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Ethical Leadership

ACADEMISCH PROEFSCHRIFT

ter verkrijging van de graad van doctor
aan de Universiteit van Amsterdam
op gezag van de Rector Magnificus
prof. dr. D.C. van den Boom
ten overstaan van een door het college voor promoties
ingestelde commissie,
in het openbaar te verdedigen in de Agnietenkapel
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Ethical Leadership

Through the eyes of employees

Voorwoord

Dit proefschrift is het resultaat van vier jaar veldonderzoek en discussies over wat ethisch leiderschap is en wat voor effect het leiderschapsgedrag heeft op het gedrag van werknemers. Deze vier jaar resulteerden in zes artikelen, waarvan vier een deel van dit proefschrift zijn. Ethisch leiderschap is een jong onderzoeksveld en de ontwikkeling ervan heb ik willen symboliseren met een artistiek vormgegeven boom. De stam staat voor puurheid en duurzaamheid en vormt de basis van ethisch leiderschap. De dikke takken staan voor de zeven gedragsdimensies, die ik heb onderscheiden om meer grip te krijgen op het gedrag van ethisch handelende leidinggevendenden. In de dunne takken zijn de 38 items weergegeven om ethisch leiderschap meetbaar te maken. In dit voorwoord zal ik deze boom als rode draad nemen. Esther, bedankt voor de prachtige vormgeving van de boom. Mam, bedankt voor de vormgeving van de binnenkant van het proefschrift.

De maatschappij heeft een groeiende belangstelling voor duurzaamheid en verantwoord ondernemen. Organisaties verschaffen in hun externe communicatie steeds meer duidelijkheid over het ethische verantwoord omgaan met mensen, dieren en materiële zaken. Ethisch leiderschapsonderzoek kan bijdragen aan dit proces. Ik hoop dat ik met dit proefschrift zaadjes heb geplant die de ethische discussie in organisaties aanwakkert.

Wortels van bomen zijn geneigd om de kortste en makkelijkste weg in de grond te zoeken, maar dat leidt niet altijd tot een stevig fundament. In bedrijven gebeurt dit ook door het opstellen van integriteitscodes, die een onvoldoende stevig fundament bieden om onethisch gedrag te voorkomen. Het is niet alleen wenselijk dat bedrijven interne transparantie bieden over integriteitscodes, maar ook dat leidinggevendenden het juiste voorbeeldgedrag laten zien. Leidinggevendenden hebben keuzes in verschillende ethische gedragingen. Deze keuzes worden gesymboliseerd door de vertakkingen van de boom. Echter, de mate van invloed van ethische leidinggevendenden is mede afhankelijk van de situatie, zoals ook blijkt uit mijn onderzoeken.

Naast de ontwikkeling van het onderzoeksveld illustreert deze boom ook mijn groei. De groei als wetenschapper en als persoon. De uitdaging voor de komende jaren is

dan ook om het onderzoek naar ethisch gedrag voort te zetten en de opgedane wetenschappelijke kennis met het bedrijfsleven te delen. De wetenschap en het bedrijfsleven profiteren nog onvoldoende van elkaars kennis en ervaringen. In het bijzonder wil ik Wout bedanken voor het delen van zijn ervaring en netwerk in het slaan van deze brug. De vele medewerkers en leidinggevendenden die tijd hebben geïnvesteerd met het invullen van de vragenlijsten wil ik bedanken voor hun bijdrage.

Verscheidene studenten hebben meegewerkt aan onderdelen van dit proefschrift in de vorm van een scriptie of een onderzoeksproject. Het onderwerp ethisch leiderschap spreekt studenten aan en dat heeft geleid tot presentaties en scripties op een hoog niveau. De discussie met studenten heeft mijn beeldvorming mede gevormd en dus ook het vakgebied. De input heb ik gekoesterd. Het ontwikkelen en bijbrengen van vaardigheden van studenten heeft mijn PhD periode verrijkt.

De PhD collega's "uit de kelder" en in den lande wil ik bedanken voor een leuke tijd. We hebben veel geleerd, niet alleen op wetenschappelijk vlak, maar ook persoonlijk: van inhoudelijke, methodologische en analytische discussies tot het bijwonen van congressen, vieren van Chinees nieuwjaar, drinken van borrels en lunchen in het park. Ik kijk met veel plezier terug op deze tijd.

De boom is gelukkig nog niet uitgegroeid. Zowel de ontwikkeling van het ethisch leiderschap onderzoeksveld als mijn eigen ontwikkeling in de wetenschap en de praktische invulling ervan, zullen de komende jaren blijven bestaan. Ik hoop de samenwerking met mijn begeleiders Deanne en Annebel duurzaam voort te zetten.

Veel leesplezier.

Karianne

Amsterdam, April 2010

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Chapter 1

Introduction

Abstract

Ethical leadership is an important concept for organizations, as it affects the reputation and thus the financial success of an organization. Ethical leaders behave fairly, transparent, responsible, honest, caring and promote ethical behavior through communication, modeling and reinforcement. Recently, the attention for ethical leadership has become more prominent in leadership research. Scientific research on ethical leadership is however scarce. The present dissertation examined antecedents and consequences of ethical leadership. Four empirical papers will be presented, focusing on the development of a valid measure of ethical leadership, leader personality in relation to ethical leadership, and on the effects of ethical leadership on follower behaviors. Finally, the effectiveness of ethical leaders in different situations will be examined.



Figure 1 - Headlines of Dutch newspapers

Introduction

The recent unethical scandals around the world have put pressure on organizations to operate in an ethical manner. The scandals are destructive for organizations as they diminish the reputation of top management and thus the financial success of an organization (cf., Orlitzky, Schmidt, & Rynes, 2003). Striking examples of unethical scandals in both profit and non-profit organizations increased the attention for ethics from both the popular press and researchers. This research project started in 2006 in reaction to scandals, such as the Enron case in the USA and the Ahold case in the Netherlands. Since then, various ethical breakdowns have been revealed all over the world. Examples of recent breakdowns in the Netherlands are illustrated by headlines in Figure 1.

Researchers as well as organizations emphasize the need to formulate codes of ethics (Weaver, Treviño, & Cochran, 1999). Organizations may typically establish expectations about ethical behavior via codes of ethics, however codes are usually not sufficient (e.g., Arnaud & Schminke, 2007). Enron and Ahold illustrate the research findings of Weaver et al. (1999) that besides codes of ethics, managerial support to put these codes into ethics is indispensable for guiding ethical behavior. For example, Enron wrote in 2000 their codes: "We act with the highest integrity". Yet, what happened is that this organization is highlighted as one of the largest scandals. Top management created a climate that set the stage for the conflicts of interest and unethical accounting practices (cf. Treviño, Brown, & Hartman, 2003). This led to Enron's downfall in 2001. Thus, a code of ethics alone does not seem enough to diminish unethical behaviors.

Concerns about ethics and the misuse of power have dominated headlines in the media about business and public leaders and shaken public trust in these organizations in the Netherlands. For instance, the publication of integrity violations from various banks during the financial crisis in 2009 reduced clients' and employees' trust in the banks as well as in their leaders. Although media attention is given to top management integrity violation, literature suggests that leaders at all levels within an organization set the tone for ethical behavior. Leadership is therefore one of the most important factors in studying ethics (see for a review Brown & Treviño, 2006). Ethical leaders at all levels within the organization are expected to direct organizational members towards goals which are not only beneficial to the

organization and its members, but also to other stakeholders and society (e.g., Kanungo, 2001).

Leaders' behaving ethically is the key theme of this dissertation. From a philosophy perspective, ethics are about norms and specify how leaders "ought" to behave (e.g., Ciulla, 2004). In this dissertation a behavioral perspective is taken, specifying characteristics of ethical leaders. This behavioral perspective links with other areas of leadership research. Ethical leaders are characterized by behaving fairly, caring and trustworthy and are expected to actively communicate, reinforce and model ethical behaviors (e.g., De Hoogh & Den Hartog, 2008; Treviño, Brown, & Hartman, 2003). However, despite the central role of ethics in the practice of leadership, academic research on ethical leadership has lagged behind and our empirically based knowledge about ethical leadership in organizations is still limited. This dissertation attempts to increase insight in the concept of ethical leadership, as well as antecedents and consequences. More specifically, research topics that will be addressed are: the measurement of ethical leadership, leader personality in relation to ethical leadership, ethical leadership in relation to follower behaviors and the role of context in the ethical leadership-follower behavior relationship.

In this introductory chapter, first a brief review of the concept of ethical leadership and its origination is presented. Subsequently, ethical leadership in relation to follower behaviors as well as the possible situational moderators are described. The antecedents of ethical leadership are also briefly presented. The literature presented in this chapter provides the background against which the current dissertation research was conducted. The chapter will conclude with an outline of the chapters to follow.

Ethics in Leadership Research

Until 2005, ethics received relatively little attention in leadership research (Cuillia, 1995; Treviño et al., 2003). The relative lack of attention for the ethical nature of leadership in the mainstream leadership literature is surprising as several studies show that followers highly value honesty, integrity and truthfulness in their leaders (cf., Den Hartog et al., 1999; Kouzes & Posner, 1987). The increased attention for ethics in the area of leadership is reflected in transformational, charismatic and authentic leadership (e.g., Cameron, Dutton,

& Quinn, 2003). These leadership styles are all described as containing an inspiring, values-based leadership style that includes an ethical content and overlap the ethical leadership domain (Brown & Treviño, 2006). After that, ethical leadership has started to be developed as a separate leadership style.

The last three decades, transformational and transactional leadership theories have been the focus of an extensive body of research. In original conceptualizations of transformational leadership, morality and ethics played an important role. Burns (1978) originally introduced the term transforming leadership (later called transformational leadership by Bass, 1985). Burns argued that transforming leaders appeal to the moral values of followers in an attempt to raise their consciousness about ethical issues and to entail transcending their self-interests. Transformational leadership is often contrasted with transactional leadership. Burns (1978) describes transactional leadership as resting on the values found in the means of an action. These are described as modal values including, responsibility, fairness, honesty and promise-keeping. This is in contrast to transforming leadership that is concerned with end-values, such as liberty, justice and equality. Transforming leaders raise their followers up through various stages of morality and need (Burns, 1978). Ciulla (2004) notes that use of values to refer to ethics in the transformational theories is problematic. For instance, having values does not mean that a leader acts on them.

Based on Burns' discussion, Bass (1985) proposed a broadened model of transformational leadership and operationalized transformational leadership in four dimensions: charisma, inspirational motivation, intellectual stimulation, and individualized consideration. Bass (1985) believed that the charisma and inspirational motivation dimension taken together accounting for the charismatic aspect of transformational leadership and is a necessary element of transformational leadership. Charismatic leadership has been defined as providing an ethical component: "followers with a clear sense of purpose that is energizing, is a role model for ethical conduct and builds identification with the leader and his or her articulated vision" (Avolio, Bass, & Jung, 1999, p.444). This suggests that ethical conduct is essential to transformational and charismatic leadership. At the same time, however, Bass (1985) noted that transformational leaders could inspire followers to do good or bad, indicating that transformational or charismatic leaders could use their power towards ethical as

well as unethical ends. In later work, Bass and Steidlmeier (1999) distinguished between authentic transformational leaders, who are ethical, genuine and use power to attain moral and social end-values, and pseudo-transformational leaders, who are self-interested, seek power at the expense of others and lack morality.

Other authors have also argued that charismatic and transformational leadership can take ethical as well as unethical forms. The use of power by such leaders is central in the distinction between personalized and socialized charismatic leaders made by House and Howell (1992). Personalized charismatic leaders have a low concern for the moral exercise of power and use power for their own good. They are also characterized as self-aggrandizing, non-egalitarian, and exploitative. In contrast, socialized charismatic leaders have a high concern for the moral exercise of power and strive to use power for the good of others. They are described as collectively oriented, egalitarian, and non-exploitative (see also Howell, 1988; Howell & Shamir, 2005). Thus, authors differentiating between subtypes of transformational and charismatic leadership take the social versus self-oriented use of power related to the morality of the means used by the leader as well as the morality of the leaders' ends into account.

The morality of the ends leaders strive for as well as the means through which leaders attempt to achieve their goals are seen as important for ethical leadership. This morality of means versus ends in transformational leadership parallels the perspectives of deontological and teleological theories in philosophical ethics. From the deontological perspective intentions are the morally relevant aspects of an act. As long as a leader behaves according to the duty or on moral principles then the leader behaves ethically regardless of the consequences. From the teleological point of view, it matters that the leader's behaviors result in ethics. It is the end result that accounts for the ethics of leaders. Ciulla (2004) addresses that research needs both the deontological and the teleological perspective to understand ethical leadership.

Next to transformational and charismatic leadership, other theories about leadership styles such as authentic (e.g., Luthans & Avolio, 2003), and servant leadership (Graham, 1991) emerged, all paying attention to the moral aspects of leadership. Luthans and Avolio (2003) for example, describe authentic leaders as moral/ethical as well as true to

themselves, hopeful, optimistic, and resilient. Graham (1991) describes a model of servant leadership that is both inspirational and moral and argues that servant-leadership moves beyond transformational leadership to encourage in followers not only intellectual and skill development, but enhanced moral reasoning as well. Servant leadership, espoused by Robert Greenleaf (1977; 2002), suggests that the leader's main impulse is to serve people, and the leader will attract followership based on trust.

More recently, researchers have begun to consider ethical leadership as a set of behaviors or a behavioral style in itself rather than focusing only on ethical aspects of other leadership styles. Indeed, researchers have shown that ethical leadership is empirically related to the above presented transformational, transactional and authentic leadership, but well distinguishable (cf., Brown et al., 2005; Kalshoven, Den Hartog, De Hoogh, in press; Walumbwa et al., 2008). In this dissertation ethical leadership is approached as a separate leadership style as well.

