly falls within a *social information processing approach* (e.g., Zaccaro et al., 2018).

The primary reason why scholars are interested in this topic may be that ILTs and IFTs shape how individuals judge and respond to their leaders and followers. In addition, ILTs and IFTs can also influence one's self-perceptions, thus may feed into the extent to which one identifies with a leader or follower role. For ILTs, the

matching outcomes have been viewed as benchmarks subordinates use to form a judgment of their leaders and thus affect their responses to the leaders (e.g., follower's identification, respect, satisfaction, affective commitment towards the leader, leader-member exchanges, and leadership effectiveness perceptions), job attitudes (e.g., job satisfaction, organizational commitment), job performance, and intention to leave (e.g., Epitropaki & Martin, 2005; Topakas, 2011; Van Quaquebeke, Graf, & Eckloff, 2014; Van Quaquebeke & van Knippenberg, 2012). Thus, previous research has emphasized the role of ILTs as a basis of leaders' judgments and upon IFTs as a basis of judgment of followers. However, it is unclear what the consequences are of persons holding the leadership role as being perceived as also matching with some of the IFT attributes (i.e., attributes typically associated with followers). It is possible that the attribution only of prototypical leadership attributes, especially in contexts calling for socioemotionally related functions, might not be sufficient. That is, leaders might sometimes benefit from being perceived as having some prototypical follower traits as well as those associated with leaders, a view that is also consistent with research suggesting that it is beneficial for leaders to exhibit behavioral flexibility (Zaccaro et al., 2013; Zaccaro, Gilbert, Thor, & Mumford, 1991).

Previous literature has directly or indirectly pointed out the importance of leaders enacting follower role-specific attributes. For example, to make subordinates more comfortable with communication and to develop a closer relationship with them,

leaders may deliberately present similar characteristics to followers in the dyadic interactions (Dulebohn, Bommer, Liden, Brouer, & Ferris, 2012). Also, leaders are likely to enact certain follower attributes as a strategy to guide and motivate subordinates by creating a vivid subordinate role model (Bandura, 1977; Manz & Sims, 1981). To release part of power or disperse part of influence across subordinates, leaders may also purposefully hide the attributes like *authoritative*, *dominant*, and *power-hungry* (Carson, Tesluk, & Marrone, 2007), the prototypical ones identified in ILTs literature (Offermann et al., 1994; Offermann & Coats, 2018). In addition, increasing leadership research suggests that leaders tend to incorporate certain characteristics that were previously identified as follower prototypes (e.g., *good citizen*, *enthusiasm*; Sy, 2010; Yang, Shi, Zhang, Song, & Xu, 2020) to engage employees with diverse needs and flourish organizations in a changing environment (e.g., Conger, Kanungo, & Menon, 2000; Hannah, Woolfolk, & Lord, 2009; Van Dierendonck, 2011). Although these works are not directly relevant to the implicit theory approach as they deal with expressions of actual traits and behaviors, it is also possible that they have implications for the implicit theory literature as leader perceptions will be based in part on actual observations of leaders' characteristics, including what they say and do. Thus, it seems plausible that perceptions of attributes typically associated with follower prototypes might have some positive implications for leaders.

Against this backdrop, an unanswered question is: Is it possible that considering what has typically been seen as follower-role-specific attributes may add uniquely to our understanding of leadership perceptions beyond the previously identified leader-specific ones? If so, how? The linkage between leader attributes and follower perceptions of the leader has always been a popular topic in organizational research. Two theoretical perspectives – categorization and attribution, are viewed as two major theoretical approaches to understanding followers' judgments towards the leader (Cronshaw & Lord, 1987). On the one hand, as implicit theories posit, followers may rely on a simplified mechanism of cognition as "cognitive misers" by matching perceived leaders' attributes with the prescribed mental representations like ILTs. The mismatch between follower-specific attributes and leader prototypes leads to a failure to categorize this person into the leader category (Lord et al., 1982, 1982, 2020), which further influences followers' perceptions of leader behaviors, especially task-related behaviors (e.g., ruling via an iron hand, speaking in a manner not to be questioned). On the other hand, exhibiting follower-specific prototypical attributes may increase followers' tendency to view the leader as more like themselves and, thus through similarity-attraction processes (e.g., Byrne, 1971; Turban & Jones, 1988), contribute to the fulfillment of the leadership relational functions. This favorable attitude would encourage subordinates to make positive attributions (Regan, Straus, & Fazio, 1974; Sue-Chan, Chen, & Lam, 2011) towards leaders being follower-like and

interpret it as the leader's approachableness, friendly, and motives for a closer relationship.

The cognitive processes of followers may influence their perceptions of two broad types of leader's behaviors identified in the Ohio State studies of the 1940s and 1950s: *task-oriented behavior* or *initiating structure,* and *relation-oriented behavior or consideration*. And further, followers' perceptions of leader structural and considerate behavior may further influence their work outcomes and attitudes, such as in-role performance, job satisfaction, extra-role behavior, and so on (DeRue, Nahrgang, Wellman and Humphrey, 2011; Judge, Piccolo, & Ilies, 2004). The task-oriented initiating structure behaviors capture the degree to which leaders define and organize the roles of followers toward goal attainment and establish well-defined patterns and channels of communication. In contrast, the relation-oriented consideration behaviors indicate the degree to which leaders are friendly and approachable, show concern and respect for followers, and express appreciation and support. Although there are many different types of leadership, these two have been viewed to capture the most basic leadership functions in the working place – task-related and socioemotional functions (Fleishman, 1995; Lord, 1977), and they also represent the fundamental, day-to-day, behaviors that are important across all types of leaders (Fleishman, 1951, 1953, 1957; Yukl, 1971).

As originally developed, measures of initiating structure and consideration behaviors such as the Leader Behavior Descriptive Questionnaire (LBDQ, e.g., Stogdill, 1963) were believed to accurately reflect the levels of corresponding behaviors that were shown by leaders. However, Rush, Thomas, and Lord's (1977) research from a leader perception perspective suggests that, in fact, ratings on the LBDQ can be quite "susceptible to the influence of implicit leadership theories" (p. 104), and thus although ratings on such instruments to some extent reflect what the leader does, they also can strongly be influenced by the perceptual and memory processes of the follower. In this sense, leaders' exhibition of follower-specific attributes may serve as precursors to followers' perceptions of two forms of functional leaders' behaviors - initiating structure and consideration, which further predict a series of leadership outcomes. This rationale is also in keeping with scholars' propositions for a process framework of management results that links leader characteristics to follower responses through leader behaviors such as initiating structure and consideration (DeRue et al., 2011; Judge, Piccolo, & Kosalka, 2009).

To empirically test the above propositions, first, three groupings of attributes that have previously been associated with ILTs and IFTs have been identified and verified (Study 1-3): (1) leader-specific prototypical attributes (LSP; i.e., attributes that specifically describe a typical leader, namely *perceptive, good decision maker, sociable, authoritative, coordinator, mature, plans ahead*), (2) follower-specific prototypical attributes (FSP; i.e., attributes that specifically describe a typical

follower, namely *passionate, dynamic, positive, energetic, curious, loyal, dedicated*), and (3) role-common prototypical attributes (CP; i.e., attributes that both a typical leader and a typical follower possess, namely *strong execution, team-minded, interested, responsible*). After item categorization and verification, the predicting effects of FSP on followers' perception of leader initiating and considerate behaviors were examined, as well as its indirect effects on a series of leadership outcomes (Study 4-5). Besides, given that little research so far has examined the relationship between leaders' self-views on ILTs compared to the ILTs held for the same persons by their followers, this thesis examined whether leader self-views on the three sets of attributes are positively associated with followers' reports (Study 5). More details on chapter distribution and content are discussed in the third section of this chapter (i.e., "*Outline of this thesis"*).

1.2 Research gaps and contributions of this thesis

Leaders' exhibition of follower-specific prototypical attributes is a relatively new research topic with considerable research gaps. This section, therefore, clarifies the specific research gaps which are addressed in this thesis, in order to offer a clear picture of its contributions.

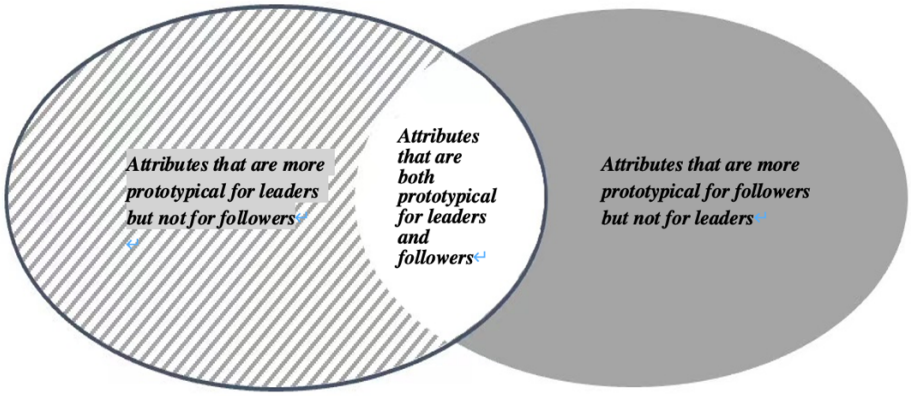
First, this thesis combines several established ILTs and IFTs scales into an item pool and categorizes a subset of these items into three distinct groups, namely leader-specific prototypical attributes (i.e., LSP), follower-specific prototypical attributes

(i.e., FSP), and role-common prototypical attributes (i.e., CP). ILTs sales capture a leadership prototype which is "*an abstract conception of the most representative member or most widely shared features*" of the category of leaders (Lord et al., 1982; Rosch, 1978). Similarly, the IFTs scale describes a followership prototype, "*an abstract conception of the most representative member or most widely shared features*" of the category of followers (Junker et al., 2016; Sy, 2010).

ILTs and IFTs scholars have identified various sets of items that capture leadership and followership prototypes. One thing to note is there are numerous repetitive or semantically similar attributes in ILTs and IFTs scales. See Figure 1.1 for a visual relationship between ILTs and IFTs scales. The shadow on the left represents ILTs items (e.g., *authoritative, assertive, effective bargainer*), the gray one on the right refers to IFTs items (e.g., *loyal, reliable, happy*), and the white part in the middle is the overlapped items found in current ILTs and IFTs scales. For example, *hardworking* is classified as a leader prototypical trait by Offermann et al. (1994) and as a prototypical follower trait by Sy (2010). *Dedicated* is included both in the ILTs scales of Offermann & Coats (2018) and IFTs scales of Yang et al. (2000). *Creative* can be found both in Offermann & Coats (2018) and Junker et al. (2006). These findings suggest that overlaps exist between individuals' mental representations of prototypical leaders and followers.

Figure 1.1

A visual relationship between ILTs and IFTs attributes



Except for the obvious overlaps, there are role-specific attributes that are more prototypical for describing one role but not the other. For example, the attributes like *assertive*, *authoritative*, and *firm* depict a prototypical leader image (Offerman et al., 1994; Offermann & Coats, 2018), while their semantically opposite traits such as *easily influence*, *follower trends*, and *soft-spoken* belong to abstract composites of follower prototypes (Sy, 2010). Traditionally, we think of the leadership and subordinate roles as being at opposite ends of a hierarchical organizational structure. However, more recent leadership theory has weakened this role dichotomy and emphasizes the interdependence or flexible switching between the leader and follower roles that can occur within one individual (Adriasola & Lord, 2021; DeRue & Ashford, 2010; Sy & McCoy, 2014). Despite this, different implicit expectations for leaders and followers still exist, which explains why some people can stand out from the crowd and be perceived as leaders while others are not (e.g., DeRue & Ashford,

2010; Stock & Özbek-Potthoff, 2014; van Knippenberg & Hogg, 2003; Van Quaquebeke & Van Knippenberg, 2012).

The above discussions note the potential to make a further classification of currently identified ILTs and IFTs items into at least three groups: (1) leader-specific prototypical attributes (LSP; i.e., attributes that specifically describe a typical leader in the organization), (2) follower-specific prototypical attributes (FSP; i.e., attributes that specifically describe a typical follower in the organization), and (3) role-common prototypical attributes (CP; i.e., attributes that are viewed to be possessed by both leaders and followers). The focus of this study is to explore what will happen if followers perceive their leaders to be exhibiting follower-specific prototypical attributes, that is, being follower-like? Is this a nightmare for managers or a boon? If so, how? These are all questions that will be answered in this thesis.

The second contribution of this thesis is to uncover the underlying mechanisms through which the follower-specific attribute exerts its effect by serially connecting leader traits, perceived leader behaviors, and focal management outcomes. Although research on leader behaviors falling into the two broad categories of *Initiating Structure* and *Consideration* owns its time, interest in these two concepts has given way to other lines of inquiry for a long period, most notably a focus on leadership styles, such as charismatic and transformational leadership (Bass, 1985; Burns, 1978; House, 1977). Yet, recent meta-analytic analyses by Judge et al. (2004) and DeRue et

al. (2011) suggest that the abandonment of scholarly interest in consideration and initiating structure may have been unwarranted. The results show that consideration and initiating structure are related to important leadership criteria such as follower job satisfaction, satisfaction with the leader, unit performance, and leader effectiveness ratings (DeRue et al., 2011; Judge et al., 2004). In their conclusions, Judge et al. (2004, p.44) argued that "*the denouement for the Ohio State leadership behaviors . . . may be premature*" and encouraged researchers to continue investigation of these "*forgotten ones*." These recent meta-analytic findings pose a direct challenge to the prevailing view that investigation of the Ohio State dimensions contributed little to our understanding of leadership (e.g., Yukl, 1998; Yukl & Van Fleet, 1992). The rationale of the current indirect-effect model is in keeping with DeRue et al.' (2011) call for research examining the process by which leader traits influence leadership outcomes through leader behaviors such as *Structure* and *Consideration*. The results of empirical studies in Study 4 and 5 both support the proposed indirect effects, suggesting that further research on *Structure* and *Consideration* is worthwhile.

Third, this thesis investigates the relationship of leaders' self-views on the three sets of leader-specific, follower-specific and role-common attributes with followers' perceptions. Considerable strides have been made in our understanding of the relationship between leader and follower ratings, such as the leader-follower agreements on relational quality (e.g., LMX agreement; Matta, Scott, Koopman, & Conlon, 2015; Sin, Nahrgang, & Morgeson, 2009), leadership style (e.g.,

authoritative, transactional, charismatic leadership; Karakitapoğlu-Aygün, Gumusluoglu, Erturk, & Scandura, 2021; Sosik, 2001; Whittington, Coker, Goodwin, Ickes, & Murray, 2009), and leadership effectiveness (see Fleenor, Smither, Atwater, Braddy, & Sturm, 2010 for a review). So far, there is a lack of acknowledgement of the important fact that current research examining ILTs in the context of leaders' self-views is limited compared to the ILTs research that has focused on others' perceptions. To address this gap, I gathered ratings on the three sets of attributes made by both leaders and followers and examined whether leaders' self-views on these attributes are positively associated with followers' perceptions on these attributes possessed by their leaders. Three research questions are put forward and investigated in this thesis (for details, see Study 5).

In addition, this research also examines whether a leader's self-views of his or her specific prototypical attributes (i.e., leader-rated FSP) could influence follower's perceptions of the leader's structuring or consideration behavior. The content of leaders' self-concept – which may also be conceived of as a part of the individual's leader identity – has been supported as a key enabler of leader behavior. For example, leaders viewing themselves as exhibiting prototypic ILTs attributes (e.g., *decisive*, *goal-oriented*) are more likely also to be seen by their followers as having those attributes, and thus potentially perceived as more transformational in their leadership style (Bass & Avolio, 1989). The attributes like *pragmatism*, *nurturance*, *feminine*,

and lowers levels of *criticalness* and *aggression* were associated with high scores on the transformational leadership (Ross & Offermann, 1997).

However, because research on initiating structure and consideration has long been dismissed, there is a paucity of recent investigations on how the content of self-concepts influences others' perceptions of a leader's initiating structure and consideration behaviors. Fleishman (1957) found that leaders who had high scores on consideration also had high scores on *benevolence*, a trait that seems closely aligned with *agreeableness*. Similarly, Bass (1990a, p. 522) reported the results of a study showing that *charming* was related to consideration; *charming* is a characteristic that could easily be associated with *extraverts*, along with related traits such as *witty*, *flamboyant*, and *vivacious* (Goldberg, 1990). Bass also reported that *ascendancy*, a trait associated with *conscientiousness*, is related to initiating structure (p. 523). These results suggest the value of the current research that links more sets of leader attributes – potentially even attributes that are traditionally associated with followership – to followers' perceptions of a leader's initiating structure and consideration behaviors.

1.3 Outline of this thesis

Chapter 2 provides a brief literature review of important background information about leader/follower roles, identities, implicit leadership theories (ILTs), implicit followership theories (IFTs), the linkage between leader attributes and leadership

outcomes, and two kinds of leader behaviors (i.e., Initiating Structure and Consideration). In Chapter 3, role-specific and role-common attributes were identified in three independent studies (Study 1-3). The first study (Study 1) was to recontextualize multiple established ILTs and IFTs scales into the Chinese language and reduce the whole item pool. Based on the newly developed item pool, the purpose of the second study (Study 2) was to categorize these attributes into three proposed sets: leader-specific prototypical attributes (LSP), follower-specific prototypical attributes (FSP), and role-common prototypical attributes (CP). Following these, the third study (Study 3) was to verify this classification with an independent sample. In the following two chapters, the predicting effects of these attributes were examined, with the main focus on the follower-specific attribute variable.

Chapter 4 (Study 4) examined the predicting effects of follower perception of leaders' follower-specific attributes (follower-rated FSP) with a follower-only, cross-sectional dataset. The theoretical foundations of the hypotheses tested in Chapter 4 were discussed in the early pages of this chapter, including the specific reasons for choosing *Structure* and *Consideration* rather than other leadership behaviors like paternalistic leadership and transformational leadership. Based on the findings of Chapter 4, Chapter 5 (Study 5) further examined the predicting effects of both leader-rated and follower-rated leaders' follower-specific attributes (leader-rated FSP and follower-rated FSP) with a leader-follower matched, multi-waved dataset. The literature on two aspects of leader attributes in the organizational context – attributes

perceived by leaders themselves and followers perceived leaders' attributes – was discussed in the early pages of this chapter, followed by the proposition of specific hypotheses. Each of these studies contains (1) an introduction, (2) a study overview, (3) descriptions of the research methodology, sample characteristics, measures, and statistical methods used, (4) a report of empirical findings from the study, and (5) discussion and review of the research results. Chapter 6 summarizes and integrates the findings of the five studies, including the implications of this thesis, as well as future research directions.

2 CHAPTER 2 LITERATURE REVIEW

2.1 Leader/follower roles and identities

The roles one can play in life are ubiquitous. Roles – such as child, spouse, parent, worker, manager, and volunteer - fulfil important functions within one's family, work lives, and communities. Within organizations, everyone becomes, at one time or another, a subordinate, a manager, a professional staff, a project team member, and the like. According to organizational role theory, roles in organizations are assumed to be associated with identified social positions and to be generated by normative expectations, but norms may vary among individuals and may reflect both the official demands of the organizations and the pressures of informal groups (Biddle, 1986). These behavioral expectations specify the meaning and character of the role – that is, the *role identity*. As such, the role is attached to a structural position, whereas the role identity is how the individual (i.e., role occupant) interprets and makes sense of that role (Ashforth & Johnson, 2001).

Role-based identity theory provides a view of individuals through the roles they take on or have ascribed to them (Gecas, 1982). Role identity theory attempts to integrate both the structural-functionalist (Burt, 1982; Merton, 1957; Parsons, 1951) and symbolic interactionist perspectives (Serpe, 1987; Stryker & Burke, 2000). Structural functionalism focuses on how the social structure institutionalizes stable behavioral expectations across situations and how one social position influences an individual

self-concept. From the view of symbolic interactionism, scholars emphasize how individuals interrelate across the network of role relationships and understand and interpret their own and others' conduct through cognitive processes. Different from both, role identity theory has progressed from simply explaining the shared, institutionalized, and normative expectations given a position in an organization to explore the processes by which role occupants define themselves and their roles vis-à-vis social interaction with others (e.g., Reay et al., 2006; Stryker, 2007; Biddle, 1986). In this sense, leaders may benefit from understanding and living up to expectations associated with the role schema and followers' specific needs.

In this thesis, I define *identity* from role-based identity theory, which views *identity* as the knowledge of reflexive meanings attached to roles that individuals occupy (Biddle, 1986; Gordon, 1976; Stets & Serpe, 2013). As a result, people may develop distinct self-concepts in various roles (e.g., leader or follower roles) based on both structural requirements and more dynamic micro-processes (Sluss, Van Dick, & Thompson, 2011), which will further guide their behaviors in a specific role and the relationship with others (Markus, Cross & Wurf, 1990; Johnson, Venus, Lanaj, & Chang, 2012). For example, the role of a manager may possess more or less institutionalized behavioral expectations such as allocating resources, providing rewards, and giving performance feedback but the nuances, content, and focus of these behaviors are still negotiated by those occupying the role (e.g., manager) as well as the counter-role (e.g., subordinate, senior manager, peer manager). In this sense,

one's self-identities offer flexible self-definitions that help the individual answer the question, "who am I?" and are nested within the more stable structure of the self-concept (Ashforth et al., 2008, p. 327; McCall & Simmons, 1978).

Relevant to the current thesis research, leader identity can be defined as "*the sub-component of one's identity that relates to being a leader or how one thinks of oneself as a leader*" (Day & Harrison, 2007, p. 365). In like manner, follower identity can be defined as "*the sub-component of one's identity that relates to being a follower or how one thinks of oneself as a follower*." Identities emerge in the working self-concept (WSC; Lord, Brown, & Freiberg, 1999) from the integration of self-schemas that form a current outlook of who one is and beliefs about what one's role ought to be in a given social context (Epitropaki, Kark, Mainemelis, & Lord, 2017; Lord, Epitropaki, Foti, & Hansbrough, 2020). It is this flexibility that enables individuals to jump out of the prescribed role expectations and continuously enrich the contents of identities based on their social experience and the interaction with relevant others (e.g., subordinates).

2.2 Implicit leadership theories (ILTs)

2.2.1 Implicit leadership theories (ILTs)

Interest in social-cognitive processes for how organizational actors perceive their leaders remains strong. The implicit conceptualizations followers hold of typical

leaders – their implicit leadership theories (ILTs) - represent a cognitive structure or schema of what people expect of a leader's traits or behaviors. Research by Lord and his colleagues (e.g., Lord et al., 1982, 1984; Lord & Maher, 1993) has highlighted the central role of followers' perceptual processes in identifying leaders such that observers use categorization processes when forming their leadership perceptions (e.g., Cronshaw & Lord, 1987; Lord et al., 1984; Phillips, 1984). According to leadership categorization theory, followers match someone against leadership prototypes, and the better the fit between a perceived individual and a prototype stored in memory, the more likely that he or she will be seen as a leader.

Leadership categorization theory includes both top-down and bottom-up processing (Lord et al., 2020). With top-down processing, categorization is a schema-driven process by which our expectations for an individual drive our perceptions (e.g., previous experiences with a caregiver color one's perceptions of a manager). In contrast, bottom-up processing occurs when our perceptions of a leader are based on a careful assessment of that individual's behaviors and traits, thus making it a data-driven process. Although the use of ILTs to guide perceptions seems universal, there is considerable evidence that prototypes for leadership categories change with context (see Lord et al., 2020 for a review article), such as the type of leader (e.g., business versus religious or effective versus ineffective leaders), the environment (e.g., culture), and even across time. Such variability makes it more likely that some aspects

of leadership categories are, in Barsalou's (1999) terms, "generated-on-the-fly" or created at the moment.

Within this prototype-based approach to categorization, a three-level vertical hierarchy for classifying objects as well as persons has been proposed (Lord et al., 1984; Rosch, 1978). The general category of leader/non-leader is thought to constitute the superordinate or most inclusive level (Lord et al., 1984). Theoretically, there should be few characteristics that characterize all leaders and very little overlap between leaders and non-leaders. At the basic level, Lord and his colleagues propose that perceivers classify stimulus persons into one of eleven different types of leaders based on their setting, such as business leader, sports leader, media leader, and so forth. These categorizations are made by comparing the stimulus person with the best or the most typical example of the category. Finally, specific exemplars or more fine-grained distinctions may be found at the subordinate level. In this thesis, I focus on the basic level (i.e., business leader), which is believed to be the most important level in that they convey the most information and typically reflect the names used to identify objects (Mervis & Rosch, 1981).

Researchers also make a distinction between culture-specific and cross-culturally generalizable or universal ILTs. The results of Gerstner and Day's study (1994) indicate that those traits considered to be most characteristic of business leaders varied by culture (i.e., Germany, France, China, Taiwan, USA, India, Honduras,

Japan), and Hofstede's taxonomy (i.e., power distance, individualism, uncertainty avoidance) can be considered as a useful tool for understanding cultural differences in leadership perceptions. Although some cross-cultural research emphasizes that different cultural groups likely have different conceptions of what leadership should entail, a counter position was argued by Den Hartog et al. (1999). They focused on culturally endorsed implicit theories of leadership (CLTs) and conducted research covering 62 cultures as part of the Global Leadership and Organizational Behavior Effectiveness (GLOBE) Research Program. It was found that specific aspects of charismatic/transformational leadership (e.g., encouraging, dynamic, positive, motivational) are strongly and universally seen as contributing to outstanding leadership across cultures, while other aspects (e.g., independent, sincere, indirect, logical) are culturally contingent. Considering previous ILTs factors and contents were developed by using Westerners samples, Ling, Chia, and Fang (2000) identified an implicit theory of leadership among Chinese people, and the factor analysis yielded four factors of leadership different from those derived from Western theories, namely Personal Morality, Goal Efficiency, Interpersonal Competence, and Versatility.

In addition to being influenced by the cultural environment and type of leader, ILTs also may be dynamic and subject to change over time. Ten years after the original study by Offermann et al. (1994), the work of Epitropaki and Martin (2004) generally provided evidence for the structural stability of ILT, and some new findings were made, especially in the aspect of the factor structure. Specifically, they proposed a

six-factor structure, dropping the Attractiveness factor as prototypic but not “core” and collapsing the Strength and Charisma factors into a Dynamism factor. Also, paralleling Offermann et al.'s (1994) study of the content of implicit leadership theories with new samples, Offermann and Coats (2018) investigated ILT stability and change across a 20-year period. Results revealed that the overall structure of what people consider to be characteristic of leaders remains largely unchanged. However, a new factor, creativity, has emerged, which was placed on lists of non-leader attributes in older research (Lord et al., 1984). Its appearance might reflect the increasing emphasis on innovation in today’s organizations, suggesting that creativity may presently be seen as a more important aspect of effective leadership than in previous years.

2.2.2 Two types of prototypes

The previous literature focuses on two types of prototypes. When Lord and his colleagues (e.g., Lord et al., 1984; Medvedeff & Lord, 2007) developed their so-called follower-centric perspective on leadership, they focused on Rosch’s (1978) theory of cognitive categorization, which posits that categorizations are based on the match of the stimulus’ properties to abstractions or prototypes derived from characteristics common to the category members (‘family resemblance’). The family resemblance in this conception is defined as an exemplar’s average similarity to other category members and its average dissimilarity to members of different categories.

The more similar an exemplar is to same category members and the less similar it is to members of different categories, the higher its family resemblance to that category, and the more typical it is considered of the category. An exemplar's family resemblance can also be understood as its similarity to the central tendency of a category (Hampton, 1979; Smith et al., 1974), where central tendency can refer to any highly probable property of a category's exemplars, such as an average, median, or modal value.

In contrast to the central tendency-based understanding of prototypes, other researchers (Borkenau, 1990; Burnett et al., 2005; Chaplin et al., 1988; Van Quaquebeke et al., 2014) have posited and found empirical support for a goal-oriented conception of prototypes, referred to as 'ideal prototypes'. Whereas central tendency-based prototypes comprise the most common characteristics of a category, ideal prototypes comprise the characteristics perceived as most central to the purpose of a category. For example, The Global Leadership and Organizational Behavior Effectiveness (GLOBE) program investigates leader prototypes in different cultures (Chhokar et al., 2007; House et al., 2004) by assessing ideal-based leader prototypes. The objective of the study was not to describe leaders regarded as particularly effective in each culture but rather to describe typical leaders in each culture. Hence, in the methodological parts of this thesis, participants were asked to rate how each attribute matched the typical business leader images in their minds.

2.2.3 ILTs attributes and scales

In the implicit leadership theory literature, no definition has been specified for the term *trait* or *attribute*. Based on previous implicit leadership theory works (e.g., Lord et al., 1984; Offermann et al., 1994; Den Hartog et al., 1999), attributes in implicit leadership literature cover a wide range of categories, such as cognitive ability (e.g., *intelligent, knowledgeable, educated, imaginative*), motivation (e.g., *motivated, excellence-oriented, goal-oriented*), problem-solving skills (e.g., *plans ahead, effective bargainer, administratively skilled, verbal skill*), social appraisal skills (e.g., *perceptive, understanding, empathetic, compassionate*). In addition to these, attributes in ILTs also include demographic and any other qualities of a leader, such as *tall*, *male*, *masculine*, *authoritative*, *commanding,* and so on. As to the word property, attributes in implicit literature include adjectives (e.g., *hardworking, decisive*), nouns (e.g., *strong execution, good decision maker, confidence builder*), and verb phrases (e.g., *handle stress, keep promises*). In general, *attributes* in ILTs refer to an integrated pattern of personal characteristics, reflecting a range of individual differences that are viewed as the most representative or ideal ones in the category of leader, which variously covers individual demographics, temperaments, dispositions, motives, abilities, skills, and so on.

The content of ILTs has been examined by many scholars. Lord et al. (1984) first asked subjects to generate attribute lists associated with 11 basic level leadership

categories (e.g., business, politician, and soldier) and examined the prototypicality of these characteristics for either a leader or a non-leader with an independent sample. Results identified a bunch of highly prototypical attributes like intelligence, understanding, and verbal skills. Further, Offermann et al. (1994) identified eight distinct factors of 1LTs (Sensitivity, Dedication, Tyranny, Charisma, Attractiveness, Masculinity, Intelligence, and Strength) that remain relatively stable across both perceiver sex and stimuli. Based on this, Epitropaki and Martin (2004) later developed a shorter six-factor scale of ILTs containing 21 items and examined the generalizability across different employee groups. Due to the dynamic nature of prototypes, Offermann and Coats (2018) reexamined the eight-factor structure with the new samples, and the results revealed a new factor (i.e., Creativity) and the rearranging of some characteristics across factors.

The above scales contain only attributes, however there are also ILT scales capturing behavioral prototypes. For example, Lord et al. (1984) assessed the relationship between prototypicality and accessibility in people's memory by measuring subjects' reaction time to rate certain behaviors as prototypical of a leader (e.g., emphasizes goals, seeks information, proposes solutions). In addition, Den Hartog et al. (1999) included both attributes and behaviors in the questionnaires by asking participants to describe leader attributes and corresponding behavior (e.g., sensitive: aware of slight changes in moods of others; self-interested: pursues own best interests) that they perceived to enhance or impede outstanding leadership. In the present research, I only

focus on leader prototype attributes, and no behaviors or corresponding behavioral items are included.

2.3 Implicit followership theories (IFTs)

2.3.1 Implicit followership theories (IFTs)

Complementing the developed perspective of implicit leadership theories (ILTs), another line of research focuses on preconceived notions about followers and followership: implicit followership theories (IFTs; Sy, 2010). Leader's implicit followership theories (LIFTs) are cognitive categories that reflect the conceptions that leaders have about the traits and behaviors of followers (Sy, 2010). LIFTs may act as sensemaking mechanisms (Weick, 1995) that influence leaders' affect, cognitions, and behaviors toward followers (e.g., Fiske, 1993). Sy (2010) provided the first evidence for the relevance of LIFTs. In his study, LIFTs were related to leader and follower liking, leader trust, follower job satisfaction, and the relationship quality between leader and follower. Also, Whiteley, Sy, and Johnson (2010) propose that LIFTs may serve as lenses that "color" leaders' expectations for their followers, influencing follower performance in a manner consistent with the Pygmalion effect. The results of their study provide support for the proposition that positive LIFTs positively influenced leaders' performance expectations for their followers, which influenced their liking and LMX quality with their followers, and further predicted follower performance.