As mentioned above, the behavioral approach to ethical leadership is an upcoming stream of research. Brown, Treviño and Harrison (2005) define ethical leadership as "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication, reinforcement and decision-making". They take a social learning approach to ethical leadership and focus on ethical leaders' role modeling. Ethical leaders act as role models and promote ethical behavior among members of the organization (Brown et al., 2005; Treviño et al., 2003). Ethical role modeling refers to observational learning, imitation and identification (Brown et al., 2005). Leaders need to be aware of their role model position, because it emphasizes visible actions (Treviño, Hartman & Brown, 2000). Employees continually observe the actions of their leaders and infer from that what desirable behavior within that context is. Other researchers argue that ethical leaders behave altruistically rather than focus on self-interests (Kanungo, 2001). De Hoogh and Den Hartog (2009a) approach ethical leadership from a social influence perspective and define ethical leadership as: "the process of influencing in a social responsible way the activities of an organized group toward goal achievement". So far, examples of ethical leader behaviors are: honesty, trustworthy, fairness, sharing responsibilities, clarifying performance expectations,

discussing business ethics and being concerned about others and the broader environment (e.g., Brown et al., 2005, De Hoogh & Den Hartog, 2008; De Hoogh & Den Hartog, 2009a; Treviño et al., 2003).

Recently, researchers have started to use and extend the behavioral perspective of Brown and colleagues (e.g., De Hoogh & Den Hartog, 2008; Resick et al., 2006). Brown and colleagues developed a ten-item instrument to measure perceptions of ethical leader behavior, the Ethical Leadership Scale (ELS). De Hoogh and Den Hartog (2008) built on Brown et al.'s model of ethical leadership and distinguished morality and fairness, role clarification and power sharing as different components of ethical leadership. These studies have, however, certainly not exhausted the possible behaviors that can be perceived as ethical by subordinates (e.g., people-orientation cf., Treviño et al., 2003). In this dissertation we will build on the behavioral perspective introduced by Brown and colleagues (Brown et al., 2005; Treviño et al., 2003) and evaluate which types of leader behaviors may be seen as ethical. The first goal of this dissertation is to contribute to the field by developing an alternative and dimensional operationalization and measure of ethical leader behavior. Further, this dissertation seeks to enhance our understanding of leader personality as an antecedent of ethical leadership and the relationship between ethical leadership and follower attitudes and behaviors. The final aim is to investigate the context in which ethical leaders operate and how this context influences the relationship between ethical leadership and follower behavior.

Ethical Leadership and Follower Outcomes

Most theoretical and empirical research on ethical leadership to date has been in the area of follower outcomes of ethical leader behaviors. Previous research found that ethical leadership was positively related to employee attitudes. For example, Brown et al. (2005) found that ethical leadership is positively related to satisfaction with the leader, perceived leader effectiveness, follower's job dedication and follower's willingness to report problems to management and Den Hartog and De Hoogh (2009) found a positive relationship of ethical leadership with normative and affective commitment and with trust in management and colleagues. Thus, so far, it seems that ethical leadership is mainly positively related to follower attitudes.

So far, less attention has been paid to subordinate behavioral outcomes (as rated by other sources such as a supervisor). Brown and Treviño (2006) stress the importance of investigating the influence of ethical leaders on follower behaviors. As a reaction to this, several studies reported on in this dissertation examine ethical leadership in relation to follower behaviors. Follower behaviors are often operationalized in terms of organizational citizenship behaviors (OCB), which are depicted as moral behavior (cf., Ryan, 2001). In order to explain individuals' reactions to ethical leadership behavior both the social learning (e.g., Brown et al., 2005) and social exchange (Mayer et al., 2009) approaches are applied to the ethical leadership field. OCB has its roots in the social exchange theory (Organ, 1988) and therefore followers are likely to repay the fair, honest and caring treatment of their leaders by exhibiting OCB. Also, followers are likely to copy the ethical behavior of leaders and therefore engage in OCB (as suggested by social learning theory). This dissertation (chapter 2, 4 and 5) adds to this body of work by investigating the relationship between ethical leadership and various forms of followers OCB using multi-source data.

The Context of Ethical Leadership Research

Scholars concerned with ethical leadership describe the importance of the context for the relationship between ethical leadership and follower behavior (e.g., Brown et al., 2005; De Hoogh & Den Hartog, 2009a). This is in line with leadership studies in general, which show that context is relevant in leadership studies as the context can inhibit or enhance the strength of the impact of the leader on his/her followers. For example, De Hoogh et al. (2005) found that charismatic leaders are more effective in dynamic circumstances. Within the charismatic leadership field the situational strength theory has been used to explain these moderator variables (Shamir & Howell, 1999).

In line with the situational strength theory, we argue that weak and ambiguous situations are likely to increase the strength of the ethical leadership and follower behavior relationship. Such a weak or ambiguous situation provides few situational cues or reinforces to guide follower behavior (e.g., Mischel, 1977). In these situations followers are likely to look for a role model that shows them how to appropriately behave. In this dissertation, we study individual perceptions of job autonomy and low moral awareness at the group level as

indicators of such weak situations. In addition, empathic concern at the group level is investigated as a potential situational moderator as well. Here, we propose that in an empathic concern context, helping behavior will be highly valued and rewarded and thus followers will reciprocate the ethical treatment of a leader by engaging in helping behavior. Overall, our knowledge of situational moderators of ethical leadership and follower behavior is minimal and, so far, the few propositions that have been formulated in the literature have never been tested. The research in chapter 4 and 5 focuses on situational moderators and adds to this limited body of literature.

Antecedents of Ethical Leadership

So far, research on antecedents of ethical leadership has also been limited. Theoretically, scholars suggest leader personality traits, organizational climate and role modeling of top management as possible antecedents of ethical leaders (cf., Brown & Treviño, 2006; De Hoogh & Den Hartog, 2009a). In this dissertation, we add to the literature by focusing on leader personality as a first step in understanding why some leaders behave ethically and others do not. The Big Five personality traits, labeled conscientiousness, agreeableness, neuroticism, extraversion and openness to experience, have been widely used in research and there are several meta-analyses on personality characteristics of effective leadership (e.g., De Hoogh, Den Hartog & Koopman, 2005; Judge & Bono, 2000; Judge, Bono, Ilies, & Gerhardt, 2002a). This Big Five personality framework has begun to inspire research on ethical leadership as these traits are less sensitive to social desirability than personality measures on integrity.

Walumbwa and Schaubroeck (2009) were the first to link three of the Big Five traits with ethical leadership. They showed that conscientiousness (reflects the tendency to be dependable, responsible, dutiful and thoughtful) and agreeableness (reflects being altruistic, warm, generous and trusting) are positively related to ethical leadership. Furthermore, these scholars proposed a negative relationship between neuroticism (reflects being anxious, unstable, stressed and impulsive) and ethical leadership, however they did not find one. The studies in this dissertation (chapter 3) aim to add to the literature by replicating the relationships tested by Walumbwa and Schaubroeck (2009). Especially by extending their

work through including all Five Factors of personality and not a subset and furthermore by using both a uni-dimensional and a multi-dimensional measure of ethical leadership. Thus, we examine the relationship between the Big Five personality traits of leaders and perceptions of overall as well as sub-dimensions of ethical leadership.

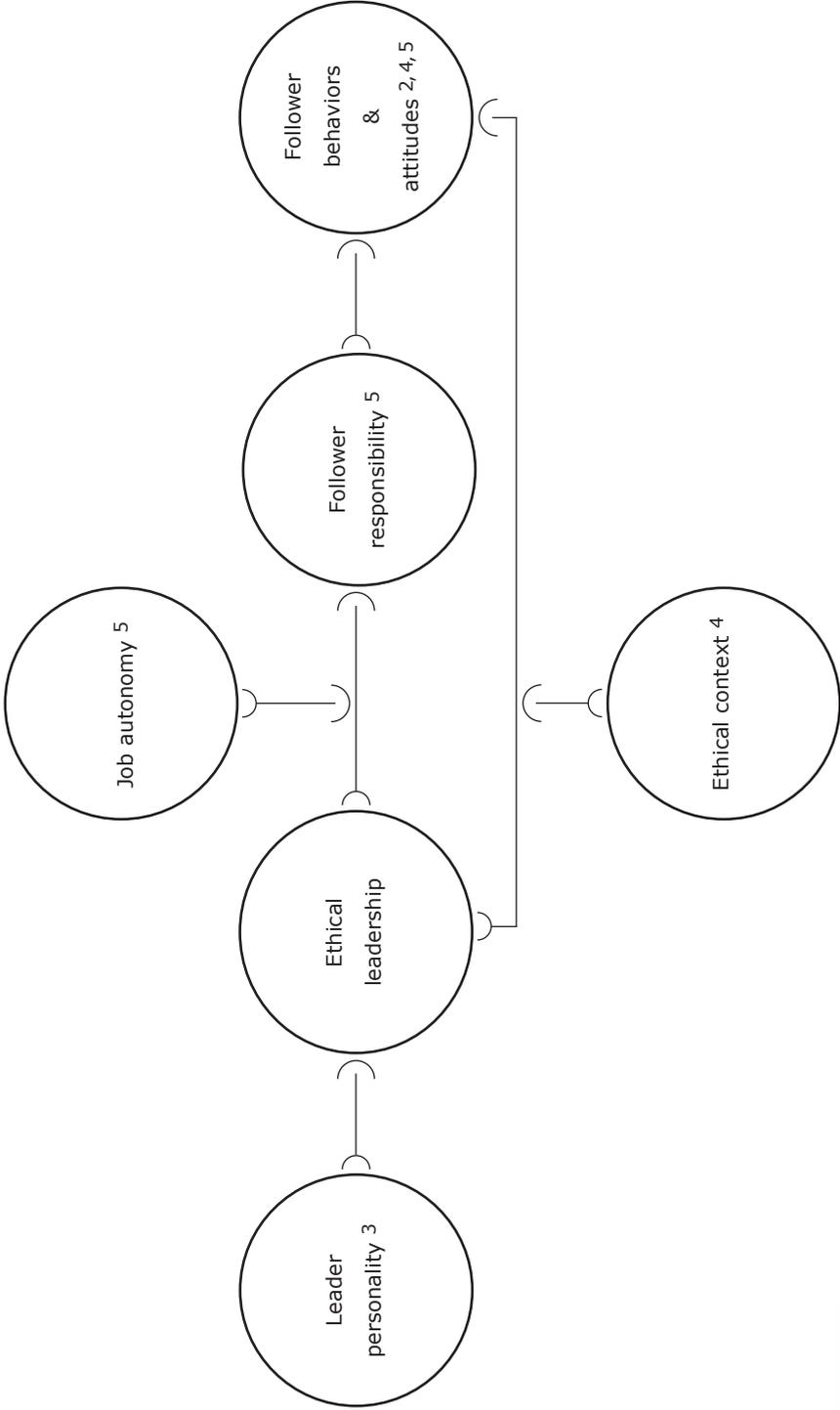
Key Issues of the Thesis and Outline

The outline above illustrates that the ethical leadership literature is a newly emerging field of inquiry and has made progress in identifying consequences of ethical leadership, however several key questions remain. This dissertation aims to answer several of these by addressing antecedents, consequences and the situational context of ethical leadership as key issues regarding research on the role of ethical leaders within organizations. These key issues are investigated in four studies using multi-source research designs. Each chapter reports on a separate study or combination of studies, and was written such that it can be read independently from the other chapters. Consequently, some overlap exists across the chapters in the theory and method descriptions. Below, an overview of each of the chapters is given and Figure 2 illustrates the outline of the dissertation.

In chapter 2, the focus is on the development and validation of a questionnaire measuring distinguishable ethical leader behaviors as well as an overarching measure of ethical leadership, labeled the Ethical Leadership at Work (ELW) questionnaire. The chapter starts with a review of the ethical leadership research field. Next, a multi-dimensional measure of ethical leadership is developed and validated. The most often used measure of Brown et al. (2005) has some shortcomings. For instance, trust is measured as a part of ethical leadership rather than as a different construct. Furthermore, the measure does not include all behaviors that are described in the literature as being a part of the ethical leadership construct (cf., Treviño et al., 2003). The validation process in this chapter involves multiple studies using several samples and relates the developed dimensions of ethical leadership to other leadership styles, follower attitudes and follower behaviors.

The ELW questionnaire is used to operationalize ethical leadership in chapter 4 and 5. In these chapters the emphasis is on the overarching ethical leadership construct rather than the different dimensions of ethical leadership. In chapter 3, ethical leadership is

Figure 2 - Outline of the investigated relationships within the dissertation



Note. The numbers correspond with the related chapter.

operationalized by both the ELS (Brown et al., 2005) and three dimensions of the ELW. These specific dimensions have been used to operationalize ethical leadership in previous research (e.g., De Hoogh & Den Hartog, 2008; Kalshoven & Den Hartog, 2009).

In chapter 3, antecedents of ethical leadership are investigated. More specifically, the propositions presented by Brown and Treviño (2006) are tested. They propose that three out of five of the Big Five factors of personality are related to ethical leader behaviors. As indicated, the personality traits conscientiousness, agreeableness and emotional stability are likely to positively relate to ethical leadership. Empirical evidence on the proposition that these personality traits are related to ethical leadership is however scarce and only comes from one study focusing on U.S. data (Walumbwa & Schaubroeck, 2009). To test the relationship between leader personality and perceived ethical leadership two multi-source samples are presented in this chapter.

Chapter 4 focuses on the interaction between the ethical context and ethical leadership in relation to follower helping behavior. As indicated, context received little attention in the ethical leadership field, so far. In this paper empathic concern at the work group level is investigated as an enhancer and moral awareness at the work group level is investigated as a neutralizer of the relationship between ethical leadership and follower behavior. Additionally, a multi-level perspective is incorporated to investigate whether the within- or between group variance explained these moderation effects. In this chapter we add to the literature by showing that the ethical characteristics of the context have different effects on the ethical leadership and follower behavior relationship.

Chapter 5 presents a study building on the previous chapter by investigating another moderator on the relationship between ethical leadership and follower behaviors, namely job autonomy. Furthermore, this study adds to the research field by investigating the process through which ethical leaders have an influence on followers. Learning more about how such leaders affect outcomes is worthwhile. More specifically, a mediated moderation model was tested in which responsibility was expected to be the mediator between the interaction of job autonomy and ethical leadership on follower behavior. In other words, in high autonomy situations, ethical leaders are likely to influence employees behaviors through responsibility.

Finally, chapter 6 provides an overall discussion of the research presented in this dissertation and concludes how the findings of the studies have an impact on theory. Additionally, some future research suggestions and potential practical implications are presented.