Although many studies still focus on leaders' implicit followership theories (LIFTs), Yang et al. (2020) emphasized the role of follower prototypes in the eyes of followers themselves. The followership prototypes of the followers were a reflection of the followers' self-identity and were also a kind of opinion and attitude towards their colleagues, which may influence followers' responses to their colleagues (Yang et al., 2020). With samples of employees, Yang et al. (2020) identified followers' IFTs (FIFTs) and found that FIFTs affect the quality of their collegial relationships. Specifically, positive followership prototypes had a positive impact on the quality of peer relationships and had a significant positive effect on the satisfaction, trust, and commitment, that is, the quality of collegial relationships. Negative followership prototypes had a negative impact on the quality of collegial relationships, especially in terms of trust.

2.3.2 IFTs attributes and scales

In the implicit followership literature, there is also no specific definition has been made for the term *trait* or *attribute*. Same as ILT attributes, IFT attributes also cover a wide range of categories, including the cognitive ability (e.g., *educated, creative*), personality (e.g., *outgoing, lazy*), problem-solving skills (e.g., *thinking ahead, efficient, practicality, strong execution*), and interpersonal qualities (e.g., *corporation, team-minded*). Similar to the definition of ILT attributes discussed in the last section, *attribute* in IFTs refers to an integrated pattern of personal characteristics, reflecting a

range of individual differences that are viewed as the most representative or ideal ones in the category of follower.

As to IFT scales, the most frequently cited is the one developed by Sy (2010). Sy developed an 18-item measure operationalizing typical follower images in the working place. It is comprised of six factors: Industry, Enthusiasm, Good citizenship, Conformity, Insubordination, and Incompetence. This scale has been validated in subsequent studies (e.g., Kruse & Sy 2011, Whitely et al. 2012). Similar to ILTs, leaders' mental representations of followers may represent ideal (i.e., how followers should be), or central tendency prototypes (i.e., how followers typically are). To describe prototypes of ideal followers, Junker et al. (2016) developed a 21-item scale to measure ideal (e.g., *thinking ahead, educated, interested*) and counter-ideal (e.g., *aggressive, malicious, irritable*) follower prototypes.

Given that cultural differences may also be an important factor causing cognitive differences in IFTs (Epitropaki, Sy, Martin, Tram-Quon, & Topakas, 2013; Junker & Dick, 2014; Leung & Sy, 2018), Yang et al. (2020) developed IFTs in the Chinese context. Yang et al.' IFT scale also contains two dimensions: positive followership prototypes and negative followership prototypes. However, the specific content of the two dimensions was significantly different from that found by Sy (2010). For example, *nonconforming* is viewed as a negative prototype in the Chinese context (Yang et al., 2000), while the factor *conformity* including attributes like *easily*

influenced, following trends, and soft-spoken fall into the antiprototypical aspect in Sy's study (2010). Also, the factor *enthusiasm* which includes attributes such as *happy, outgoing, excited* identified in Sy's research (2010) was not found in Yang et al.'s article (2000). While Yang et al.'s scale contains more attributes related to the factor *industry* identified by Sy (2010), such as *strong execution, dedication, persistent, efficient, and so on*.

2.4 Leader attributes and leadership outcomes

2.4.1 Leader attributes and leadership outcomes

In the above sections, literature on implicit theories has been reviewed. Implicit theories posit that individuals will be categorized as leaders or followers when their perceived attributes approximate those coded in the cognitive representations of observers (Lord et al., 1984; Lord & Maher, 1993). According to the theory's assumptions, ILTs work as the benchmark followers use to form a perception of their leader. High congruence between perceivers' leadership expectations and perceptions of the target person serves as an important antecedent of followers' perceptions towards the leader, such as transformational leader behavior (Bass & Avolio, 1989), followers' identification and respect for the leader (Van Quaquebeke et al., 2014), and leadership effectiveness ratings (Lord et al., 1984). As Lord and Maher (1993) noted, "*while traits may not be potent causes of a leader's behavior, they are important*

summary labels that help perceivers understand and predict a leader's behavior. In other words, traits, like beauty, are in the eye of the beholder" (p. 31).

Then a question may be, what is the effect of a person holding the leadership role while being perceived as also matching with some of the IFT attributes (i.e., attributes typically associated with followers)? As to the connection between leader attributes and leadership outcomes, implicit theories explain how leaders' attributes may shape followers' perceptions towards the leader through follower's sense making processes. From this perspective, being perceived as matching some of the IFT attributes may lead to an unsuccessful categorization and negative outcomes. The other stream of research, however, adopts a more functional perspective in the linkage between leader attributes and leadership outcomes by bridging the delineation of efficacious leader individual differences to the role and functional requirements engendered by leadership positions (Zaccaro, 2001, 2007; Zaccaro et al., 1991, 2013, 2018). Put differently, this emphasizes that the delineation of leader attributes needs to contribute to the fulfillment of the functions that leaders are expected to complete in the working place.

The key explanatory mechanism in the second route above is the degree to which the range of personal attributes possessed by the leader fits or matches the situational requirements of the leader's role. The higher the match, the higher the promise of positive managerial outcomes. This view is also consistent with research suggesting

that it is beneficial for leaders to exhibit behavioral flexibility (Zaccaro et al. 2013; Zaccaro, Gilbert, Thor, & Mumford, 1991). From this functional viewpoint, leaders are suggested to have a better understanding of what kinds of functions or demands they need to fulfil in the working place and to exhibit certain attributes that enable them to accomplish those functions. It is possible that considering this functional viewpoint might suggest additional attributes that could be present in followers' ILTs that have not currently been thoroughly considered by the traditional ILT research.

2.4.2 Leader attributes and task vs. relational functions

Based on the discussion above, a literature review should first be given on leadership functions. Although there are many different functions or demands that a leader needs to accomplish, two general functions were emphasized by scholars in the literature, namely task-related functions and relational functions.

As to task-related functions, Coffin (1944) provided an early interpretation on the relationship between leader attributes and outcomes in his three-factor leadership model. He argues that leadership researchers should first define the functions of leaders and executives, and then identify the personality traits that correspond to those functions. Coffin divided the leadership functions into three categories: planning, organizing, and persuading. He then categorized 135 traits from previous research into 11 trait clusters according to the leadership functions they most enabled. Along with this approach, Katz and Kahn (1978) defined three sets of leadership processes,

namely organization, interpolation, and administration, corresponding to the top, middle, and lower levels of organizational leadership. They then emphasized three sets of cognitive and emotional competencies and skills for each of these leadership processes. Similarly, Hunt (1991) and Zaccaro (2001) also proposed sets of leader attributes based on changing functional requirements at different levels of the organization. More recently, Mumford, Todd, Higgs, and Mackintosh (2017) provided an extension of this work by specifying eight cognitive skills that are critical to leader performance in terms of problem solving, such as problem defining, planning, forecasting, and creative thinking.

Later on, in addition to task-related functions, increasing attention has been put on the leadership traits that contribute to the fulfillment of socioemotional functions of leadership. Lord (1977) distinguished task-related functional behavior (e.g., developing plans, coordinating, or directing) and socioemotionally related leadership behavior (e.g., fulfilling non-task needs of members, developing a positive group atmosphere) according to task-related and group maintenance-related leadership functions. Mumford et al. (2000) drew upon the functional requirements of organizational leadership to define cognitive (e.g., identifying problems) and social leadership skills (e.g., motivating others) that contribute to effective organizational problem-solving. Zaccaro et al. (2013) surveyed the literature that provided job analysis information on leadership roles and identified three sets of leadership demands: cognitive, social, and self-motivational. They then specified the requisite

leadership attributes for each set of requirements. To fulfill cognitive performance requirements, leaders need to possess traits like *intelligence, openness, emotional stability*, and *conscientiousness*. Social requirements suggested attributes such as *social acuity, extraversion*, and *agreeableness*. Motivational requirements called for traits such as *dominance, need for power, need for achievement, resiliency*, and *emotional stability*.

2.4.3 Leader follower-specific attributes, followers' perceptions, and leadership outcomes

The above literature suggests that the socioemotional or relational function is an important part of leadership which also calls for certain leader attributes. In addition to the above findings, previous literature has directly or indirectly highlighted the importance of leaders enacting follower role-specific attributes to accomplish relational functions. It is possible that the attribution only of prototypical leadership attributes, especially in contexts calling for socioemotionally related functions, might not be sufficient. That is, leaders might sometimes benefit from being perceived as having some prototypical follower traits as well as those associated with leaders.

As mentioned in the earlier *Introduction* part, one strategy that leaders could adopt is to deliberately exhibit similar characteristics to their followers to develop a closer relation with them (Ajzen, 1974; Byrne, 1971; Dulebohn et al., 2012). To develop an open and friendly working environment, leaders may also purposefully conceal traits

like *authoritative*, *dominant*, and *power-hungry* that are viewed as leadership prototypical attributes, but exhibiting characteristics that were previously expected to for followers (Conger et al., 2000; Hannah et al., 2009; Van Dierendonck, 2011), such as creating value for the community (reflected in the *good citizen* factor of followership prototypes in Sy, 2010), exhibiting positive-affect-related attributes like *excited* (similar attributes included in the Sy, 2010 and Yang et al. 2020). Then a question is that does exhibit follower-specific prototypical attributes is a disaster or a bonus for leaders to fulfil leadership functions?

This implies the need for further categorization of implicit attributes into leader-specific, follower-specific, and role-common groups to examine how leader being follower-like influences the fulfilment of certain leadership functions. Although these attributes may not be the direct determinants of leadership functions, they may influence how followers understand and perceive their leaders' behavior, and further influence leadership outcomes (Lord & Maher, 1993). Two major theoretical mechanisms are often thought to be immediate antecedents to how followers understand leaders' behavior (Cronshaw & Lord, 1987), namely categorization (Lord et al., 1982, 1984) and attributional processes (Kelley, 1973).

On the one hand, Lord and his colleagues (Lord et al., 1982, 1984) described how categorization can operate to determine leadership perceptions. Certain characteristics of the leader initiate a limited search for the category prototype that matches those

characteristics. When a successful match is achieved, a leader label will be applied. According to the categorization perspective, attributes that matter to follower perceptions are those prototypical ones stored in followers' memory. For example, in Epitropaki and Martin's (2005) study, results support the positive outcomes of successful categorization by showing that the closer employees perceive their leader's profile to be to the ILTs they endorse, the better leader-follower relational quality perceived by followers. In this sense, when a leader exhibits prototypical attributes that are expected to be exhibited by followers, then the categorization process will end with a failure, further influencing their perceptions of leader behaviors.

There are many different kinds of leader behavior, among which task-oriented and relation-oriented leader behaviors cover the fundamental, day-to-day behaviors that are important across all types of leaders (Fleishman, 1951, 1953, 1957; Yukl, 1971). The disappointing results of leader categorization caused by leaders' exhibition of follower-specific attributes may be detrimental to follower perceived leaders' task-related behavior. This is because that task-related leadership behavior requires leader to enact certain behaviors such as speaking in a manner not to be questioned, ruling with an iron hand, criticizing poor work, and so on (Halpin, 1957). These behaviors depict a leader image that is different from subordinates, implying leader prototypical characteristics like *authoritative*, *commanding*, and *assertive* (Offermann & Coats, 2018). Exhibiting follower-specific prototypical attributes pushes leaders far away

from such an image and thus damaging followers' perception of leaders' initiating behavior.

On the other hand, from the attributional perspective, exhibiting follower-specific prototypical attributes may increase follower perceived leader relational behavior. Attribution theory proposes that an individual is a "naïve psychologist" who has an innate tendency to make sense of what he or she encounters (Heider, 1958), especially when experiencing something that is disappointing or surprising (Lord & Smith, 1983; Martinko, Harvey, & Douglas, 2007). Besides direct categorizing one person into a leader or non-leader category, subordinates may also try to interpret and understand leaders' exhibition of follower-specific prototypical attributes by constructing causal explanations.

In the leadership research, most of the attribution studies focus on the "disappointing" side, exploring leaders' and employees' attributions in the context of negative events or behaviors, such as negative performance feedback (e.g., Eberly, Holley, Johnson, & Mitchell, 2017; Liden & Mitchell, 1985; Martinko, Moss, Douglas, & Borkowski, 2007) and abusive supervision (Burton, Taylor, & Barber, 2014). Leaders' exhibition of follower-specific prototypical attributes, or a leader being follower-like, can be surprising or counterintuitive in the working place, and thus may trigger employees' attributing processes (Lord & Smith, 1983).

A leader who exhibits follower-specific attributes might suggest to followers that there are more similarities between the leader and followers. According to the similarity attraction paradigm (Byrne, 1971; Turban & Jones, 1988), a leader that has some follower-like characteristics may garner favorable feelings of followers due to the similarity between the leader and followers themselves. This favorable attitude would encourage subordinates to make positive attributions towards the leader (Regan et al., 1974; Sue-Chan, Chen, & Lam, 2011). As a result, leaders' exhibition of follower-specific attributes, or a leader exhibiting similar attributes of his or her followers, may be interpreted as the leader's motives for closer and friendly relationships, as indicated by leader relation-oriented behaviors.

These two seemingly opposite effects of follower-specific prototypical attributes on followers' perceptions of leader task-oriented and relation-oriented behaviors are key questions that are investigated in this thesis. In the following section, a literature review is done on leader task-oriented (i.e., *Initiating Structure*) and relation-oriented (i.e., *Consideration*) behaviors.

2.5 Initiating Structure and Consideration

The 1940s was a critical period for leadership. Frustrated by the current emphasis on trait theories, a group of researchers at Ohio State University attempted to uncover behavioral indicators of effective leadership (Stogdill, 1950). Although many different kinds of leader behaviors have been studied, two broad aspects were

emphasized: Consideration and Initiating Structure (or Structure). Initiating Structure, or task-oriented leadership, expresses the degree to which a leader defines the roles of their followers, focuses on goal achievement, and establishes well-defined patterns of communication (Fleishman, 1973). Consideration**,** or relationship-oriented leadership, expresses the degree to which a leader shows concern and respect for their followers, looks out for their welfare, and expresses appreciation and support (Bass, 1990a, 1990b).

In the more than half century since the discovery of Consideration and Initiating Structure, much has been learned about these concepts. However, beginning in the mid-1960s, mounting criticism of research on initiating structure and consideration began to emerge and one may be impressed by how quickly these two constructs fell out of favor in the leadership research (e.g., Kerr & Schriesheim, 1974; Korman, 1966; Rush et al., 1977). These criticisms focus on both the conceptual and methodological levels. On a conceptual level, the emergence of implicit leadership theory brought about the question of the internal validity of behavioral leadership survey measures. In addition, much research started to turn attention to other areas, most notably charismatic and transformational leadership (Bass, 1985; Burns, 1978; House, 1977). On a methodological level, research was often criticized for its reliance on common source data in which the leadership behavior ratings and criteria were collected from the same source (Kerr & Schriesheim, 1974), although in fairness, many subsequent studies did use independent data sources (e.g., Ilgen & Fuji, 1976;

Sheridan & Vredenburgh, 1978). Another controversy is how to measure considerations and structure. Different measurements were developed, many of which have been criticized for different reasons (Schriesheim & Kerr, 1974).

These criticisms inhibited research on Structure and Consideration for a long time. Since 1980, there have been only a handful of empirical journal articles on Consideration or Initiating Structure, and there have been none since 1987. However, after entering the 21st century, some scholars advocated that people's attention should be shifted back towards these two concepts. The meta-analytic investigation of Judge et al. (2004) provided important support for the validity of Initiating Structure and Consideration in leadership research. Based on 163 independent correlations for Consideration and 159 correlations for Initiating Structure, results revealed that both Consideration (.48) and Initiating Structure (.29) have moderately strong, nonzero relations with leadership outcomes. Besides, validities did vary by the specific leadership measure used, but in most cases, validities generalized regardless of the measure used.

Judge et al. (2004) has been cited 1878 times so far (18 April, 2022, Google Scholar). Among these studies, for example, is a meta-analysis (Burke, Stagl, Klein, Goodwin, Salas, & Halpin, 2006) that also provided support for the positive relationships of Structure/Consideration with perceptions of team effectiveness. In addition, another meta-analytic analysis conducted by DeRue et al. (2011) examined the predicting

effects of different leader behaviors (e.g., Structure, Consideration, transformational, contingent rewards). Results show that the most important leader behavior for predicting group performance is initiating structure, which is positively related to group performance and accounts for 32.9% of total explained R^2. In predicting satisfaction with the leader, considerate behavior was the most important behavior accounting for 44.9% of the total variance explained, whereas transformational behaviors account for 19.8%. All these recent findings suggest that the abandonment of scholarly interest in consideration and initiating structure may have been unwarranted.

As to the predicting effects, the different trends of Structure and Consideration in predicting leadership outcomes have been well-documented in the previous literature. Leader initiating behavior is positively related to subordinates' in-role performance and negatively related to their deviant behavior (e.g., Keller, 2006; Neubert, Kacmar, Carlson, Chonko, & Roberts, 2008), while leader considerate behavior is an important determinant of subordinate job satisfaction, satisfaction with the leader, and extra-role behavior (e.g., Badin, 1974; Gottfredson & Aguinis, 2017; Lowin, Hrapchak, & Kavanagh, 1969; Schriesheim, House, & Kerr, 1976). Recently, scholars shifted their attention to the new criteria of Structure and Consideration. Holtz and Harold (2013) found that Structure has a significant positive relationship with distributive justice perceptions while Consideration has a robust relationship with interpersonal justice, and both of them are significantly linked to procedural justice. Tremblay, Gaudet, &

Parent-Rocheleau (2018) found an indirect influence on the within-unit variability of extra-role behaviors through the mediating effect of distributive and procedural justice climates.

Although researchers have concentrated on more dramatic forms of leadership (e.g., transformational, charismatic) in recent years, there is good reason to refocus attention on *Consideration* and *Structure*. These two factors succinctly represent the fundamental, day-to-day, behaviors that are important across all types of leaders (Fleishman, 1951, 1953, 1957; Yukl, 1971). The relevance of some responsibilities (e.g., formulating an inspiring vision) varies depending on a leader's level in the organizational hierarchy (Day & Lord, 1988; Katz & Kahn, 1978), while *Consideration* and *Structure* are important across all levels of leadership (Fleishman, 1973). Most importantly, although there are many specific functions a leader needs to perform, *Consideration* and *Structure* cover the two most basic functions in the leadership research – task-oriented and relation-oriented functional behaviors (Lord, 1977). Given the widespread applicability and fundamental nature of these leadership dimensions, research focused on *Consideration* and *Structure* has the potential to enhance our understanding of leadership's influence in contemporary organizations (Holz & Harold, 2013). More specific distinctions between these two leader behaviors and other leadership styles were discussed in Chapter 3.

3 CHAPTER 3 STUDY 1-3: ROLE-SPECIFIC AND ROLE-COMMON ATTRIBUTES

3.1 Study 1: Attribute reduction and contextualization in China

3.1.1 The purpose of reduction and contextualization

The purpose of the first three studies (Studies 1-3) is to identify sets of culturally appropriate ILT and IFT items, and then to determine how they sort into the three proposed sets of leader-specific, follower-specific and role-common attributes. Thus, the focus of Study 1 is to recontextualize existing ILT and IFT items into the Chinese language and to narrow the item pool to make later analyses manageable. These two purposes are discussed below.

First, although there is an agreement regarding the paradigm of implicit theories, respective research retains a high degree of variability regarding the contents and structures of leader or follower prototypes across a variety of different study samples (e.g., Epitropaki & Martin, 2004; House et al., 2004; Ling et al., 2000; Offermann & Coats, 2018). Culturally endorsed assumptions have been empirically supported as a focal factor influencing prototypes, especially between western and eastern samples (Gerstner & Day, 1994). For this reason, a couple of existing studies have developed Chinese ILTs and IFTs (e.g., Ling et al., 2000; Yang et al., 2020; the last one was from the perspective of followers themselves, compared to Sy et al.'s IFT which was in the eyes of leaders). However, additionally given that prototypes may change over

time (Brown & Lord, 2001; Epitropaki & Martin, 2004), it is a better choice to modify these schemas in the present study rather than to directly adopt previous versions. Considering the social-cultural environment of the intended later studies, this study asked Chinese participants to rate the attributes from multiple established ILTs and IFT scales in terms of their typicality for a leader/follower to recontextualize the prototypes in the corresponding cultural background.

Another critical issue is that the extant ILT and IFT trait lists tended to be rather long, an issue that became even more so when multiple scales were combined. For example, Lord et al.'s (1984) scale is comprised of 59 items, the Schein Descriptive Index (Schein, 1973; Deal & Stevenson, 1998) has 92 items, and Offermann et al.'s (1994) scale has 41 items. This can be problematic from a practical point of view due to the potential exhaustion of the raters. Shorter scales are generally preferred in organizational studies so that respondents' workload is minimized (Epitropaki & Martin, 2004). Therefore, the second purpose of Study 1 was to develop shorter lists of ILTs and IFTs traits that capture the very essence of prototypical leader and follower attributes.

3.1.2 Methods

3.1.2.1 Measures

Because various ILT and IFT scales have been developed so far, not all existing scales were included in Study 1; otherwise, the item pool will be too large. Before

data collection, specific criteria (see following paragraphs) were followed when choosing which ILT and IFT scales to include in Study 1.

When choosing the ILT scales for Study 1, research published earlier than 1999 (e.g., Lord et al., 1984; Offermann et al., 1994) was excluded due to the dynamic nature of prototypes (Offermann & Coats, 2018). Many recent theoretical works on ILTs have argued that individual leadership prototypes may change over time (Lord, Epitropaki, Foti, & Hansbrough; 2020), noting that they can be both sensitive to context and still produce stability over time (e.g., Lord, Brown, & Harvey, 2001; Offermann & Coats, 2018). This suggests that some aspects of ILT content described in the previous literature may have remained stable over time, while some aspects may have been discarded and new categories added. Considering ILT scales earlier than 1999 were published more than 20 years ago, the validity of these attributes is questionable, and thus they were excluded.

Second, the consideration of generalizability is a critical issue in ILTs research. Connectionist models of leadership perception (e.g., Hanges, Lord, & Dickson, 2000; Lord, Brown, & Harvey, 2001) emphasized the role of contextual constraints in ILTs and suggested that prototypes are likely to exhibit variations across individuals as a function of different contexts. Existing studies on the generalizability of ILTs have focused on its consistency across gender, employee groups (e.g., job level, tenure), and different cultures (e.g., Den Hartog et al., 1999; Epitropaki & Martin, 2004;

Offermann et al., 1994). Therefore, ILTs scales that have been validated across different samples need to be included in the current study (e.g., Den Hartog et al., 1999; Epitropaki & Martin, 2004).

Third, previous literature suggests that individuals use leader schemas to process information and identify leaders through three hierarchical levels: superordinate, basic, and subordinate (Rosch, 1978). The highest, most general of these is the superordinate level – this is the simple classification of a stimulus person as either leader or non-leader. The next lower level is the basic level, which is often considered to be most important in that it typically reflects the names most associated with objects (Mervis & Rosch, 1981). In terms of leadership, basic-level categories consider the context of leadership. For example, eleven types of leaders, such as business leader, political leader, and military leader categories have been identified in previous research (Lord et al., 1984). Finally, the lowest, subordinate categories contain the most specific information. Given that the current research specifically focuses on business leaders in the working place, studies that did not target either a general or a business leader image were excluded.

Finally, implicit leadership traits describe personal attributes that followers expect of their leaders, and these attributes are based on the culture in which one lives. Existing research shows that the content of implicit attributes among Chinese people differs from those possessed by Western samples. For example, Ling et al.

(2000) identified four factors of implicit leadership, namely personal morality, goal efficiency, interpersonal competence, and versatility. Chinese participants were found to give the highest ratings to interpersonal competence, reflecting the enormous importance of this factor, which is consistent with Chinese collectivist values. Due to the non-negligible role of the culture in shaping prototypes, studies using Chinse samples are included in the study.

Based on the predicting criteria, the present study included the four ILT scales developed by Den Hartog et al. (1999), Epitropaki and Martin (2004), Ling et al. (2000), Offermann and Coats (2018). Similar criteria were also followed when choosing IFT scales, resulting in the use of characteristics identified by the following three studies: Junker et al. (2016), Sy (2010), and Yang et al. (2020). This step produced 137 ILTs items and 70 IFTs items.

To further prepare the ILT and IFT item pools, two Ph.D. candidates first translated the chosen items into Chinese independently and then discussed them until consensuses on the translation were reached on all items. Following this, repetitive and semantically similar words were deleted, leaving a final 105 ILT items and 53 IFT items. For example, *pushy* appears both in Epitropaki & Martin's (2004) ILT scale and Offermann & Coats's (2018) ILT scale, so this trait was just kept once in the questionnaire. Regarding semantically similar words, for example, *loner* and *asocial* were translated in the same meaning in Chinese ("不合群的"), thereby I used

only one Chinese word to represent these two attributes. Another example can be found regarding the English language words as reliable and trustworthy (both translated as "可靠的" in Chinese). These items and corresponding translations are shown in Table 3.1 and Table 3.2. This step left final sets of 105 ILT items and 53 IFT items.

Table 3.1

105 ILTs Items

	Item names	Name in Chinese	Original scales
1	Caring	体恤他人的	
2	Intelligent	理解力强的	
3	Compassionate	有同情心的	
4	Kind	和善的	
5	Empathetic	有同理心的	
6	Selfless	无私的	
7	Friendly	友好的	
8	Sensitive	敏感的	
9	Motivated	有动力的	
10	Dedicated	有奉献精神的	
11	Focused	专注的	
12	Good decision maker	有良好决策能力的	
13	Goal oriented	目标导向的	Offermann & Coats (2018)
14	Handle stress	善于处理压力的	
15	Charismatic	有魅力的	
16	Sociable	擅长社交的	
17	Dynamic	有活力的	
18	Bold	大胆的	
19	Commanding	爱发号施令的	
20	Assertive	坚持自己主张的	
21	Authoritative	权威的	
22	Tough	强硬的	
23	Strong	坚强的	
24	Firm	坚定的	
25	Creative	有创意的	
26	Innovative	有创新精神的	
27	Clever	聪明的	

28	Intellectual	理智的	
29	Well-groomed	打扮得当的	
30	Well-dressed	衣着讲究的	
31	Masculine	有男子气概的	
32	Tall	个子高的	
33	Male	男性化的	
34	Power-hungry	热衷权力的	
35	Educated	受过良好教育的	
36	Domineering	专横的	
37	Controlling	有控制欲的	
38	Pushy	步步紧逼的	
39	Intimidating	令人生畏的	
40	Coercive	强迫他人的	Offermann & Coats (2018)
41	Demanding	要求严苛的	
42	Risky	爱冒险的	
43	Helpful	乐于助人的	
44	Understanding	善解人意的	
45	Sincere	真诚的	
46	Knowledgeable	知识渊博的	
47	Hard-working	工作努力的	Epitropaki & Martin (2004)
48	Energetic	精力充沛的	
49	Selfish	自私的	
50	Manipulative	有城府的	
51	Loud	嗓门大的	
52	Conceited	自负的	
53	Many interests	兴趣广泛的	
54	Honest	诚实的	
55	Genuine	表里一致的	
56	Pragmatic	务实的	
57	Receptive to criticism	愿意接受批评的	
58	Impartial	公正的	
59	Keep promise	守信用的	
60	Self-disciplined	严于律己的	Ling et al. (2000)
61	Incorruptive	廉洁的	
62	Use self as model	以身作则的	
63	Fortitude	有魄力的	
64	Visionary	有远见的	
65	Imaginative	富有想象力的	
66	Decisive	办事果断的	
67	Perceptive	有敏锐观察力的	
68	Scientific	崇尚科学的	
69	Competent	有才能的	

70	Talent scout	善于发现人才的	
71	Entrepreneur	有企业家精神的	
72	Open-minded	思想开放的	
73	Seasoned	老练的	
74	Cautious	谨慎的	
75	Multilingual	精通外语的	
76	Mature	成熟的	
77	Well read	有文学修养的	
78	Appreciates arts	喜爱艺术的	
79	Elegant	举止文雅的	
80	Verbal skill	有口才的	
81	Cheerful	开朗的	
82	Sense of humor	有幽默感的	Ling et al.
83	Multitalented	多才多艺的	(2000)
84	Cheerful	使人感到愉快的	
85	Psychologically	懂心理学知识的	
86	Positive	积极向上的	
87	Excellence oriented	追求卓越的	
88	Administrative skilled	有管理技巧的	
89	Confidence builder	信心树立者	
90	Win-win problem solver	能够以双赢方式解决问题的	
91	Encouraging	鼓励下属的	
92	Team builder	团队建立者	
93	Coordinator	协调者	
94	Informed	消息灵通的	
95	Effective bargainer	高效的谈判者	House et al.,
96	Plans ahead	提前计划的	(1999)
97	Motive arouser	激励下属的	
98	Communicative	健谈的	
99	Ruthless	无情的	
100	Asocial	不合群的	
101	Irritable	急躁的	
102	Dictatorial	独裁的	
103	Egocentric	以自我为中心的	
104	Nonexplicit	态度模棱两可的	
105	Noncooperative	缺乏合作精神的	

Note. Items 1-42 were from Offermann & Coats (2018), 43-52 were from Epitropaki & Martin (2004), 53-85 were from Ling et al. (2000), 86-105 were from House et al. (1999).

Table 3.2

105 IFTs Items

	Item names	Name in Chinese	Original scales
1	Confidence	自信的	
2	Decisive	果断的	
3	Careful	仔细的	
4	Curious	有求知欲的	
5	Strong execution	有执行力的	
6	Persistent	坚持不懈的	
7	Proactive	主动的	
8	Competent	有才能的	
9	Dedication	有奉献精神的	
10	Efficient	高效的	
11	Passionate	有热情的	
12	Clear-cut	态度明确的	
13	Corporation	有合作精神的	
14	Intelligent	理解力强的	Yang et al., 2020
15	Responsibility	有责任心的	
16	Practicality	立足实践的	
17	Resistance	抗压的	
18	Maturity	成熟的	
19	Lazy	懒惰的	
20	Indifferent	冷漠的	
21	Passive	被动的	
22	Slack	懈怠的	
23	Procrastinating	拖延的	
24	Complaints	抱怨的	
25	Scholasticism	墨守成规的	
26	Nonconforming	不服从的	
27	Carelessness	粗心大意的	
28	Half-hearted	心不在焉的	
29	Hardworking	工作努力的	
30	Reliable	可靠的	
31	Goes above and beyond	超额完成任务的	
32	Excited	活跃的	
33	Outgoing	外向的	Sy, 2010
34	Happy	快乐的	
35	Loyal	忠诚的	
36	Easily influenced	立场不坚定的	
37	Follows trend	从众的	
38	Soft spoken	轻声细语的	

39	Arrogant	傲慢的	Sy, 2010
40	Rude	无礼的	
41	Bad temper	脾气差的	
42	Slow	行动迟缓的	
43	Inexperienced	缺乏经验的	
44	Thinking ahead	未雨绸缪的	
45	Educated	受过良好教育的	
46	Engaged	投入的	Junker et al., 2016
47	Interested	对工作感兴趣的	
48	Communicative	健谈的	
49	Team-minded	有团队意识的	
50	Creative	有创意的	
51	Aggressive	争强好斗的	
52	Malicious	心怀恶意的	
53	Irritable	急躁的	

Note. Items 1-28 were from Yang et al. (2020), 29-43 were from Sy (2010), 44-53 were for Junker et al. (2016).