Chapter 2

Ethical Leadership at Work Questionnaire (ELW): Development and Validation of a Multidimensional Measure

Abstract

This paper describes the development and validation of the multidimensional Ethical Leadership at Work (ELW) questionnaire. Based on theory, interviews and a student sample, we developed seven ethical leader behaviors (fairness, integrity, ethical guidance, people orientation, power sharing, role clarification, and concern for sustainability). We then tested the factor structure in two employee samples (first common-source, EFA; next multi-source, CFA). To establish construct validity we related ethical leader behaviors to other leadership styles and employee attitudes in Study 1. The expected pattern of relationships emerged, e.g., positive relationships with satisfaction and commitment, and negative ones with cynicism. The results suggest that the ELW scales have sound psychometric properties and good construct validity. In Study 2, using a multi-source sample, the ELW behaviors explained variance in trust, OCB, and leader and follower effectiveness beyond a uni-dimensional measure of ethical leadership. Ethical leadership was also related to OCB (supervisor-rated). Employees who rate their leader higher on power sharing and fairness show more OCB. Taken together, the results suggest the ELW is a useful new measurement tool that can help further our understanding of the antecedents and consequences of ethical leadership. ¹

¹) This chapter is based on: Kalshoven, K., Den Hartog, D.N., & De Hoogh, A.H.B. (in press). Ethical Leadership at Work Questionnaire (ELW): Development and validation of a multidimensional measure. *The Leadership Quarterly*.

Introduction

Recent fraud scandals have put ethical leader behavior high on the priority list of organizations as ethical problems break down the trust and reputation of both leaders and organizations (Mendonca, 2001; Waldman, Siegel, & Javidan, 2006). Ethical leadership is expected to have positive effects on the attitudes and (ethical) conduct of employees and ultimately even on business unit or organizational performance (Aronson, 2001; Brown, Treviño, & Harrison, 2005; Kanungo, 2001; Treviño, Brown, & Hartman, 2003).

Research on ethical leader behavior at all levels in the organization is increasing. Ethical leadership is often seen as a multi-dimensional concept, yet with a few exceptions (e.g., De Hoogh & Den Hartog, 2008; 2009a; Resick, Hanges, Dickson, & Mitchelson, 2006), previous studies have not measured multiple ethical leader behaviors. Rather, uni-dimensional measures tend to be used. For instance, Brown and colleagues (2005) developed the 10-item Ethical Leadership Scale (ELS) that is currently often used to measure ethical leader behavior. This scale combines different leader behaviors, including acting fairly and honestly, allowing followers' voice, and rewarding ethical conduct in a single scale. Although such a short scale is useful for certain research purposes, theoretically the underlying behaviors seem rather different and they may have different antecedents and consequences. Combining such different behaviors into a single undifferentiated construct could make it harder to uncover the different mechanisms through which ethical leadership develops and may be effective.

In a newly emerging research field, developing valid measures is of great importance. Here, we aim to contribute to the emerging field of ethical leader behavior through developing a questionnaire to measure different forms of ethical leader behavior (the Ethical Leadership at Work Questionnaire [ELW]). Drawing on a literature review, we distinguish seven ethical leader behaviors. In Study 1, we first describe the item generation and scale development process based on interviews and a pilot study. Next, we investigate the ELW factor structure and measurement properties in a single-source employee sample. To start establishing construct validity, we examine relationships of the ethical leader behaviors with transformational leadership and work-related attitudes. Specifically, we look at perceived leader effectiveness, job and leader satisfaction, trust, cynicism and commitment.

In Study 2, we retest the factor structure and psychometric properties of the ELW scales and further address construct validity by examining the relationship between ethical leader behaviors and perceived leader effectiveness, trust, employee effectiveness and employee organizational citizenship behavior in a multi-source sample. In this multi-source field study, we also contribute to the literature by examining the extent to which the ethical leadership behaviors explain variance in employee behavior (Study 2).

Ethical Leader Behavior

In the last few years, ethics and integrity have received a growing amount of attention in the leadership field. Both transformational and authentic leadership have been described as containing an ethical component. Related to this, Craig and Gustafson (1998) developed a leader integrity measure that focused more on the negative rather than the positive side of integrity. Integrity shows some conceptual overlap with ethical leadership, yet is only one element of ethical behavior (e.g., Palanski & Yammarino, 2007). Bass (1985) argued that transformational leaders could behave either ethically or unethically and distinguish between authentic (i.e., ethical) transformational and pseudo (i.e., unethical) transformational leadership (Barling, Christie, & Turner, 2008; Bass & Steidlmeier, 1999). Pseudo-transformational leaders have motives or intentions that are not legitimate and aim for undesirable goals. Authenticity, on the other hand, functions as a moral compass emphasizes serving the organization (Bass & Steidlmeier, 1999). Distinguishing between authentic and pseudo transformational leadership is complicated for followers according to Dasborough and Ashkansy (2002) as the behaviors shown by these two types of transformational leaders are the same, only their intentions vary. A similar distinction is made between socialized and personalized charismatic leadership based on whether leaders act on socialized or personalized power motives (Howell & Avolio, 1992). Price (2003) points out that egoism or personalized motives may not form the only reason why leaders behave unethically. Leaders may, for instance, also behave unethically because (altruistic) values or actions based on (altruistic) values can be inconsistent. To sum up, transformational leadership can be unethical if the motivation is selfish (Bass, 1998), power is misused (McClelland, 1975) or if values do not guide behaviors sufficiently (Price, 2003).

Authentic leadership is another form of leadership, which some argue has an ethical element (e.g., Avolio, & Gardner, 2005; May, Chan, Hodges, & Avolio, 2003). However, others do not see morality as a necessary component of authentic leadership (e.g., Shamir, & Eilam, 2005; Sparrowe, 2005). Authentic leadership is described as behaving in line with the true self and to know oneself (e.g., Gardner, Avolio, Luthans, May, & Walumbwa, 2005; May, et al., 2003; Sparrowe, 2005). Walumbwa et al. (2008) empirically showed that Brown et al.'s measure of ethical leadership is related, but well distinguishable from authentic leadership. One distinction is that ethical leaders also use transactional forms of leadership and authentic leaders don't. In other words, ethical leaders discipline and reward (un)ethical behaviors, which is less in line with authentic leadership (Brown et al., 2005; Walumbwa et al., 2008).

Researchers have also started to consider ethical leadership as a set of behaviors or a separate leadership style in itself rather than focusing only on the ethical components of other leadership styles (Brown et al., 2005; De Hoogh & Den Hartog, 2008; 2009a; Kanungo, 2001). The fundamentals of ethics according to the Webster dictionary are dealing with what is good and bad, moral duty and moral obligation. This relates closely to how Kanungo (2001) conceptualizes ethical leadership. He takes an altruism approach and addresses ethical leadership as a tension between altruistic and egoistic motives (e.g., Kanungo, 2001; Turner, Barling, Epitropaki, Butcher, & Milner, 2002). This approach suggests that an ethical leader is driven by a system of accepted beliefs and appropriate judgments rather than self-interest, which is beneficial for followers, organizations and society. This way, Kanungo (2001) and Aronson (2001) emphasize the effect of leader's actions on others as a major concern in ethical leadership.

Brown and colleagues (2005) take ethical leadership as a separate style a step further and define ethical leadership as: "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication, reinforcement and decision-making" (p. 120). Ethical leaders act as role models of appropriate behavior and use reward and punishment to stimulate ethical conduct (Brown et al., 2005; Treviño et al., 2003). Brown et al. (2005) address ethical leadership from a social learning perspective and suggest that

followers will come to behave similar to their leader through imitation and observational learning (cf., Bandura, 1986).

In addition to this social learning approach, others view ethical leadership from a social exchange approach (e.g., Mayer, Kuenzi, Greenbaum, Bardes, & Salvador, 2009; Turner et al., 2002). Researchers using a social exchange approach focus more on the norm for reciprocity (Cropanzano & Mitchell, 2005) and hold that followers are willing to reciprocate when treated fairly and with concern by their leaders (e.g., Mayer et al., 2009). Both views help understand individuals' reactions to ethical leader behavior. Other perspectives on ethical leadership are also found. For example, Dickson, Smith, Grojean and Ehrhart (2001) focus on the role leaders have in creating an ethical climate and Resick and colleagues (2006) focus on how leaders use their power in decisions and actions. Similarly, De Hoogh and Den Hartog (2009a) emphasize ethical leaders' socially responsible use of power and see ethical leadership as the process of influencing in a social responsible way others' activities toward goal achievement.

Although Brown and colleagues (2005) suggest a uni-dimensional measure of ethical leader behavior, both Resick et al. (2006) and De Hoogh and Den Hartog (2008) have started to investigate ethical leadership as a multi-dimensional construct. Different leader behaviors have been suggested to be part of ethical leadership, including acting fairly, demonstrating consistency and integrity, promoting ethical conduct, being concerned for people, allowing followers' voice, and sharing power (Brown et al., 2005; De Hoogh & Den Hartog, 2008; 2009a; Den Hartog & De Hoogh, 2009). De Hoogh and Den Hartog (2009a) argue that ethical leader behavior is multidimensional, and as different ethical leader behaviors are theoretically rather different, they may have different antecedents and consequences. They suggest measuring such dimensions separately is important. Thus, ethical leader behavior may be regarded as an overarching construct composed of multiple distinct, yet related leader behaviors. However, previous research has not developed or validated a measure that differentiates between such behaviors. As with other leadership styles (e.g., transactional, transformational, servant), the identification and empirical support for multiple dimensions increases our comprehension of both the leadership style itself and the relationships such a style has with employee attitudes and conducts.

Ethical Leader Behavior Dimensions

A review of the ethical leadership literature suggests several behavioral dimensions of ethical leadership in organizations. We build on work by Brown and Treviño as well as several others in the field as theoretical bases for distinguishing these behaviors. De Hoogh and Den Hartog (2008) distinguished three dimensions of ethical leadership (i.e., fairness, power sharing, and role clarification) and related the content of these dimensions to Brown et al. (2005). In addition to fairness, power sharing and role clarification, we also include people oriented behavior, integrity, ethical guidance, and concern for sustainability in our measure as these are behaviors found in the ethical leader behavior literature (see below).

Based on De Hoogh and Den Hartog (2008), the first three dimensions we included were fairness, power sharing and role clarification. These behaviors are also reflected in the work by Brown et al (2005). First, fairness is seen as an important form of ethical leader behavior. Ethical leaders act with integrity and treat others fairly. They make principled and fair choices, are trustworthy and honest, do not practice favoritism, and take responsibility for their own actions (Brown et al., 2005; De Hoogh & Den Hartog, 2008; Treviño et al., 2003). Second, power sharing is also seen as an ethical leader behavior. De Hoogh and Den Hartog (2009a) argue that ethical leaders allow subordinates a say in decision making and listen to their ideas and concerns and Resick et al. (2006) argue for an empowering aspect of ethical leadership. Similarly, Brown et al. (2005) suggest ethical leaders provide followers with voice. Sharing power allows subordinates more control and makes them less dependent on their leaders (Yukl, 2006). Third, ethical leaders are transparent and engage in open communication (Brown et al., 2005). In line with this, De Hoogh and Den Hartog (2008) point to the importance of transparency in clarifying performance goals and expectations and distinguish role clarification as a component of ethical leadership. Ethical leaders clarify responsibilities, expectations, and performance goals, so that subordinates' know what is expected from them and understand when their performance is up to par. Subordinates do not worry unnecessarily about unclear expectations and know how they can meaningfully contribute to meeting the unit's or organization's goals.

Theoretical work also suggests additional ethical leader behaviors. An important one is people orientation or having a true concern for people. This was one of the most

frequently mentioned parts of ethical leadership in Treviño et al.'s (2003) qualitative study. Resick et al. (2006) also describe ethical leaders as people-oriented. The people orientation component in ethical leadership reflects genuinely caring about, respecting, and supporting subordinates and where possible ensuring their needs are met (Kanungo & Conger, 1993; Treviño et al., 2003).

Next, Treviño et al. (2003) argue that ethical leaders clearly convey standards regarding ethical conduct. Organizations and top management set rules, standards and codes of conduct, which provide guidelines for ethical behavior (Beu & Buckley, 2001) and leaders can raise subordinates' awareness of such guidelines. Ethical leaders also use rewards and punishments to hold subordinates responsible for their actions (Treviño et al., 2003). According to Brown and colleagues (2005), ethical leaders guide followers in setting priorities and in ethical dilemmas they experience. We label this ethical guidance, which implies communication about ethics, explanation of ethical rules, and promotion and reward of ethical conduct among subordinates.

Treviño et al.'s (2003) qualitative study also suggests that ethical leaders are characterized by a broad ethical awareness. Ethical awareness implies such leaders are concerned about (the impact on) stakeholders and society. A stakeholder perspective suggests ethical leaders have a responsibility to protect and promote the interests of their stakeholders (Donaldson & Preston, 1995). In line with this, Kanungo and Mendonca (1996) argue that ethical leaders take the effects of their behavior on the surroundings into account, including the society and environment. The importance of a broader view on others in the firm and society as well as on the natural environment is also found in the corporate social responsibility literature (e.g., Waldman et al., 2006). A somewhat related research field on sustainable leadership is emerging. For example, Hargeaves and Fink (2004) developed a theoretical view on sustainable leadership for the educational sector. They suggest sustainability entails focusing on the development of others in the environment, distribution of responsibilities, and endurance over time (Hargeaves & Fink, 2004; 2006). Ferdig (2007) takes a responsibility point of view and argues that sustainable leaders act beyond their self-interests. However, so far research on ethical leader behavior within firms has not incorporated the potential importance of environmental or society responsibility. Here, we include

environment orientation as an ethical leader behavior. This encompasses leaders' paying attention to sustainability issues, considering the impact of their actions beyond the scope of their own workgroup, and demonstrating care about the welfare of the society.

Finally, we distinguish integrity based on the behavioral integrity literature. Integrity behaviors are described as word-deed alignment or the extent to which what one says is in line with what one does (e.g., Dineen, Lewicki, & Tomlinson, 2006; Palanski & Yammarino, 2007, 2009). Leaders who keep promises and behave consistently can be trusted or believed because they work or behave as expected (Simons, 2002). Similarly, Yukl (2006) describes leaders as being ethical when they keep promises and behave consistently. Thus, ethical leaders keep their promises and act consistently, in a predictable way, which we label integrity. Table 1 depicts an overview of the ethical leadership at work (ELW) dimensions.

To summarize, we distinguish seven ethical leader behaviors: fairness, people orientation, role clarification, ethical guidance, environment orientation, power sharing and integrity. We performed multiple cross-sectional field studies. In study 1, we first use interviews and a student sample to see whether other or additional behaviors emerge and

Table 1 - *Descriptions of ethical leader behavior dimensions*

ELW dimensions	Descriptions
Fairness	Do not practice favoritism, treat others in a way that is right and equal, make principled and fair choices
Power sharing	Allow followers a say in decision making and listen to their ideas and concerns
Role clarification	Clarify responsibilities, expectations and performance goals
People orientation	Care about, respect and support followers
Integrity	Consistence of words and acts, keep promises
Ethical guidance	Communicate about ethics, explain ethical rules, promote and reward ethical conduct
Concern for sustainability	Care about the environment and stimulate recycling

to develop the ethical leadership at work (ELW) questionnaire. Next, in a single-source subordinate sample, we test the factor structure and construct validity by relating the ELW behaviors to other leadership styles and attitudes. In study 2, we gathered multi-source data from subordinate – leader dyads to further test the ELW factor structure and relate the ethical leader behaviors to employees’ organizational citizenship behavior (OCB) and effectiveness.

Study 1

To investigate the validity of ethical leader behaviors as measured with the ELW we included variables that have previously been investigated in relation to ethical leadership (see Table 2). Brown et al. (2005) showed that ethical leadership relates to leader effectiveness, trust, satisfaction with the leader and transformational leadership. In addition, Den Hartog and De Hoogh (2009) found a relationship between ethical leadership and commitment. Furthermore, in line with Brown et al. (2005) we included age and gender to investigate discriminant validity. In line with previous research on ethical leadership we chose different variables to start testing construct validity. Although no empirical evidence is available linking ethical leader behaviors to employees OCB, effectiveness, transactional and autocratic leadership, theory and related research support such relationships. For example, Brown et al. argue ethical leaders can act transactionally, yet do not test this relationship empirically. Finally, we included cynicism to also investigate a negative employee attitude rather than only positive ones in relation to the ELW. Table 2 summarizes the expected relationships.

Ethical Leadership and Other Leadership Styles

A review of the literature reveals some conceptual overlap as well as notable distinctions between perceived ethical leadership and other leadership styles (e.g., Brown et al., 2005). To test convergent validity, we thus included measures of related leadership styles (i.e., overall ethical, transformational and transactional leadership). We expect ELW behaviors to correlate positively with other ethical leadership measures (here we use the ELS scale developed by Brown et al., 2005). Brown and colleagues (2005) also report that ethical and transformational leadership show conceptual overlap. In their study, they

investigated one facet of transformational leadership (i.e., idealized influence) in relation to ethical leadership and concluded that these constructs were related yet distinct. In line with this, Turner et al. (2002) found that high leader moral reasoning (rated by leader) was related to transformational leadership (rated by subordinate). Also, Rowold (in press) found that perceptions of transformational leadership were related to perceived moral-based leadership. However, Price (2003) argues that transformational leaders can also behave unethically. For example, such leaders may pursue self- rather than collective interests.

Transactional leaders motivate followers through rewards, promises, feedback or disciplinary actions (Burns, 1978). Brown et al. (2005) suggest that ethical leadership has a transactional component as ethical leaders set clear ethical standards and hold followers accountable for acting according to these standards by using rewards and discipline. Simi-

Table 2 - *Proposed relationship between ELW and correlates for measuring construct validity*

Construct	Predictions	Findings
<i>Discriminant validity</i>		
Age	0	0
Gender	0	0
Autocratic leadership	0/-	0/-
<i>Convergent validity</i>		
Transformational and transactional leadership	+	+
Ethical leadership scale	+	+
Passive leadership	-	-
Leader effectiveness	+	+
Trust	+	+
Job and leader satisfaction	+	+
Organizational and team commitment	+	+
Cynicism	-	-
Employee effectiveness ¹	+/0	+/0
Organizational citizenship behavior ¹	+	+/0

Note: + positive relationship hypothesized, - negative relationship hypothesized, 0 no relationship hypothesized.

¹) variables measured in study 2.

larly, Rowold (in press) describes the ethical component of transactional leadership in terms of communication about goals and fair negotiation about rewards. If transactions between leader and follower are well-defined they provide a foundation for knowledge-based trust and fairness. Consistent with Path-Goal theory, ethical leaders help subordinates figure out how to achieve personal goals in such a way that organizational goals are also met, while maintaining high ethical standards (House, 1996). However, Bass and Steidlmeier (1999) argue that transactional leaders are usually typified as having selfish motives. Overall, ethical leaders may use both transformational and transactional behaviors and partial theoretical overlap exists between these styles (e.g., Brown et al., 2005). We thus expect dimensions of ethical leadership to be positively related to transformational and transactional leadership, while also being empirically distinct.

To be able to demonstrate divergent validity we included other leadership styles that we expected would be non- or negatively related (i.e., passive and autocratic leadership) (Nunnally & Bernstein, 1994). Autocratic leaders make decisions without considering the opinions of employees. They give orders and fostering dependency. Employees have no influence in decision making, reflecting a lack of employee empowerment (Yukl, 2006). In contrast, ethical leaders are concerned about their followers, behave fairly, and share power. This implies ethical leaders are likely to accept and encourage their employees' participation. Thus, we expect that autocratic leadership is negatively related to the different ethical leader behaviors.

We also relate ethical leadership to passive leadership (i.e., a combination of *laissez-faire* leadership and passive management-by-exception, cf. Den Hartog, Van Muijen, & Koopman, 1997). Passive leaders put a minimal amount of effort to get required work done, avoid problems and involvement, come into action when problems are already urgent, and do not meet their responsibilities or duties (Bass, 1985; Den Hartog et al., 1997). Einarsen, Aasland and Skogstad (2007) hold that passive leaders violate legitimate involvement in the organization, as they waste time, are unmotivated and fail to support or guide their followers. They conclude that passive leadership is a form of destructive leadership. Thus, we propose that passive leadership is negatively related to ethical leader behaviors. We hypothesize:

Hypothesis 1: Ethical leadership behaviors are positively related to transformational and transactional leadership and negatively related to autocratic and passive leadership.

Ethical Leadership and Subordinates' Attitudes

So far, the results of research on the correlates and effects of ethical leadership mainly demonstrate positive relationships with a variety of followers' attitudes, such as satisfaction with the leader, trust in management and perceived leader effectiveness (e.g., Aronson, 2001; Brown et al., 2005; Den Hartog & De Hoogh, 2009; Kanungo, 2001). To assess criterion-related validity for our multidimensional measure, we examined relationships with employee attitudes. We included attitudes which have empirically been shown to relate to ethical leadership in previous studies such as perceived leader effectiveness, trust in management, job and leader satisfaction, and team and organizational commitment. We expect a positive relationship between ethical leader behaviors and these variables. For example, ethical leaders promote altruistic attitudes among followers through role modeling and open communication which enhances identification and commitment. Also, employees who feel supported, cared for and fairly treated are more likely to develop satisfaction and trust (cf., Brown et al., 2005; De Hoogh & Den Hartog, 2008). We also included cynicism. We expect a negative relationship between ethical leader behaviors and cynicism. Previous research showed that poor communication and unfair interpersonal treatment were related to employee cynicism (Anderson, 1996). Treadway et al. (2004) showed that trust and organizational support are important to decrease cynicism. In line with this, we expect ethical leadership which implies treating subordinates in a fair, open, and supportive way results in positive rather than cynical employee attitudes. Thus, we hypothesize:

Hypothesis 2: Ethical leader behaviors are positively related to perceived leader effectiveness, trust in management, job and leader satisfaction, and team and organizational commitment and negatively related to cynicism.

Method Study 1

Item and scale development. We followed Hinkin's (1998) recommendations in generating items for the ELW questionnaire. As an item-generation strategy, we obtained

(published) articles and examined them for clear item examples. We also interviewed eight managers and seven employees to generate additional items and to determine whether other or additional dimensions of ethical leadership would emerge. Thus, we combine the inductive and deductive item generation process recommended by Hinkin. The interview sample was diverse in terms of age (managers' age ranged from 27 to 55; employees' age from 24 to 53) and 43 % of the managers and 50 % of the employees were male. Participants were asked what they consider as (un)ethical behavior at work and examples of their own experiences with (un)ethical behavior of their leaders or employees. Participants' descriptions of ethical leader behaviors were coded on content and included fairness, people orientation, role clarification, power sharing, integrity and ethical guidance. Some also specifically identified transparency about knowledge and information sharing as part of ethical leadership and mentioned that ethical leaders share their competence, knowledge and information with subordinates. Although this theoretically overlapped with role clarification and power sharing, we added knowledge and information sharing to the seven literature-based behaviors and generated several items to test whether it would emerge separately or not.

In total, 90 ethical leader behavior items were generated from three sources: quotes from the interviews (23 items), (adapted) existing items mentioned in the literature (e.g., integrity and ethical climate; 52 items), and items formulated by the researchers (15 items). Item choices and revisions were guided by the definitions of the dimensions of ethical leadership (see Table 1). Most items were positively formulated, yet some items from the existing literature and quotes from the interviews were negatively formulated. Further, most items were adapted to refer to the employee him- or herself. A small number of items refer to colleagues. This was done because ethical leadership is also about social learning and caring about the broader environment and interviewees also explicitly mentioned treatment of others as relevant to ethical leadership.

We started with a rather large set of items to allow removing of items during the development process (cf. Hinkin, 1998). The 90 items were commented on by five colleagues. Next, for content validation, items were judged on content and classified into eight dimensions of ethical leadership by two experts in the leadership field. Misclassifications or comments suggesting ambiguity led to dropping 30 items. Finally, two employees com-

mented extensively on the items. The purpose was to check whether they understood the items and were able to answer the items about their direct supervisor. This helped reword a few ambiguous items.

Pilot test. A pilot test of the 60 remaining items and the eight behavioral dimensions was conducted among business students of a university in the Netherlands ($N = 151$). Students had an average of five ($SD = 3$) years work experience, average age was 21 ($SD = 4$), 45 % were male and 66 % of their supervisors were male. Principal components analyses confirmed the seven ethical leadership behaviors defined a priori. The information and knowledge sharing items showed high cross loadings with other factors, including fairness (openness items) and role clarification (sharing information on tasks). Knowledge and information sharing thus did not add unique information to the seven identified behaviors and was therefore not included in further development. Items that did not load into their hypothesized factor in the pilot study were also removed or modified (as suggested by Hinkin, 1998). This led us to drop four more items.

The ELW scale development process resulted in 46 items, with fairness having 10, power sharing 6, role clarification 5, people orientation 7, environment orientation 6, ethical guidance 8 and integrity 4 items. They formed a mix of previously existing items from literature (43 %), adapted items (12 %), and new items (45 %). The order of the items in the questionnaire was randomized to avoid bias in further factor analyses.

Sample and procedure. Study 1 was conducted among a broad sample of employees in the Netherlands. Data collection followed a "snowball" procedure (inviting contacts and asking them to invite their contacts) to create a diverse sample in terms of sectors, jobs and hierarchical levels. Surveys were distributed online or by email. Participation was voluntary. As an incentive an overall report was offered to participants upon completion of the study. Two weeks after the launch of the study everyone originally contacted to participate received an email-reminder. In total, 158 people completed the online version and 85 people the email version of the questionnaire. The final sample consisted of 243 participants, 17 of these were excluded as they only filled out part of the questionnaire. The sample size meets Hinkin's (1998) recommendation for scale development (i.e., a minimum of 150 participants). Participants' average age was 36 years ($SD = 11$); 83 males and 127 females

participated (16 did not report gender). Of the participants' supervisors, 44 % were male (18 did not report gender). Participants worked in health care, government, financial and business services, education, or manufacturing. The majority ($N = 150$) held a college or university degree. Leader-employee tenure was over 6 months for 80 % of the sample.

Measures. The 46-item ELW was used to measure ethical leadership behaviors. All items were administered in Dutch and the response scale for all leadership and outcome measures (except for leader effectiveness) ranged from 1 (*strongly disagree*) to 5 (*strongly agree*). For construct validation, ethical leadership was also measured with the uni-dimensional 10-item ELS developed by Brown et al. (2005). CFA's showed that the one-factor model of the ELS also best fit our data (it is beyond our scope to fully present the results of these CFA's for the ELS scale; they are available from the authors). A sample ELS item is: "Listens to what employees have to say". Cronbach's α was .90. As the ELW and ELS reflect a similar content, we expect that ELW scales are relatively highly correlated with the ELS. The only possible exception is our scale for environment orientation. As this aspect is not included in the ELS operationalization of ethical leadership, we expect a somewhat less strong relationship there.

Transformational, transactional, autocratic and passive leadership were assessed by the Dutch validated Charismatic Leadership in Organizations (CLIO) scale (De Hoogh et al., 2004). A sample item for transformational leadership (11 items) is: "Encourages subordinates to be independent thinkers". The CLIO operationalization of transactional leadership (6 items) emphasizes offering subordinates a fair deal (cf. House, 1996). A sample item is: "Does not criticize subordinates without good reason". Autocratic and passive leadership were both assessed with six items. Sample items are respectively: "Keeps control and takes charge when the going gets tough" and "Things have to go wrong for him/her to take action". Cronbach's α for transformational was .92, for transactional .86, for autocratic .72, and for passive leadership .66.

Team and organizational commitment scales were adapted from Ellemers, De Gilder and Van den Heuvel (1998). The nine item version was used (see also Liden, Wayne, Kraimer, & Sparrowe, 2003). A sample item is: "This organization has a great deal of personal meaning for me". Cronbach's α for organizational commitment was .87 and for team commitment .69.

Trust in management was assessed by a 6-item scale based on Cook and Wall (1981). A sample item is: "Management can be trusted to make sensible decisions for the firm's future". Cronbach's α was .76. Cynicism was assessed by the 7-item scale from Cole, Bruch and Vogel (2006). A sample item is: "There is a cynical atmosphere in my work group". Cronbach's α was .84. Respondents indicated how satisfied they were with their job on one item: "Overall, how satisfied are you with your job?" Respondents also indicated how satisfied they were with their leader and how effective their leader is. Both were assessed by two items from the MLQ (e.g., Bass & Avolio, 1993). A sample of leader satisfaction is: "In all, how satisfied are you with your supervisor?" and for leader effectiveness is: "How effective is the person you are evaluating as a leader?" Responses scale ranged from 1 (*not at all*) to 5 (*very much so*).