As discussed in the literature review section, previous studies distinguished 'typical' and 'ideal' (or 'effective') prototypes in ILT and IFT fields (Van Quaquebeke et al., 2014; Sy, 2010). While some researchers seem to have focused on the investigation of a central tendency prototype, which comprises a general image depicting the family resemblance of the leader or follower categories (e.g., Epitropaki & Martin, 2004; Lord & Maher, 1993; Offer & Coats, 2018; Offerman et al., 1994), others have focused on the effectiveness-oriented prototype comprising an ideal schematic image (e.g., Chhokar, Brodbeck, & House, 2007; Junker et al., 2016; Keller, 1999, Kenney, Schwartz-Kenney, & Blascovich, 1996). To make it clear, the prototypicality measures in the present study are rooted in the central tendency conception of prototypes. This was done by providing instructions that asked

participants to rate how characteristic each of the traits presented was of most leaders or followers (Lord et al., 1984). The prompts were as follows:

(ILTs) "In an organization, some people are leaders, and some are followers. The following words or phrases describe personal characteristics. Please read carefully and rate how you agree that these words or phrases describe the image of most leaders in the working place ("1" = "strongly disagree", "2" = "disagree", "3" = "neither agree nor disagree", "4" = "agree", "5" = "strongly agree"). There is no right or wrong, good or bad answer. All responses are anonymous and confidential."

(IFTs) "In an organization, some people are leaders, and some are followers. The following words or phrases describe personal characteristics. Please read carefully and rate how you agree that these words or phrases describe the image of most followers in the working place ("1" = "strongly disagree", "2" = "disagree", "3" = "neither agree nor disagree", "4" = "agree", "5" = "strongly agree"). There is no right or wrong, good, or bad answer. All responses are anonymous and confidential."

3.1.2.2 Participants and procedures

Data for Study 1 were collected using a snowball sampling approach (Cresswell, 1998), so the participants would include cover managers and staff

working in different industries and organizations in China. Due to the strict social restrictions during the pandemic, questionnaires were sent out via SoJump, a service provider of the online survey. Research using SoJump has been published in well-respected journals like the *Academy of Management Journal* (Miron-Spektor, Ingram, Keller, Smith, & Lewis, 2018) and the *Journal of Applied Psychology* (Ferris, Reb, Lian, Sim, & Ang, 2018). Participants were asked to rate each item the extent to which they agree the 105 ILTs attributes describe a typical leader in the working place and the extent to which they agree the 53 IFTs attributes describe a typical follower in the working place. Moreover, they were asked to provide demographic information. Finally, 211 valid questionnaires were obtained.

Among the 211 participants, 170 (80.6%) were male. The average age was 30.89 years (SD = 7.93). In terms of education, most people obtained a bachelor's degree (N = 124, 58.8%), followed by college (N = 37, 17.5%), master's degree (N = 26, 12.3%), junior high school (N = 12, 5.7%), senior high school (N = 8, 3.8%), primary school, and Ph.D. degree (N = 2, 0.9%, respectively). For these people, 52.6 % (N = 111) participants worked in the public sector and 47.4% (N = 100) in the private sector. Besides, 57 people (27.0%) had managerial experience, 154 people (73.0%) did not. For people who had managerial experience, the average length of such an experience was 4.25 (in years). Regarding position, 21.8% (N = 46) of the respondents were in the managerial position during data collection (26 people at the junior level, 16 at the senior and 4 at the top level, 78.2% (N = 165) were not.

3.1.2.3 EFA

Previous literature suggests that ILT and IFT scales contain multiple factors (e.g., Epitropaki & Martin, 2004; Offermann et al., 1994; Offermann & Coats, 2018). Therefore, an exploratory factor analysis (EFA) was conducted to examine the potential factor structures of the105 ILT items and 53 IFT items, respectively. In order to capture as much of the total variation in the original set of 160 items as possible, subject ratings were submitted to principal components factor analysis rotated to a varimax solution (Offermann et al., 1994).

For 105 ILT items, the analyses provide 20 components with eigenvalues greater than 1.00. Results show that 48.51% of the total variance was explained by the first five components and 51.48% was explained by the first six ones. When the number of extracted factors is set as two, the total variance was explained 47.01% and most prototypical attributes that were identified in the previous literature fall into the first component while most in the second component were antiprotypical ones (Table 3.3). This result is consistent with previous findings that the leader prototype and leader antiprototype are the two higher order factors in the ILT scale (e.g., Epitropaki & Martin, 1994).

Table 3.3

Rotated Component Matrix of ILTs items

	Items	Factor 1	Factor 2
1	caring	**0.557**	-0.379

2	intelligent	**0.640**	-0.269
3	compassionate	**0.578**	-0.451
4	kind	**0.541**	-0.448
5	empathetic	**0.623**	-0.397
6	selfless	**0.568**	-0.385
7	friendly	**0.574**	-0.385
8	sensitive	**0.249**	0.281
9	motivated	**0.623**	-0.158
10	dedicated	**0.655**	-0.330
11	focused	**0.680**	-0.179
12	Good decision maker	**0.667**	-0.181
13	goal oriented	**0.702**	-0.039
14	handling stress	**0.623**	-0.178
15	charismatic	**0.683**	-0.266
16	sociable	**0.667**	-0.088
17	dynamic	**0.721**	-0.138
18	bold	**0.609**	0.081
19	commanding	0.113	**0.592**
20	assertive	0.316	**0.509**
21	authoritative	**0.623**	0.180
22	tough	0.172	**0.684**
23	strong	**0.677**	-0.025
24	firm	**0.612**	-0.032
25	creative	**0.683**	-0.173
26	innovative	**0.643**	-0.181
27	clever	**0.686**	-0.107
28	intellectual	**0.611**	-0.261
29	Well groomed	**0.609**	-0.047
30	Well dressed	**0.631**	-0.062
31	masculine	**0.514**	0.091
32	tall	**0.404**	0.148
33	male	0.236	**0.444**
34	educated	**0.697**	-0.002
35	domineering	-0.177	**0.698**
36	controlling	-0.107	**0.703**
37	pushy	-0.302	**0.695**
38	intimidating	-0.112	**0.593**
39	coercive	-0.210	**0.757**
40	demanding	0.001	**0.650**
41	risky	0.312	**0.262**
42	Power hungry	0.077	**0.620**
43	helpful	**0.522**	-0.397
44	understanding	**0.598**	-0.376

45	sincere	**0.600**	-0.375
46	knowledgeable	**0.760**	-0.116
47	hardworking	**0.670**	-0.045
48	energetic	**0.707**	0.057
49	selfish	-0.078	**0.522**
50	manipulative	0.102	**0.600**
51	loud	0.022	**0.552**
52	conceited	-0.122	**0.683**
53	Many interests	**0.680**	-0.023
54	honest	**0.645**	-0.268
55	genuine	**0.481**	-0.173
56	pragmatic	**0.705**	-0.154
57	Receptive to criticism	**0.500**	-0.370
58	impartial	**0.637**	-0.351
59	Keep promise	**0.689**	-0.213
60	self-disciplined	**0.741**	-0.223
61	incorruptible	**0.554**	-0.344
62	Use self as model	**0.692**	-0.267
63	Fortitude	**0.679**	-0.190
64	visionary	**0.706**	-0.129
65	imaginative	**0.774**	-0.091
66	decisive	**0.762**	-0.033
67	preceptive	**0.720**	-0.026
68	scientific	**0.656**	-0.206
69	competent	**0.732**	-0.142
70	talent scout	**0.673**	-0.118
71	openminded	**0.739**	-0.067
72	seasoned	**0.635**	0.096
73	cautious	**0.684**	0.056
74	multilingual	**0.484**	-0.166
75	mature	**0.729**	-0.059
76	well-read	**0.688**	-0.120
77	appreciates arts	**0.691**	-0.054
78	elegant	**0.692**	-0.126
79	verbal skill	**0.717**	0.015
80	cheerful	**0.747**	0.025
81	Sense of humor	**0.762**	-0.003
82	multitalented	**0.629**	-0.089
83	cheerful	**0.671**	-0.308
84	Psychologically	**0.744**	-0.074
85	entrepreneur	**0.718**	-0.199
86	positive	**0.738**	-0.160
87	Administratively skilled	**0.738**	-0.109

88	Confidence builder	**0.747**	-0.135
89	Win-win problem solver	**0.772**	-0.075
90	encouraging	**0.742**	-0.057
91	teambuilder	**0.721**	0.050
92	coordinator	**0.726**	0.018
93	informed	**0.661**	0.109
94	Effective bargainer	**0.740**	-0.018
95	Plans ahead	**0.660**	-0.087
96	Motive arouser	**0.733**	-0.156
97	communicative	**0.734**	0.047
98	Excellence oriented	**0.706**	0.019
99	ruthless	-0.225	**0.700**
100	asocial	-0.166	**0.575**
101	irritable	-0.296	**0.622**
102	dictatorial	-0.296	**0.685**
103	egocentric	-0.170	**0.780**
104	nonexplicit	-0.257	**0.594**
105	noncooperative	-0.333	**0.568**

Note. Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization. Items with factor loading greater than 0.4 are in bold.

For the set of prototypical items, there are in total 13 different factors identified by the four original studies (i.e., Den Hartog et al., 1999; Epitropaki & martin, 2004; House Ling et al., 2000; Offermann & Coasts, 2018). A large number of original factors increases the difficulty of replicating the same factor structure. The results of EFA in this study show that 14 factors with eigenvalues greater than 1.00 were identified. However, most items are loaded on different factors compared to the literature, except for a couple of factors (e.g., sensitivity, personal morality) that included similar items similar to the original scales.

For the set of antiprototypical items, clearer results were obtained. Four factors were identified (Table 3.4). The first factor (containing seven items, namely ruthless,

asocial, irritable, dictatorial, egocentric, nonexplicit, noncooperative) are all universal negative leader attributes identified by House et al. (1999). It is interesting that items in the second factor (i.e., domineering, controlling, pushy, intimidating, coercive, demanding, power-hungry) are consistent with the highest factoring loading items in *Tyranny* factor identified by Offermann & Coats (2018); while the fourth factor (containing four items, namely selfish, manipulative, loud, conceited) is more similar to *Tyranny* factor identified in the ILTs scales developed Epitropaki & Martin (2004). And the third factor (containing four items, namely commanding, assertive, tough, male) is similar to the *Strength* factor identified by Offermann & Coats (2018), with *male* as a newly added item which belongs to *Masculinity* factor.

Table 3.4

Rotated Component Matrix of ILTs anti prototypical items

	Items	Factor 1	Factor 2	Factor 3	Factor 4
1	commanding	0.134	0.227	**0.594**	0.333
2	assertive	0.031	0.128	**0.783**	0.108
3	tough	0.200	0.305	**0.805**	0.082
4	male	0.125	0.089	**0.695**	0.013
5	domineering	0.484	**0.558**	0.252	0.107
6	controlling	0.215	**0.741**	0.288	0.148
7	pushy	0.469	**0.701**	0.115	0.085
8	intimidating	0.247	**0.722**	0.119	0.103
9	coercive	0.491	**0.630**	0.152	0.207
10	demanding	0.182	**0.625**	0.130	0.348
11	power-hungry	0.046	**0.575**	0.355	0.237
12	selfish	0.219	0.095	0.157	**0.720**
13	manipulative	0.100	0.171	0.443	**0.605**
14	loud	0.259	0.196	0.005	**0.727**
15	conceited	0.348	0.356	0.109	**0.655**
16	ruthless	**0.740**	0.237	0.131	0.259

17	asocial	**0.752**	0.076	0.279	0.105
18	irritable	**0.789**	0.128	0.016	0.323
19	dictatorial	**0.690**	0.385	0.043	0.250
20	egocentric	**0.726**	0.369	0.182	0.226
21	nonexplicit	**0.658**	0.310	0.037	0.190
22	noncooperative	**0.814**	0.176	0.088	0.042

Note. Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization. Items with factor loading greater than 0.4 are in bold.

For the set of 53 IFT items, the analyses provide 11 components with eigenvalue greater than 1.00. Results show that 48.09% of the total variance was explained by the first component, 52.52% was explained by the first six components and 68.78% was explained by elven components. When the number of extracted factors is set as two, most prototypical ones identified in the previous literature fall into the first component while most in the second component are antiprotypical ones (Table 3.5). This result is consistent with previous findings that the follower prototype and follower antiprototype are the two higher-order factors in the ILT scale (e.g., Sy, 2010).

Table 3.5

Rotated Component Matrix of IFTs items

	Items	Factor 1	Factor 2
1	Decisive	**0.476**	0.046
2	Careful	**0.623**	-0.143
3	Curious	**0.634**	-0.252
4	strong execution	**0.633**	-0.229
5	persistent	**0.649**	-0.093
6	proactive	**0.592**	-0.107
7	competent	**0.695**	-0.247
8	dedicated	**0.685**	-0.214
9	efficient	**0.753**	-0.198

10	passionate	**0.618**	-0.224
11	clear-cut	**0.648**	-0.224
12	cooperation	**0.684**	-0.206
13	intelligent	**0.668**	-0.219
14	responsibility	**0.590**	-0.334
15	practicality	**0.618**	-0.268
16	resistance	**0.603**	-0.232
17	maturity	**0.625**	-0.235
18	confident	**0.705**	-0.237
19	lazy	-0.196	**0.520**
20	indifferent	-0.225	**0.636**
21	passive	-0.267	**0.540**
22	slack	-0.306	**0.724**
23	procrastinating	-0.333	**0.641**
24	complaint	-0.327	**0.645**
25	scholasticism	-0.228	**0.472**
26	nonconforming	-0.166	**0.650**
27	carelessness	-0.240	**0.686**
28	halfhearted	-0.212	**0.764**
29	hardworking	**0.424**	-0.313
30	Goes above and beyond	**0.606**	-0.097
31	excited	**0.670**	-0.223
32	outgoing	**0.613**	-0.107
33	happy	**0.563**	-0.106
34	loyal	**0.629**	-0.204
35	reliable	**0.631**	-0.287
36	easily influenced	-0.095	**0.534**
37	follows trends	-0.076	0.322
38	soft-spoken	0.300	0.243
39	arrogant	-0.046	**0.721**
40	rude	-0.141	**0.683**
41	bad temper	-0.096	**0.701**
42	slow	-0.114	**0.712**
43	inexperienced	-0.256	**0.597**
44	thinking ahead	0.358	-0.044
45	educated	**0.494**	-0.299
46	engaged	**0.545**	-0.438
47	interested	**0.544**	-0.378
48	team minded	**0.479**	-0.335
49	creative	**0.604**	-0.205
50	communicative	**0.549**	-0.077

51	aggressive	0.357	0.218
52	malicious	-0.045	**0.646**
53	irritable	-0.042	**0.615**

Note. Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization. Items with factor loading greater than 0.4 are in bold.

For prototypical category, the results show seven factors with eigenvalues greater than one were identified. However, the factor structures were different from the original ones identified in the previous literature (i.e., Junker et al., 2016; Sy, 2010; Yang et al., 2020), except for one factor (e.g., sensitivity) that included items similar to the original scales.

For antiprotoypical category, clearer results were obtained. Four factors were identified (Table 3.6). Most items that fell into the first factor belong to the IFT scale developed by Yang et al. (2020). Items that fell into the second factor reflect *Incompetence* and *Insubordination* identified by Sy (2010). Also, the third factor (containing three items, namely easily influenced, follows trend, and soft spoken) is consistent with *Conformity* factor identified by Sy (2010). The fourth factor includes the three antiprototypical attributes (i.e., aggressive, malicious, irritable) identified by Junker et al. (2016).

Table 3.6

Rotated Component Matrix of IFTs anti prototypical items

	Items	Factor 1	Factor 2	Factor 3	Factor 4
1	lazy	**0.631**	0.151	0.080	0.087
2	indifferent	**0.662**	0.317	0.138	-0.048
3	passive	**0.829**	0.083	-0.001	0.038

4	slack	**0.796**	0.307	0.022	0.228
5	procrastinating	**0.779**	0.197	0.141	0.185
6	complaint	**0.758**	0.304	0.131	-0.013
7	scholasticism	**0.604**	0.111	0.424	-0.136
8	nonconforming	0.390	**0.605**	-0.017	0.038
9	carelessness	0.493	**0.560**	0.017	0.116
10	halfhearted	0.531	**0.569**	0.180	0.079
11	Easily influenced	0.220	0.360	**0.574**	0.131
12	follows trends	0.199	0.066	**0.788**	-0.029
13	soft-spoken	0.000	-0.094	**0.661**	0.318
14	arrogant	0.185	**0.807**	-0.038	0.135
15	rude	0.080	**0.875**	0.018	0.123
16	bad temper	0.107	**0.830**	0.099	0.104
17	slow	0.332	**0.654**	0.045	0.179
18	inexperienced	0.230	**0.663**	0.202	-0.008
19	aggressive	-0.165	-0.033	0.340	**0.674**
20	malicious	0.309	0.414	-0.023	**0.601**
21	irritable	0.284	0.367	0.046	**0.672**

Note. Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization. Items with factor loading greater than 0.4 are in bold.

3.1.2.4 Analytic approach

Next, to create a shorter list of prototypical items, the procedure described by Gerstner and Day (1994) was followed. In Gerstner and Day's (1994) research, they identified high prototypicality items as those falling at least one standard deviation (*SD*) above the mean for the sample of 59 traits; Using similar logic, low prototypicality items were those items falling at least one standard deviation below the mean; And those falling closest to the mean are referred as natural ones. This analytic approach has also been used by Epitropaki and Martin (2004) to develop a shorter version of ILT scale, capturing the very essence of prototypic and antiprototypical leader attributes. I followed this strategy by using the algebraic

calculation of mean and standard deviation as the reference line to identify the high prototypicality items for the sample of 105 ILT items and 53 IFT items, respectively.

In this study, I used *mean* $\pm$ *0.7 *SD* as the identifying standard, as an initial analysis using *mean* $\pm$ *1 *SD* as the reference resulted in retaining only 7 prototypical ILTs items and 9 prototypical IFTs items. Considering that I needed to group the reserved words in later studies, the number of reserved words should not be too small. Therefore, 0.7 was used as the coefficient as it still isolated the most diagnostic items. More specifically, regarding the initial 105 ILTs items, only those items with a mean equal to or higher than 0.7 *SD* above the 105-item scale mean (i.e., equal to or above 3.51 + 0.7*0.38 = 3.776) were retained as capturing the essence of Leader Prototype scale. Those items with a mean lower than 3.776 were thought to either fall into the neutral response or anti-prototypical categories and were dropped as not being core attributes of the ILTs prototypical profiles. The same rule was adopted to identify prototypical IFTs items, that is, items with a mean equal to or higher than 0.7 *SD* (i.e., equal to or above 3.09 + 0.7*0.56 = 3.482) were selected.

3.1.3 Results

After classifying, 32 prototypical ILTs items and 20 prototypical IFTs items remained as the high prototypicality items (see Table 3.7 and Table 3.8). 21 antiprototypical ILTs items and 16 antiprototypical IFTs items remained as the high antiprototypicality items (see Table 3.9 and Table 3.10). In the process of data

collection, several participants fed back to me that they felt it was hard to understand the word *excited*. The confusion was caused by the semantic ambiguity in Chinese between *excited* (in Chinese, it means "活跃的") and *energetic* (in Chinese, it means "精力充沛的") and *dynamic* (in Chinese, it means "有活力的"). To avoid any confusion in the following studies, the attribute *excited* was excluded from the item pool. In the current thesis, I only focus on prototypical items. Therefore, the scale used in Study 2 contains 51 items in total, including 32 prototypical ILTs attributes and 19 prototypical IFTs attributes.

Table 3.7

Prototypical ILT Items Retained

	Item names	Item means	Item SD
1	Sociable	3.99052132	0.696867
2	Firm	3.93838863	0.743861
3	Goal oriented	3.90521327	0.805056
4	Handle stress	3.89573460	0.761284
5	Dynamic	3.89573460	0.785906
6	Motivated	3.89099526	0.782222
7	Good decision maker	3.88625592	0.784584
8	Hardworking	3.87203792	0.785418
9	Coordinator	3.87203792	0.735317
10	Excellence oriented	3.87203792	0.754495
11	Focused	3.86729858	0.763090
12	Verbal skill	3.86255924	0.819449
13	Bold	3.85781991	0.827315
14	Informed	3.85781991	0.742373
15	Plans ahead	3.85308057	0.751017
16	Energetic	3.83886256	0.776197
17	Perceptive	3.83412322	0.753387
18	Positive	3.83412322	0.747040
19	Authoritative	3.81990521	0.771999
20	Strong	3.81516588	0.729617
21	Competent	3.81042654	0.874008

22	Intelligent	3.80568720	0.783865
23	Mature	3.80094787	0.803681
24	Effective bargainer	3.80094787	0.797734
25	Encouraging	3.79146919	0.891293
26	Clever	3.78672986	0.784987
27	Intellectual	3.78672986	0.808888
28	Well groomed	3.78672986	0.802979
29	Seasoned	3.78672986	0.849097
30	Team builder	3.78672986	0.882105
31	Cautious	3.77725119	0.800389
32	Communicative	3.77725119	0.835324

Note. n = 211.

Table 3.8

Prototypical IFT Items Retained

	Item names	Item means	Item SD
1	Team minded	3.81042654	0.725118
2	Cooperation	3.76777251	0.767249
3	Strong execution	3.69668246	0.852413
4	Responsible	3.68720379	0.876561
5	Engaged	3.68246445	0.722842
6	Hardworking	3.67298578	0.900889
7	Curious	3.66824645	0.885807
8	Practicality	3.65876777	0.820660
9	Reliable	3.63033175	0.842801
10	Passionate	3.62559242	0.908745
11	Interested	3.61611374	0.761906
12	Clear cut	3.60663507	0.900663
13	Loyal	3.58767773	0.808078
14	**Excited**	**3.55924171**	**0.792853**
15	Dedicated	3.54976303	0.895033
16	Intelligent	3.52606635	0.863566
17	Competent	3.52132701	0.863696
18	Resistance	3.52132701	0.957810
19	Confident	3.49289100	0.901690
20	Creative	3.48815166	0.863879

Note. n = 211. Item in bold (i.e., excited) was deleted due to sematic ambiguity after translation.

Table 3.9

Antiprototypcal ILTs Items Retained

	Item names	Item means	Item SD
1	Selfless	3.21800921	0.956112
2	Demanding	3.18009479	0.938987
3	Multilingual	3.17061642	0.955829
4	Male	3.15165877	0.897475
5	Genuine	3.10426522	0.930198
6	Controlling	3.09478673	1.019113
7	Intimidating	2.91943128	0.849735
8	Tall	2.88625643	0.876329
9	Pushy	2.86255924	0.948719
10	Loud	2.80094787	0.849761
11	Selfish	2.79620853	0.931555
12	Ruthless	2.77725118	0.972309
13	Conceited	2.75355450	0.886902
14	Dictatorial	2.75355450	0.993275
15	Nonexplicit	2.70616114	0.920098
16	Coercive	2.69194313	0.963566
17	Irritable	2.67772512	0.931167
18	Egocentric	2.65402844	0.965461
19	Domineering	2.63981043	0.890761
20	Asocial	2.62085308	0.935206
21	Noncooperative	2.42654028	0.882667

Note. n = 211.

Table 3.10

Antiprototypcal IFTs Items Retained

	Item names	Item means	Item SD
1	Passive	2.70142180	1.014630
2	Complaint	2.62559242	0.984213
3	Lazy	2.56872038	0.985015
4	Inexperienced	2.46445498	0.890381
5	Procrastinating	2.42654028	0.909242
6	Slack	2.39810427	0.901214
7	Irritable	2.39810427	0.916929
8	Indifferent	2.36492891	0.875324
9	Carelessness	2.34123223	0.865836
10	Halfhearted	2.33649289	0.875891

11	Arrogant	2.18009479	0.796290
12	Slow	2.14691943	0.769804
13	Nonconforming	2.13744076	0.801826
14	Bad temper	2.12322275	0.801178
15	Rude	2.07582938	0.818788
16	Malicious	2.06161137	0.941627

Note. n = 211.

3.1.4 Discussion

Based on multiple established ILT and IFT scales, Study 1 contextualized identified attributes in the Chinese language and developed a shorter list to be used in Study 2. Consistent with previous literature (e.g., Epitropaki & Martin, 2004; Offermann & Coats, 2018), the results of factor analysis also provided two broad classifications of the ILT items – leader prototype and leader antiprototype. Besides, for antiprototypical items, the results of EFA generally distinguished attributes based on different scales. In other words, attributes identified by different scholars were loaded on different factors. And these results were found for both ILTs and IFTs attributes. Considering the scales included were developed under different contexts (Chinese vs. Western vs. cross-cultural context) by using different samples (students vs. employees vs. managers), these findings suggested that participants can easily distinguish between these scales and provided evidence for the discrimination between them. However, for prototypical items, the factor structures identified in the current study were more difficult to interpret, possibly due to the large number of prototypical items and factors after combing multiple scales.

To avoid any redundancy, this study also narrowed the ILT and IFT item pools. Finally, 32 prototypical ILTs items and 19 prototypical IFTs items remained as the high prototypicality items; 21 antiprototypical ILTs items and 16 antiprototypical IFTs items remained as the high antiprototypicality items. The next two studies were conducted to further categorize the 51 remained prototypical attributes into role-specific (i.e., for leaders and for followers) and role-common sets, and then cross-validate these classifications with a different sample.

3.2 Study 2: Attribute Categorization

3.2.1 Introduction

After narrowing the ILT and IFT item pool, 32 prototypical ILTs attributes and 19 prototypical IFTs attributes remained to be used as measures in Study 2. The purpose of Study 2 was to categorize these 51 items into three groups:

(1) Leader-specific traits that describe typical leaders (but not typical followers). People tend to rate a higher match between these attributes and the image of a typical leader in the working place but are less likely to believe there is a match between these attributes and a typical follower.

(2) Follower-specific traits that describe typical followers. People tend to rate a higher match between these attributes and the image of a typical follower in the working place but are less likely to believe there is a match between these attributes and a typical leader.

(3) Role-common traits that were viewed as describing both typical leaders and typical followers in the working place: People tend to rate a higher match between these attributes and the images of both a typical leader and a typical follower.

3.2.2 Methods

3.2.2.1 Measures

Differently from Study 1 in which ILT and IFT items were rated by respondents in the leader and follower contexts, respectively, participants evaluated (1) how much each item in the list of 51 attributes describes a typical leader in the organization, and (2) how much these items describe a typical follower in the organization. That is to say, each of the 51 items had two scores, one for the leader role and the other for the follower role. The prompt was as follows:

People can perform different roles in an organization, including roles of leaders and followers. Questions in this survey ask you to tell us how much each item in a list of different personal attributes describes typical followers and typical leaders in work organizations. There are no right or wrong, good, or bad answers. We are most interested in your own personal views. You will probably find that some of these are very typical of a leader, or a follower and others are less typical.

1. *Please read the list of following attributes carefully and rate how well these attributes describe a typical follower in the working place. Here, the word*

"typical" means what do you think most followers are like. Please indicate by using the following ratings: "1" = "strongly disagree", "2" = "disagree", "3" = "neither agree nor disagree", "4"= "agree", "5" = "strongly agree".

(All of the 51 prototypical attributes remained in the Study 1 were presented here)

2. *Please read the statements carefully and rate how well these attributes describe a typical follower in the working place. Here, the word "typical" means what do you think most followers are like. Please indicate by using the following ratings: "1" = "strongly disagree", "2" = "disagree", "3" = "neither agree nor disagree", "4"= "agree", "5" = "strongly agree".*

(All of the 51 prototypical remained in the Study 1 were presented here)

Besides measuring attributes, participants' demographic information was also collected, including gender ("1" = male, "2" = female), age (in years), education ("1" = primary school or lower, "2" = junior high school, "3" = senior high school, "4" = college, "5" = Bachelor's degree, "6" = Master's degree, "7" = PhD), industry ("1" = manufacturing, "2" = service, "3" = others), organizational type ("1" = "public sector like government departments, state-owned enterprises, public institutions", "2" = "private sector"), whether having managerial experience ("1" = "yes", "2" = "no").

For those who have managerial experience, I asked the years of their managerial experience (in years) and the level managerial position ("1" = junior level, "2" = intermediate level, "3" = top level).

3.2.2.2 Participants and procedures

I collected data by a widely used online data collection platform (i.e., Credamo; e.g., Gong, Lu, Schaubroeck, Li, Zhou, & Qian, 2020; Jin, Zhao, Song, & Zhao, 2021). Participants include office staff and managers of different levels. Credamo provides a service for users to customize who will be recruited as participants. In the present study, "enterprise managers (junior, middle and senior level)" and "office staff" were selected as targets. Participation in this study was voluntary. Participants were informed that the data would only be used for research purposes and that they would receive a reward of RMB15 (about 2 pounds) for completing the survey.

In total, 223 people provided responses. Invalid responses were deleted (i.e., the questionnaires with the same answers across all of the questions or surveys with less than a 300 second completion time). Also, cases that were identified as 'extreme outliers' (i.e., marked with an asterisk in SPSS) on more than five items by SPSS were eliminated. Finally, 205 valid questionnaires remained and were used in the following analyses.

Among 205 respondents, 118 were male (57.6%) and 87 were female (42.4%). The average age was 31.16 (*SD* = 4.00). Most participants obtained a bachelor's degree (*N* = 149, 72.7%), and 35 (17.1%) got a master's degree, followed by college (*N* = 20, 9.8%) and high school (*N* = 1, 0.5%). For these people, 127 (62.0%) worked in the manufacturing industry and 78 (38.0%) in the service industry; 74 (36.1%) worked in the public sector and 131 (63.9%) in the private sector. Regarding whether having managerial experience, 170 (82.9%) reported yes and 35 (17.1%) answered no. For those with managerial experience, the average length was 3.65 years (*SD* = 1.95). 165 (80.5%) people were in the managerial position during data collection, among whom 76 were at junior level, 82 at senior and 7 at the top level.

3.2.3 Results

3.2.3.1 Descriptive analysis

The average score on a 5-point response scale of the 51 attributes for the leader role is 4.28 (*SD* = .18), and the average score for the 51 attributes for the follower role is 3.94 (*SD* = .05). Specifically, for the 30 ILT attributes, the average score for the leader role is 4.29 (*SD* = .13), and that for the follower role is 3.80 (*SD* = .37). For the 19 IFT attributes, the average score for the leader role is 4.27 (*SD* = .13), and that for the follower role is 4.17 (*SD* = .12). The results show that participants tend to give higher scores when they rate all 51 attributes in the leadership context. It is interesting

to note that the leader role and follower role average scores are closer in value for the IFT attributes (a difference of 0.10) than for the ILT attributes (a difference of .49).

3.2.3.2 Item categorization

As far as known, there is no standard recommended analytic approach to achieve the goal of identifying the best item pool for the present research purposes, therefore analyses proceeded in an exploratory manner with several different approaches (i.e., cluster analysis, dichotomization) tried.

Cluster analysis

Considering the categorization is based on two variables: prototypicality in the leader role and prototypicality in the follower role, exploratory factor analysis (EFA) cannot be used to identify classifications. In this case, the present study first used cluster analysis (Hair & Black, 2000) to examine whether distinct trait groups could be identified based on trait leadership and followership prototypicality scores.

Cluster analysis can be performed in a variety of ways (Hair & Black, 2000; Henry, Tolan, & Gorman-Smith, 2005). Before describing the specific analyses that were performed, however, it is important to note that cluster analysis is sensitive to outliers and the scaling of measures (Hair & Black, 2000). Consequently, prior to performing the cluster analysis, an outlier analysis was conducted as described in the *Participants and Procedure* section. Furthermore, research shows that the scale of a

variable can have a large impact on the final cluster solution, particularly when the variables used in analysis have very discrepant scales (Hair & Black, 2000). Considering the two scales used here to capture trait leadership and followership prototypicality have the same scaling, there is no need to use range standardization.

After a thorough review of cluster analytic techniques, a hierarchical agglomerative cluster analysis using squared Euclidean distance association coefficients and Ward's cluster method was performed (Henry et al., 2005; Mandara & Murray, 2000). This method first estimates the similarity among all cases using the squared Euclidean distance, one of the most commonly used distance coefficients (Hair & Black, 2000). Then, in the hierarchical agglomerative method, clusters are formed by successively combining cases or groups of cases that are most similar. With the Ward's method, the distance between cases or groups of cases is the sum of squares between two clusters summed over all variables. Ward's method tends to produce clusters with a small number of observations and relatively low variance within each group. No specific number of the retained cluster was fixed before analysis.

Based on a review of the literature on this topic, I examined each solution to determine when combining clusters resulted in large increases in the similarity measure. Because I used a distance measure of similarity, large increases in the similarity index indicate that the combined clusters are not highly similar (Hair &

Black, 2000). This criterion has been validated in previous research (Diehl & Hay, 2011). The data matrix was rotated before doing the cluster analysis, so that items took the place of persons in the cluster analysis. The standardized scores were used. Based on the criteria outlined above, a three-cluster solution was the most appropriate solution obtained by the cluster analysis. The means for Leader Role and Follower Role for each cluster are shown in Table 3.11 and Table 3.12.

Table 3.11

Cluster Distribution of the 51 items

	Item names	Leader Role (*M*)	Follower Role (*M*)	Cluster
1	Sociable	1.19596	-1.0411	1
2	Good decision maker	1.6598	-1.19522	1
3	Coordinator	0.87485	-1.50346	1
4	Verbal skill	0.08989	-1.11116	1
5	Bold	-1.23027	-1.1672	1
6	Informed	-0.26691	-1.06912	1
7	Perceptive	1.6598	-0.55073	1
8	Authoritative	1.05324	-2.7364	1
9	Effective bargainer	0.23261	-2.02185	1
10	Encouraging	-1.05187	-1.6996	1
11	Seasoned	-0.01715	-1.60153	1
12	Team builder	0.05421	-2.94656	1
13	Firm	-0.05283	-0.32656	2
14	Goal oriented	0.91053	0.07975	2
15	Handle stress	0.30397	-0.36859	2
16	Motivated	-0.08851	0.54211	2
17	Hardworking	-0.08851	1.21462	2
18	Excellence oriented	0.83917	0.10777	2
19	Focused	0.44669	0.6682	2
20	Plans ahead	1.19596	-0.17244	2
21	Positive	-0.26691	1.01847	2
22	Strong execution	-0.33827	0.57013	2
23	Competent	0.16125	0.10777	2

24	Intelligent	0.87485	0.33195	2
25	Mature	0.80349	-0.43864	2
26	Clever	0.30397	0.24788	2
27	Intellectual	0.83917	0.34596	2
28	Communicative	0.01853	-0.36859	2
29	Team minded	1.05324	0.90638	2
30	Cooperation	-0.44531	0.73826	2
31	Strong	1.44572	0.78029	2
32	Responsible	0.48237	0.86435	2
33	Engaged	0.16125	0.86435	2
34	Practicality	0.33965	0.76628	2
35	Reliable	-0.55235	0.50007	2
36	Interesting	0.62509	0.89237	2
37	Clear cut	0.48237	0.62617	2
38	Intelligent	0.87485	0.33195	2
39	Resistance	0.41101	0.03772	2
40	Confident	0.69645	0.45804	2
41	hardworking	-0.08851	1.21462	2
42	Competent	0.16125	0.10777	2
43	Dynamic	-2.15795	0.87836	3
44	Energetic	-0.94483	0.6682	3
45	Well groomed	-1.62275	0.06574	3
46	Cautious	-1.97955	0.47205	3
47	Curious	-1.48003	0.83633	3
48	Passionate	-1.30163	0.87836	3
49	Loyal	-1.55139	0.65419	3
50	Dedicated	-1.23027	0.68221	3
51	Creative	-1.58707	-0.1164	3

Table 3.12

Means for Leader Role and Follower Role by Cluster

Cluster	Number of items	Leader role (*M*)	Follower role (*M*)
1	12	0.35	-1.55
2	30	0.39	0.42
3	9	-1.60	0.59

The first cluster included 12 attributes with high score on Leader Role and low score on Follower Role, which represents the hypothesized leader-role specific group. The second cluster included 30 attributes with similar scores on Leader Role and on Follower Role, which represents the hypothesized role-common group. The third cluster included 9 attributes with low score on Leader Role and high score on Follower Role, which represents the hypothesized follower-role specific group. Therefore, the three hypothesized classifications have been supported by the cluster analyses. Although cluster analysis provides preliminary evidence for the categorization, the numbers of attributes included in each cluster are not balanced. Therefore, another approach was conducted to recategorize these attributes as described below.

Dichotomization approach

In addition to cluster analysis, many investigators begin with dichotomizations by splitting the scales of the two variables at some point and designating individuals above and below that point as defining four separate groups. One distinction here is that it is not individuals that need to be grouped but attributes. One common approach is to split the scale at the sample median, thereby defining high and low groups on the variable; this approach is referred to as a median split. Alternatively, the scale may be split at some other point based on the data (e.g., 1 standard deviation above the mean) or at a fixed point on the scale designated a priori. Researchers may dichotomize

variables for many reasons—for example, because they believe there exist distinct groups or because they believe analyses or presentation of results will be simplified.

To have a clear view of the distribution of the 51 attributes dividing by the median, three scatter plots were created by using the original data, item mean-centered data, and person mean-centered data (i.e., the data file was transposed before centralizing so that participants ID numbers were presented in column and attributes were listed in row, and the centralization process was conducted based on person rather than items), respectively. For a visual representation, see Figure 3.1, 3.2, and 3.3 as scatter plots where the average score for the leader role is along the y-axis and that for the follower role is along the x-axis. The reference line (i.e., median) was also added in each scatter plot. The reference line groups 51 attributes into four quadrants: (1) The leader-role scores and the follower-role scores of the attributes in the 1st quadrant are both no lower than the median of 51 attributes (2) The leader-role scores of the attributes in the 2nd quadrant are no lower than the median of 51 attributes, and their follower-role scores are no higher than the median of 51 attributes, (3) The leader-role scores and the follower-role scores of the attributes in the 3rd quadrant are both no higher than the median of 51 attributes, (4) The leader-role scores of the attributes in the 4th quadrant are no higher than the median of 51 attributes, and their follower-role scores are no lower than the median of 51 attributes.

Figure 3.1

Scatter plot based on original scores with the median as the reference line (medians shown in small boxes beside the reference lines)

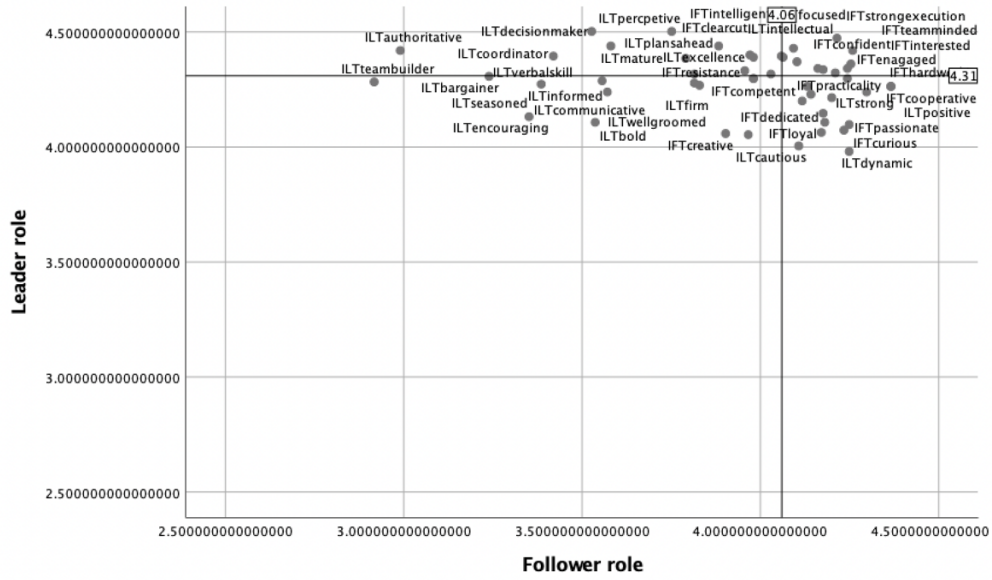


Figure 3.2

Scatter plot based on item mean-centered scores with the median as the reference line (medians shown in small boxes beside the reference lines)

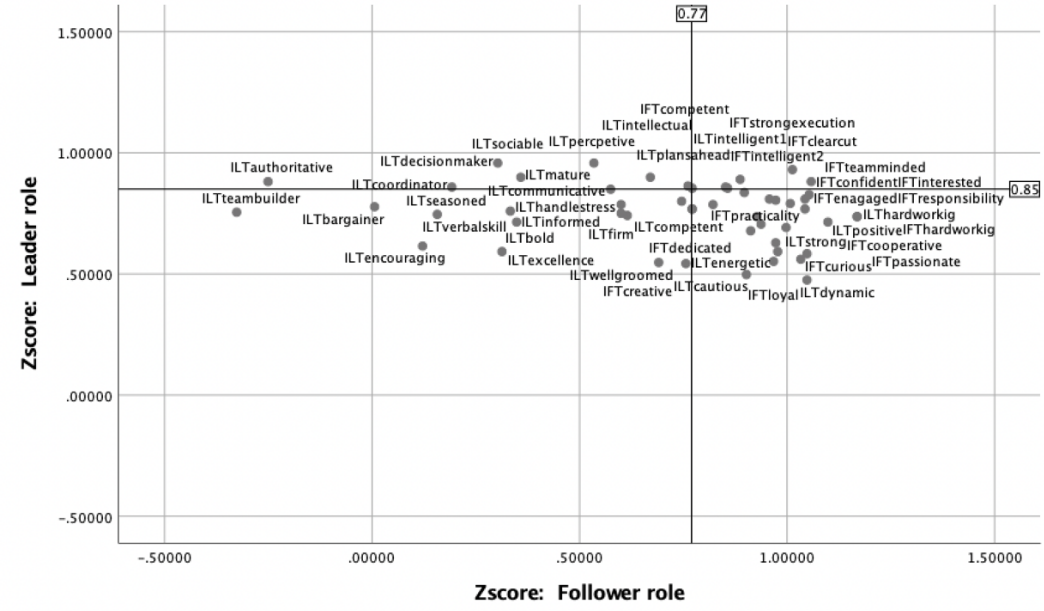
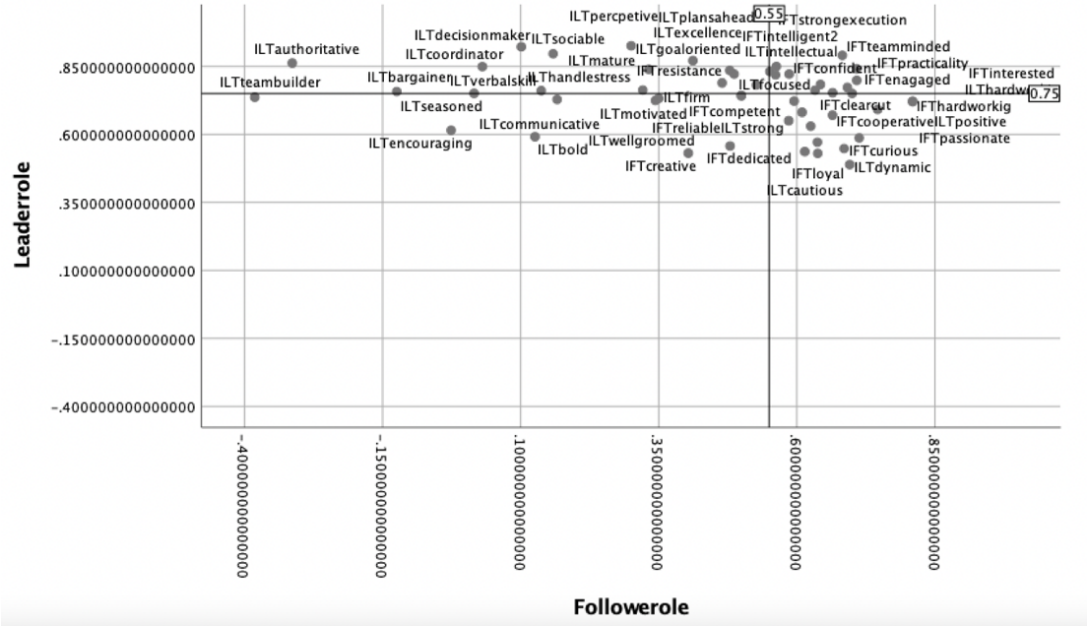


Figure 3.3

Scatter plot based on person mean-centered scores with the median as the reference line (medians shown in small boxes beside the reference lines)



Beyond using the median to split attributes, the mean-split method was also examined. Because respondents were asked to rate how well these attributes describe a typical leader or a typical follower, each item had an average score on leader and follower roles, respectively. Conceptually, a leader-specific attribute typically describes a leader, and thus its average score on the leader roles was expected to be significantly higher than that on the follower role. Similarly, it was expected that the means of follower-specific items would be significantly higher on the follower role than on the leader role. Those items scoring higher on both roles were regarded as role-common attributes. Items falling in the first quadrant are higher on both roles, while those in the second quadrant are higher on the leader role but lower on the

follower role, those in the fourth quadrant higher on the follower role but lower on the leader role (see Figure 3.4, 3.5, and 3.6).

Figure 3.4

Scatter plot based on original scores with the average score as the reference line (means shown in small boxes on the reference lines)

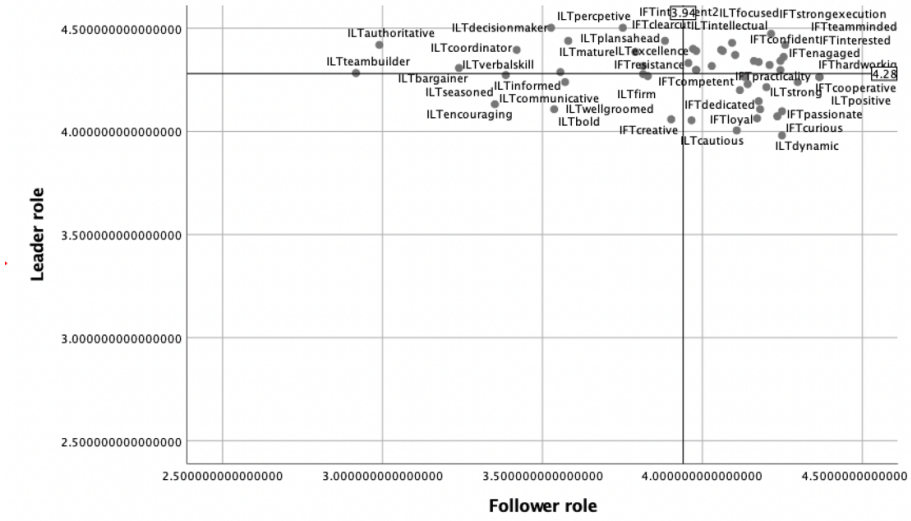


Figure 3.5

Scatter plot based on item mean-centered scores with the average score as the reference line (means shown in small boxes on the reference lines)

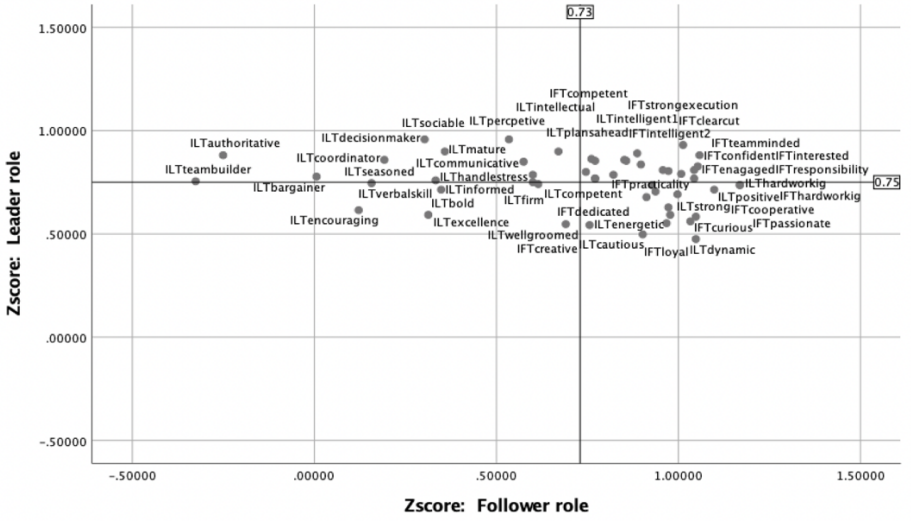
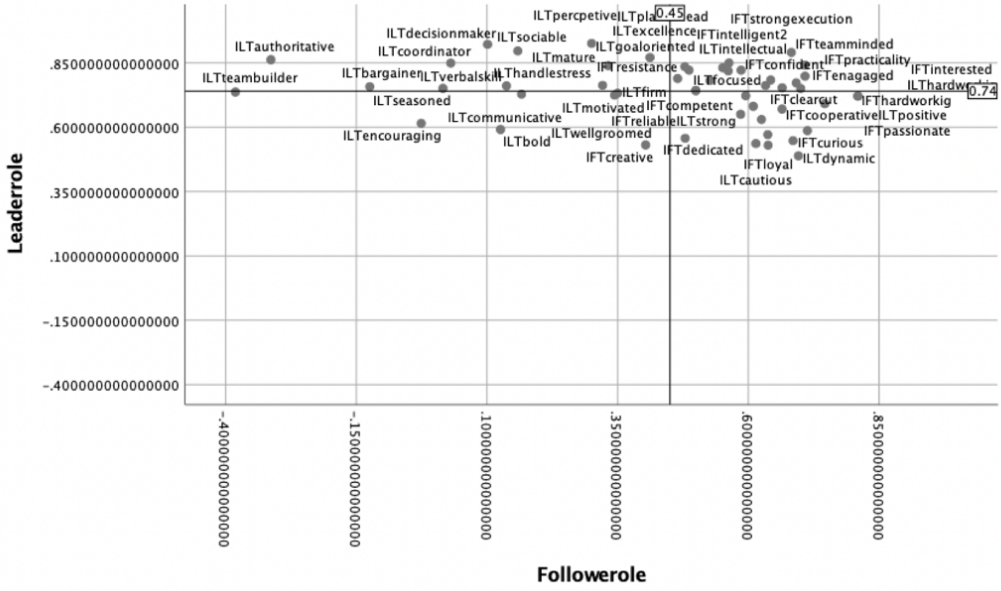


Figure 3.6

Scatter plot based on person mean-centered scores with the average score as the reference line (means shown in small boxes on the reference lines)



Though there are different ways to determine where the reference lines should lie (e.g., based on the median versus the mean), the quartile was used in this study to ensure an appropriate number of the items in each of the three proposed categories to be used in the following studies. For example, for a leader-specific item, its average score on the leader role should be ranked in the top third of all items (i.e., there are 51 items in total, so ranking in the top third means the 1st - 17th items), and meanwhile that on the follower role should fall into the bottom third of all items (i.e., the 35th – 51st items). In addition, its score on the leader role was expected to be higher than that on the follower role. For a follower-specific item, the criteria were completely opposite such that its average score on the follower role should be ranked on the top

third and that on the leader role should also fall into the bottom third, the score on the follower role higher than its counterparts.

In the case of using quartile as the reference line, three approaches (Approach A, B, and C) were used to identify leader-specific, follower-specific, and role-common attributes. Approach A was based on item means, and Approach B was based on item-centered means. Approaches A and B (Table 3.13 and 3.14) provided the same sets of items in role-specific and role-common categories. With Approach C (Table 3.15), the centralization process based on person as described before was first conducted, followed by the aforementioned identifying procedures. All three approaches follow the same identifying procedure, that is using the top/bottom third line to determine role-specific and role-common attributes.

To avoid biasing the results by over-reliance on a single approach, items identified by the three different approaches were compared in Table 3.16. Attributes identified by at least two approaches were remained in the final sets of three types of traits. More specifically, the leader-specific prototypical traits are as follows ($N = 7$): *perceptive, good decision maker, sociable, authoritative, coordinator, mature, plans ahead*. The follower-specific prototypical traits are ($N = 7$): *passionate, dynamic, curious, positive, loyal, dedicated, energetic*. The role-common traits are ($N = 4$): *strong execution, team-minded, interested, responsible*.

Table 3.13

The results of Approach A

Leader-specific prototypical items (N=7)	Follower-specific prototypical items (N=7)	Role-common items (N=4)
ILT perceptive	IFT passionate	IFT strong execution
ILT good decision maker	ILT dynamic	IFT team-minded
ILT sociable	IFT curious	IFT interested
ILT authoritative	ILT positive	IFT responsible
ILT coordinator	IFT loyal	
ILT mature	IFT dedicated	
ILT plans ahead	ILT energetic	

Note. ILT means this item was originally included in ILT scale. IFT means this item was originally included in IFT scale.

Table 3.14

The results of Approach B

Leader-specific prototypical items (N=7)	Follower-specific prototypical items (N=8)	Role-common items (N=4)
ILT perceptive	IFT passionate	IFT strong execution
ILT good decision maker	ILT dynamic	IFT team-minded
ILT sociable	IFT curious	IFT interested
ILT authoritative	ILT positive	IFT responsible
ILT coordinator	IFT loyal	
ILT mature	IFT dedicated	
ILT plans ahead	ILT energetic	
	IFT cooperative	

Note. ILT means this item was originally included in ILT scale. IFT means this item was originally included in IFT scale.

Table 3.15

The results of Approach C

Leader-specific prototypical items (N=6)	Follower-specific prototypical items (N=7)	Role-common items (N=3)
ILT perceptive	IFT passionate	IFT strong execution
ILT good decision maker	ILT dynamic	IFT team-minded
ILT sociable	IFT curious	IFT interested
ILT authoritative	ILT positive	
ILT coordinator	IFT dedicated	
ILT mature	IFT loyal	
	ILT & IFT hardworking	

Note. ILT means this item was originally included in ILT scale. IFT means this item was originally included in IFT scale.

Table 3.16

The Results of Combined Approaches for Leader-specific, Follower-specific, and Role-common items

Leader-specific prototypical items (N = 7)	Follower-specific prototypical items (N = 7)	Role-common items (N = 4)
ILT perceptive	IFT passionate	IFT strong execution
ILT good decision maker	ILT dynamic	IFT team-minded
ILT sociable	IFT curious	IFT interested
ILT authoritative	ILT positive	IFT responsible (A&B)
ILT coordinator	IFT loyal	
ILT mature	IFT dedicated	
ILT plans ahead (A&B)	ILT energetic (A&B)	

Note. The letter in the bracket means that this item is only identified by this approach. For example, *IFT energetic (A&B)* indicates that the attribute *energetic* was identified as a follower-specific prototypical item by Approach A and B but not by Approach C. Items without brackets were those identified by all three approaches.

3.2.4 Discussion

This study identified the proposed three groups of traits based on 51 attributes that remained in Study 1: (1) the leader-specific prototypical traits, (2) the follower-specific prototypical traits, and (3) the role-common traits. Two methods were tried in the process, namely cluster analysis and the dichotomization approach. After comparing the results provided by the cluster analysis and dichotomization approaches, the categorization identified by the dichotomization method was used as it provided a relatively consistent classification based on the original score, the standardized score, and the person-centered score.

However, the dichotomization method has its limitations, including the loss of information as well as havoc with regard to estimation and interpretation of relationships among variables (MacCallum, Zhang, Preacher, & Rucker, 2002). Despite these, the results of cluster analysis also provide support for the three hypothesized groups. In addition, all attributes in the leader-specific prototypical group identified by the dichotomization method fell into the first category in the cluster analysis; All attributes in the role-common group identified by the dichotomization method fell into the second category; And all attributes in the follower-specific prototypical group identified by dichotomization method fell into the third category in the cluster analysis, except for *positive* which fell into the second category. These findings provide evidence for the consistency between the

categorization identified by cluster analysis and dichotomization, which to some extent, eliminates the doubt about the dichotomizing method and further support the reliability of the current categorization. To further examine the reliability of the current categorization, a verification study was conducted to see whether the three identified trait group was supported by a different sample.

3.3 Study 3: Verification of the three identified trait groups

3.3.1 Methods

3.3.1.1 Participants and procedures

Data were collected with the same platform as Study 2. Participants include ordinary workers (i.e., official staff, employees working in various industries, and professional occupations such as doctor, lawyers, teachers) and managers at different levels. The same recruiting procedures were followed with a financial reward provided for completing the survey. Participants rated each of the identified 18 attributes on two questions: (1) *how much each item in the list of 18 attributes describes a typical leader in the organization*, and (2) *how much each item in the list of 18 attributes describes a typical follower in the organization*. In addition, participants were also asked to provide certain demographic information.

In total, 430 responses were returned. No invalid ones were found so all 430 questionnaires were proceeded to data analysis. Among these people, 206 (47.9%)

were male and the average age was 30.76 (*SD* = 5.95). 3 (0.7%) graduated from junior high school, 12 (2.8%) from senior high school, 34 (7.9%) from college, and 334 (77.7%) obtained bachelor's degrees, 42 (9.8%) got master's degrees and 5 (1.1%) got Ph.D. degrees. The average length of working experience was 7.49 (*SD* = 5.09) and that of tenure at the current company was 5.25 (*SD* = 3.80). For industry and organizational type, 230 people (53.5%) worked in manufacturing industry, 199 (46.3%) in service industry, and 1 (0.2%) in agriculture; 132 (30.7%) people served in the public sector, 289 (67.2%) in the private sector, and 9 (2.1%) in others. Regarding managerial experience, 304 (70.7%) had such an experience and 126 (29.3%) reported no. For those who reported yes, the average length of managerial experience was 3.54 years (*SD* = 2.52), with 181 at the junior level, 98 at the senior and 25 at the top level.

3.3.1.2 Analytic strategy and results

In this study, participants were asked to rate how well the aforeidentified 18 attributes match the prototypicality of leadership and followership, respectively. An index of the difference score between leadership prototypicality and followership prototypicality was used as the judging criterion. According to the rationale of the dichotomization approach in Study 2 to validate the three sets of attributes, I followed the previous logic: (1) Leader-specific prototypical attributes should include items with higher average scores on the leadership prototypicality than that on the

followership prototypicality; (2) Follower-specific prototypical traits should include items with higher average scores on the followership prototypicality than those on the leadership prototypicality; (3) Role-common attributes were those showing at most small differences between the scores on leadership and followership prototypicality.

Ideally, it was assumed that the difference score between leadership prototypicality and followership prototypicality of leader-specific prototypical attributes should be higher than 0, and that of follower-specific prototypical attributes should be lower than 0. However, the dividing line of zero has not been adopted because participants tended to report a higher score on each of 18 items when rating on the leader role (the average score of 18 items on the leader role was 4.27), while gave a relatively lower score on the extent to which these items describe a typical follower (the average score of 18 items on the follower role was 3.84). Therefore, the difference score between leader and follower roles were calculated and ranked based on original and standardized scores, respectively (see Table 3.17 and 3.18).

3.3.2 Results

The ranking according to the differences scores calculated by original means was consistent with the three identified sets: the highest seven items were identified as leader-specific ones in the previous study, and the lowest ones belong to the follower-specific category, with the four common ones falling into the middle. The ranking order based on standardized scores was almost consistent except for the attribute

positive, which scores on the leadership prototypicality (i.e., 0.61) was far closer to that on the followership prototypicality (i.e., 0.88) than any other follower-specific items (i.e., the absolute value of minimum difference score is 0.70). Taken together, the results generally support a three-set classification, so all 18 attributes identified were used in the following studies.

Table 3.17

Item Validation Based on Original Scores

	Item names	Item Group Identified in Study 2	Average Score on Leader Role	Average Score on Follower Role	Difference Score (Leader role – follower role)
1	Authoritative	Leader-specific	4.13	2.62	1.51
2	Good decision maker	Leader-specific	4.64	3.19	1.45
3	Coordinator	Leader-specific	4.46	3.50	0.97
4	Mature	Leader-specific	4.37	3.57	0.80
5	Plans ahead	Leader-specific	4.47	3.72	0.75
6	Perceptive	Leader-specific	4.25	3.57	0.68
7	Sociable	Leader-specific	4.35	3.76	0.59
8	Strong execution	Role-Common	4.47	3.98	0.49
9	Responsible	Role-Common	4.51	4.20	0.30
10	Team-minded	Role-Common	4.50	4.23	0.27
11	Interested	Role-Common	4.28	4.04	0.24
12	Positive	Follower-specific	4.42	4.22	0.20
13	Dedicated	Follower-specific	3.97	3.81	0.16
14	Energetic	Follower-specific	4.24	4.09	0.15
15	Curious	Follower-specific	4.13	4.19	-0.06
16	Loyal	Follower-specific	3.95	4.14	-0.20
17	Passionate	Follower-specific	3.80	4.06	-0.27
18	Dynamic	Follower-specific	3.92	4.25	-0.33

Note. n = 430.

Table 3.18

Item Validation Based on Standardized Scores

	Item names	Item Group Identified in Study 2	Average Score on Leader Role	Average Score on Follower Role	Difference Score (Leader role – follower role)
1	Good decision maker	Leader-specific	1.54	-1.51	3.05
2	Authoritative	Leader-specific	-0.56	-2.82	2.26
3	Coordinator	Leader-specific	0.80	-0.80	1.60
4	Plans ahead	Leader-specific	0.84	-0.28	1.12
5	Mature	Leader-specific	0.42	-0.63	1.04
6	Perceptive	Leader-specific	-0.10	-0.63	0.53
7	Sociable	Leader-specific	0.33	-0.19	0.52
8	Executive	Role-Common	0.83	0.32	0.51
9	Responsible	Role-Common	0.99	0.84	0.14
10	Team-minded	Role-Common	0.97	0.91	0.06
11	**Positive**	**Follower-specific**	**0.61**	**0.88**	**-0.27**
12	Interested	Role-Common	0.06	0.46	-0.41
13	Energetic	Follower-specific	-0.12	0.58	-0.70
14	Dedicated	Follower-specific	-1.24	-0.07	-1.17
15	Curious	Follower-specific	-0.60	0.80	-1.40
16	Loyal	Follower-specific	-1.33	0.70	-2.03
17	Dynamic	Follower-specific	-1.46	0.94	-2.40
18	Passionate	Follower-specific	-1.97	0.51	-2.48

Note. n = 430.

4 CHAPTER 4 STUDY 4: OUTCOMES OF FOLLOWER-SPECIFIC ATTRIBUTES IN FOLLOWERS' EYES (STUDY 4)

4.1 Introduction

In the last chapter, three sets of attributes were identified: the leader-specific prototypical traits ($N = 7$): *perceptive, good decision maker, sociable, authoritative, coordinator, mature, plans ahead*. The follower-specific prototypical traits ($N = 7$): *passionate, dynamic, curious, positive, loyal, dedicated, energetic*. The role-common traits ($N = 4$): *strong execution, team-minded, interested, responsible*. In this chapter, the uniquely predicting effect of follower perceptions of leaders' follower-specific prototypical trait variables (follower perceived leaders' FSP or follower-rated FSP) is investigated. The positivity of one's leader being perceived as leader-like has been examined in the previous literature (e.g., Epitropaki & Martin, 2005; Van Quaquebeke et al. 2014; Van Quaquebeke & van Knippenberg, 2012), and thus the main focus in this chapter is the unique contribution of follower-specific prototypical attributes (FSP) in predicting leadership outcomes, over and above the prediction using the more traditional leader-specific prototypical attributes.

When the leader exhibits follower-specific prototypical attributes, subordinates may try to make sense of the leader, an area of theory typically referred to as social-cognitive processes. On the one hand, followers may rely on a simplified mechanism of cognition by processing the leader's attributes according to the prescribed mental

representations like ILTs. The mismatch between follower-specific attributes and leader prototypes may lead to a failure to categorize this person as a *leader* (Lord et al., 1982, 1984, 2020), which further followers' perceptions towards leader behaviors, especially task-oriented behaviors which depict a leader image that is different from subordinates, implying prototypical leader characteristics like *authoritative, commanding*, and *assertive* (Offermann & Coats, 2018). On the other hand, followers may also try to make sense of the leader's being follower-like through the attribution process (Kelley, 1973). According to the similarity attraction paradigm (Byrne, 1971; Turban & Jones, 1988), a follower-like leader may own favorable feelings of followers due to the similarity between the leader and followers themselves. This favorable attitude would encourage subordinates to make positive attributions (Regan et al., 1974; Sue-Chan, Chen, & Lam, 2011) and interpret it as the leader's motives for closer and friendly relationships, as indicated by leader relationship-oriented behaviors.