Results Study 1

For construct validity, principal component factor analysis (PCA) was performed with Oblimin rotation on the 46 ethical leadership items. The factor correlation matrix showed correlations above .32 implying that factors are related and Oblimin rotation is warranted (Tabachnick & Fidell, 2007). Seven factors explained a total of 70 % of the variance, exceeding the minimum acceptable target of 60 % for scale development (Hinkin, 1998). Less well interpretable solutions were the three, six and eight factor solutions. The seven factor solution reflects the a priori factors we distinguished. Table 3 reports the factor loadings. The a priori factor for environment orientation was a broadly defined dimension focusing on sustainability and society. Only the sustainability items, however, clustered together and represented one factor. Therefore the factor will be further referred to as "concern for sustainability". The other three items of the original scale concerned with caring about the welfare of the society did not load on any factor. As a result, these items were removed from further analysis. Another five items from other factors had loadings below .30 and were discarded. Thus, the final ethical leadership dimensions are: Fairness, Integrity, People orientation, Role clarification, Power sharing, Ethical guidance and Concern for sustainability, and the adapted instrument contains 38 items.

The ELW scales show good variability and high reliabilities. Table 4 reports the descriptive statistics, correlations and Cronbach's α for the scales. All reliabilities of the ELW

scales are above .80. Nunnally argues that in early stages of research an alpha of .70 is sufficient, especially because the construct being measured is not used for selection or decision purposes yet (1978, p.245). As anticipated, the inter-correlations among the ethical leadership dimensions of the ELW are moderate (ranging from $r = .36$ to $r = .68$). Concern for sustainability has somewhat lower correlations with the other dimensions (between $r = .26$ and $r = .51$). The inter-correlations are comparable with those between dimensions of other leadership style measures (see e.g., Liden, Wayne, Zhao, & Henderson, 2008).

To further assess construct validity, we investigated the correlations between the ELW scales and the ELS. As expected, the ELS is significantly and positively correlated with the seven ELW behaviors, ranging from $r = .51$ to $r = .79$ (see Table 4). These correlations imply that the ELS and the ELW measure similar yet not identical constructs, supporting construct validity of the ELW. As expected, the lowest correlation between ELS and ELW was found for concern for sustainability, because concern for sustainability is not included in the operationalization of the ELS ($r = .51, p < .05$). To further demonstrate that the seven ELW subscales are empirically distinct from the ELS, we performed a Confirmatory Factor Analysis that included the 38 ELW items and the 10 ELS items to show that none of the ELW subscales fully overlap with the ELS. A good fit is seen for the eight-factor model (seven ELW factors and one ELS factor), $\chi^2 (1052, N = 204) = 1892.8, p < .01, CFI = .98; NNFI = .98; RMSEA = .06; SRMR = .06$ (cf. Hu & Bentler, 1999). Thus, results support the distinction between the subscales of the ELW and the ELS.

In line with hypothesis 1, all ethical leader behaviors were positively correlated with both transformational (ranging from $r = .25$ to $r = .68$) and transactional leadership (ranging from $r = .26$ to $r = .82$). Passive leadership was negatively and significantly correlated with the ethical behaviors (ranging from $r = -.24$ to $r = -.53$), also in line with hypothesis 1. Autocratic leadership had negative or non-significant correlations with ethical leader behaviors (ranging from $r = -.53$ to $r = .14$), partly in line with hypothesis 1. In line with hypothesis 2, all ethical leader behaviors were positively and significantly correlated with perceived leader effectiveness (ranging from $r = .35$ to $r = .65$), leader satisfaction (ranging from $r = .40$ to $r = .76$), team commitment (ranging from $r = .15$ to $r = .31$), organizational commitment (ranging from $r = .15$ to $r = .32$), and trust (ranging from $r = .22$ to $r = .71$),

Table 3 - Factor analyses of a priori ELW scales; employee sample study 1

Factor names and items	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5	Factor 6	Factor 7
<i>People orientation</i>							
is interested in how I feel and how I am doing ^g	.84						
takes time for personal contact ^g	.78						
pays attention to my personal needs ^d	.76						
takes time to talk about work-related emotions ^g	.76						
is genuinely concerned about my personal development ^h	.71						
sympathizes with me when I have problems ^f	.68						
cares about his/her followers ^g	.61						
<i>Fairness</i>							
holds me accountable for problems over which I have no control ^a		.77					
holds me responsible for work that I have no control over ^a		.77					
holds me responsible for things that are not my fault ^a		.70					
pursues his/her own success at the expense of others ^c		.69					
is focused mainly on reaching his/her own goals ^c		.62					
manipulates subordinates ^a		.60					
<i>Power sharing</i>							
allows subordinates to influence critical decisions ^b			.75				
does not allow others to participate in decision making ^b			.72				
seeks advice from subordinates concerning organizational strategy ^b			.69				
will reconsider decisions on the basis of recommendations by those who report to him/her ^b			.68				
delegates challenging responsibilities to subordinates ^b			.38				.34
permits me to play a key role in setting my own performance goals ^b			.30				

<i>Concern for sustainability</i>		
would like to work in an environmentally friendly manner ^h	.86	
shows concern for sustainability issues ^g	.85	
stimulates recycling of items and materials in our department ^h	.73	
<i>Ethical guidance</i>		
clearly explains integrity related codes of conduct ^h	.84	
explains what is expected from employees in terms of behaving with integrity ^h	.78	
clarifies integrity guidelines ^b	.77	
ensures that employees follow codes of integrity ^h	.76	
clarifies the likely consequences of possible unethical behavior by myself and my colleagues ^e	.76	
stimulates the discussion of integrity issues among employees ^c	.65	
compliments employees who behave according to the integrity guidelines ^e	.49	.38
<i>Role clarification</i>		
indicates what the performance expectations of each group member are ^b	.75	
explains what is expected of each group member ^b	.67	
explains what is expected of me and my colleagues ^b	.66	
clarifies priorities ^b	.58	.33
clarifies who is responsible for what ^b	.54	
<i>Integrity</i>		
keeps his/her promises ^g	.82	
can be trusted to do the things he/she says ^g	.82	
can be relied on to honour his/her commitments ^d	.80	
always keeps his/her words ^g	.73	

Note: *N*=226. Principal component analysis with oblimin rotation. Only coefficients greater than .30 are presented. Taken or adapted from: a) Den Hartog & De Hoogh (2009), b) De Hoogh & Den Hartog (2008), c) Arnaud & Schminke (2006), d) House (1998), e) Brown et al. (2005), f) Craig & Gustafson (1998), g) interview, h) self-developed.

Table 4 - Means, standard deviations and correlations among all variables, study 1

Variables	M	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
1. People orientation	3.49	.85	(.90)																				
2. Power sharing	3.40	.74	.64**	(.84)																			
3. Fairness	3.54	.82	.56**	.54**	(.87)																		
4. Role clarification	3.50	.73	.60**	.60**	.45**	(.86)																	
5. Integrity	3.62	.90	.68**	.50**	.51**	.60**	(.94)																
6. Concern sustainability	3.02	.86	.51**	.37**	.26**	.40**	.42**	(.84)															
7. Ethical guidance	3.18	.77	.61**	.61**	.36**	.63*	.56**	.52**	(.92)														
8. ELS	3.45	.67	.79**	.74**	.62**	.67**	.74**	.51**	.75**	(.90)													
9. Transformational L. ^a	3.62	.67	.64**	.64**	.55**	.68**	.56**	.25**	.53**	.72**	(.92)												
10. Transactional L. ^a	3.64	.64	.62**	.47**	.63**	.66**	.82**	.26**	.50**	.73**	.73**	(.86)											
11. Autocratic L. ^a	3.24	.63	-.28**	-.23**	-.53**	.14	-.08	-.05	.04	-.27**	.04	-.09	(.72)										
12. Passive L. ^a	2.79	.59	-.44**	-.29**	-.35**	-.52**	-.53**	-.24**	-.26**	-.40**	-.54**	-.55**	.01	(.66)									
13. Job satisfaction	3.89	.93	.44**	.43**	.38**	.48**	.40**	.25**	.31**	.45**	.35**	.29**	.07	-.23**									
14. L. satisfaction	3.47	.99	.76**	.66**	.62**	.68**	.69**	.40**	.61**	.79**	.79**	.78**	-.13	-.46**	.56**								
15. Cynicism ^a	2.45	.71	-.38**	-.44**	-.51**	-.45**	-.40**	-.24**	-.37**	-.47**	-.54**	-.48**	.07	.35**	-.61**	-.54**	(.84)						
16. Trust in management	3.62	.64	.64**	.58**	.71**	.55**	.62**	.22**	.48**	.73**	.73**	.76**	-.20*	-.48**	.42**	.77**	.69**	(.76)					
17. Org. commitment ^a	3.13	.88	.30**	.30**	.20**	.32**	.24**	.15	.31**	.27**	.31**	.22*	.15	-.07	.51**	.35**	.28**	.26**	(.87)				
18. Team commitment ^a	3.90	.52	.25**	.29**	.17*	.31**	.24**	.15	.31**	.27**	.28**	.18	.11	-.08	.47**	.30**	.18*	.24**	-.41**	(.69)			
19. L. effectiveness	3.03	.87	.61**	.60**	.46**	.65**	.60**	.35**	.50**	.70**	.71**	.69**	-.02	-.46**	.48**	.74**	-.45**	.69**	.28**	.18*			
20. Age ^b	35.8	10.38	.02	.01	.00	.01	.07	.07	.10	.05	-.06	.02	.08	-.06	.06	.04	-.10	-.09	.26**	.15	-.10		
21. Gender	1.40	.49	-.12	-.06	-.06	-.02	-.06	-.05	-.12	-.11	-.27**	-.17	.15	.07	.04	-.06	.15	-.23*	-.02	-.13	.02	.00	

Note. *N* varies between 208 and 222 due to missing cases for some variables. Cronbach's alpha coefficients are displayed on the diagonal.

a) sample size varies from 125 to 136 due to missing cases for some variables and is only based on the internet sample. b) Gender coded 1 = male, 2 = female.

*) correlations are significant at $p < .05$; **) correlations are significant at $p < .01$; L. = leader or leadership; Org. = organization.

and negatively related to cynicism (ranging from $r = -.24$ to $r = -.51$). To further demonstrate discriminant validity we looked at the correlations of the ELW scales with employees' age and gender. In line with the results of Brown et al. (2005), both the ELW ethical leader behaviors and the ELS were uncorrelated with employees' age (ranging from $r = .00$ to $r = .10$, *ns*) and gender (ranging from $r = -.12$ to $r = -.05$, *ns*).

Taken together, the results of study 1 support the proposed seven factors of ethical leadership and show good psychometric properties of the ELW scales. As expected, relationships between the seven ethical leader behaviors and the ELS (Brown et al., 2005) as well as measures of transformational and transactional leadership were positive, but not so high as to indicate construct redundancy. In addition, the relationships between ELW scales and outcome variables were in line with expectations and previous studies, supporting construct validity. Although results of study 1 are in line with expectations, the correlations should be interpreted with caution, as they are all based on common source data. However, cross-sectional self-report designs are useful in showing inter-correlations among various perceptions and can provide insights as a first step in organizational research (Spector, 2006). The next step taken in Study 2 was retesting the factor structure and relating the ELW scales to different "outcomes". We used multi-source ratings to minimize common source bias concerns (see e.g., Podsakoff et al., 2003).

Study 2

As stated above, the aim of the first study was to develop the ELW as a valid and reliable multidimensional measure of ethical leader behavior. The next step in the validation process in Study 2 is retesting the factor structure on a different sample using CFA and linking the dimensions of ethical leadership (employee rated) to outcomes, such as trust in the leader (employee rated), leader effectiveness (employee rated), employees' organizational citizenship behaviors (supervisor rated) and employee effectiveness (supervisor rated). This contributes to the existing literature both by further developing and validating the ELW and by linking ethical leadership to employee behavior. In their review, Brown and Treviño (2006) emphasize the need for research on ethical leadership and employee behaviors. Here

we start to answer their call. Specifically, we address the relationship with organizational citizenship behavior (OCB).

Organizational Citizenship Behavior

So far, most research on ethical leadership focuses on employee attitudes. At the group-level, Mayer et al. (2009) investigated ethical leadership in relation to OCB, but previous research has not yet investigated the relationship between ethical leadership and individual employee conduct. Although empirical evidence is scarce, the literature suggests a positive relationship between ethical leadership and OCB (e.g., Brown & Treviño, 2006). OCBs are discretionary behaviors that promote the effective functioning of the organization. Such behaviors include helping, taking the consequences for others of one's own actions into account, being loyal, and keeping up with internal organizational information (e.g., Organ, 1988; Podsakoff, MacKenzie, Paine, & Bachrach, 2000).

From an ethical perspective, OCB is stimulated by leaders acting as role models. Ethical leaders behave altruistically, are concerned about others and take responsibility. Followers are likely to copy such behaviors and show OCB. More specifically, ethical leaders will encourage appropriate and positive conduct by showing concern for others and stressing the importance of group members' welfare, stimulating employees to help each other for the good of the group. Erhart and Naumann (2004) argue group norms are developed through communication and interaction. Such norms influence employee behavior. As leaders are the groups' representative of appropriate behaviors they are likely to set such norms (cf. Platow & van Knippenberg, 2001). The norms of the leaders affect follower behavior by setting the right example and using reward and punishment (Mayer et al., 2009). Social exchange theory also suggests that to reciprocate the valued relationship with their leader, employees will be willing to put forth extra effort (Kamdar, McAllister, & Turban, 2006; Podsakoff et al., 2000). In line with this, Mayer et al. (2009) found a positive relationship between ethical leadership and group-level OCB. Thus, De Hoogh and Den Hartog (2009a) and Brown and Treviño (2006) also suggest a positive relationship between ethical leadership and individual level OCB.