Two distinct behavioral roles of leaders were mentioned above, *Initiating Structure* and *Consideration*, which were originally defined by the Ohio State group (Fleishman, 1953). *Initiating Structure* (*Structure*), or task-oriented leadership, expresses the degree to which a leader defines the roles of their followers, focuses on goal achievement, and establishes well-defined patterns of communication. *Consideration*, or relationship-oriented leadership, expresses the degree to which a leader shows concern and respect for their followers, looks out for their welfare, and

expresses appreciation and support (Bass, 1990a, 1990b). According to implicit leadership theories, when follower perceiving their leaders exhibiting follower-specific prototypical attributes, a successful match between the current leader and prescribed leader prototypes will not to be achieved and thus the leader will not be categorized as a typical leader. Given that *Structure* captures the core essence of leadership functions (i.e., task-oriented behavior), follower-rated FSP may be negatively associated with perceived leader's initiating structure. On the other hand, according to similarity attraction paradigm and attribution theory, leader being follower-like may be favorably attributed to leader's motives for closer relationships with subordinates. Therefore, follower perceiving leaders' follower-specific prototypical attributes may contribute to follower perceived leader *Consideration*. In sum, it is proposed that follower perceived leaders' follower-specific prototypical attributes will be negatively related to follower perceived leader *Structure* while be positively associated with follower perceived leader *Consideration*.

Despite growing calls to revive these two concepts, questions may still remain on the reasons for choosing Structure and Consideration. There are various forms of leadership containing task-oriented and relational-oriented elements. However, different leadership styles cover different contents and emphasize different aspects. Two kinds of leadership are discussed here, namely paternalistic leadership and transformational leadership. Although paternalistic leadership and transformational leadership also convey care and support, which is similar to Consideration and has

been proved to be effective in the Chinese context, follower perceptions on leaders' FSP do not necessarily leader to their perception of paternalistic or transformational leadership. Specific reasons are discussed as follows.

Accumulated research has shown that paternalistic leadership is not a unified construct; rather, it consists of three dimensions—authoritarianism, benevolence, and morality (Aycan, 2006; Farh & Cheng, 2000; Farh et al., 2006). *Authoritarianism* refers to a leader's behavior of asserting strong authority and control over subordinates and demanding unquestioned obedience from them; *Benevolence* implies that a leader demonstrates individualized, holistic concern for subordinates' personal and familial well-being; *Morality* is broadly depicted as a leader's behavior that demonstrates superior moral character and integrity through acting unselfishly and leading by example (Chen et al., 2014). Though *Authoritarianism* and *Benevolence* to some extent imply focuses on *task* and *relation,* respectively, the *benevolence* in paternalistic leadership is described as a father-like style (Westwood & Chan, 1992). This kind of care is more personal, protective, and intimate than that in Consideration (Pellegrini & Scandura, 2008). Perceiving leaders being follower-like does not necessarily make followers feel their leaders are like parents. In addition, another dimension, *Morality,* points to leader ethicality and integrity, which has no direct relation to either leader-specific or follower-specific attributes. In this sense, Consideration is distinct from paternalistic leadership, and follower-rated leader FSP may not have predicting effects on perceived paternalistic leadership.

It should be noted that certain aspects of transformational leader behaviors (i.e., individualized consideration) also consist of a relational orientation. Differently, transformational leadership is conceptualized as a set of behaviors designed to create and facilitate change in organizations, which has been categorized into a different kind of leader behavior, change-oriented leader behavior (DeRue et al., 2011). Change-oriented leader behaviors represent leader behaviors oriented toward facilitating and driving change in groups and organizations (Yukl et al., 2002). Other dimensions like inspirational motivation (focusing on communicating a compelling vision for the future) and intellectual stimulation (seeking different perspectives from group members, challenging assumptions, and taking risks) conceptually distinguish it from the research on task and relational-oriented leader behaviors.

In the following sections, an empirical study with a follower-only, cross-sectional dataset was conducted to examine the predicting effects of the follower perceived leaders' FSP on follower perceived leader Structure and Consideration, as well as on leadership outcomes, including follower affective commitment towards the leader and two forms of organizational citizenship behavior (OCBI and OCBO). Specific hypotheses were developed as follows.

4.2 An empirical study (Study 4)

4.2.1 Study overview

In this section, specific hypotheses related to the outcomes of follower-specific attributes were presented as follows.

Previous literature has summarized two cognitive mechanisms through which followers develop their perceptions of leadership: categorization and causal attribution. Social categorization (Cantor & Mischel, 1979) and attributional (Kelley, 1973) theories are the two major theoretical approaches to understanding person judgments that are current in the social cognitive literature. Categorization theory (Lord et al., 1982, 1984, 2020) posits that when a match between certain salient features or behaviors of the leader and a leadership prototype is made, a leader label is applied to the stimulus person.

According to the implicit theories and categorization theory, follower-specific attributes (i.e., *passionate, dynamic, positive, energetic, curious, loyal, dedicated*) largely associated with prototypical followers in the organizational settings (Sy, 2010) and thus may fail to match with traditional leader images (e.g., Epitropaki & Martin, 2004; Offermann & Coats, 2018). The unsuccessful prototype-matching results may disappoint followers and destroy their identification with the leader (Van Quaquebeke et al., 2014). Given that Initiating Structure captures the core essence of leadership functions (i.e., task-oriented behavior), follower-rated FSP may be negatively

associated with perceptions of a leader's initiating structure. Therefore, following hypothesis was proposed:

Hypothesis 1: Follower-rated FSP will be negatively related to follower perceptions of the leader's initiating structure.

Previous research suggests that the quality of the relationship between supervisors and subordinates is a critical determinant of attributions (Bitter & Gardner, 1995; Davis & Gardner, 2004) and individuals tend to give more positive attributions when the actor is liked than he or she is disliked (Regan et al., 1974; Sue-Chan et al., 2011). Research on attraction and similarity suggests that individuals prefer others who are similar to themselves (Berscheid, 1984; Kandel, 1978). Individuals tend to like people who are similar in terms of attitudes, values, and traits (Byrne, 1971; Caspi & Herbener, 1990; Hill & Stull, 1981). According to the similarity attraction paradigm (Byrne, 1971), subordinates who perceive a leader possesses the characteristics of a group of followers tend to find more similarities between themselves and the leader, and thus developing favorable impression of the leader (Turban & Jones, 1988). In this case, exhibiting follower-specific prototypical attributes by leaders are likely to be attributed in a more favorable way: The leader being follower-like because the leader wants to show his or her approachable side, to be more accessible and easier to communicate, and to narrow the distance between subordinates. In this sense, a leader being follower-like may be attributed to leader's

motives for closer relationships and be interpreted as leaders' approachableness, respect, and concern towards subordinates, all of which are captured by followers' perceptions of leader considerate behavior. Therefore, the following hypothesis was proposed:

Hypothesis 2: Follower-rated FSP will be positively related to follower perceptions of the leader's consideration behavior.

The positive relationship between considerate leader behavior and followers' affective responses to the leader has been well documented in previous literature (DeRue et al., 2011; Judge et al., 2004; Lambert, Tepper, Carr, Holt, & Barelka, 2012). Leaders who engage in considerate behaviors are empathetic, approachable, supportive, and appreciative. In addition, they are attuned to the needs of each follower, show concern for their well-being, and devote to working relationships characterized by mutual trust and respect (Fleishman, 1953). As such, considerate leadership should cultivate a high-quality leader-follower interpersonal connection bonded by emotional attachment and involvement, and thus ultimately lead to higher levels of follower commitment towards this leader (Halpin, 1957; DeRue et al., 2011; Judge et al., 2004).

In addition, perceiving that one's leader is high in Consideration is also expected to boost followers' organizational citizenship behavior towards individuals and organizations (i.e., OCBI and OCBO). According to Baumeister and Leary

(1995), individuals have an innate desire to establish and maintain pleasant social connections (p. 500). Employees with considerate leaders tend to count on their supervisors to fulfill their needs of interpersonal attachment. Further, social exchange and the norm of reciprocity dictate that employees reciprocate (Cropanzano, Anthony, Daniels, & Hall, 2017; Cropanzano & Mitchell, 2005). On this occasion, considerate leader behaviors, such as listening to subordinates' problems, backing up their actions, doing a personal favor for them, may exert a modeling effect on followers' OCB (e.g., Bolino & Turnley, 2003; Organ, Podsakoff, & MacKenzie, 2005; Smith, Organ, & Near, 1983; Yaffe & Kark, 2011) by invoking follower's awareness of discharging the obligation to a social exchange relationship with their leaders by contributing extra-role behavior like helping coworkers or assisting supervisors.

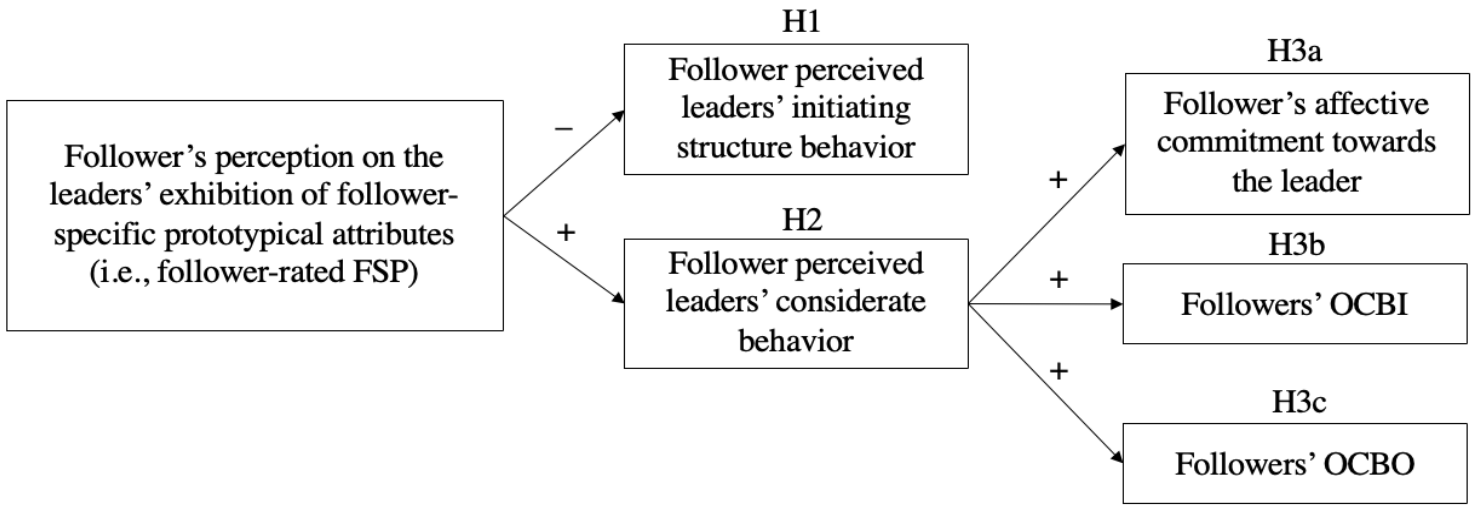
As discussed before, when a leader exhibits follower-specific prototypical attributes, followers may attribute positively it to leader's relation-oriented motives and develop a perception that the leader is engaging in considerate behavior through which he or she shows friendly, approachableness, respect, and concern towards subordinates. Perceived leader Consideration will further improve followers' affective responses towards the leader (i.e., affective commitment towards the leader) as well as reciprocal behaviors like the organizational citizenship behavior. Extrapolating from these, here I propose a serial indirect effect between follower perceived leader's follower-specific attributes (i.e., follower-rated FSP) and follower's affective commitment as well as their OCB through perceived leader Consideration.

Hypothesis 3: Follower-rated FSP will have an indirect effect on (a) follower affective commitment towards the leader, (b) follower OCBI, and (c) OCBO through follower perceived leader considerate behavior.

The theoretical model of this study is shown in Figure 4.1.

Figure 4.1

The Theoretical Model of Study 4



4.2.2 Method

4.2.2.1 Participants and procedure

Participants include ordinary workers (i.e., official staff, employees working in various industries, and professional occupations such as doctor, lawyers, teachers) and managers at different levels. They were recruited from the same data collection platform as used in previous Studies 2 and 3, Credamo[1]. And the same recruiting procedures were followed with a financial reward provided for completing the survey. In total, 209 people returned questionnaires. No cases were excluded, and all responses were entered into data analyses.

Among these people, 78 (37.3%) were male and the average age was 32.65 (SD = 5.39). 2 (1.0%) graduated from junior high school, 4 (1.9%) from senior high school, 11 (5.3%) from college, and 153 (73.2%) obtained bachelor's degrees, 39 (18.6%) got master's degrees. For industry and organizational type, 104 people (49.8%) worked in the manufacturing industry, 104 (49.8%) in the service industry, and 1 (0.4%) in agriculture; 75 (35.9%) people served in the public sector, 127 (60.8%) in the private sector, and 7 (3.3%) in others. The average length of working experience was 8.62 years (SD = 5.37), with a minimum of 1 year and a maximum of

[1] Though Credamo was used for data collection in Study 2,3, and 4, participants recruited did not overlap with each other study: Participants were screened by Credamo through account ID and IP address, and those who had participated in one study were no longer allowed to participate in another.

33 years. The years of following the current leader were also collected, with an average of 4.97 years (SD = 2.81), with a minimum of 1 year and a maximum of 24 years.

4.2.2.2 Measures

The 18 attributes identified in previous studies were used to capture the independent variables. The prompt was:

> "*The following phrases describe some of the individual attributes, and you may find that some phrases describe your current leader, while others do not. Please rate how well the following phrases fit the image of your current leader ("1" = "completely misfit", "2" = "misfit", "3" = "uncertain", "4" = "fit", and "5" = " completely fit*")."

The measures of the dependent variables were originally developed in English. I employed translation and back-translation procedures (Brislin, 1980) to translate the items into Chinese.

Initiating structure and consideration. In the literature, four measures of Consideration and Initiating Structure have been widely used: The Leader Behavior Description Questionnaire (LBDQ; Halpin, 1957), the LBDQ, Form XII (LBDQ-XII; Stogdill, 1963), the Supervisory Behavior Description Questionnaire (SBDQ; Fleishman, 1989b), and the Leader Opinion Questionnaire (LOQ; Fleishman, 1989a).

The Leader Behavior Description Questionnaire (LBDQ; Halpin, 1957) was adopted in this study due to its highest validation (Judge et al., 2004) and appropriateness to be given individually (Halpin, 1957). The LBDQ contains 30 items, each of which describes a specific way in which a leader may behave. The respondent indicates the frequency with which he perceives the leader to engage in each type of behavior by marking one of five adverbs: Always (5), often (4), occasionally (4), seldom (2), never (1). The sample items of initiating structure were "My leader rules with an iron hand" and "My leader speaks in a manner not to be questioned". The sample items of consideration were "My leader does personal favors for group members" and "My leader finds time to listen to group members". The Cronbach's alpha coefficient was .71 for initiating structure and .89 for consideration.

Follower's OCB. A 14-item organizational citizenship scale (Williams & Anderson, 1991) was adopted to measure the followers' OCB. The scale contains two dimensions, namely OCB towards individuals (OCBI; e.g. "I help others who have been absent") and OCB towards organizations (OCBO; e.g. "I attend at work above the norm"). Responses were provided on a five-point scale which ranged from *strongly disagree* (1) to *strongly agree* (5). The Cronbach's alpha coefficient for OCB-I was .73, and that for OCBO was .49. The McDonald's omega (ω) for OCBO was .51.

Follower's affective commitment towards the leader. Allen and Meyer's 8–item scale (1990) of affective commitment towards the organization was adapted to capture one's affective commitment towards the leader. Three items were deleted from the original scale because they are strongly organization-focused and the remaining five items were "I would be very happy to spend the rest of my career with my leader", "I enjoy discussing my leader with other people unknown about him/her", "I really feel as if my leader's problems are my own", "I feel emotionally attached to my leader" and "My leader has a great deal of personal meaning for me". Responses were provided on a five-point scale which ranged from strongly disagree (1) to strongly agree (5). The Cronbach's alpha coefficient was .75.

Control variables. Because prior empirical articles (e.g., Thompson, Bergeron, & Bolino, 2020; Wagner & Rush, 2000) have suggested that demographics (e.g., age, gender, and education) are associated with OCB and affective commitment towards the leader, participants' gender ("1"= male, "2" = female), age (in years), and education ("1" = primary school or lower, "2" = junior high school, "3" = senior high school, "4" = college, "5" = Bachelor's degree, "6" = Master's degree, "7" = Ph.D.) were included as control variables in the regression models.

4.2.3 Results

4.2.3.1 Confirmatory Factor Analyses

Confirmatory factor analyses (CFA) were conducted to examine whether our data supported the proposed measurement model. To do this, CFA was done on the variables including the three sets of attributes (i.e., LSP, FSP, CP), the two mediators (i.e., perceived initiating structure, perceived consideration), and the dependent variables (e.g., affective commitment towards the leader, OCBI, and OCBO). Because the ratio of our sample size to the number of free parameters (209:76) did not meet the minimum ratio of 5:1 (Bentler & Chou, 1987), I used item parceling to improve estimation accuracy (Little, Cunningham, Shahar, & Widaman, 2002). Specifically, I used the item-to-construct balance approach (Little et al., 2002), and for variables or dimensions with more than three items, two parcels were created for each. The fit indexes for the proposed model ($N = 209$) are acceptable ($\chi2 = 160.47$, $df = 76$, $\chi2/df = 2.11$, $p < .001$, CFI = .94, TLI = .91, RMSEA = .07, SRMR = .05).

4.2.3.2 Descriptive statistics and correlation

Table 4.1 presents the means, standard deviations, and correlations for all variables.

4.2.3.3 Hierarchical Regression Analyses

Given that the newly created LSP, CP, and FSP measures had not been previously studied with respect to their ability to predict a variety of relevant outcome

variables, the data analysis first explored in the initial question of to what extent do the newly created three sets of characteristics relate to perceptions of leader behaviors and leadership results? If these measures validly capture what is intended, then follower related leader-specific prototypical traits (follower-rated LSP) would be expected to significantly increment the prediction of followers' perceptions of Initiating Structure and Consideration behaviors, and also the prediction of follower affective commitment and OCBs. In addition, it would be expected that this prediction would in most cases be significant above and beyond the effects of follower-rated follower-specific prototypical attributes (follower-rated FSP) and role-common attributes (follower-rated CP) on the same set of outcomes. Thus, this issue was inspected first, before moving on to a set of specific tests of the research hypotheses for Study 4 (reported in a later section).

To examine the unique effects of different groups of traits in predicting each of the outcome variables, I first entered control variables in a Model 1, and then added leader-specific prototypical attributes (LSP) in a Model 2. Role-common prototypical traits (CP) were entered in a Model 3, with a final entering of the follower-specific prototypical trait variable (FSP) in a Model 4. This order of entry not only allowed a determination of whether the expected LSP traits predicted leadership relevant outcomes, but also provided the most stringent test possible for the effects of the FSP traits by first partialling out the effects of LSP and CP traits. The following five tables (Table 4.2-4.6) show regression results for the prediction of: (a) initiating structure,

(b) consideration, (c) OCBI, (d) OCBO, and (e) affective commitment towards the leader. All continuous predictor variables were mean centered in the regression models.

Table 4.1

Means, Standard Deviations, and Correlations Among Study Variables

	M	SD	1	2	3	4	5	6	7	8	9	10	11
1. Gender	-	-	-										
2. Age	32.65	5.39	-.18*	-									
3. Education	-	-	.08	-.15*	-								
4. Leader-specific trait	4.97	2.81	.04	.01	.24***	-							
5. Follower-specific trait	4.37	0.27	.09	.05	.06	.66***	-						
6. Role-common trait	4.33	0.34	.02	.07	.03	.53***	.51***	-					
7. Initiating structure	4.50	0.26	.02	.12	.15*	.45***	.42***	.38***	-				
8. Consideration	4.07	0.33	-.05	.11	.12	.57***	.69***	.46***	.47***	-			
9. OCBI	4.00	0.47	.01	.16*	.03	.36***	.49***	.43***	.40***	.65***	-		
10. OCBO	4.02	0.44	-.02	.21**	-.03	.39***	.46***	.32***	.26***	.43***	.44***	-	
11. Affective commitment	4.20	0.37	-.12	.10	.11	.52***	.58***	.45***	.31***	.67***	.58***	.32***	-

Note. n = 209. OCBI = Organizational citizenship behavior towards individuals; OCBO = Organizational citizenship behavior towards organizations.

$^{*}p < .05$. $^{**}p < .01$. $^{***}p < .001$.

Table 4.2

Results of Predicting Initiating Structure

Predicators	Model 1	Model 2	Model 3	Model 4
Age	.149*	.126*	.116	.111
Gender	.032	.020	.016	.003
Education	.171*	.064	.083	.097
Leader-specific prototypical attributes (LSP)		.432***	.323***	.225*
Role-common prototypical attributes (CP)			.198**	.163*
Follower-specific prototypical attributes (FSP)				.171*
R^2	.044*	.219***	.247***	.262***
F (df)	3.144(3,205)	14.314(4,204)	13.293(5,203)	11.939(6,202)
Change in R^2	---	.175***	.028*	.015*
F (df)	---	45.763(1,204)	7.413(1,203)	4.138(1,202)

Note. n=209. Standardized regression coefficients were reported.

*$p < .05$, **$p < .01$, *** $p < .001$.

Initiating structure results: In Model 2 (M2), leader-specific prototypical trait variable (LSP) was found to significantly predict leader's initiating structure ($\beta = .432, p < .001$). R^2 change was statistically significant from Model 1 (M1) to M2, explaining an additional 17.5% of the variance in initialing structure.

Model 3 (M3) added common prototypical trait variables (CP) to the M2 predictors, which was significantly predicted the leader's initiating structure ($\beta = .198, p < .01$). R^2 change was statistically significant with the newly added variable, adding 2.8% of the variance in predicting initiating structure.

All three sets of trait variables were entered into Model 4 (M4). There was a statistically significant increase in R^2 with the newly added follower-specific prototypical variable (FSP), which explained an additional 1.5% of the variance in initiating structure. Results showed that FSP positively predicted initiating structure ($\beta = .171, p < .05$). Moreover, although remaining statistically significant, the effect sizes of LSP and CP in predicting initiating structure were both reduced in Model 4 compared to earlier models ($\beta = .225, p < .05$ for LSP; $\beta = .163, p < .05$ for CP).

Table 4.3

Results of Predicting Consideration

Predicators	Model 1	Model 2	Model 3	Model 4
Age	.119	.090	.079	.062

Gender	-.038	-.054	-.058	-.099*
Education	.140*	-.002	.020	.064
Leader-specific prototypical attributes (LSP)		.570***	.451***	.143*
Role-common prototypical attributes (CP)			.214**	.104
Follower-specific prototypical attributes (FSP)				.540***
R^2	.031	.336***	.368***	.519***
F (df)	2.188(3,205)	25.820(4,204)	23.687(5,203)	36.284(6,202)
Change in R^2	---	.305***	.032**	.150***
F (df)	---	93.748(1,204)	10.396(1,1203)	63.065(1,202)

Note. n=209. Standardized regression coefficients were reported.

*$p < .05$, **$p < .01$, *** $p < .001$.

Consideration results: In Model 2 (M2), leader-specific prototypical trait variable (LSP) was found to significantly predict leader's consideration ($\beta = .570$, $p < .001$). R^2 change was statistically significant from Model 1 (M1) to M2, explaining an additional 30.5% of the variance in consideration.

Model 3 (M3) added common prototypical trait variables (CP) to the M2 predictors, which was significantly predicted the leader's consideration ($\beta = .214$,

$p < .01$). R^2 change was statistically significant with the newly added variable, adding 3.2% of the variance in predicting consideration.

All three sets of trait variables were entered into Model 4 (M4). There was a statistically significant increase in R^2 with the newly added follower-specific prototypical variable (FSP), which explained an additional 15.0% of the variance in consideration. Results showed that FSP positively predicted consideration ($\beta = .540$, $p < .001$). Interesting, once FSP was added in Model 4, the predicting effect of CP on consideration was no longer statistically significant ($\beta = .104$, *n.s.* for CP), and although still statistically significant, the effect of LSP was reduced substantially from previous Models 2 and 3 ($\beta = .143$, $p < .05$).

Table 4.4

Results of Predicting OCB-I

Predicators	Model 1	Model 2	Model 3	Model 4
Age	.174*	.155*	.138*	.127*
Gender	.034	.024	.019	-.011
Education	.054	-.037	-.005	.027
Leader-specific prototypical attributes (LSP)		.366***	.188*	-.031
Role-common prototypical attributes (CP)			.320***	.242**

Follower-specific prototypical attributes (FSP)				.384***
R^2	.030	.155***	.228***	.304***
F (df)	2.090(3,205)	9.377(4,204)	11.960(5,203)	14.676(6,202)
Change in R^2	---	.126***	.072***	.076***
F (df)	---	30.341(1,204)	18.986(1,203)	22.056(1,202)

Note. n=209. Standardized regression coefficients were reported.

*$p < .05$, **$p < .01$, *** $p < .001$.

OCB-I results: In Model 2 (M2), leader-specific prototypical trait variable (LSP) was found to significantly predict follower's OCB-I ($\beta = .366, p < .001$). R^2 change was statistically significant from Model 1 (M1) to M2, explaining an additional 15.5% of the variance in OCB-I.

Model 3 (M3) added common prototypical trait variables (CP) to the M2 predictors, which was significantly predicted follower's OCB-I ($\beta = .320, p< .01$). R^2 change was statistically significant with the newly added variable, adding 7.2% of the variance in predicting OCB-I.

All three sets of trait variables were entered into Model 4 (M4). There was a statistically significant increase in R^2 with the newly added follower-specific prototypical variable (FSP), which explained an additional 7.6% of the variance in followers' OCB-I. Results showed that FSP positively predicted OCB-I ($\beta = .384, p$

< .001). Moreover, the effect size of LSP and CP in predicting OCB-I were both reduced from the values seen in previous models, with LSP no longer remaining a statistically significant predictor (β = -.031, *n.s.* for LSP; β = .242, p < .01 for CP).

Table 4.5

Results of Predicting OCB-O

Predicators	Model 1	Model 2	Model 3	Model 4
Age	.211**	.190**	.183**	.173
Gender	.013	.002	.000	-.025
Education	.000	-.102	-.089	-.062
Leader-specific prototypical attributes (LSP)		.410***	.338***	.153
Role-common prototypical attributes (CP)			.129	.063
Follower-specific prototypical attributes (FSP)				.326***
R^2	.044*	.201***	.213***	.268***
F (df)	3.127(3,205)	12.861(4,204)	10.997(5,203)	12.306(6,202)
Change in R^2	---	.158***	.012	.055***
F (df)	---	40.265(1,204)	3.030(1,203)	15.047(1,202)

Note. n=209. Standardized regression coefficients were reported.

*$p < .05$, **$p < .01$, *** $p < .001$.

OCB-O results: In Model 2 (M2), leader-specific prototypical trait variable (LSP) was found to significantly predict follower's OCB-O ($\beta = .410, p < .001$). R^2 change was statistically significant from Model 1 (M1) to M2, explaining an additional 15.8% of the variance in OCB-O.

Model 3 (M3) added common prototypical trait variables (CP) to the M2 predictors. However, this model did not show a statistically significant increase in R^2 from M2 to M3.

All three sets of trait variables were entered into Model 4 (M4). There was a statistically significant increase in R^2 with the newly added follower-specific prototypical variable (FSP), which explained an additional 5.5% of the variance in followers' OCB-O. Results showed that FSP positively predicted OCB-O ($\beta = .326, p < .001$). Again, the predicting effects of LSP and CP were no longer statistically significant ($\beta = .153$, *n.s.* for LSP; $\beta = .063$, *n.s.* for CP).

Table 4.6

Results of Predicting Affective Commitment towards the Leader

Predicators	Model 1	Model 2	Model 3	Model 4
Age	.095	.068	.056	.044
Gender	-.118	-.133*	-.137*	-.167**

Education	.139*	.008	.032	.064
Leader-specific prototypical attributes (LSP)		.525***	.396***	.173*
Role-common prototypical attributes (CP)			.234**	.154*
Follower-specific prototypical attributes (FSP)				.391***
R^2	.040*	.299***	.337***	.416***
F (df)	2.827(3,205)	21.725(4,204)	20.658(5,203)	23.976(6,202)
Change in R^2	---	.259***	.038**	.079***
F (df)	---	75.344(1,204)	11.791(1,203)	27.223(1,202)

Note. n=209. Standardized regression coefficients were reported.

*$p < .05$, **$p < .01$, *** $p < .001$.

Affective commitment results: In Model 2 (M2), the leader-specific prototypical trait variable (LSP) was found to significantly predict followers' affective commitment towards their leaders ($\beta = .525, p < .001$). R^2 change was statistically significant from Model 1 (M1) to M2, explaining an additional 25.9% of the variance in affective commitment.

Model 3 (M3) added common prototypical trait variables (CP) to the M2 predictors, which was significantly predicted affective commitment ($\beta = .234$,

$p < .01$). R^2 change was statistically significant with the newly added variable, adding 3.8% of the variance in predicting affective commitment.

All three sets of trait variables were entered into Model 4 (M4). There was a statistically significant increase in R^2 with the newly added follower-specific prototypical variable (FSP), which explained an additional 7.9% of the variance in followers' affective commitment towards the leader. Results showed that FSP positively predicted commitment ($\beta = .391, p < .001$). Moreover, the effect size of LSP and CP in predicting commitment were both reduced ($\beta = .173, p < .05$. for LSP; $\beta = .154, p < .05$ for CP).

4.2.3.4 Mediation Analysis

Hierarchical regression analyses were also used specifically to examine the hypotheses that were proposed for Study 4. Results of these analyses are summarized in Table 4.7. Note that the first two columns of results (i.e., for Initiating Structure and Consideration) are an abbreviated version of the previously summarized Model 4 results for these two outcomes, reproduced here for the reader's convenience. In addition to controlling followers' age, gender, education levels, follower-rated leader-specific and role-common trait variables were also entered into the model to explore the unique contribution of follower-specific attributes.

Test of main effects hypotheses H1 and H2: Results show that the relationship between follower-rated FSP and follower perceived leader initiating structure behavior was not statistically significant (*estimate* = .17, *n.s.*). Therefore, H1, which had predicted a negative effect of FSP on initiating structure, was not supported. As hypothesized, follower-rated FSP positively related to follower perceived leader consideration behavior (*estimate* = .54, $p < .001$). Therefore, H2 was supported.

Tests of mediation effects hypothesis H3: Hypothesis 3 predicted that follower-rated FSP would have an indirect effect on the three outcome variables of affective commitment, OCB-I and OCB-O, via the mediating variable of consideration. It was previously established with the significant result from the test of H2 that FSP positively predicted consideration. Table 4.7 presents the results for predicting affective commitment in a model that includes both consideration and FSP. As can be seen from the table, the prediction of follower's affective commitment towards the leader from consideration was statistically significant (*estimate* = .21, $p < 001$) as would be expected if consideration played a mediating role. In this model predicting affective commitment, follower-rated FSP was still also significant (*estimate* = .25, $p < .05$) and reduced from the estimated value of .39 in the model (i.e., Model 4 from Table 4.6) that does not include consideration and initiating structure. Taken together, these results suggest that if mediation of the effects of FSP on affective commitment is present, it is partial mediation.

Table 4.7 also presents the results for predicting the mediation of FSP effects on OCBI via consideration. Again, it was previously established that FSP significantly predicted consideration. The results of testing the OCBI model shown in Table 4.7 show the desired statistically significant effect of the proposed mediator variable (consideration) on OCBI (*estimate* = .38, $p < 001$). In this model, the effect of FSP is non-significant (*estimate* = .14, *n.s.*), reduced from a statistically significant effect (*estimate* = .38) of FSP on OCBI in a model that does not contain the effects of consideration (and initiating structure) as shown in the Model 4 results of Table 4.4. Thus, for OCBI, the effects of FSP appear to fit a pattern of complete mediation through consideration.

Finally, the model results for OCBO shown in Table 4.7 show that the proposed mediator (consideration) does not have a statistically significant effect on OCBO, thus suggesting that effects of FSP on OCBO are not mediated through consideration.