We hypothesize that ethical leadership is generally positively related to employee OCB. More specifically, research suggests that leaders' fair and consistent treatment of

employees results in OCB (Burke, et al., 2007; Ehrhart, 2004; Organ, 1990). In a meta-analysis, Colquitt, Conlon, Wesson, Porter and Ng (2001) show that fair procedures even more than fair outcomes stimulate OCB. Dineen et al. (2006) found that word-deed alignment related to OCB. Thus, fairness and integrity are expected to be important in relation to OCB. Also, a people orientation enhances a strong social relationship between leader and followers, which likely results in OCB. Followers may copy the leader's positive and caring treatment (e.g., Cropanzano & Mitchell, 2005). Subordinates experiencing leader support are likely to behave cooperatively (e.g., Podsakoff et al., 2000). In addition, subordinates of leaders who exhibit more power sharing or who feel empowered by leaders are likely to experience more control at work (e.g., Zellars, Tepper, & Duffy, 2002) and more responsibility and involvement (e.g., Spreitzer, 1995), which in turn is likely to enhance their willingness to engage in discretionary behavior such as OCB. Thus, besides fairness and integrity, people orientation and power sharing are also likely to be important in relation to employees' OCB.

Podsakoff, Mackenzie and Bommer (1996) found that subordinates with transactional leaders are likely to engage in OCB. Ethical leaders use transactional elements to influence subordinates behaviors, such as rewarding ethical and desired behavior (Brown et al., 2005). Ethical leaders guide employees regarding ethical standards and appropriate behaviors, which may include OCB. Ethical leaders can also influence OCB through social learning processes (Brown & Treviño, 2006). Thus, we expect role clarification and ethical guidance to be positively related to OCB. Finally, we expect no relationship between leaders' concern for sustainability and OCB. Such leaders are aware of their effects on the surroundings and are role models of environmentally responsible behavior (Ferdig, 2007). However, this has no relation with the direct social environment or tasks of employees and therefore we do not expect a relationship between concern for sustainability and OCB. We hypothesize:

Hypothesis 3: Ethical leader behaviors and fairness, integrity, power sharing, people orientation, role clarification and ethical guidance are positively related to organizational citizenship behavior (OCB).

Trust in the Leader

In line with existing research, we expect a positive relationship of ethical leadership with trust. Brown et al. (2005) found high relationships with trust. Also, Den Hartog and De Hoogh (2009) found that power sharing and fairness were related to trust in management. We also found this in Study 1. Here we look specifically at trust in the leader. Social exchange theory suggests trust grows as leaders and employees interact in high-quality relationships (Blau, 1964). Dirks and Ferrin (2002) propose that trust in leaders is built on behaviors such as open communication, integrity, availability and reliability. Ethical leaders' fairness and caring, consistent behavior and clear communication likely result in trust. Power sharing is a signal of trust by the leader that employees may reciprocate. Also, ethical leaders who act environmentally friendly may inspire trust as this behavior shows their interest in issues beyond themselves (cf. Kanungo, 2001). Thus, we expect that all seven ELW ethical leader behaviors are positively related to trust in the leader.

Hypothesis 4: Ethical leader behaviors and fairness, integrity, power sharing, people orientation, role clarification, ethical guidance and concern for sustainability, are positively related to trust in the leader.

Perceived Leader Effectiveness

Brown et al. (2005) found that ethical leadership was related to leader effectiveness and De Hoogh and Den Hartog (2008) found that fairness and role clarification but not power sharing related positively with management team effectiveness. Although only a few studies focus directly on ethical leadership and effectiveness, related research suggest positive relationships. For example, Den Hartog et al. (1999) found that honesty and integrity characterize highly effective leaders in the eyes of managers. Social learning theory suggests employees identify with and emulate their ethical leaders and likely perceive them as effective (cf. Bandura, 1986).

Ethical leaders are consistent, caring and fair, and feel responsible for their actions. We expect followers to experience such ethical leaders as effective. We suggest that fairness, integrity, role clarification, people orientation and ethical guidance contribute to

perceptions of leader effectiveness. However, power sharing and sustainability focus seem less important to be seen as effective. As stated, power sharing was unrelated to top management effectiveness in the study by De Hoogh and Den Hartog (2008). Yukl (2006) notes that research results on the effectiveness of participative leadership are inconsistent, suggesting such leadership may be more or less effective depending on the context. Thus, we expect that overall power sharing is not important for leaders to be perceived as effective. Also, sustainability oriented leaders are not necessarily more effective. A focus on sustainability and awareness of stakeholder in and beyond the organization is an element of ethical leadership that is more concerned with symbolizing values and behaving consistently with values than with achieving day to day results. Thus:

Hypothesis 5: Ethical leader behaviors and fairness, integrity, people orientation, role clarification and ethical guidance are positively related to perceived leader effectiveness.

Perceived Employee Effectiveness

To our knowledge, ethical leadership has not yet been investigated in relation to employee effectiveness. Related research suggests a positive relationship. For instance, Rowold (in press) found that moral-based leadership is related to employee effectiveness. He argues that fair, consistent and caring treatment enhances employee effectiveness as such treatment will make employees more willing to carry out tasks set out by the leader. Positive reciprocity suggests that employees will work more effectively when their ethical leaders treat them in this way (Gouldner, 1960). For example, interactional justice was positively related to task performance (Aryee, Budhwar, & Chen, 2002). Thus, we expect that fairness, integrity and people orientation are positively related to employee effectiveness.

Also, ethical leaders who share power, give employees a sense of competence, and allow them to be independent (Resick et al., 2006) are likely to enhance self-efficacy (Kanungo, 2001). In turn, this may enhance employee effectiveness. Power sharing gives followers the opportunity to develop skills, which enhances effectiveness (Yukl, 2006). Ethical leaders' open communication and clarification of expectations may also create conditions conducive to effectiveness (De Hoogh & Den Hartog, 2008). By communicating rules and guidelines, lead-

ers enable more effective employee behavior. Thus, power sharing and role clarification are expected to be positively related to employee effectiveness. Sustainability oriented or specific ethical guidance, however, do not necessarily enhance employee effectiveness. Sustainability oriented leaders are concerned with the welfare of the wider environment rather than with task-oriented behavior and ethical guidance entails making employees aware of ethical issues rather than focusing them directly on effective in-role performance. We hypothesize:

Hypothesis 6: Ethical leader behaviors and fairness, integrity, power sharing, people orientation, and role clarification are positively related to perceived employee effectiveness.

Method Study 2

Sample and procedure. We conducted a multi-source study. Employees rated ethical leader behaviors, trust and leader effectiveness and leaders rated employees' effectiveness and OCB. Leaders in financial and business services, health care, government, construction and education organizations in the Netherlands were contacted and asked to voluntarily participate. Participating leaders selected two employees to complete a questionnaire. Survey packets were sent to leaders and contained a letter for each respondent explaining the procedure and confidentiality. As an incentive, leaders were offered an overall research report at the end of the study. Each respondent received a postage-paid envelope for returning their questionnaire directly to the researchers.

For re-testing the factor structure, we used the complete employee sample of study 2 ($n = 316$), which meets the recommendation for a minimum sample size of 200 respondents for a confirmative factor analysis (Hinkin, 1998). For 20 employees we did not receive the corresponding leader questionnaire and the identification number was removed from two employee questionnaires. These 22 questionnaires could therefore not be used in further analyses. Thus, for testing the hypotheses, 294 matched questionnaires (which means, employee-leader dyads) were used. The response rate was 60 %. Average age was 44 years ($SD = 10$) for leaders and 35 ($SD = 11$) for employees, and 76 % of leaders and 53 % of employees were male. For 87 %, supervisor-subordinate tenure was over six months.

Measures. Perceived ethical leadership was measured with the 38 ELW items administered in Dutch (see Table 3 for the full text of all items in English). The English version for each ELW item was developed through translation and back translation by experts. Employees also rated ethical leadership with the 10-item ELS (Brown et al., 2005). Cronbach's α was .81. Employees rated leader effectiveness using the same items as in Study 1. Employees rated trust in the leader. The Cook and Wall (1980) trust in management items used in Study 1 were rephrased to measure trust in supervisor, e.g. "I have complete confidence in my supervisor". Cronbach's α is .80.

Organizational citizenship behavior was assessed using 10 items from MacKenzie, Podsakoff and Fetter (1991) that were reformulated to be used as supervisor ratings. A sample item is: "is always ready to help or lend a helping hand to those around him/her". OCB was split in civic virtue (3 items), courtesy (4 items) and altruism (3 items). Cronbach's α were: courtesy .76, civic virtue .73, altruism, .78 and OCB combined .84. Employee effectiveness was assessed with two items: "How effective is the employee in his/her daily work?" and "To what extent is the overall functioning of the employee satisfactory". All items were rated on a 5-point scale. For effectiveness it ranged from 1 (*not at all*) to 5 (*very much so*), for all other items from 1 (*strongly disagree*) to 5 (*strongly agree*).

Results Study 2

The next step in the validation process was to conduct CFA's to reconfirm the ELW factor structure. The goodness of fit of the a priori seven-factor model was tested in comparison to 12 competing models varying from a single factor model to several six factor models. The results are presented in Table 5. We used different fit indicators (cf. Hu & Bentler, 1999): the chi-square (χ^2), comparative fit index (CFI \geq .96), non-normed fit index (NNFI \geq .96), standardized root-mean-square residual (SRMR \leq .08) and the root-mean-square error of approximation (RMSEA \leq .06). The results illustrate that the a priori seven-factor model, with fairness, role clarification, power sharing, people orientation, concern for sustainability, integrity and ethical guidance items loading on separate factors is the best fitting model, χ^2 seven-factor model (644, $N = 296$) = 1191.13, $p < .001$, NNFI = .97, CFI = .97, SRMR = .06, RMSEA = .05.

Table 5 - Comparison of alternative factor structures using confirmatory factor analyses, study 2^a

Model ³	χ^2 (df)	$\Delta \chi^2$ (Δdf) ²	RMSEA	NNFI	CFI	SRMR
7-factor model (ELW) ¹	1191.13 (644)	-	.05	.97	.97	.06
1-factor model	3145.78 (665)	1954.65** (21)	.14	.87	.88	.10
6-factor model (people orientation/power sharing)	1317.50 (650)	129.37** (6)	.06	.97	.97	.07
6-factor model (people orientation/fairness)	1469.04 (650)	277.91** (6)	.07	.96	.96	.07
6-factor model (people orientation/integrity)	1744.53 (650)	553.40** (6)	.09	.94	.95	.07
6-factor model (people orientation/ethical guidance)	1690.37 (650)	499.24** (6)	.09	.92	.95	.08
6-factor model (integrity/role clarification)	1538.69 (650)	347.56** (6)	.08	.95	.96	.08
6-factor model (ethical guidance/role clarification)	1465.21 (650)	274.08** (6)	.07	.96	.96	.07
6-factor model (integrity/fairness)	1608.45 (650)	417.32** (6)	.08	.95	.95	.08
3-factor model (people orientation/power sharing/fairness) (integrity/role clarification/ethical guidance)	2328.09 (662)	1136.96** (18)	.11	.92	.92	.08
5-factor model (people orientation/power sharing/fairness)	1574.70 (655)	383.57** (11)	.08	.95	.96	.07
4-factor model (people orientation/power sharing) (integrity/ fairness) (ethical guidance/role clarification)	1998.30 (659)	807.17** (15)	.10	.93	.94	.09
2-factor model (people orientation/power sharing/fairness. Integrity/ethical guidance/role clarification)	2890.26 (664)	1699.13** (20)	.01	.89	.89	.10

Note. *N* = 216. ^a Statistics reported are based on the use of a covariate matrix; ** *p* < .01. NNFI= Non-Normed Fit Index; CFI= Comparative Fit Index; SRMR= Standardized Root Mean Square Residual; RMSEA= Root Mean Square Residual.

1) Best fitting model; 2) All alternative models are compared to the 7-factor model;

3) 1-factor model: representing uni-dimensional ethical leadership. 6-factor models: representing two factors which are > .50 correlated representing one factor (see in table between brackets the name of the factors). 3-factor model: representing an empowering, transactional and environment factor. 5-factor model: representing an empowering factor and the other original factors separately. 4-factor model: representing people orientation and power sharing as one factor, integrity and fairness as one, ethical guidance and role clarification as one, finally concern for sustainability factor. 2-factor model: concern for sustainability and the other factors together as one factor.

We also tested and compared alternative models to the seven-factor model by testing the change in χ^2 . The difference in chi-square between the seven-factor and the one-factor model is 1954.65 (i.e., 3145.78-1191.13), which is distributed as chi-square with 21 (665-644) degrees of freedom. This value is statistically significant, suggesting that the a priori seven-factor model measuring the ELW fits significantly better than the one-factor model, in which all items load on one ethical leadership factor. We also tested other models, but none produced a better fit than the a-priori seven factor model. The one-factor model has worst fit and relatively poor fit indexes. One six-factor model (items of people orientation and power sharing loading on one factor) χ^2 ($df = 650, N = 296$) = 1317.50, $p < .001$ (NNFI = 0.97, CFI = 0.97, SRMR = 0.07, RMSEA = .06.) also showed good fit indices, but the chi-square difference, $\Delta\chi^2 = 129.37, df = 6$, indicates that the seven factor model fits the data better. The fit indicators and chi-square difference tests of other alternative models are shown in Table 5. In sum, the seven-factor model fit the data best and thus supports the proposed ELW factor structure and multidimensionality. The CFA confirms the findings from Study 1 and provides further evidence of the construct validity of the ELW.

To determine whether our ELW dimensions load on a second order overall ethical leadership factor we performed a second-order CFA, in which the individual ethical leadership items were modeled as indicators of their underlying dimensions (fairness, consistency, consideration, power sharing, role clarification, ethical guidance, concern for sustainability), which in turn were modeled as indicators of an overarching latent ethical leadership construct. This second-order factor structure also showed a good fit, χ^2 (658, $N = 278$) = 1224.95, $p < .01$, CFI = .97; NNFI = .97 RMSEA = .06; SRMR = .07. Thus, this CFA suggests a high second-order agreement among the constructs of the ELW subscales within the ethical leadership domain.