To further test the indirect effects, I applied a bootstrapping approach by using MPLUS, which is recommended by scholars because it does not make a spurious assumption about the normal distribution of indirect effects (Hayes, 2013; Preacher & Hayes, 2008). To avoid multicollinearity, all independent variables were grand mean-centered prior to the analysis (Aiken & West, 1991). After controlling followers' age, gender, education, and follower perceived leaders' initiating behavior, mediation analysis based on 10,000 bootstrapped samples showed that the indirect effects of

follower-rated FSP on affective commitment towards the leader (*estimate of indirect effect* = .18; 95% *CI* = [.10, .30]) and OCBI (*estimate of indirect effect* = .26; 95% *CI* = [.17, .38]) through considerate leader behavior were both statistically significant and positive. But consistently with the hierarchical regression results, FSP effects on OCBO were not statistically significant (*estimate of indirect effect* = .05; 95% *CI* = [-.03, .14]), suggested that there was no mediation through consideration. Therefore, H3a and H3b were supported, but H3c was not.

Table 4.7

Regression Analyses of the Follower-rated Trait Variables on Leader Consideration and Outcome Variable

	Structure	Consideration	Commitment	OCBI	OCBO
Follower age	.11	.06	.01	.08	.16*
Follower gender	.00	-.10	-.15**	.03	-.02
Follower education	.10	.06	.04	-.02	-.07
Follower-rated LSP	.23*	.14	.11	-.14	.13
Follower-rated CP	.16*	.10	.11	.16*	.04
Follower-rated FSP	.17*	.54***	.25*	.14	.27*
Structure			.15***	.26***	.06
Consideration			.21***	.38***	.09
R^2	.26	.52	.46	.43	.28

Note. n = 209. LSP = leader-specific prototypical attributes; CP = common prototypical attributes; FSP = follower-specific prototypical attributes. OCBI = Organizational citizenship behavior towards individuals; OCBO = Organizational citizenship behavior towards organizations. Standardized coefficients were reported.

* $p < .05$. ** $p < .01$. *** $p < .001$.

4.2.4 Discussion

Study 4 regression results supported the incremental predicting effect of follower-rated follower-specific prototypical traits (FSP) above and beyond leader-specific prototypical (LSP) as well as role-common prototypical (CP) trait variables on follower perceived outcomes of Initiating Structure, Consideration, affective commitment, and OCBs. Indeed, in full models (i.e., Model 4) predicting Consideration and OCB the effects of at least one of LSP or CP was not statistically significant anymore after FSP entered into the model (see Tables 4.3, 4.4, and 4.5). In addition, the leader-specific prototypical attribute variable (LSP) was more strongly related to Structure ($\beta = .23, p < .05$; Table 4.2) than to Consideration ($\beta = .14, p < .05$; Table 4.3). In contrast, the follower-specific attribute variable (FSP) was more strongly related to Consideration ($\beta = .54, p < .001$; Table 4.3) than to Structure ($\beta = .17, p < .05$; Table 4.2). These results support the discrimination between the two broad categories of leader behaviors and the divergent predicting effects of leader-specific and follower-specific attributes on Structure and Consideration.

In addition, analyses supported H2 and the mediation hypotheses of H3a and H3b. Specifically, follower-rated leaders' follower-specific prototypical attributes were positively related to perceived leader Consideration (H2). In turn, Consideration positively mediated the effects of FSP on followers' affective commitment towards the leader and their organizational citizenship behavior towards individuals.

The hypothesized negative relation between follower-rated FSP and perceived Structure was not supported by the results. Instead, the results supported a positive relationship between these two variables. Possible explanations are discussed as follows.

The positive relation may be because follower-perceived leaders' FSP could enhance subordinates' awareness of the leader's initiating behaviors through role modeling effects. Social learning theory (Bandura, 1977; Manz & Sims, 1981) posits that individuals learn what to do and how to behave largely by observing and emulating role models. Whether or not a model is attractive (based on power, status, and so on), competent, and successfully contributes to the overall probability of that model's behavior being imitated (Manz & Sims, 1981). Leaders here satisfy these requirements of an effective role model not only due to their prestige of holding managerial positions, but also because a higher score on follower-evaluated FSP implies a higher perceived match between one's leader and a prototypical image of followers in the organizational settings. Such a typical image presents desired follower characteristics in a vivid and detailed manner, at the same time conveying work values, sending signals of role expectations, and demonstrating necessary qualities to achieve task goals. As a result, a live model appears during prototype matching, which serves as an efficient channel to realize Structure. This reasoning could be further tested in the future study.

Despite these interesting findings, this study also has the following limitations. First, in this study all of the variables are reported by followers, which may cause common method bias (Podsakoff et al., 2003). Second, the non-experimental, cross-sectional data used in this study cannot support causal inferences regarding the relationships among variables. Methodologically, although the hypotheses were not examined in a rigorous way, the results of this study provided preliminary evidence for the different predicting effects of the three sets of attributes as well as the unique contribution of follower-specific prototypical attributes in predicting leadership outcomes. To examine the hypotheses with a more rigorous design, a follow-up study was conducted, this time using a leader-follower matched, multi-wave dataset.

5 CHAPTER 5 STUDY 5: FOLLOWER-SPECIFIC ATTRIBUTES IN LEADERS' SELF-VIEWS AND IN FOLLOWERS' EYES

5.1 Introduction

In the Study 5 described in this chapter, leaders' ratings on the three sets of prototypical attributes were included to investigate whether the leaders' self-views on these variables (i.e., leader-rated LSP, FSP, CP) positively related to follower views (i.e., follower-rated LSP, FSP, CP) on these attributes of their leaders. The study also allowed a determination of whether leaders' self-views on follower-specific prototypical attributes (i.e., leader-rated FSP) have direct effects on follower perceived leader structural and considerate behavior. In addition, in the study the predicting effects of follower-rated leader FSP on leadership outcomes were reexamined with another group of participants and a multi-wave design to provide additional, stronger empirical evidence for the research hypotheses.

Whether leaders' self-views of their own attributes are positively related to followers' rating on these attributes of their leaders touches upon an important issue in the leadership research, namely self-other rating agreement, that is, the degree of agreement between a leader's self-ratings and the ratings of other. Self-other agreement is an important precursor for various organizational outcomes and human resource management practices (Yammarino & Atwater, 1997). Most scholars researching leader-follower agreement focus on the agreement in rating relational

quality (e.g., LMX agreement; Matta et al., 2015; Sin et al., 2009), leadership style (e.g., authoritative, transactional, charismatic leadership; Karakitapoğlu-Aygün et al., 2021; Sosik, 2001; Whittington et al., 2009), and leadership effectiveness (see Fleenor et al. 2010 for a review). Much of the relevant research on attributes agreement has focused on the prominent five-factor or "Big Five" model of personality and other cognitive or affective traits (e.g., Waston et al., 2000; Vazire, 2010). In the ILTs literature, a great deal has been written about a leader being in the eye of the followers and traditional ILTs research has focused on others' perceptions. So far, ILTs in the context of leaders' self-views is very limited and few research has explored the relationship between leaders' self-ratings on implicit attributes and those in the followers' eyes.

In addition, the direct effects of leaders' self-perception of the follower-specific prototypical attributes (i.e., leader-rated FSP) on follower perceived leader Structure and Consideration are examined. Leaders' self-views on the attribute serve as a critical predictor of leader behaviors. Considerate leader behavior is associated with individual benevolence and charm (Fleishman, 1957), while structural leader behavior is linked to attributes like conscientious (Bass, 1900a). Since the literature on Structure and Consideration went into dormancy in the 1990s, few studies have revealed more attribute-related causes of these two leader behaviors, and only recently has a link between trait and consideration and structure been reproposed (Judge et al., 2004).

After answering these new research questions, the predicting effects of follower-rated leaders' follower-specific prototypical attributes (i.e., follower-rated FSP) on leader Structure and Consideration, as well as its indirect effects on leadership outcomes are reexamined. Considering the methodological limitations in the empirical study in Chapter 4, the reexamination is to provide further evidence for the unique contribution of follower-specific prototypical attributes to leadership research based on an improved research design.

5.2 An empirical study (Study 5)

5.2.1 Study overview

In this section, the relationship between leader self-views on the three sets of attributes and corresponding followers' ratings was first discussed, followed by the direct effects of leader-rated FSP on follower perceived leader Structure and Consideration. After these, hypotheses related to the predicting effects of follower-rated leaders' follower-specific prototypical attributes (i.e., follower-rated FSP) on leadership outcomes were presented.

Before discussing the relationship between leaders' and followers' views on the attributes, one thing noted is that there is a difference in (a) the congruence or agreements of leaders' and followers' ratings and (b) leaders' ratings leads to followers' ratings, because the latter points out the direction in the *agreement* proposition. In this thesis, although ratings of leaders and followers were collected at

the same timepoint, here I examined the agreement with a clear direction such that leaders' ratings positively predict followers' ratings on multiple sets of leaders' attributes. The relevant literature and arguments are presented as follows.

It is well documented that self-ratings of traits predict behavior and important outcomes to an impressive degree (Mehl, Gosling, & Pennebaker, 2006; Ozer & Benet-Martínez, 2006; Paunonen & Ashton, 2001; Roberts, Kuncel, Shiner, Caspi, & Goldberg, 2007). Despite this, a wealth of empirical demonstrations also emphasize and empirically support the limitations of self-ratings, and equally compelling empirical cases have been made for the validity of informant reports (e.g., Fiedler, Oltmanns, & Turkheimer, 2004; Oltmanns, Gleason, Klonsky, & Turkheimer, 2005; Vazire & Mehl, 2008; Wagerman & Funder, 2007). Standing on these points, scholars investigate the agreement between self and other ratings, but the conclusions of self-other agreement on personal attributes vary. Some of these studies found differences between self and other ratings (e.g., Spain, Eaton, & Funder, 2000), while others provide evidence for the agreement on certain aspects (e.g., Kurtz & Sherker, 2003; Vazire, 2010; Waston et al., 2000).

To further explore this question, many scholars turn to another important question, that is, what kinds of traits are more accurately reported by subjects and which by others? The accumulating data have established the existence of a *trait visibility effect*, that is, easily observable personality traits like *intelligent* yield better inter-rater

agreement and higher self-other correlations than do more internal, subjective traits like *neuroticism* (e.g., Funder & Colvin, 1997; John & Robins, 1993; Kenrick & Stringfield, 1980; Vazire, 2007). This is because these traits provide the rater with more frequent and informative cues regarding the target's standing on the dimension. These attributes are so called “good trait” and they have consistently show better self-other agreement than other attributes across different samples and conditions (Waston et al., 2000).

The 18 attributes included in the LSP, FSP, and CP sets were developed from ILTs and IFTs scales which aim to capture leadership and followership prototypes in people’s minds. Theorists generated these ILTs and IFTs attributes by asking participants to list dozens of traits or characteristics of a leader or follower, and further identified ILTs and IFTs attributes by asking people to rate the extent to which each trait was considered characteristic of a stimulus person (e.g., Offermann et al., 1994; Sy, 2010). Based on the approaches through which ILTs and IFTs scales were developed, it can be inferred that these attributes have clear manifestations so that observers are able to observe these attributes, store in their memory, and list them when answering questionnaires. Therefore, according to trait visibility effect, leader self-views of these attributes should be easier to be observed by followers, and thus leads to a positive relationship between leaders’ self-views and those in followers’ eyes.

However, according to the Realistic Accuracy Model, observers' accurate ratings of the target's traits are based on overt trait expressions or behavioral cues (Funder, 1995, 2012; Tett & Burnett, 2003). In this sense, there is an assumption of the accurate follower ratings, that is, information cues conveyed by leaders can more or less be detected by subordinates in the leader-member interactions and be used to make corresponding inferences. Otherwise, the positive relationship between leader-reported attributes and follower ratings may not be easily achieved. A similar rationale is also documented in the *acquaintanceship effect*. It is stated that self-other agreement improves with increasing levels of acquaintance; for instance, well-acquainted informants agree to a much greater extent with each other and with their targets than do relative strangers (Funder & Colvin, 1988, 1997; Funder, Kolar, & Blackman, 1995). As a result, although attributes in the current study are "good traits" which can be easily observed, it is not sure whether followers have enough opportunities to collect this information from their leaders.

Drawing upon the above discussion, here I raise research questions about the relationship between leaders' self-views on the three sets of attributes (i.e., LSP, FSP, and CP) and followers' views on their leaders. Current research has identified three groups of attributes, namely leader-specific, follower-specific, and role-common attributes, therefore, three research questions are put forward respectively as follows:

Research Questions 1: Is a leader's self-perception of his or her leader-specific attributes (i.e., leader-rated LSP) positively related to follower's perception of his or her current leader's leader-specific attributes (i.e., follower-rated LSP)?

Research Questions 2: Is a leader's self-perception of his or her follower-specific attributes (i.e., leader-rated FSP) positively related to a follower's perception of his or her current leader's follower-specific prototypes (i.e., follower-rated FSP)?

Research Questions 3: Is a leader's self-perception of his or her role-common attributes (i.e., leader-rated CP) positively related to a follower's perception of his or her current leader's role-common prototypes (i.e., follower-rated CP)?

In the following part, hypotheses 1 and 2 are to explore the direct effects of leader-rated FSP on follower perceived leaders' Structure and Consideration, respectively. The arguments are presented as follows.

The link between one's self-concept and behaviors can be straightforward because people have the motivation to act in ways that are consistent with their self-perception (Gecas, 1982; Johnson et al., 2012). Initiating structure focuses on getting the job done, and includes such things as defining task roles, determining standards, setting goal-achievement plans, coordinating members' actions, communicating role expectations, and ensuring employees perform up to standards (Fleishman, 1953).

Seven attributes in the leader-specific prototypical group (LSP; i.e., *perceptive, good decision maker, sociable, authoritative, coordinator, mature, plans ahead*) and four in the role-common set (CP; i.e., *strong execution, team-minded, interested, responsible*) precisely depict a typical leader image with *Structure* orientation. As such, when a leader believes one possesses these attributes, he or she may exhibit in his or her behaviors. Yet in a literal sense, the seven follower-specific prototypical items (FSP; i.e., passionate, dynamic, positive, energetic, curious, loyal, dedicated) have little to do with *Structure*. Therefore, no effects are expected on leader-rated FSP in predicting initiating leader behaviors.

> ***Hypothesis 1:*** Leader-rated FSP will have no statistically significant effects on follower perceived leader's Structure.

Follower-specific attributes in leader self-concept will be positively related to leader consideration behaviors for two reasons. First, when leaders possess follower-specific attributes in their self-concepts, they may have a better understanding of their subordinates and thus are more capable to enact consideration behaviors. Because follower-specific prototypes identified in this article were based on the central tendency (i.e., the images of most followers in the organizational settings), being follower-like here can be understood as a leader being similar to most followers in the working place. Therefore, they may find it easier to adopt the view of the other side, anticipating followers' needs, and imagining the motions, perceptions, and

motivations of their subordinates (Moates, Harris, Field, & Armenakis, 2007), and thus eliciting empathy, concern, and supportive behaviors in the leader-follower dyads (Parker, Atkins, & Axtell, 2008; Parker & Axtell, 2001; Williams, 2012).

Second, investing in followers in considerate ways (e.g., friendly, approaching, caring) requires a leader's access to sufficient emotional resources (Byrne et al., 2014). Positive affect, which reflects the extent to which a person feels enthusiastic, alert, and active, can provide leaders with such resources (Joseph, Dhanani, Shen, McHugh, & McCord, 2015; Watson, Clark, & Tellegen, 1988). Previous studies suggest that certain items in follower-specific attributes (i.e., *passionate, energetic, positive*) depict an individual positive affect state of high energy and pleasurable engagement: The words *enthusiastic* (semantically similar to passionate after being translated into Chinese in this study) and *energetic* were included as indicators of positive affect in Watson et al.'s (1988) PANAS scales and Hart et al.'s (1996) Occupational Positive and Negative Affect Scale. Though the attribute *positive* is broader in its literal coverages, one of its meanings implies affect positivity (Watson et al., 1988). In this sense, positive can also be viewed as a descriptor of individual positive affect.

The relationship between positive affect and leader consideration has not yet made its mark in the established literature, while a few empirical studies provide indirect evidence. Mason, Griffin, and Parker (2014) proposed that positive affect is critical in

providing enduring personal resources in developing social bonds and engaging with others. Also, positive affect has been linked to more prosocial (e.g., helping) behaviors (e.g., George, 1990, 1991; George & Bettenhausen, 1990). Similarly, Jin, Seo and Shapiro (2016) claimed that leaders with a higher level of positive affect are more likely to understand subordinates' problems and provide them with encouragement, support, and coaching. On the contrary, psychologically depleted leaders have been found less likely to show empathy or consideration towards their followers and even exhibit abusive leader behaviors (Byrne et al., 2014). Taken together, it is proposed that:

> ***Hypothesis 2:*** Leader-rated FSP will be positively related to follower perceived leader's Consideration.

With a new dataset and a more rigorous design, Hypotheses 3-6 are to examine the effects of follower-rated leaders' FSP on follower perceived leader behaviors (i.e., Structure and Consideration) and further on leadership outcomes to determine whether Study 4 results replicate and to add the new outcomes of In-role Performance and Job Satisfaction. In Chapter 3, I hypothesize that follower-rated leaders' FSP will be negatively related to follower perceived leader's Structure; however, the results present a positive relation. In the *Discussion* section in Chapter 3, a possible explanation from the social learning perspective was proposed. Therefore, in this study, a positive association is proposed to reexamine this relationship. Besides, an indirect effect

through follower-rated leaders' FSP to follower's in-role performance through follower perceived leader's *Structure* was proposed here. In addition to these, other updates compared to Chapter 3 is a newly added outcome variables – job satisfaction – which is also hypothesized to be predicted by follower-rated leaders' FSP through follower perceived leader's *Consideration*. In total, four dependent variables were included, namely follower in-role performance, job satisfaction, affective commitment towards the leader, and organizational citizenship behavior (OCB; including OCBI and OCBO). I choose these variables as the outcome variables because they are the ones most concerned by scholars in the research on Structure and Consideration, and they have been widely used as criteria of Structure and Consideration in both previous and recent literature, including empirical works, review articles, as well as meta-analytic research (e.g., Badin, 1974; Gottfredson & Aguinis, 2017; Judge et al., 2004; Keller, 2006; Lowin et al., 1969; Neubert et al., 2008; Schriesheim et al., 1976). The arguments of Hypotheses 3-6 are discussed as follows.

Social learning theory asserts that people learn knowledge through attention to, observation of, and imitation of role models (Bandura, 1977, 1986). As the theory describes, social learning via role modeling is an individual learning process. This process is more likely to occur (a) when the role model is from higher levels in the organization and (b) when the role model's behaviors are situationally appropriate (Manz & Sims, 1981). As to the first precondition, there is no doubt that leaders occupy positions of influence within organizations such that their behavior is readily observed,

attended to, and likely to be replicated (Wood & Bandura, 1989). For the second precondition, leaders are also likely to act as a salient working role model for each subordinate to emulate by demonstrating normatively appropriate conduct. Follower-specific prototypical attributes provide such an appropriate model given that these attributes match an expected follower image in the working context (e.g., exhibiting typical characteristics of a follower such as loyal, dedicated, and energetic). As a result, employees will clearly know what kind of follower images are expected, rewarded, and punished, and further, how to accomplish their task goals and what specific qualities are needed to fulfill a follower role. In this manner, the leader completes task-oriented functions through providing a vivid, detailed example. To this extent, followed-rated leaders' FSP may increase follower perceived leaders' structural behavior.

> ***Hypothesis 3:*** Follower-rated leaders' FSP will be positively related to follower perceived leader's Structure.

The relationship between Initiating Structure and employee job performance is quite straightforward and has been widely supported in previous literature. One conclusion that has often been drawn from examinations of the empirical data is that Initiating Structure correlates more strongly with performance-related indicators and Consideration correlates more strongly with follower affective responses (Judge et al., 2004). This pattern of association fits well with the conceptual nature of the construct. As noted by Halpin (1957), one would expect leaders high on Initiating Structure to

be more effective at meeting role expectations, ensuring that followers have specific goals, establishing a group structure with clear roles, and guaranteeing transparent metrics upon which to compare their performance. As a result, structural leader behaviors should be more effective at producing performance outcomes.

When a leader exhibits follower-specific prototypical attributes in the working place, followers can have a clear knowledge about their role expectations and required qualities to accomplish their task goals through social learning processes. *Initiating structure* is a leadership style that is oriented toward defining performance, goal, and role expectations and constraints (Fleishman, 1973, 1998). In this sense, the role modelling effects conveyed by presenting an expected follower image is one way for leaders to demonstrate structural functions, and the increased perception of leaders' structural behavior will further improve employees' task performance (Judge et al., 2004; Keller, 2006; Neubert et al., 2008). Taken together, here I propose an indirect effect between follower-rated leader's follower-specific prototypical attributes (i.e., follower-rated FSP) and follower's in-role performance through follower perceived leader structural behavior.

> ***Hypothesis 4:*** Follower-rated leaders' FSP will have an indirect effect on the follower's in-role performance through follower perceived leader's Structure.

Hypotheses 5, 6b, 6c, 6d were the same as Hypotheses 2, 3a, 3b, and 3c in Chapter 3. Therefore, the arguments of these hypotheses are not repetitively presented here.

Followings are the discussion related to the indirect effects between follower-rated FSP and follower job satisfaction through perceived leader Consideration (H6a).

Job satisfaction here refers to an individual's global feeling about their job (Spector, 1997). Scholars have argued that the most primary effect of leader considerate behavior is followers' affective reactions such as job satisfaction and empirical research has widely supported this assertion (e.g., Hunt & Liebscher, 1973; Gottfredson & Aguinis, 2017; Judge et al., 2004; Valenzi & Dessler, 1978). As discussed in Hypothesis 6 in Chapter 3, when followers perceive their leaders' exhibition of follower-specific prototypical attributes, their perception of leader considerate behavior will be strengthened. Perceived leader Consideration will further be positively associated with follower job satisfaction because considerate leaders will show socio-emotional concern and support towards followers and communicate to followers in a way that they are respected and appreciated, all of which will increase followers' positive affect and enjoyment in the workplace. Therefore, an indirect effect of follower-rated FSP on follower job satisfaction through perceived leader Consideration is proposed in H6a.

> ***Hypothesis 5:*** Follower-rated FSP will be positively related to follower perceived leader Consideration.

Hypothesis 6: Follower-rated FSP will have an indirect effect on followers' (a) job satisfaction, (b) affective commitment towards the leader, (c) OCBI, and (d) OCBO through follower perceived leader Consideration.

Taken together, the theoretical models of this study are shown below (Figure 5.1 and 5.2).

Figure 5.1

The Theoretical Model of Study 5 (Hypotheses 1 - 2)

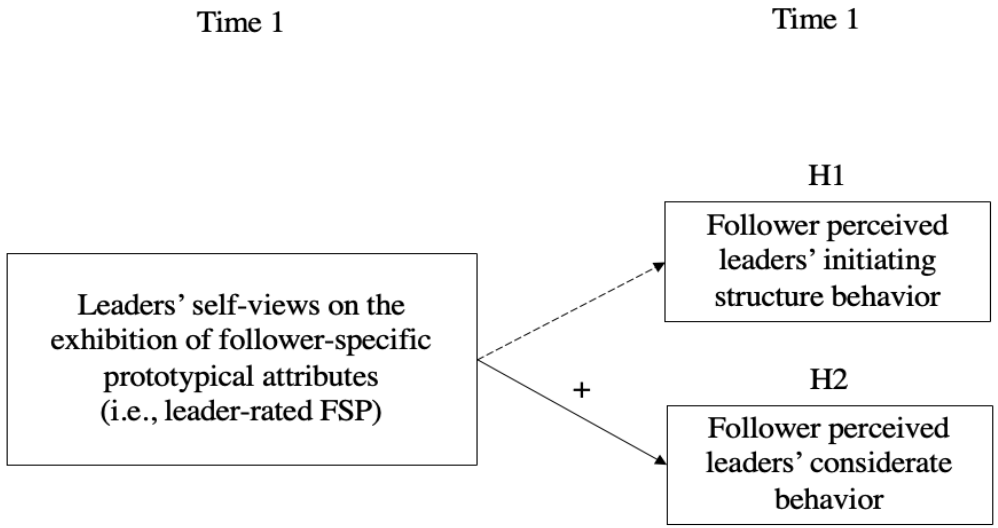
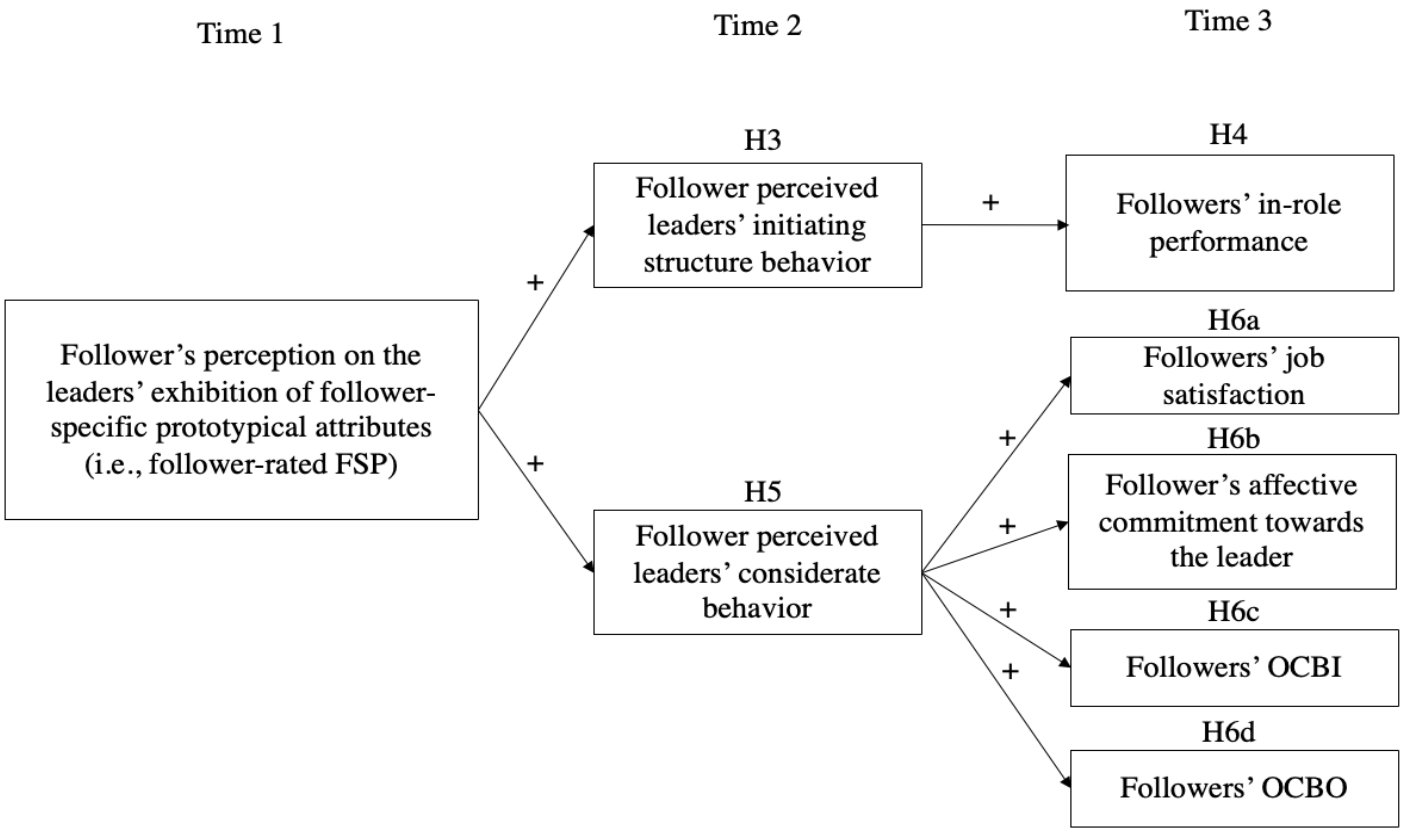


Figure 5.2

The Theoretical Model of Study 5 (Hypotheses 3 – 6)



5.2.2 Methods

5.2.2.1 Participants and procedure

The sample was drawn from six private companies both in the manufacturing and service industries. With the support of the company directors or department heads, I obtained staff lists with specific leader-subordinate information. Questionnaires were administered according to the list and one supervisor may have more than one subordinates. Supervisors and their subordinates on the list were all invited to participate in the survey. This procedure largely rules out the influence of leader-subordinate relational quality on the results because supervisors do not need to choose which of the subordinates to participate in the survey. Participation in this study was voluntary. All questionnaires were filled out on paper and then entered into the computer. At least one department head was present when participants filled out the questionnaire to ensure the quality of the questionnaire.

To reduce common method bias (Podsakoff et al., 2003), a three-wave design was adopted. At Time 1, data on the demographic variables (i.e., participant's gender, age, education), job characteristics (as control variables), and attributes rated by leaders and followers were collected. At Time 2 (one week later), followers provided ratings on two distinct leader behaviors. In the final wave (Time3; one week after Time 2), leaders evaluated the in-role performance of each subordinate, and followers

reported their affective commitment towards the leader, job satisfaction, and organizational citizenship behaviors.

At Time 1, I obtained 208 valid dyadic responses, including 38 supervisors and 208 subordinates. 202 responses were received from subordinates at Time 2. 206 dyadic responses were received at Time 3, including 38 supervisors and 206 subordinates. After the match, 200 valid dyadic responses were obtained, including 38 supervisors and 200 subordinates. The average number of subordinates managed by each supervisor is 5.26 (*SD* = 7.17). For supervisors, 154 (77.0 %) were male. The average age was 44.77 (*SD* = 8.63). In terms of education level, most people were at high school (40.0%), followed by college (33.5%), bachelor's degree (18.0%), junior high school (5.0%), and master's degree (3.5%). The average tenure is 22.01 years (*SD* = 9.41), and leading experience is 8.23 years (*SD* = 4.93). Among subordinates, 129 (64.5 %) were male and the average age was 39.73 (*SD* = 9.41). As to education level, most people were at high school (37.0%), followed by college (23.0%), junior high school (21.0%), bachelor's degree (14.5%), primary school (3.0%), and master's degree (1.5%). Regarding the years of following the current leader, the average length was 6.66 years (*SD* = 5.38). 89.5% (*N* = 179) participants were from private companies and 10.5% (*N* = 21) from the public sector.

5.2.2.2 Measures

All items were originally developed in English and translated into Chinese using the translation and back-translation procedures (Brislin, 1980). Measures of leader structuring behaviors (Time 2; α = .93), leader considerate behaviors (Time 2; α = .90), follower OCB (Time 3; α = .43 and ω = .62 for OCBI; α = .89 for OCBO), and their affective commitment towards the leader (Time 3; α = .88) were the same as Study 4. Responses were collected using a five-point scale which ranged from strongly disagree (1) to strongly agree (5).

Leader-rated attributes (Time 1). Supervisors were asked to rate how well the three sets of attributes describe themselves when working with each of the followers, respectively. For example, if a supervisor has three subordinates (subordinate A, B, and C), then he or she needs to rate three times on how well the three sets of attributes describe themselves when working with subordinate A or B or C. The Cronbach's alpha coefficient was .97 for the leader-specific trait variable, .98. for the follower-specific trait variable, and .96 for the role-common trait variable.

Follower-rated attributes (Time 1). For followers, they were asked to report how well the three sets of attributes describe their supervisors. The Cronbach's alpha coefficient was .95 for the leader-specific trait variable, .96. for the follower-specific trait variable, and .93 for the role-common trait variable.

In-role performance (Time 3). Follower in-role performance was evaluated by their supervisors with a four-item scale developed by Williams and Anderson

(1991). Sample items are “This employee meets formal performance requirements of the job”, “This employee performs tasks that are expected of him or her”. The Cronbach’s alpha coefficient was .91.

Job satisfaction (Time 3). Job satisfaction can be measured as a global construct or as attitudes toward various facets of the job (Brief, 1998). Here I was interested in a global affective evaluation of the job. A three-item global satisfaction scale was used from the Michigan Organizational Assessment Questionnaire (Spector, 1997): “In general, I like my job,” “Generally speaking, I like working here,” and “In general, I do not like my job” (reverse coded; α = .54 and ω = .61). This scale has been widely used and validated in previous research (e.g., Bowler & Brass, 2006; Grandey, Fisk, & Steiner, 2005).