The Cronbach's α 's and intercorrelations of the ELW scales are presented in Table 6. All α 's are above .70. Intercorrelations are similar to those in Study 1 (ranging from $r = .16$ to $r = .57$). As expected, the ELW behaviors again correlated significantly and positively with the ELS (see Table 7). The correlations were similar to those in study 1, albeit somewhat lower. The average correlation between ELW scales and the ELS was $r = .58$. The correlation between people orientation and the ELS was highest ($r = .75$) and that with

Table 6 - Correlations among all variables, study 2

Variables	M	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
1 People orientation ^b	3.86	.66	(.90)															
2 Power sharing ^b	3.60	.56	.57**	(.75)														
3 Fairness ^b	3.92	.63	.55**	.47**	(.82)													
4 Role clarification ^b	3.78	.56	.45**	.33**	.25**	(.82)												
5 Integrity ^b	3.87	.76	.51**	.31**	.45**	.48**	(.90)											
6 Concern sustainability ^b	3.10	.75	.29**	.16**	.18**	.26**	.29**	(.79)										
7 Ethical guidance ^b	3.35	.60	.51**	.38**	.31**	.52**	.43**	.47**	(.88)									
8 ELS ^b	3.75	.46	.75**	.55**	.55**	.56**	.66**	.37**	.65**	(.81)								
9 Trust in leader ^b	3.94	.55	.61**	.44**	.56**	.50**	.63**	.34**	.50**	.71**	(.80)							
10 Leader effectiveness ^b	3.27	.67	.46**	.31**	.29**	.56**	.49**	.21**	.48**	.54**	.60**							
11 Employee effectiveness ^a	4.17	.69	.16**	.20**	.21**	.04	.11*	-.03	.00	.10*	.12*	.04						
12 OCB ^a	3.89	.48	.20**	.23**	.26**	.05	.08	.00	.03	.16**	.16**	.06	.61**	(.84)				
13 Altruism ^a	4.03	.61	.17**	.21**	.19**	.02	.04	-.06	-.01	.11*	.13*	.02	.38**	.81**	(.78)			
14 Courtesy ^a	3.78	.58	.17**	.18**	.21**	.09	.07	.06	.01	.16**	.13*	.06	.54**	.82**	.50**	(.76)		
15 OCB-I ^a	3.89	.51	.19**	.22**	.24**	.07	.07	.01	.00	.15**	.15**	.05	.53**	.94**	.83**	.90**	(.82)	
16 Civic virtue/OCB-O ^a	3.90	.63	.14**	.18**	.21**	.01	.07	-.03	.08	.11*	.13*	.05	.54**	.77**	.77**	.40**	.50**	(.73)

Note. *n* varies between 285 and 293 due to missing variables. Cronbach's alpha coefficients are displayed on the diagonal.

*) correlations are significant at $p < .05$; **) correlations are significant at $p < .01$

a = supervisor rated b = employee rated

concern for sustainability lowest ($r = .37$). These findings again support construct validity of the ELW.

All ethical leadership dimensions were significantly positively correlated with trust in the leader (ranging from $r = .34$ to $r = .61$) and perceived leader effectiveness (ranging from $r = .21$ to $r = .56$). Four of the seven dimensions, namely fairness, integrity, power sharing and people orientation were significantly and positively correlated with employee effectiveness (ranging from $r = .11$ to $r = .21$). Three of the seven dimensions, namely fairness, power sharing and people orientation were significantly and positively correlated with employees OCB (ranging from $r = .20$ to $r = .23$). These findings support the multidimensionality of ethical leadership.

To further assess whether the ELW dimensions add to the existing ELS measure, we conducted hierarchical regression analyses, first entering the uni-dimensional 10-item ELS scale (Brown et al., 2005) into the equation, followed by the set of dimensions of the ELW. Table 7 presents the results. If the ELW dimensions explain additional variance, this helps to further establish the validity of the ELW measure (see also Liden & Maslyn, 1998). The dependent variables were trust, OCB, leader effectiveness and employee effectiveness. The ΔR^2 for step two showed that the ELW as a set explained an additional 10 % of the variance in trust in the leader, 7 % of the variance in OCB, 12 % of the variance in leader effectiveness and 5 % of the variance in employee effectiveness after controlling for the ELS. The models of the additional variance explained by the ELW after controlling for the ELS were all significant. As Table 7 indicates, for all four dependent variables the ethical leadership dimensions as a group significantly explained variance, yet for each dependent variable only a subset of dimensions was significant. Thus, the ELW behaviors explained additional variance in all outcomes over and above the ELS.

To test potential relationships between ethical leader behaviors and outcome measures, we conducted an additional series of regression analyses without controlling for the ELS (not reported in the Table). These analyses indicate whether any ethical leader behavior explains variance in the dependent variable after accounting for the effects of the others, but not controlling for the ELS. The results are similar to those of the regression analyses in Table 7 in which we controlled for the ELS; the same ethical leadership dimen-

Table 7 - Summary of regression analyses

Variables	Trust in leader			Leader effectiveness			Employee effectiveness			OCB Total				
	Adj R ²	F	β	Adj R ²	ΔR^2	F	β	Adj R ²	ΔR^2	F	Adj R ²	ΔR^2	F	β
Step 1	.50**	289.95**		.29**	.30**	120.79**		.01	.01	3.02		.02**	.03**	7.33**
ELS			.71**				.54**				.10			.16**
Step 2	.59**	53.24**		.41**	.13**	25.81**		.05**	.07**	3.00**		.08**	.08**	3.8**
ELS			.27**				.11				-.10			.04
People orientation			.10*				.10				.12			.11
Power sharing			.02				.00				.15*			.14*
Fairness			.20**				-.02				.14*			.20**
Role clarification			.11*				.31**				-.02			.00
Integrity			.24**				.19**				.07			-.06
Concern for sustainability			.08*				-.05				-.05			-.03
Ethical guidance			.00				.13*				-.11			-.13

Note. *n* varies between 283 and 291 due to missing variables. All tests are one-tailed.

* $p < .05$; ** $p < .01$.

sions are relevant for each of the outcome variables, with one exception. The relationship between people orientation and leader effectiveness is significant here, but not when controlling for the ELS.

If we do not take the ELS into account, the set of ethical leadership dimensions together explained 7.8 % of the variance in overall OCB. More specifically, power sharing ($\beta = .14, p < .05$) and fairness ($\beta = .20, p < .01$) account for a unique proportion of the variance. The beta-weights of the other leader behaviors became non-significant when adjusted for the influence of the other ELW behaviors. Thus, hypothesis 3 is only partly supported. Regarding the separate OCB dimensions, when controlling for the other ELW behaviors only fairness had a significantly positive beta-weight for civic virtue ($\beta = .18, p < .05$) and courtesy ($\beta = .17, p < .05$), whereas for altruism only power sharing had a significant beta-weight ($\beta = .15, p < .05$). These differential effects again suggest ethical leadership is multi-dimensional.

The total model explained 57 % of the variance in trust and several ELW behaviors had a significant effect after controlling for the influence of the other elements, namely fairness ($\beta = .23, p < .01$), integrity ($\beta = .30, p < .01$), people orientation ($\beta = .19, p < .01$), role clarification ($\beta = .14, p < .01$), and concern for sustainability ($\beta = .09, p < .05$). Thus, hypothesis 4 is supported for fairness, integrity, people orientation and role clarification, but not for power sharing, ethical guidance and concern for sustainability.

The ELW behaviors together explained 41 % of the variance in leader effectiveness. Beta weights for integrity, people orientation role clarification and ethical guidance were positive and significant ($\beta = .32, p < .01, \beta = .22, p < .01, \beta = .14, p < .05, \beta = .16, p < .05$ respectively). The beta for people orientation is no longer significant after controlling for the ELS. Taken together, the results support hypothesis 5 for integrity, power sharing, people orientation, role clarification, ethical guidance and concern for sustainability, but not for fairness.

Finally, the ELW behaviors explained 5.4 % of the variance in supervisor-rated employee effectiveness. When controlling for all others, fairness ($\beta = .14, p < .05$) and power sharing ($\beta = .13, p < .05$) account for a unique proportion of the variance. Thus, the results partially support hypothesis 6, namely for the dimensions fairness and power sharing. Taken

together, the results support the multidimensionality of ethical leadership. Generally in line with expectations, the ELW behaviors with a significant beta weight varied depending on the dependent variable.

Discussion

The purpose of our studies was to contribute to the literature by developing the theory-based multidimensional Ethical Leadership at Work (ELW) questionnaire measuring ethical leadership including various related behaviors: fairness, role clarification, ethical guidance, people orientation, power sharing, integrity and concern for sustainability. Generally, the a priori seven factor structure was stable across two independent field samples and internal consistencies were good, supporting construct validity (cf. Hinkin, 1998). Providing further support for construct validity, ethical leader behaviors explained variance in trust, leader effectiveness, employee effectiveness and OCB after controlling for the ELS. This suggests the ELW measure meaningfully extends the ethical leadership field. Overall, our studies result in an ethical leadership measure of 38 items related to seven behaviors.

Convergent and Discriminant Validity.

In both studies, all seven ethical leader behaviors were significantly related to the uni-dimensional ethical leadership scale (ELS) of Brown et al. (2005) supporting convergent validity. Yet, the ELS and ELW scales also clearly differ. Also, as expected positive (but not too high) relationships were found with transformational and transactional leadership. Discriminant validity was demonstrated by the small or negative relations to constructs which should not be related to the ELW behaviors (passive and autocratic leadership). Also, the ELW was unrelated to employees' gender and age.

Criterion Related Validity.

We found support for ELW criterion-related validity as we could replicate results found in previous studies, namely positive relationships between ethical leader behaviors and commitment, satisfaction, leader effectiveness and trust. Further support for the validity and multidimensionality of our measure was provided by the regression results showing

that ELW behaviors contributed differently to the explanation of variance in the dependent variables. Its multidimensionality has both empirical and theoretical advantages over a uni-dimensional scale. For example, the separate dimensions may help us further unpack the different processes by which ethical leaders affect others. A complexity of the construct validity of a multi-dimensional construct according to Messick (1995) is that the measurement of constructs fails to include all dimensions and is thus too narrow or the measurement contains dimensions that are related to distinct constructs and is too broad. It could be that behaviors we do not consider ethical in our theoretical framework are not yet included in the ELW. Given that the ethical leadership field is in its early development and growing strongly, we should remain open the possibility of developing more detailed models of ethical leadership. Also, in some studies, such as those in which ethical leadership is not a key variable or short measures are required, a uni-dimensional measure such as the ELS forms an excellent alternative.

As stated in the result section of study 1, the concern for sustainability and concern for society scales need further development. The originally developed scale for environment orientation combined these items, but was empirically split into these two dimensions. The concern for society dimension was not supported as items did not cluster or load sufficiently. Thus, we only included concern for sustainability in the ELW. The relevance of concern for society may be context dependent. The difficulty with such items generally may be that they are mostly more abstract and less focused on the daily work and experiences of employees than the items of the other dimensions. Leaders' actions in regard to sustainability and/or society are not constantly visible and do not always have a direct impact on employees. Sample items for a future scale for concern for society could be: "my leader realizes his/her actions have an influence on the organization and the society" or "my leader is willing to invest in society". For future research it could be worthwhile to include economic concerns as well in the ELW measurement. Environment, society, and economy related activities are linked (Ferdig, 2007). For example, reducing energy use or recycling materials can reduce costs (i.e., economic concerns). Another direction for future research would be long term research, as sustainable leadership is described as enabling over time (Hargreaves & Fink, 2004; 2006).

In line with previous research (e.g., Brown et al., 2005; De Hoogh & Den Hartog, 2008) we found that ethical leadership is positively related to team and organizational commitment, trust, leader effectiveness and job satisfaction. More specifically, we found that leaders who show consistent behavior, guide ethical behavior, and clarify work roles were perceived as more effective. Also, both studies clearly show that ethical leadership is related to trust. Both our results and those of Brown et al. (2005) show higher associations between the ELS and trust than we found for the ELW. This is likely due to the ELS ethical leadership operationalization which includes an item about trust in the leader ("can be trusted"). We argue trust and ethical leadership are different constructs and should be distinguished.

Other significant findings that extend previous research include the relationship of ethical leadership (employee rated) with employee OCB (supervisor rated) and perceived employee effectiveness (supervisor rated). Study 2 shows that power sharing and fairness are important ethical leader behaviors for employee OCB. Employees who see their direct supervisor as sharing power are likely to behave responsibly, help others, and become involved in the organization. Leaders treating employees fairly also elicit OCB. The social exchange perspective suggests that employees may reciprocate fair treatment (cf. Cropanzano, & Mitchell, 2005). Social learning theory suggests employees are likely to copy the behavior of their leader and thus if the leader treats them fairly and respectfully, they become more likely to treat others in such a manner.

Contrary to expectations, none of the other ELW behaviors uniquely related to OCB. Podsakoff et al. (1996) found similar correlations between other leadership styles and OCB. Their results indicated that the context in which the leader operated was more important than the leader behavior itself. In future research, context variables should be included in ethical leadership studies (e.g., ethical dilemma situations). Who rates OCB may also make a difference. Here supervisor ratings were used. Peer-ratings may also be of interest as not all relevant behavior is best observed by the leader (e.g., altruism). The finding that some ethical leadership behaviors do not relate to OCB, but are related to other outcomes such as perceived leader effectiveness suggest that different aspects of ethical leadership may affect followers and the organizations in different ways, which supports the need for a multi-dimensional approach. The results for employee effectiveness were weaker.

The variability in these effectiveness ratings was rather limited, which may explain the low relationships between ethical leader behaviors and employee effectiveness. More elaborate measures of effectiveness may be needed to further study this relationship. Our main focus was the development of the ELW.

Although we followed the guidelines and steps for validation of psychological measurements, the conducted validation studies have limitations. For example, the meaning of a score may vary across people or settings implying that measurement validation is a continuing process (Messick, 1995). However, our measure was developed on a theoretical base, suggesting a stronger rationale for the meaning of a score (Messick, 1995). In other words, we start to demonstrate construct validity by relating the ELW to other measures based on theoretical explanations. A first step in a process of developing the validity of the ELW is thus made. Further research is needed to further assess construct validity. For example, other variables that need to be considered include authentic leadership and follower (un)ethical behaviors. As ethical leadership is a recent and strongly developing research field, other operationalizations of ethical leader behaviors could also be valuable. Additionally, alternatives for surveys such as experiments or coding of interviews could further our understanding of ethical leadership.

Limitations and Strengths

Taken together, the studies presented here have several strengths. Our samples represented a mix of job levels and sectors; results are relatively consistent across two field studies; and relatively large sample sizes and measures with sound psychometric properties were used. Further, in line with recommendations about scale development, item generation is based on the combination of interviews and theory (Hinkin, 1995). Also, the factor structure was tested on two independent samples. Hinkin (1998) stressed the importance of testing the reliability and factor structure of a newly developed measurement on independent samples to assess construct validity. A final strength is our investigation of both convergent and discriminant validity as both are important and form the basics of construct validity (Messick, 1995). We show positive as well as null or negative relationships between the ELW and other variables.