Control variables. The previous study emphasized that task characteristics could influence the effectiveness of Structure and Consideration such that for tasks that were perceived as more ambiguous, structuring leader behavior was more beneficial, while for those not, structuring behavior was superfluous and would interfere with employee effectiveness (Badin, 1974). Although my participants were from six companies, most (N = 151) were from a Chinese manufacturing company and employed as assembly line workers. Therefore, their jobs may be less complex and can provide direct feedback. Considering the particularity of the sample, I controlled two task characteristics: *Job complexity*, which refers to the extent to which the tasks on a job are complex and difficult to perform, and *feedback from the job*,

which reflects the degree to which the job provides direct and clear information about the effectiveness of task performance (Hackman & Oldham, 1976). *Job complexity* was measured with a 4-item scale from Morgeson and Humphrey (2006). Sample items are like "The job requires that I only do one task or activity at a time (reverse scored)", "The tasks on the job are simple and uncomplicated (reverse scored)." The Cronbach's alpha coefficient was .98. Feedback from the job was measured with a 3-item scale (Morgeson & Humphrey, 2006). Sample items are like "The job itself provides feedback on my performance", "The job itself provides me with information about my performance" The Cronbach's alpha coefficient was .91. Also, considering most participants were from private companies, organizational type was also controlled ("1" = private company, "2" = public sector). Organizational type was dummy coded and the second category (i.e., public sector) was coded as the reference group. In addition, as Study 4, participants' age, gender, and education were included as control variables in the analyses. I measured participants' gender ("1" = male, "2" = female), age (in years), and education ("1" = primary school or lower, "2" = junior high school, "3" = senior high school, "4" = college, "5" = Bachelor's degree, "6" = Master's degree, "7" = PhD).

5.2.2.3 Analytic strategy

Although all the variables were assessed at the individual level, the present data were partly nested because some participants shared supervisors with others while the

rest had a unique supervisor. Therefore, I ran regression analyses using TYPE = COMPLEX in Mplus to account for the influence of potential nonindependence on parameter estimation (Muthén & Muthén, 2009). To test the indirect effects, I applied a bootstrapping approach, which is recommended by scholars because it does not make a spurious assumption about the normal distribution of indirect effects (Hayes, 2013; Preacher & Hayes, 2008). To avoid multicollinearity, all continuous variables were grand mean-centered prior to the analysis (Aiken & West, 1991).

5.2.3 Results

5.2.3.1 Confirmatory Factor Analyses

CFA results of the model shown in the Figure 5.1: Confirmatory factor analyses (CFA) were conducted to examine whether our data supported the proposed measurement model. To do this, CFA was conducted on the variables including the three sets of attributes rated by leaders (i.e., leader-rated LSP, leader-rated FSP, and leader-rated CP), the dependent mediators (i.e., follower perception of initiating structure, follower perception of consideration), and the control variables (i.e., job complexity, feedback from the job). Because the ratio of our sample size to the number of free parameters did not meet the recommended ratio of 10:1 or even the minimum acceptable 5:1 (Bentler & Chou, 1987), I used item parceling to improve estimation accuracy (Little et al., 2002). Specifically, I used the item-to-construct balance approach (Little et al., 2002), and for variables or dimensions with more than

three items, two parcels were created for each. I followed Little et al.'s (2002) approach in which the two items with the highest loadings were used to anchor the two parcels, then the two items with the next highest loadings were added to each anchor in an inverted order, and the following two items with the next highest loading were added to the two anchors in turn. This process continued until all items enter into the parcels. The fit indexes are shown as follows: $\chi 2 = 88.96$, $df = 25$, $\chi 2/df = 3.56$, $p < .001$, CFI = .98, TLI = .96, RMSEA = .11, SRMR = .02. The higher RMSEA may be because the small sample size. According to Kenny, Kaniskan, and McCoach (2015), when sample size is small, the RMSEA can exceed cutoffs very often, even when the model is correctly specified. According to Kenny, Kaniskan, and McCoach (2015), when sample size is small, the RMSEA can exceed cutoffs very often, even when the model is correctly specified.

CFA results of the model shown in the Figure 5.2: Confirmatory factor analyses (CFA) were conducted to examine whether our data supported the proposed measurement model. To do this, CFA was conducted on the variables including the three sets of attributes rated by followers (i.e., follower-rated LSP, follower-rated FSP, and follower-rated CP), the two mediators (i.e., follower perception of initiating structure, follower perception of consideration), the outcome variables (i.e., in-role performance, affective commitment towards the leader, OCBI, OCBO, job satisfaction), and the control variables (i.e., job complexity, feedback from the job). Because the ratio of our sample size to the number of free parameters did not meet the

recommended ratio of 10:1 or even the minimum acceptable 5:1 (Bentler & Chou, 1987), the same item parceling strategy of Little et al. (2002) was used. The fit indexes of a two-parcel approach are shown as follows: $\chi 2 = 584.31$, $df = 186$, $\chi 2/df = 3.14$, $p < .001$, CFI = .93, TLI = .89, RMSEA = .10, SRMR = .06.

5.2.3.2 Descriptive Statistics and Correlations

Table 5.1 presents the means, standard deviations, and correlations for all the variables.

5.2.3.3 Tests of Research Questions and Hypotheses

First, hierarchical analyses were conducted to examine the relationship between leader-rated attributes and follower-rated ones (Table 5.2, Model 1-3), thus addressing the three research questions posed earlier in this chapter. Results show that the relationship between leader-rated leader-specific attributes (i.e., leader-rated LSP) and follower-rated leader-specific attributes (i.e., follower-rated LSP) was not statistically significant, and the same results were found for the relationship between leader-rated follower-specific attributes (i.e., leader-rated FSP) and follower-rated follower-specific attributes (i.e., follower-rated FSP), as well as the relationship between leader-rated role-common attributes (i.e., leader-rated CP) and follower-rated role-common attributes (i.e., follower-rated CP). These results answered the three research questions such that the positive relationship between leader self-views and leaders' attributions in the eyes of followers were not statistically significant in the current

data[2]. Moreover, the independent sample t-test showed that when followers rated their leaders on all three sets of attributes, they scored much higher than the leaders themselves: t_{lsp} (200) = -4.916, $p < .001$; t_{fsp} (200) = -5.031, $p < .001$; t_{cp} (200) = -5.217, $p < .001$ (group 1: leader; group 2: follower). Potential explanations are discussed in Chapter 6.

Second, I examined the direct effects of leader-rated follower-specific attributes (i.e., leader rated FSP) on follower perceived *Structure* and *Consideration*, thus addressing Hypotheses 1 and 2 (see Table 5.2, Model 4-5). In addition to the above-mentioned control variables (participants' age, gender, education, organizational type, job characteristics), leader-specific and role-common trait variables were also entered into the model to explore the unique contribution of follower-specific attributes. However, neither of the relationships between leader rated FSP and leader initiating structure or considerate behavior were statistically significant. Therefore, H1 (proposing no relationship with initiating structure) was supported but H2 (proposing a positive relationship with consideration) was not.

In the following analyses, Hypotheses 3-6 are examined. Specifically, followings steps are to examine the indirect effects between follower-rated follower-

[2] The serial indirect effects of leader-rated follower-specific (i.e., leader-rated FSP) on follower in-role performance through follower-rated FSP and perceived leader structural behavior was examined but not statistically significant. The insignificant results were also found in the serial indirect effect of leader-rated follower-specific (i.e., leader-rated FSP) on follower job satisfaction, affective commitment, or followers' organizational citizenship behavior through follower-rated FSP and perceived leader considerate behavior.

specific trait variable (i.e., follower-rated FSP) and leadership outcomes (i.e., in-role performance, followers' job satisfaction, affective commitment towards the leader, and two forms of OCB), as mediated through follower perceived *Structure* and *Consideration*. Control variables were participants' age, gender, education, organizational type, job complexity, and feedback from the job. To test the unique contribution of the follower-specific attribute variable (i.e., FSP), the follower-rated attribute variables of LSP and CP were also included.

Hierarchical regression analyses were conducted to examine the predicting effects of follower-rated follower-specific attributes on *Structure*, *Consideration*, and outcome variables (Table 5.3). The relationship between follower-rated FSP and Structure was not significant, thus leading to a rejection of Hypothesis 3. Interestingly, the relationship between follower-rated LSP and *Structure* was statistically significant ($b = .17, p < .05$). *Structure* was not statistically significant related to followers' in-role performance, thus suggesting that the proposed mediator effect of H4 (FSP -> Structure -> In-role performance) was not likely to be present. This conclusion was supported by a mediation analysis based on 10,000 bootstrapped samples showing that the indirect effect of follower-rated FSP on follower in-role performance through structural leader behavior was not statistically significant (*estimate* = -.002; 95% *CI* = [-.06, .03]; H4 rejected).

With respect to Hypothesis 5, follower-rated FSP positively predicted *Consideration* and this relation was statistically significant ($b = .43, p < .05$). In turn,

the proposed mediating variable of consideration was found to positively predict follower job satisfaction ($b = .37, p < .01$), affective commitment towards the leader ($b = .42, p < .05$), and OCBI ($b = .24, p < .10$). *Consideration* did not significantly predict OCBO ($b = .18, n.s.$). Mediation analysis based on 10,000 bootstrapped samples showed significant indirect effects through leader consideration of follower-rated FSP on follower job satisfaction (*estimate* = .17; 95% *CI* = [.05, .64]; H6a supported), affective commitment towards the leader (*estimate* = .18; 95% *CI* = [.03, .80]; H6b supported), OCBI (*estimate* = .11; 95% *CI* = [.003, .38]; H6c supported), and OCBO (*estimate* = .08; 95% CI = [.004, .48]; H6d supported). Taken together, the unique contributions of follower-specific prototypical trait variable (FSP) were supported such that follower-rated FSP positively predicted follower job satisfaction, affective commitment towards the leader, and OCBI through perceived leader considerate behavior above and beyond another two sets of trait variables (see Figure 5.1). The results for OCBO were less clear-cut, as the relationship of consideration to OCBO was not statistically significant, but the bootstrapped indirect effect was statistically significant. Given the small sample size and thus relatively low statistical power, the OCBO result is provisionally accepted as well. The results of hypotheses 3-6 were shown in Figure 5.3

Table 5.1

Means, Standard Deviations, and Correlations Among Study Variables

	M	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
1.LRgen	1.23	.42	-																					
2.LRage	44.77	8.63	-.18*	-																				
3.LRedu	3.75	.93	.29***	-.44***	-																			
4.FRgen	1.36	.48	.41***	-0.10	.34***	-																		
5.FRage	39.73	9.41	-.17*	0.09	-0.12	-0.12	-																	
6.FRedu	3.30	1.09	.17*	-.18*	.54***	.18**	-.48***	-																
7. OT1	.90	.31	-.20**	.25***	-.52***	-.29***	.15*	-.43***	-															
8.FEED	4.43	.56	.18*	-.22**	-0.01	.16*	-0.01	-0.12	-0.03	-														
9.COMP	2.89	1.25	-.15*	0.11	.19**	-0.08	0.13	.17*	-0.06	-.59***	-													
10.LRlsp	4.34	.56	-0.13	-0.05	-0.07	-0.08	0.10	0.00	0.02	0.02	-0.05	-												
11.LRfsp	4.38	.54	-.21**	0.04	-0.10	-0.11	0.01	0.01	-0.04	0.01	-0.05	.89***	-											

Continued	M	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
12.LRcp	4.41	.53	-.21**	0.00	-0.02	-0.08	0.01	0.05	-0.03	-0.04	-0.01	.86***	.94***	-										
13.FRlsp	4.61	.52	.15*	-.19**	0.05	0.07	-0.11	0.13	-0.01	.27***	-.21**	0.09	0.07	0.08	-									
14.FRfsp	4.64	.51	.18*	-.15*	0.04	0.10	-0.09	0.11	-0.04	.27***	-.19**	0.10	0.07	0.07	.93**	-								
15.FRcp	4.68	.50	0.12	-0.08	0.02	0.10	-0.09	0.09	0.01	.28***	-.18**	0.07	0.04	0.03	.88**	.95**	-							
16.INI	4.46	.49	.16*	-.17*	-0.04	0.11	-0.05	-0.09	-0.01	.71***	-.56**	0.09	0.06	0.03	.48**	.47**	.46**	-						
17.CON	4.44	.47	.22**	-.19**	0.09	0.13	-.14*	0.04	-0.05	.52***	-.37**	0.06	0.05	0.03	.49**	.49**	.44**	.81**	-					
18.PERF	4.43	.49	0.09	0.03	.17*	.16*	-0.07	0.11	0.05	0.04	0.01	.35***	.37**	.36**	.16*	.15*	0.12	0.06	0.07	-				
19.COMM	4.39	.56	.16*	0.03	-0.06	0.12	-0.09	-0.11	-0.07	.45***	-.40**	-0.07	-0.05	-0.07	.31**	.36**	.35**	.55**	.53**	0.06	-			
20.OCBI	4.03	.51	0.00	-0.03	.22**	0.05	-0.04	.21**	-0.01	0.02	.25***	-0.06	-0.08	-0.06	0.09	0.08	0.10	-0.01	.16*	0.13	0.08	-		
21.OCBO	4.29	.54	0.05	-0.01	-0.02	0.09	-0.06	-0.13	-0.06	.45***	-.20**	-0.12	-0.08	-0.10	0.11	0.11	0.12	.39*	.32**	0.10	.60**	0.11	-	
22. JS	4.27	.62	-.20**	.258**	-.15*	-0.00	-0.02	-0.11	.32**	0.12	0.03	-.23**	-.19**	-.19**	0.07	0.08	0.12	.15*	.22**	0.04	.27**	.41**	.32**	-

Note. n=200. LR = leader rated. FR = follower rated. LSP = leader-specific prototypical attributes. FSP = follower-specific prototypical attributes. CP = common prototypical attributes. Gen = gender. Edu = education. OT1 = private company. FEED = feedback from the job. COMP = job complexity. INI = initiating structure. CON = consideration. PERF = in-role performance. COMM = affective commitment towards the leader. JS = job satisfaction. *$p < .05$, **$p < .01$, *** $p < .001$.

Table 5.2

Regression Analyses of the Leader-rated Trait Variables on Follower-rated Trait Variables and Leader Behaviors

	Follower-rated LSP (T1)	Follower-rated FSP (T1)	Follower-rated CP (T1)	Structure (T2)	Consideration (T2)
	Model 1	Model 2	Model 3	Model 4	Model 5
Control variables (T1)					
Leader gender	.10(.09)	.14(.08)	.04(.07)	.02(.06)	.10(.07)
Leader age	-.01(.00)*	-.01(.00)	.00(.00)	.00(.00)	.00(.00)
Leader education	-.05(.06)	-.06(.06)	-.04(.07)	-.01(.03)	.04(.03)
Follower gender	.00(.07)	.02(.07)	.04(.07)	-.01(.07)	-.02(.07)
Follower age	.00(.00)	.00(.00)	.00(.00)	.00(.00)	-.01(.00)
Follower education	.10(.06)	.09(.07)	.08(.07)	.01(.03)	.01(.03)
Organizational type	.10(.10)	.06(.09)	.10(.09)	-.01(.10)	.06(.08)
Feedback from job	.19(.08)*	.20(.08)*	.24(.07)**	.51(.06)***	.38(.08)***
Job complexity	-.03(.04)	-.02(.04)	-.01(.04)	-.08(.02)***	-.03(.03)
Independent variables (T1)					
Leader-rated LSP	-.01(.03)			.10(.09)	.05(.06)
Leader-rated FSP		.00(.03)		-.12(.13)	-.02(.08)
Leader-rated CP			-.05(.03)	.05(.11)	.00(.10)
R^2	.13	.12	.11	.54	.31

Note. n = 200. T = Time. Organizational type was dummy coded with the public sector as the reference group.

* $p < .05$. ** $p < .01$. *** $p < .001$.

Table 5.3

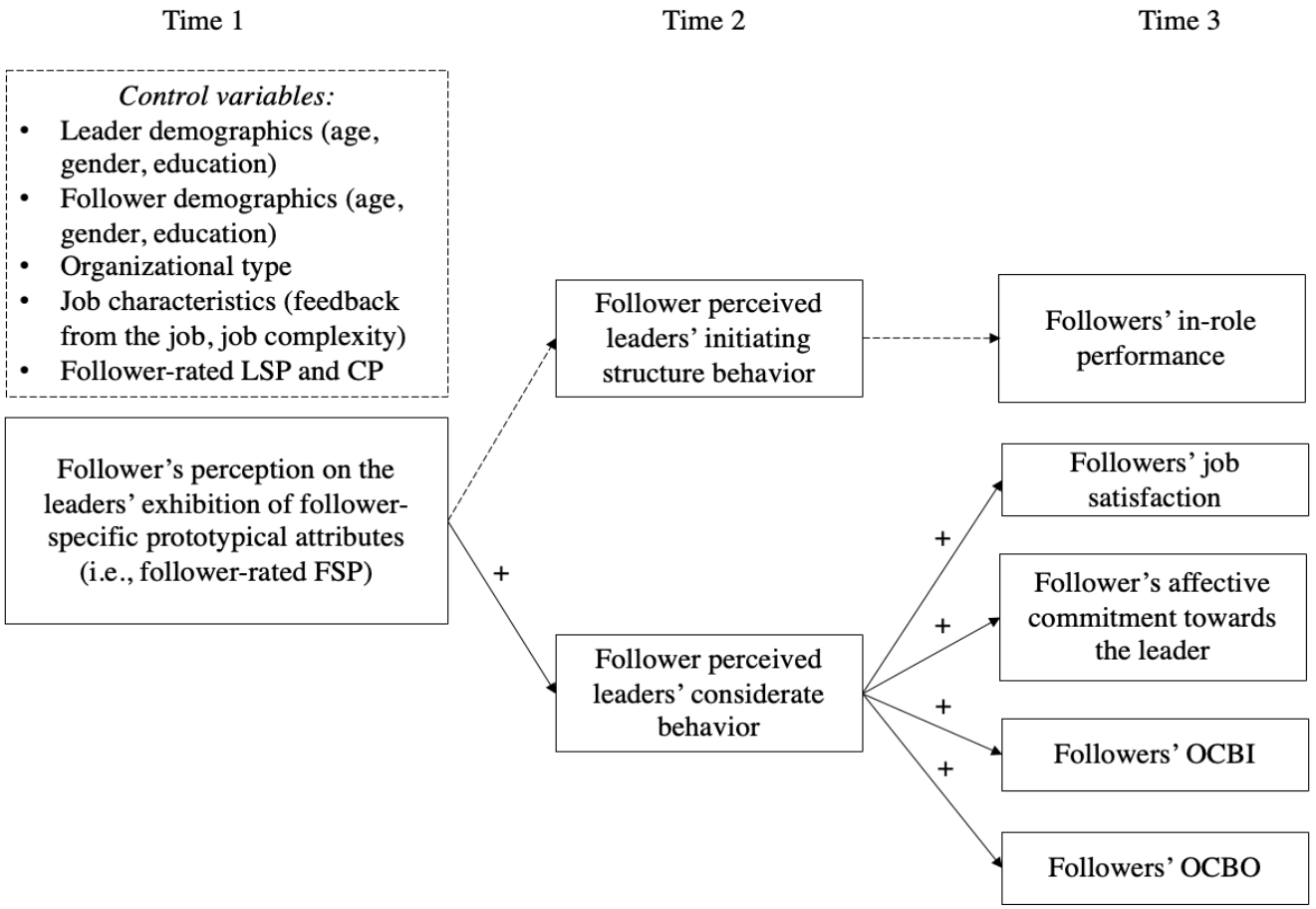
Regression Analyses of the Follower-rated Trait Variables on Leader Behaviors and Outcome Variables

	Structure (T2)	Consideration (T2)	In-role performance (T3)	JS (T3)	Commitment (T3)	OCBI (T3)	OCBO (T3)
Control variables (T1)							
Leader gender	-.01(.05)	.04(.06)	-.05(.18)	-.36(.12)**	.03(.10)	-.06(.09)	-.07(.13)
Leader age	.00(.00)	.00(.00)	.01(.01)	.02(.01)*	.01(.01)*	.00(.00)	.01(.00)
Leader education	.01(.02)	.06(.03)	.15(.08)	.06(.09)	.01(.05)	.09(.07)	.03(.06)
Follower gender	-.01(.06)	-.02(.05)	.14(.11)	.17(.10)	.01(.08)	.02(.06)	.03(.09)
Follower age	.00(.00)	-.01(.00)	.00(.00)	-.01(.00)	-.01(.00)	.00(.00)	-.01(.00)*
Follower education	-.02(.02)	-.02(.03)	.01(.05)	-.02(.05)	-.09(.04)*	.08(.04)	-.11(.05)*
Organizational type	-.02(.07)	.05(.06)	.35(.30)	.64(.17)***	-.26(.13)	.25(.12)*	-.21(.15)
Job complexity	-.08(.02)**	-.03(.03)	.01(.03)	.10(.04)**	-.07(.03)*	.15(.05)**	.06(.03)*
Feedback from job	.45(.05)***	32(.08)***	.06(.07)	.18(.09)*	.15(.08)	.15(.09)	.44(.11)***
Independent variables (T1)							
Follower-rated LSP	.17(.09)*	.15(.12)	.15(.20)	.01(.22)	-.20(.12)	.07(.14)	.04(.14)
Follower-rated CP	-.05(.10)	-.26(.22)	-.40(.18)*	.09(.25)	.07(.14)	.12(.28)	-.13(.15)
Follower-rated FSP	.17(.14)	.43(.21)*	.38(.22)	-.09(.35)	.29(.14)*	-.18(.29)	.04(.18)
Mediators (T2)							
Structure			-.02(.08)				
Consideration				.37(.14)**	.42(.16)*	.24(.11)*	.18(.12)
R^2	.62	.44	.13	.30	.41	.20	.27

Note. n = 200. T = time. JS = job satisfaction. Organizational type was dummy coded. * $p < .05$. ** $p < .01$. *** $p < .001$.

Figure 5.3

The Results of Hypotheses 3 - 6



5.2.4 Discussion

The findings of this field study are consistent with the results found in Chapter 4, and thus provide further evidence for the unique contributions of leaders' exhibition of follower-specific prototypical attributes to leadership outcomes. Specifically, results from a three-wave survey supported the proposition that after controlling leader-specific and role-common trait variables, follower-rated leader's follower-specific attributes increase followers' job satisfaction, affective commitment towards the leader, and two forms of organizational citizenship behavior (i.e., OCBI and OCBO) through perceived leader considerate behavior. The implications and future directions are discussed as follows.

First, the results show statistically nonsignificant relationships between leaders' self-views on the three sets of attributes and followers' perceptions. A follow-up test shows that followers' ratings were significantly higher than those of leaders, even when leader-subordinate relational quality and the years of following were controlled. Frequently discussed reasons may not explain the unexpected findings: The lower rating of leaders themselves contrast with the impression management tendencies or self-deception bias whereby individuals distort self-ratings in a positive direction; Besides, the control of relational quality eliminates the influence of intimacy on observers' tendency to exaggerate targets' socially desirable traits, and the years of following (M = 6.66, SD = 5.38) to some extent controls observers' variances in the

opportunities to interact with leaders (Oh, Wang, & Mount, 2011); In addition, the higher scoring of followers was observed for all attributes, and thus it was not due to the difficulty in the observation of certain attributes. Current results are surprising because previous literature confirmed moderate to strong correlations between self-reports and observer ratings on individual personality (i.e., Big Five Model; see Connolly et al., 2007 and Oh et al., 2011 for meta-analytic reviews). Possible explanations are discussed in Chapter 6.

Moreover, in the current study, I examined leaders' self-views on follower-specific attributes as the predictor of leader behavior. However, the results show that the relationships between leader-rated follower-specific prototypical attributes (i.e., leader-rated FSP) and leader behaviors were not statistically significant, supporting H1 but not H2. According to Perception-Behavior Link (Dijksterhuis & Bargh, 2001), although the perceptual process is expected to lead to the same behavioral consequences, sometimes perception itself may be insufficient to elicit actions or sometimes the link is inhibited. One possible reason for failing to support H6 is that the link between leader self-schema and leader behaviors may not be so direct in the current research. In H6 I propose that when leaders perceive themselves as having follower-specific prototypical attributes, they are more likely to enact considerate behavior because they have the necessary emotional resources and are more capable of understanding their subordinates. Future studies can continue to explore whether leader-rated FSP is indeed positively associated leader's positive affect or perspective

taking to disclose *why* leadership self-schema leads or does not lead to corresponding behaviors.

Most importantly, the unique contribution of follower-specific prototypical attributes (FSP) in predicting leadership outcomes were repetitively supported by a multi-waved, leader-follower matched dataset. The results show that follower-reported leader's follower-specific attributes could improve follower job satisfaction, affective commitment, and OCB through their perceived leader considerate behavior. Besides, follower-reported leader's leader-specific attributes was found to positively predict perceived leader structural behavior but not consideration. The same pattern was also found in Chapter 4. These results present different predicting effects of follower-specific and leader-specific attributes, with the former one more strongly related to followers' perceptions of leaders' relation-oriented behavior while the other one more predictable for perceived leaders' task-oriented behavior.

However, the positive relationship between follower-rated FSP and perceived leader structural behavior and its indirect effect on followers' in-role performance were not supported. Taken together, studies in Chapter 4 and 5 did not present consistent results on the FSP-Structure relationship. According to implicit leadership theories, these two variables may be negatively associated; however, drawing upon the social learning theory, we may propose a positive relationship between them. Which one is the right answer? Or maybe both theoretical perspectives make sense but work in

different sequences. For example, given that followers' categorization processes can be automatic and implicit (Lord et al., 2020), is it possible that followers first match leaders' attributes with the prescribed prototypes, and then gradually learn from the follower-specific prototypical attributes demonstrated by the leader as a role model over time? This is a research question that needs to be further explored in the future study.

6 CHAPTER 6 SUMMARY AND CONCLUSIONS

6.1 A summary and implications of the three sets of attributes

The findings of this thesis enrich the current understanding of implicit leadership theories. A further categorization of implicit leadership and followership attributes leads to three attribute groups, namely leader-specific prototypical, follower-specific prototypical, and role-common prototypical attributes. Implicit theory and research have distinguished prototypes of leadership and followership and emphasized the outcomes of prototype matching, leading to the conclusion that leaders and followers better mould themselves into respective prototypes to gain positive outcomes (Lord et al., 1984; Lord & Maher, 1993; Epitropaki & Martin, 2005; Offermann & Coats, 2018; Sy, 2010). However, it is not clear what the consequences are of persons holding the leader role as being perceived as also matching with some of the follower-specific prototypical attributes. The results of the empirical tests support the unique value of follower-specific attributes in predicting follower perceptions on leader considerate behavior and leadership outcomes, suggesting that leaders can also benefit from being perceived as having some prototypical follower traits, especially in contexts calling for socioemotionally related functions. This thesis also reveals different predicting effects of the leader-specific and follower-specific trait variables on follower perceptions of the leader.

6.1.1 Leader-specific, follower-specific, and role-common prototypical attributes

The prevailing view in implicit theories is that leaders should be (made) aware of the leader prototypes that they need to live up to in the working place because it will be easier for them to actually lead when they match their followers' leader prototypes. (e.g., Epitropaki & Martin, 2004, 2005; Offermann et al., 1994; Offermann & Coats, 2018). From the view of implicit theories, it could weaken others' perceptions of one as a leader if attributes deemed to be prototypical in the followership category are exhibited. However, researchers have alluded to the idea that sometimes they have defaulted the effectiveness of a leader image that goes beyond established leadership prototypes but demonstrate more follower-like characteristics, with direct or indirect research evidence (e.g., Carson et al., 2007; Conger et al., 2000; Hannah et al., 2009; Van Dierendonck, 2011). Therefore, a research question that remained to be answered is that, is it a bonus or loss for leaders to exhibit follower-like attributes? Given that established ILTs and IFTs scales have some items overlapped, it can be inferred that there are some attributes that both prototypical for leader and follower roles, while other are specific to either leader or follower roles. As a result, further categorization based on current ILTs and IFTs items is necessary to examine the research question.

In Chapter 3, three empirical studies were conducted with three respective purposes: item reduction and recontextualization, item categorization, and verification. Different approaches were tried for item categorization. First, cluster analysis suggests that three-cluster solution was the most appropriate solution. The results of each cluster

provided preliminary support on the three hypothesized classifications, with the first cluster scoring higher on the prototypicality for the leader role, the second cluster scoring high on the prototypicality for both roles, and the third cluster scoring higher on the prototypicality for the follower role. Considering the imbalanced number of items in each cluster, the dichotomization approach was then conducted. The item pool was divided by the median, the mean, and the quartile. Finally, the quartile was adopted to ensure an appropriate number of the items in each of the three proposed categories to be used in the following studies. A follow-up study with an independent sample further provided evidence for the attributes identified in each of three groups.

Based on the three sets of attributes, Chapter 4 and 5 examined the outcomes of one particular attribute group, follower-specific prototypical attributes, given that this trait variable captures the core of this thesis - "leader being follower-like". Two empirical studies both supported the unique contribution of follower-rated leaders' follower-specific prototypical attributes (i.e., follower-rated FSP) when predicting perceived leader considerate behavior, which further predict increased followers' affective responses towards the job and the leader, as well as the organizational citizenship behavior. Besides, clear distinctions of the predicting effects of leader-specific and follower-specific attributes were presented by the regression analyses, such that leader-specific attribute variable was more strongly related to perceived Structure while follower-specific attribute variable was more strongly related to perceived Consideration.

6.1.2 The relationship between follower-rated and leader-rated attributes

In addition to examining the outcomes of these attributes, this thesis also investigated the relationship between leaders' self-views on the three sets of attributes and follower perceptions, fulfilling the gap in the implicit literature by linking targets' self-views and others' perceptions. Although attributes in the identified three sets can be "good trait" that are easily observed (Waston et al., 2000), the positive relationship was not supported by the current data and leaders' ratings on all three sets of attributes were significantly lower than that of followers. According to the Realistic Accuracy Model, one possible reason in that some followers may not have enough opportunities to interact with leaders and thus lack chances to accurately detect. However, the results were still not disappointing when leader-subordinate relational quality and the years of following were controlled. Another possible explanation may be cultural factors (Fleenor et al., 2010). Raters with collectivist orientation have been found to show less leniency bias in self-ratings (Farh & Chen, 1997; Xie, Roy, & Chen, 2006) compared to individualist counterparts who give themselves higher ratings on leadership scales (Atwater et al., 2009), and employees from collectivistic cultures also tend to provide more favorable ratings of others (Fletcher & Perry, 2001). The t-test results in Study 5 are consistent with this tendency such that followers' rating on all three sets of leader attributes are higher than the scores given by leaders themselves. Future studies could further examine the cultural impacts on the dyadic agreement of leadership measures.

6.2 A summary and implications of *Structure* and *Consideration* as the mechanisms

Furthermore, this article bolsters the *Structure* and *Consideration* literatures, which have witnessed resurgence in popularity in recent years. Previous literature (Cronshaw & Lord, 1987) summarized two important ways used by individuals to make sense of their leaders, categorization and attributional processes. On the one hand, by categorization, leaders being like followers means a disaster because the leader will be labeled as "non-leader". On the other hand, being perceived as having some follower-like characteristics may encourage follower's favorable attribution towards their leaders. In other words, followers may understand leaders' exhibition of follower-specific attributes as leader's demonstration of friendliness, approachableness, and their willing for a closer relation with subordinates, as captured by the construct of leader *Consideration*.

Current findings support the hypothesized positive effects of follower-specific trait variable on leadership outcomes. Also, the indirect effects of leader behaviors in linking leader attributes in follower eyes and leadership outcomes provide empirical support for an integrated trait-behavioral model proposed by DuRue et al (2011). Moreover, the distinct predicting effects of leader-specific and follower-specific attributes on leader structural or considerate behaviors have revealed which group of traits contribute to individuals being especially adept at the specified leadership behaviors, a research questions that were unanswered in past literature. All of these

findings respond the recent call for bringing the *Structure* and *Consideration* back to the literature (DuRue et al., 2011; Judge et al., 2004; Keller, 2006).

6.3 Limitations and future research

6.3.1 Limitations

Although current research has several strengths, such as the use of a multiple-wave design and the combination of self-reported responses and other ratings, it has several limitations that should be recognized.

First, although ratings on initiating structure and consideration to some extent reflect what the leader does, they are also quite susceptible to contextual information. Except for implicit theories, performance cues also have significant effects on LBDQ ratings, as so-called "performance cue effects." This means that leaders who exhibit successful performances will tend to receive higher ratings on the LBDQ (especially on the initiating structure dimension) than other leaders who in fact exhibit exactly the same behaviors but with lower levels of performance (Lord, Binning, Rush & Thomas, 1978). Given the possible influence of leader performance, it is strongly suggested that future research collect data on leader performance and judge to what extent that performance cues introduce a potential bias. An alternative approach would be to "have subordinates keep diaries of critical behaviors which would be relied on instead of their memories when formulating leader behavior ratings" (Lord et al., 1978, p.38).

Second, it is noted that the correlation coefficients between the three sets of attributes are moderate (from 0.51 to 0.66) in the empirical study Chapter 4 but are higher in that of Chapter 4 (above 0.86). One possible reason is the sample asymmetry. In the study of Chapter 5, although participants were recruited from multiple companies, most of them were workshop staff from a single manufacturing company. A significant difference between samples is educational level. In all of the four studies of Chapter 3 and 4, the educational levels of most participants are bachelor's degree or above, while most respondents in Chapter 5 graduated from high school.

Ling et al. (2000) found that social groups with different education level differ in their perceptions of implicit leadership traits. They recruited participants from four educational levels: junior higher school, senior high school, community college, and university. It was found that the university participants gave the highest ratings on all ILTs factors, whereas the other three education groups did not differ from each other. Except for this research, few studies investigate the educational effects in shaping individual leadership or followership prototypes. Despite the possible uniqueness of university sample, the two studies in Chapter 4 and 5 show the similar predicting tendency of the three sets of attributes, which to some extent support the validity of the attributes identified in the current research. Also, the high correlation tendency between attributes is not unusual in ILTs literature and the correlation coefficients between prototypical dimensions in established ILT scales also tend to be relatively high (e.g., Epitropaki et al., 2004; Offermann & Coats, 2018). In Offermann &

Coats's article (2018), the authors emphasize the instructive sides of including less educated samples in implicit research. In the future, it is worthwhile to reexamine the current findings with employees of different educational levels.

In addition, although a three-wave design as adopted in the study of Chapter 5, its results cannot establish causality. For example, it is possible that follower perceptions of leaders' attributes mediate the relationship between leaders' behavior and follower responses. However, literature on the distal and proximal antecedents of leadership outcomes views leader behaviors as more proximal to the outcomes than are traits and, thus, will be more predictive of follower responses (DeRue et al., 2011; Van Iddekinge, Ferris, & Heffner, 2009; Zaccaro et al., 2004), and this notion has also been supported by the empirical literature (e.g., Judge & Bono, 2000; Peterson et al., 2009). In the future, a more rigorous design will be considered to strengthen the causal relationships between these variables. In addition, although data were obtained from different sources (i.e., job performance rated by supervisors), there might be common method variance in some of the relationships that are based on self-reported data. Future research should consider incorporating archival data as another source of information (e.g., performance records) or including more other reports when predicting outcomes variables (e.g., peer-rated OCB).

Another consideration in the cultural context of this thesis. The three sets of attributes were categorized and examined in the Chinese context. Given that cultural factors

serve as one of the important determinants of individual leadership and followership prototypes (Gerstner & Day, 1994; Ling et al., 2000; Lord et al., 2020; Sy et al., 2010), it is possible that the specific attributes contained in each of the three proposed sets may be different in western countries, and thus may limit the generalizability of the results. However, based on established literature, there is not much evidence showing that the 18 attributes identified in this thesis were characterized as "Chinese/Asian style".

Den Hartog et al. (1999) distinguished universally endorsed and culturally contingent leader attributes, and it was found that none of the leader-specific prototypical attributes falls into the 35 culturally contingent category. Also, although the current sample come from China, their perceptions of leadership are not formed only based on the competent-related attributes as suggested by Sy et al. (2010). Specifically, the leader-specific group include both competent-leadership (e.g., good decision maker, perceptive) and agentic-leadership prototypical traits (e.g., authoritative).

So far, few study examines cultural differences on IFTs attributes. Although scholars argue that individuals influenced by traditional Chinese culture and high-power distance will regard followers as relatively passive and obedient (Guo, 2018), the results here did not demonstrate this pattern but showed characteristics of dedication, a positive attitude, and loyalty, similar to the follower prototypes possessed by Western sample (Sy, 2010). Given that the topic of this thesis is relatively new in the

realm of implicit theories, more cross-cultural exploration on the current categorization and its corresponding outcomes are needed in the future.

6.3.2 Direction for future research

Besides the above findings, overall, this thesis has implications for the future research as discussed below.

6.3.2.1 The three sets of attributes and identity level

A first direction for future research is to link the three sets of attributes with the three levels of leader identity (individual, relational, and collective levels). At individual level, leaders' self-definitions are based on their separateness from followers by demonstrating uniqueness and superiority. While at relational level, leaders may define themselves in terms of dyadic connections with subordinates. From the leadership identity theory, it seems that leaders with strong individual identities tend to exhibit leader-specific attributes, and those with strong relational identities may demonstrate more follower-specific attributes. As to role-common trait variable, an interesting direction is to link it with collective identity level. The communal motives that underlie a collective identity are consistent with the role-common attributes which depict an expected image (e.g., team-minded, responsibility) for both leaders and followers in the organization, that is, for all organizational members.

Moreover, in DeRue and Ashford (2010)'s article, they highlighted the role of the leader and the follower identity in the leadership claiming and granting process. As leaders develop, there is a shift in focus from individual to collective level identities (Lord & Hall, 2005). Is it possible that the three sets of attributes are related to leadership development? For example, leaders at the novice level are more likely to exhibit leader-specific prototypical attributes while leaders at intermediate and expert levels may possess a broader attribute repertoire incorporating both follower-specific and role-common prototypical attributes. More research towards this direction is worthwhile.

6.3.2.2 The sequence of categorization and attribution processes

Literature has so far supported two ways that leadership perceptions can be formed, Recognition based processes, which are largely automatic and emphasize categorization processes, and the inferential based processes, which are more controlled and emphasize attributional reasoning (Lord & Smith, 1983). In this thesis, it is argued that leader exhibiting follower-specific will lead to a failure in the categorization process but result in positive leadership outcomes due to followers' favorable attribution. However, it is possible that categorization and attribution processes were activated in sequence. Categorization based on implicit prototypes are viewed as a cognitive simplification mechanism in coping with information complexity. While attribution requires more controlled or effortful processing (Lord &

Smith, 1983). As a result, further question can be, will leadership categorization happen first, followed by an attributional process? To explore this question, an experimental design may be a good choice for further exploration.

6.3.2.3 Other underlying mechanisms linking attributes and outcomes

Future research can explore other mechanisms underlying the follower-specific trait variable and leadership outcomes. It is noted that the follower-specific prototypical group include many attributes related to positive affect or emotion (e.g., *passionate, dynamic, positive, energetic*). Positive affect implied in follower-specific attributes, through emotional contagion, may convey emotional and psychological resources to subordinates. In addition to emotion-related mechanisms, perspective taking may be another consideration. When leaders possess follower-specific attributes in their self-concepts, they may have a better understanding of their subordinates and thus are more capable to enact consideration behaviors. Because follower-specific prototypes identified in this article were based on the central tendency (i.e., the images of most followers in the organizational settings), being follower-like here can be understood as a leader being similar to most followers in the working place. Therefore, they may find it easier to adopt the view of the other side, anticipating followers' needs, and imagining the motions, perceptions, and motivations of their subordinates (Moates, Harris, Field, & Armenakis, 2007).

6.3.2.4 The relationship between leaders' self-ratings and follower reports on implicit attributes

Finally, because current data rejected the positive relationship in the leader-follower evaluations on the implicit attributes, future research could continue to examine ILTs in the context of leaders' self-views and reexamine the distinction as well as the relationship between others- and self-views. Given that the results showed a higher score of subordinates, future research could explore factors affecting the leader-follower agreement (Fleenor et al., 2010), such as biographical characteristics (e.g., gender, age, position), personality and other individual characteristics (e.g., Big Five, empathy, self-esteem), and situational constraints (e.g., familiarity, relational quality, culture). In addition, scholars have found that ILT/IFT congruence is a contributing factor in the leader-follower dyads (e.g., Peng & Wang, 2016; Riggs & Porter, 2017) and future research could also move toward this direction by examining the predicting effects of the (in)congruence between self-views and other perceptions on implicit attributes.

7 CHAPTER 7 REFERENCES

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Appendix I Instruments in Chapter 4

Leader Consideration

1. My leader does personal favors for group members.

   我的主管乐于帮助下属。

2. My leader does little things to make it pleasant to be a member of the group.

   我的主管会做一些小事让下属觉得跟他/她工作很愉快。

3. My leader is easy to understand.

   我的主管很容易沟通。

4. My leader finds time to listen to group members.

   我的主管会花时间倾听下属的想法。

5. My leader keeps to himself (Reversed item).

   我的主管不喜欢与下属来往。

6. My leader looks out for the personal welfare of individual group members.

   我的主管关心下属的个人福利。

7. My leader refuses to explain his actions (Reversed item).

   我的主管会向下属解释他/她的行为。

8. My leader acts without consulting the group (Reversed item).

   我的主管采取行动前会和下属商量。

9. My leader backs up the members in their actions.

   我的主管为下属的工作提供支持。

10. My leader treats all group members as his equals.

我的主管对所有下属一视同仁。

11. My leader is willing to make changes.

当下属不赞同时，我的主管愿意做出改变。

12. My leader is friendly and approachable.

我的主管很友好，容易接近。

13. My leader makes group members feel at ease when talking with them.

我的主管会让下属在和他/她交谈时感到轻松自在。

14. My leader puts suggestions made by the group into operation.

我的主管会将下属提出的建议付诸实施。

15. My leader gets group approval on important matters before going ahead.

我的主管会在执行重要任务前先征得下属的支持

Leader Initiating Structure

1. My leader makes his attitude clear to the group.

我的主管会向下属清楚表明他的态度。

2. My leader tries out his new ideas with the group.

我主管导会实践他/她的新想法。

3. My leader rules with an iron hand.

我的主管以严厉的铁腕风格领导下属。

4. My leader criticizes poor work.

我的主管会批评质量不达标的工作。

4. My leader speaks in a manner not to be questioned.

   我的主管以不容被质疑的方式说话。

5. My leader assigns group members to particular tasks.

   我的主管会为下属分配具体的工作任务。

6. My leader schedules the work to be done.

   我的主管会提前安排工作。

7. My leader maintains definite standards of performance.

   我的主管制定了清晰的业绩标准。

8. My leader emphasizes the meeting of deadlines.

   我的主管向大家强调要按时完成任务。

9. My leader encourages the use of uniform procedures.

   我的主管鼓励大家按照统一的流程办事。

10. My leader makes sure that is part in the organization is understood by all group members.

    我的主管确保组织的要求和政策能够被大家理解。

11. My leader asks that group members follow standard rules and regulations.

    我的主管要求下属遵守标准的规章制度。

12. My leader lets group members know what is expected of them.

    我的主管导会让下属知道他/她对大家的期望。

13. My leader sees to it that group members are working up to capacity.

我的主管会确保下属们都在全力以赴地工作。

14. My leader sees to it that the work of group members is coordinated.

我的主管会协调下属之间的工作。

Affective Commitment towards the Leader

1. I would be very happy to spend the rest of my career with my leader.

我很乐意在我未来的职业生涯中继续跟随我的上级主管。

2. I enjoy discussing my leader with other people unknown about him/her.

我很乐意向不知道我主管的人介绍我的主管。

3. I really feel as if my leader's problems are my own.

我将主管的问题视为我自己的问题。

4. I feel emotionally attached to my leader.

我和我的上级主管很亲近。

5. My leader has a great deal of personal meaning for me.

我的上级主管对我个人而言意义重大。

Organizational Citizenship Behavior toward Individual (OCBI)

1. I help others who have been absent.

我会帮助那些缺勤的同事。

2. I help others who have heavy workloads.

我会帮助那些工作任务繁重的同事。

3. I assist the supervisor with his/her work (when not asked).

   即使领导没有要求，我也会协助领导完成工作。

4. I take time to listen to co-workers' problems and worries.

   我会抽时间倾听同事遇到的问题和担忧。

5. I go out of way to help new employees.

   我会主动帮助新员工。

6. I take a personal interest in other employees.

   我十分关心其他同事。

7. I pass along information to co-workers.

   我会和同事分享信息。

Organizational Citizenship Behavior toward Organization (OCBO)

1. I attend at work above the norm.

   我的工作时间长于公司规定的时间。

2. I give advance notice when unable to come to work.

   当我不能上班时，我会提前通知公司。

3. I take underserved work breaks. (Reversed item)

   我会在组织或公司规定的非休息时段内休息。

4. I spend great deal of time with personal phone conversations. (Reversed item)

   上班时，我会花很多时间打私人电话。

5. I complain about insignificant things at work. (Reversed item)

我经常抱怨工作中那些不重要的小事。

6. I conserve and protect organizational property.

   我节约并保护组织或公司的财产。

7. I adhere to informal rules devised to maintain order.

   我会为维持组织或公司的秩序而遵守非正式的制度。

Appendix II Instruments in Chapter 5

Job Complexity

1. The job requires that I only do one task or activity at a time (Reversed item).

   我的工作不需要我一次性完成很多任务。

2. The tasks on the job are simple and uncomplicated (Reversed item).

   我的工作很简单。

3. The job comprises relatively uncomplicated tasks (Reversed item).

   我的工作并不复杂。

4. The job involves performing relatively simple tasks (Reversed item).

   我的工作内容主要是完成一些简单的任务。

Feedback from Job

1. The work activities themselves provide direct and clear information about the effectiveness (e.g., quality and quantity) of my job performance.

   从工作中，我自己就能知道我的工作做得好不好（例如，工作完成数量与完成质量）

2. The job itself provides feedback on my performance.

   我的工作内容本身就提供了对我工作表现的反馈。

3. The job itself provides me with information about my performance.

   我从工作本身就能知道我做得好不好。

Job Satisfaction

1. In general, I like my job.

   总的来说，我不喜欢现在的工作。

2. Generally speaking, I like working here.

   总的来说，我很喜欢现在的工作。

3. In general, I do not like my job (Reversed item).

   总的来说，我很喜欢在当前的公司工作。

Follower In-role Performance

1. This employee meets the performance requirements of the job.

   这位员工能够达到工作绩效的基本要求。

2. This employee fulfills the responsibilities specified in the job description.

   这位员工能够完成工作中规定的职责。

3. This employee performs tasks that are expected of him/her.

   这位员工能够完成上级期望他/她完成的任务.

4. This employee adequately completes the assigned duties.

   这位员工能够完成分配给他/她的任务。

Appendix III Ethical Forms

Ethical Assessment Form

The purpose of ethical review is to ensure that any ethical risks are managed appropriately, and to protect those involved. It is not intended to prevent work, but to ensure that risks have been suitably identified and addressed in the design of the project. This form is intended to assist review in line with the University's ethics policy, to identify possible risks and to gather further information where needed. The form will automatically direct you to the most appropriate review panel (if required).

In the first section you will provide the key project information, and you will then be asked to confirm whether your project involves any considerations which the University has identified as areas of potential ethical risk. If you select any of these areas you will be directed to some further screening questions to identify whether your project involves any significant risk areas. If your project does not involve any significant risk areas your project will not require any further review: you will be directed to the declaration and the process will be complete.

If your project does involve a significant risk area, you will be asked to complete some further questions relevant to the risks you have selected. Once you submit the form, it will be directed to the relevant review process. This process will vary according to the type of risk, and you can find further information at https://www.dur.ac.uk/research.innovation/governance/ethics/process/.

All fields are required, unless indicated as 'Optional'.

Overview

This section is designed to collect the key project information.

Applicant	ZHOU, SALLY X.
Preferred Name	Xinyi *This will be used in emails sent to you by the system.*
Applicant Email	xinyi.zhou@durham.ac.uk
Department/School to which this application relates.	Business School
Status	Postgraduate Research
Student ID *(Optional)*	
Supervisor or module leader	GUAN, YANJUN

***Students on the Durham and EBS Executive MBA Programme ONLY**:*
If your supervisor is from EBS, please select the Durham programme director as your supervisor above, and enter the name of your EBS supervisor below.

Title of Project	leadership and followership identity differentiation and integration
Type of Project	Research / Scholarship
Expected Start Date	23/12/2020
Expected End Date	20/06/2022

Does the project involve external funding? ○ Yes ◉ No

Ethical Considerations

The purpose of this section is to highlight whether your project involves any of the potential risk areas identified by the University. If you're not sure then select the area(s) that you think may apply and review the further screening questions.

Does the project involve any of the following? (please tick all that apply):

☑ a) Living human participants/subjects, data about living individuals[1], or human tissue from living or deceased subjects.

[1] *This includes both primary data (i.e. data you intend to collect directly) and secondary data (i.e. data already collected by others).*

☐ b) NHS or Social Care, including staff, patients, data or facilities.

☐ c) A 'protected animal' as defined by the Animals (Scientific Procedures) Act[2]

[2] *The Act defines protected animals as: 'all living vertebrates, other than man, and any living cephalopod. Fish and amphibia are protected once they can feed independently and cephalopods at the point when they hatch. Embryonic and foetal forms of mammals, birds and reptiles are protected during the last third of their gestation or incubation period.'*

☐ d) Study of an organisation categorised as terrorist or violent extremist, or viewing or usage of materials that are subject to statute (e.g. Official Secrets Act / Counter-Terrorism and Security Act) or otherwise illegal.

☐ e) Environmental implications, including any significant potential risk to a physical environment or material culture (including artefacts).

☑ f) International partners or work undertaken outside of the European Economic Area (EEA).

☐ g) Outputs which may be subject to export controls and which could: breach the UK's international commitments; present a risk to security; raise other significant ethical concerns, e.g. abuse of human rights, terrorism, contribution to conflict; or hamper sustainable development.

☐ h) Source of funding / resource (e.g. materials) or collaborator which raises ethical concerns. This includes (but is not limited to) organisations engaged with or closely connected to any of the following: arms manufacture, fossil fuel extraction, tobacco, alcohol, gambling or pornography.

☐ i) Any actual, potential or perceived conflict of interest.

☐ j) Other (please give details in the relevant section of the form)

☐ k) None of the above

Do any of the following apply to this project? (*You should take into account your own activity for the project, and that of any other Durham University staff or students involved*)

- A member of staff or postgraduate research student will travel outside the UK for the purposes of this project.
- An undergraduate or taught postgraduate student will travel more than 60 miles from Durham for the purposes of this project (or more than 60 miles from their home, if based at home while undertaking research).
- An undergraduate or taught postgraduate student will undertake offsite work for the purposes of this project involving an overnight stay (other than in their own home).

○ Yes - one or more applies

◉ No - none of these apply

Purpose of application

Please select the option which best applies:

○ New project
○ Amendment to a project which has received ethical approval
○ Full application following provisional ethical approval / pre-funding application
◉ Continuation of a project which has received ethical approval (request for renewal)
○ Other (please specify)

Please enter the reference of your previous application/approval below.

Please briefly indicate changes since your previous application (where applicable)

Where applicable, please highlight changes within this form and any accompanying documents.

Project Summary

Please provide a summary of the project, including its purpose, rationale, design and methods, making clear any expected benefits (this should be written in a way that would be intelligible to non-specialists).

This project is a pilot study of my dissertation. The pilot study aims to develop leader and follower prototypes. So I will ask my participants to rate the extent to which the listed attributes in the questionnaire describe a typical leader/follower.

Where applicable, please upload relevant supporting documentation, e.g. a copy of the project proposal detailing methods and reporting strategies.

Existing or external ethical approval

Do any of the following apply to your project?

- The project requires ethical approval from an external body
- The project has already received ethical approval from an external body
- The project is part of a larger project or activity which has already received ethical approval from the University

○ Yes
◉ No

Screening Questions

The purpose of this section is to identify whether your project involves any of the higher risk factors relating to the areas you have selected. If you are unsure whether any of the factors apply, then seek further advice from your departmental ethics convenor, or from Research and Innovation Services (research.policy@durham.ac.uk)

HUMAN PARTICIPANTS / DATA / TISSUES

Please indicate which of the following are involved in your project (tick all that apply):

☑ a. Human participants / subjects. This includes primary data collection e.g. through interaction, observation or provision of data by individuals.

☐ b. Secondary data that includes data relating to living individuals

☐ c. Physical samples from humans / Human tissue

Does the project involve any of the following risk factors?

a) The intentional recruitment of participants in any of the following categories / raising the following issues:

- Children or Minors
  - participants aged 15 years or under;
  - participants aged 16-18 years;
- Vulnerable adults*;
- People in custody or on parole;
- Welfare recipients;
- People engaged in illegal activity (e.g. drug taking);
- Communication issues may arise due to the language in which the study is conducted;
- Small sample sizes where anonymisation is impractical.

○ Yes
◉ No

** Vulnerable adults are defined as those who are relatively or absolutely incapable of protecting their own interests, or those in unequal relationships; e.g. people with learning or communication disabilities; people with dementia; participants who are subordinate to the researcher(s) in a context outside the research.*

b) The project requires the co-operation of a 'gatekeeper' for initial access to the groups or individuals to be recruited (e.g. students at school, members of a self-help group, residents of a nursing home).

◉ Yes
○ No

c) Participants will take part in the study without full knowledge and consent at the time. *(Please note that this includes observation of public behaviour, whether covert or overt, in any space other than those where people would expect to be observed by strangers. It also includes collection of data without consent from interactive online spaces such as chat rooms and forums.)*	○ Yes ◉ No
d) Deliberately misleading participants.	○ Yes ◉ No
e) A potentially sensitive topic, including e.g. collection or analysis of data relating to racial/ethnic origin, politics, religious beliefs, Trade Union membership, physical or mental health, sexual activity or orientation, illegal activities.	○ Yes ◉ No
f) Risk to participants of physical or psychological harm, discomfort, stress, anxiety or any other negative consequence, beyond the risks encountered in their normal life.	○ Yes ◉ No
g) Participants will receive financial or other inducement (other than reasonable expenses and compensation for time) to participate.	○ Yes ◉ No
h) The project involves a physical intervention or use of physical human samples or genetic/biometric data (including DNA). This could include (but is not limited to): • Drugs, placebos or other substances (e.g. food, vitamins) administered to participants; • Invasive, intrusive or potentially harmful procedures of any kind; • Prolonged or repetitive testing; • Blood or tissue samples (including saliva or waste products) obtained from participants; • Other human tissue in scope of the HTA and not covered by an existing HTB approval* • Collection or analysis of genetic data (including DNA); • Collection or analysis of biometric data. ** Refer to Human Tissue Authority guidance on relevant material*	○ Yes ◉ No
i) Collecting / processing special category data without explicit consent	○ Yes ◉ No
j) Transferring or transporting special category data outside the European Economic Area (EEA) (either travelling with data, or sending data to a third party outside the EEA)	○ Yes ◉ No
k) Members of the public who are acting as researchers or as co-producers in the design or delivery of the research (e.g. participatory research, citizen science).	○ Yes ◉ No
INTERNATIONAL	
Does the project involve any of the following? *(Please select any that apply, otherwise select 'none of the above')*	
☐ a) A cultural framework unfamiliar to the individual undertaking the work, where there	

is a resulting risk to the conduct of the project, or the viability of any future research.

☐ b) Additional ethical or legal requirements with which you will need to comply in the country (countries) involved in the project, which are outstanding or which may not be met.

☐ c) Work undertaken overseas governed by standards which are NOT equivalent to (or higher than) those in the UK.

☐ d) Other significant issues relating to local practice or political sensitivities

☑ None of the above

Project Funding

Please add any further information regarding project funding. If the project is not in receipt of external funding, please indicate how any costs will be met. *(Optional)*

Project Detail

Where will the work be undertaken? (*please tick all that apply*)

☐ On University premises

☐ Outside the University, within the UK

☑ Outside the UK

Please specify the location(s) outside the University where the work will be taking place

China

Please list other members of the project team at Durham.
If you have more than one supervisor, please include your additional supervisor(s) below.

Name	*Department*	*Project Role*
HALL, ROSALIE J.	19	supervisor

Does your project involve external collaborators? ○ Yes ◉ No

What are the intended methods for dissemination of project findings, e.g. Dissertation, Academic Journal, Conference?

Dissertation

Project Involving Human Participants / Data / Tissue

NB If your project involves secondary data, or tissue samples obtained via a third party, please

consider the data subjects or donors as 'participants'

Who are the participants?

Chinese working people

How many participants are involved? 200

Please describe how potential participants will be
a) identified, including how you will select them (your sampling strategy) and any criteria for selection e.g. inclusion / exclusion criteria;
b) recruited, including who will contact them and method of contact.

b) I will recruit participants by using a platform popular in China

Please describe what the participants will be required to do. Please include:
- what is the activity (e.g interviews, questionnaires, other activity);
- where this will take place;
- how long are the sessions (for multiple sessions: how many sessions and total duration of participation in the study);
- any reward or remuneration for participants.
If the activity involves a sensitive topic or any risk to participants, please make clear what this is and how any risks will be mitigated.

Online questionnaire. it will take about ten minutes to complete the survey. Participants will be paid. No sensitive topics included.

Please upload copies of any data collection tools to be used (e.g. questionnaire, survey, example interview questions).

pilotstudy(English).docx

pilotstudy(Chinese).docx

What types of data will be collected/analysed? *(select relevant types below)*

Written questionnaires

INFORMATION AND CONSENT

In this section you should ensure that you provide a full justification of any non-standard consent arrangements. If your project will involve covert observation or deception, please provide detail on the reasons for this and how it will be managed. If your project involves long term contact with participants, please indicate how continued informed consent will be ensured.

	Yes	No	Not Applicable
a. Will you give participants a written summary of your project, including how you will store and use any information given to you? *(This is normally provided in an information sheet)*	◉	○	
b. Will you give participants an oral verbal summary of your project, including how you will store and use any information	◉	○	○

given to you?			
c. Will you obtain written, informed consent from participants for participation and for all intended uses of the data arising from the project?	◉	○	
d. Will you tell participants that their involvement is voluntary and that they may withdraw from the research at any time (without their having to give any reason and without any repercussions)?	◉	○	
e. Will any monitoring or recording devices be used openly and only with the permission of participants?	◉	○	○
f. With questionnaires or interviews, will you remind participants of their option of omitting questions they do not want to answer?	◉	○	○
g. Will you automatically anonymise information in your work, or will you explicitly give all participants the right to remain anonymous?	◉	○	
h. Will you offer to provide participants with a lay summary of the research findings?	◉	○	○

Please provide any further relevant information regarding the information to be provided to participants, the arrangements for obtaining consent, and the basis for processing personal data.

Please indicate what documents will be provided for participants, and upload copies of all relevant documents, including your consent form, privacy notice, information sheet and debriefing sheet (where applicable).

- ☑ Information Sheet

  information sheet.docx
- ☑ Separate Privacy Notice

  privacy notice.docx
- ☑ Consent Form

  consent form .docx
- ☑ Debriefing Sheet

  debriefing sheet.docx
- ☐ Other documentation for participants

Please indicate how you will ensure confidentiality and security of personal data, including at what stage your participants' data will be anonymised. NB. If non anonymised personal data will be released e.g. attributed verbatim quotes, then the circumstances and methods for obtaining consent must be highlighted.

I will not collect their name or any identifying information. Also, I will not release their personal information.

What will happen in the event that a participant withdraws their consent (and what will happen to the data for that participant)?

They are voluntary in participation and they can quit at any time. If someone quits, I will delete the data.

Conflicts of Interest

A conflict of interest is defined as a relationship or interest that could lead to bias or perceived bias in the design or delivery of the work.

Please provide details regarding any conflict of interest involved in the project: *(Optional)*

Conflict of Interest

Management Strategy

If the management strategy has been approved, please provide details (i.e. approved by, date of approval)

Please upload any relevant documentation

Other Issues

Please provide any relevant information not addressed elsewhere in this form. If your project raises any ethical issues not covered above, please provide a full description of the issues and how you intend to deal with them. This should include any issues relating to source of funding / resource or collaborator (where applicable). *(Optional)*

Governance

PROJECT RISK ASSESSMENT AND INSURANCE

Some departments require evidence of a project risk assessment and confirmation of insurance cover as part of the ethical review process. Please check your departmental guidance before completing this section.

Will you provide the following as part of this application?

	No: Not required or not applicable	**Yes:** I will upload relevant documentation	**Yes:** I will provide further details below
a) Risk assessment regarding risk to participants and/or the project team	◉	○	○
b) Indication of insurance cover *This is required for activities not covered by standard University insurance. If in doubt consult the guidance on insurance and / or contact University insurance staff (please upload a copy of their response).*	◉	○	○

DATA MANAGEMENT PLAN

Have you completed a data management plan for this project? ○ Yes ◉ No

If yes, please upload a copy of your data management plan.

Please describe the arrangements for managing data during and after the project, including who will have access to the data, the arrangements for storing / archiving data, and how long data will be kept.

Only I have the access to the data. I will store the data on my laptop safely. Since this is a pilot study for my dissertation so I will keep the data when my dissertation is completed.

OTHER PERMISSIONS AND LICENCES

Please provide details of any other permissions or licences required for the project (e.g. DBS check, SSI licence, permission from colleges for involvement of their students etc)?

Permission needed	*Granting body*	*Status*	*Date of approval*
		Select...	

Please upload any relevant documentation e.g. evidence of permission.

Supporting Documentation

Before submitting this form, please ensure that you have included all relevant supporting documentation

Currently attached documents:

Consent Form	consent form .docx
Privacy Notice	privacy notice.docx
Information Sheet	information sheet.docx
Debriefing Sheet	debriefing sheet.docx
Data collection tool	pilotstudy(English).docx
Data collection tool	pilotstudy(Chinese).docx

Please tick to confirm:

☑ I have uploaded all relevant documentation

Declaration

Thank you for completing the University's Ethical Review Form. Please be aware that if you make any significant changes to your project you should complete this form again as further review may be required. Please complete the declaration to submit your application.

I confirm that:

- ☑ I acknowledge my obligation to (and rights of) any participants, and my responsibility to be up to date and comply with the requirements of the law and relevant guidelines relating to security and confidentiality of personal data.
- ☑ The information contained within this application is accurate and complete.
- ☑ Any risks that may arise in conducting this project have been identified to the best of my ability.
- ☑ I undertake to abide by the University's ethical guidelines and the ethical principles underlying good practice provided in the guidelines appropriate to my field.
- ☑ The project will be undertaken in line with all applicable University, funder, legislative and local standards and regulations.
- ☑ If the project is approved, I undertake to adhere to the study protocol, the terms of this application and any conditions set out by the ethics committee.
- ☑ No work will begin until all appropriate permissions are in place.

To be completed by the supervisor:

I have checked and approve the content of this form. ◉ Yes ○ No

Your department (or a programme within your department) has established parameters within which supervisors may give final approval to student projects. Please check the documentation available to determine whether this project is in scope of these parameters, and then select the relevant option below. If in doubt, please contact the relevant ethics co-ordinator in your department for advice.

- ☑ I confirm that this project is within the scope of the authorisation given for supervisor approval, and that I am willing to approve it on this basis. I am content that all relevant ethical considerations have been identified and adequately addressed, and that the project does not require further ethical review.
- ☐ This project is outside the scope of the authorisation given for supervisor approval, or contains elements which I believe need further ethical review. Please provide your comments on the application in the box below, highlighting any particular issues which require further scrutiny.

Please add any comments below.

Form Administration

Form version 5

Application Reference	DUBS-2020-12-16T19_47_45-hwcl66
Form url	https://durhamuniversity.sharepoint.com/teams/researchoffice/ethics/FormRedirect.html?qdd=%2fteams%2fresearchoffice%2fethics%2fDUBS%20Forms%2fDUBS-

2020-12-16T19_47_45-hwcl66.xml