Nevertheless, there are also limitations. A limitation of the ELW is that three items had (low) cross loadings of .33, .34 and .38 on a second factor. Based on content we decided to keep the three items with their original factor. Also, the ELW shares potential limitations with other leadership measures (see Podsakoff et al., 2003). Recently, formative and reflective measurement models are distinguished. So far, leadership measures are typically developed along the reflective measurement model (cf., authentic, servant and transformational leadership). In line with this, the ELW was developed along the guidelines of the reflective measurement model. However, the formative method may also be used and might improve the development of leadership measures. We encourage future research to incorporate measurement model specification in more detail.

The ELW has a mix of positively and negatively worded items (with far more positive ones). Research has shown that negatively worded items could load on a separate factor (cf. Ibrahim, 2001). Others argue that negatively and positively worded items should be mixed to reduce response bias (Nunnally, 1978). For the negatively worded items we used either quotes from the interviews or items from existing scales. According to Rorer (1965) and Schriesheim and Eisenbach (1995) it is extremely difficult to reverse item content and not change the meaning of the item. Thus, we did not create negative items from positively worded items. We carried out additional CFA's that did not support a separate factor for the negatively worded items. Thus, the potential negative effects of negatively worded items do not seem obvious in the ELW.

Another limitation is the use of self-report measures for outcomes in study 1 introducing the possibility that common source variance inflated observed relationships. For some relationships the use of self-reports in these studies is justified by the nature of the variables examined (Spector, 1994). For example, when assessing attitudinal variables such as trust. Spector (2006) argues that self-report designs are useful as a first study and suggests properly developed measures are resistant to common source bias. To minimize the common method bias we also informed the participants about the anonymity of the study (cf. Spector, 2006). However, although Spector (2006) suggests that common method variance concerns may be overstated, we nevertheless encourage subsequent research to utilize multiple sources in future research whenever possible to avoid this potential confound. For

instance, leader effectiveness could be assessed through another source (e.g., supervisor) or through more objective performance measures. In this study, leader effectiveness was measured through the eyes of the employees. The participants were from various organizations and leaders had different tasks and thus it would be hard to find comparable objective performance measures. To examine whether common-method variance was a problem, we conducted the Harman single-factor test recommended by Podsakoff et al. (2003). This test assesses whether a strong amount of common-method bias causes variables to all load on a single factor. This was not the case. Thus, common-method variance did not account for the majority of associations between variables.

The data in study 1 was collected using a snowball method. Thus, sampling error may be a problem and no response rate could be calculated. However, the correlations between the study variables found in the multi-source study are similar to those found in the common-source study. Another concern is that the managers in study 2 chose the subordinates who participated in the study. This procedure is commonly used in leadership research and although ratings remain confidential the possibility exists that such selection method leads to a positive bias or restricts variance. Last concern is that employee effectiveness was assessed with two items. It would have been desirable to have more items to accurately and validly assess employee effectiveness. For future research, we also recommend measuring effectiveness using more objective rather than perceptive data. However, as stated above, in our studies respondents were employed in diverse organizations and had various tasks and thus finding comparable objective performance measures would have been hard.

Implications and Future Research

Distinguishing multiple ethical leader behaviors will help us understand when and how such behaviors differentially relate to employee and organizational variables. Although our results are encouraging, scale development is a continuous process. Future research should determine the validity of the ELW scales in different contexts and for different outcomes and as such expand its nomological network. Further research may focus on the investigation of the ELW in relation to other variables, such as employees' ethical behaviors.

In addition, moderators (e.g., ethical culture) that may influence the relation between ethical leadership and outcomes should be investigated as other leadership styles are often shown to affect employees in interaction with situational factors (e.g., Den Hartog, De Hoogh, & Keegan, 2007).

Although two independent studies were conducted among employees from different industries, functions and organizational levels, generalizability should be further addressed. The present studies were conducted in the Netherlands and replication of the findings and support for the validity of the ELW instrument in different contexts and countries is needed. So far, there is little research on ethical leader behaviors similar to those in the ELW in countries other than the Netherlands or on ethical leader behaviors across cultures. For example, due to the low power distance in the Netherlands power sharing by the leader may be more important than in cultures characterized as having higher power distance (cf. Den Hartog et al., 1999).

Nowadays many in society consider ethical concerns in decisions, including job applicants in determining whether to accept a job and costumers in purchasing a product (Turban & Greening, 1996). Organizations need leaders to behave ethically to achieve the organization's objectives in a socially responsible way and to protect their reputation. The development of a multi-dimensional instrument measuring ethical leadership thus has practical implications for organizations. The measure could give organizations an idea of the levels and types of ethical leader behavior shown by managers. Based on this, more specific training and development opportunities can be provided. So far, results on the effects of ethical leadership are positive; thus it may well be worthwhile for organizations to invest in the development of ethical behavior.

The current study investigated the discriminant, convergent and criterion-related validity of the ELW. The results highlight the importance of having a multi-dimensional measure of ethical leader behavior. Particularly in the multi-source study, the ethical leader behaviors related differently to followers' OCB and effectiveness. Future research can further examine the link between ethical leader behaviors and employee ethical conduct. Recently, a validated measure of employee ethical conduct has become available (Kaptein, 2008). In addition, the development of the environment oriented aspect of ethical leader-

ship is of importance for the field. Even or maybe especially in a global economic crisis, experienced leaders behaving with concern for the environment and all stakeholders are desirable.

Chapter 3

Ethical Leadership and Big Five Factors of Personality

Abstract

Most research on ethical leadership to date investigates the consequences of ethical leadership rather than its antecedents. Here, we aim to contribute to the field by studying leader personality as a potential antecedent of ethical leader behavior. In two multi-source studies, we investigated the relationships between personality traits and ethical leader behavior. Leader personality was measured through self-ratings using the five factor personality framework. Two subordinates rated their leaders' ethical behavior. Study 1 used a unidimensional ethical leadership scale. In Study 2 we used this scale as well as an instrument distinguishing three different ethical leader behaviors, namely fairness, role clarification and power sharing. Further, in study 2 we controlled for the influence of the relationship between leader and followers (LMX). As expected, conscientiousness and agreeableness were most consistently related to ethical leadership. In study 1, after controlling for the other personality traits, conscientiousness related positively with ethical leadership. In study 2, after controlling for other traits and LMX, conscientiousness related positively with ethical leadership and the behavior role clarification, and agreeableness with power sharing and fairness. Also, emotional stability related positively with ethical leadership and role clarification after controlling for LMX. As expected, openness to experience and extraversion were unrelated to ethical leader behaviors. ¹

¹) This chapter is based on: Kalshoven, K., Den Hartog, D.N., & De Hoogh, A.H.B. (under review). Ethical Leader Behaviors and Big Five Factors of Personality.

Introduction

Leaders are highly important for organizations to meet their goals. Nowadays, in addition to financial targets, organizations also need to meet environmental and societal responsibilities and leaders are expected to have an important role in stimulating the ethical climate at work (Dickson, Smith, Grojean, & Ehrhart, 2001). Ethical leadership and its development and promotion at all management levels are high on the agenda of many organizations, because such leaders are expected to have positive effects (cf. Brown, Treviño, & Harrison, 2005; Kanungo, 2001). So far, research on the correlates and effects of ethical leader behavior demonstrates mainly positive relationships with a variety of followers' attitudes and behaviors, such as commitment, satisfaction with the leader, trust, perceived leader effectiveness, and organizational citizenship behavior (e.g., Brown et al., 2005; De Hoogh & Den Hartog, 2008; Den Hartog & De Hoogh, 2009; Kalshoven, & Den Hartog, 2009, Kalshoven, Den Hartog, & De Hoogh, in press; Mayer, Kuenzi, Greenbaum, Bardes, & Salvador, 2009; Piccolo, Greenbaum, Den Hartog, & Folger, 2010). Far less, however, is known about antecedents of ethical leadership. This study aims to explore leader personality traits as potential antecedents of perceived ethical leader behavior.

Research shows that personal characteristics affect leaders' influence (Anderson, Spataro, & Flynn, 2008). However, we do not yet sufficiently understand why some people in a leadership situation choose to influence others through ethical behaviors manner whilst others choose less ethical behaviors. Traits are likely to play a role in this. So far, however, research has mainly focused on consequences rather than the antecedents of ethical leader behavior, though theory does predict individual differences will play a role in ethical leadership (Brown & Treviño, 2006). Expanding our knowledge of the antecedents of ethical leadership is crucial, because only when such antecedents are known, organizations can purposefully influence the selection, training, and development of such leaders and in turn benefit from the positive outcomes of ethical leadership. For example, if ethical behavior is associated to stable traits, organizations may wish to more specifically aim to select leaders who are high on these traits to stimulate ethical behavior on the work place.

Previous literature has proposed that various individual differences are likely to be associated with ethical leadership, including level of cognitive moral development, concern

for people, reliability, and responsibility (cf. Bass & Steidlmeier, 1999; Brown et al., 2005; Brown & Treviño, 2006; De Hoogh & Den Hartog, 2008; Turner, Barling, Epitropaki, Butcher, & Milder, 2002). Although many of the proposed relationships have not yet been examined, preliminary research shows interesting results. For example, De Hoogh and Den Hartog (2008) found that highly socially responsible leaders are perceived as more ethical. Also, Mayer, Aquino, Greenbaum and Kuenzi (2008) found that leader moral identity is related to ethical leadership. In this study, we will focus on the “Big Five” personality traits. The “Big Five” are believed to be basic underlying trait dimensions of personality (e.g., Goldberg, 1990) and have been recognized as genetically based, relatively stable, and cross-culture generalizable (e.g., McCrae & Costa, 1997). Research demonstrates that stable individual differences in related (effective) leadership styles do exist (e.g., Judge, & Bono, 2000; Judge, Bono, Ilies, & Gerhardt, 2002a). Another argument to focus on the Big Five is that integrity tests are not clearly distinguishable from the Big Five dimensions measures (Becker, 1998; Sackett & Wanek, 1996). Integrity was found to correlate consistently with conscientiousness, agreeableness, and emotional stability (cf. Marcus, Höft, & Riediger, 2006; Ones, Viswesvaran, & Dilchert, 2005). These three traits are also suggested to be important for leaders to be perceived as ethical (Brown & Treviño, 2006).

Although three of the “Big Five” traits (conscientiousness, agreeableness & emotional stability) are mentioned as potentially important antecedents of ethical leadership (e.g., Brown & Treviño, 2006; De Hoogh & Den Hartog, 2009a), to our knowledge there is only one published article that has actually tested these relationships. Walumbwa and Schaubroeck (2009) found positive relationships of conscientiousness and agreeableness with ethical leadership. However, they did not find the proposed relationship with emotional stability and did not control for the other two Big Five traits (openness to experience & extraversion). As their findings are not completely in line with the propositions in the literature, additional research seems warranted. In addition, controlling for the influence of openness and extraversion is needed and replicating findings in another country and context will help determine whether findings are stable and generalizable. Finally, where Walumbwa and Schaubroeck take a uni-dimensional view of ethical leadership, we include multiple behavioral dimensions of ethical leadership and control for the quality of the relationship between leader and follower.

In sum, the main aim of our study is to further test the relationship between ethical leader behavior and the Big Five traits. In line with available theory, we expect that conscientiousness, agreeableness, and emotional stability relate positively to ethical leader behavior (e.g., Brown & Treviño, 2006; De Hoogh & Den Hartog, 2009a; Walumbwa & Schaubroeck, 2009). We test these relationships between leaders' self-ratings of personality and subordinate ratings of ethical leader behavior in two multi-source studies. In study 1, we investigate the relationship between the proposed traits and a uni-dimensional measure of ethical leadership, controlling for extraversion and openness to experience to confirm and extend the findings of Walumbwa and Schaubroeck (2009). Next, in study 2, we extend this research by also controlling for the relationship between leader and employees (LMX) and by including both a uni-dimensional and an available multi-dimensional measure of ethical leader behavior.

Ethical Leadership

Nowadays, ethical aspects of leader behavior are taken into consideration within various leadership styles. For example, transformational leadership has been described as incorporating an ethical component. Some authors suggest that transformational leaders could behave either ethically or unethically and these different forms are distinguished as authentic (i.e., ethical) transformational and pseudo (i.e., unethical) transformational leadership (Barling, Christie, & Turner, 2008; Bass & Steidlmeier, 1999). Pseudo-transformational leaders have motives or intentions that are not legitimate and they aim for undesirable goals, whereas authentic transformational leaders have a strong moral compass and serve the organization (Bass & Steidlmeier, 1999). Dasborough and Ashkansy (2002) argue that followers may not be able to distinguish easily between authentic and pseudo transformational leadership as the behaviors shown by such leaders are similar. Another leadership style some describe as containing an ethical component is authentic leadership (e.g., Avolio, & Gardner, 2005; May, Chan, Hodges, & Avolio, 2003), however, others do not see ethics as a necessary component of authentic leadership (e.g., Shamir, & Eilam, 2005; Sparrowe, 2005). Thus, the leader's focus on ethics represents only one aspect of these broader leadership styles.

Recent research has started to consider ethical leadership as a set of behaviors or a separate leadership style, rather than focusing only on an ethical component within another leadership style (e.g., Brown et al., 2005; De Hoogh & Den Hartog, 2009a; Kalshoven et al., in press). Brown and colleagues (2005) were among the first to study ethical leadership as a separate style and define ethical leadership as “the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication, reinforcement and decision-making.” These authors take a social learning perspective (e.g., Brown & Treviño, 2006). Social learning theory highlights that leaders are role models of appropriate behaviors and emphasizes that people learn from reward and punishment (Bandura, 1986). In other words, ethical leaders use transactional efforts (i.e., communication, rewarding, punishing) as well as role modeling of desired behavior to stimulate subordinates ethical behavior (Brown et al., 2005; Treviño, Brown, & Hartman, 2003). Other authors conceptualize ethical leadership more in terms of a basic tension between altruistic and egoistic motives (e.g., Aronson, 2001; Turner et al., 2002). Kanungo and Menconca (2001) expect an ethical leader to be driven by a system of accepted beliefs and appropriate judgments instead of self-interest, which is beneficial for followers, organizations and society.

Brown and colleagues (2005) developed a ten item uni-dimensional measure of ethical leadership combining various ethical leader behaviors into an overall construct (e.g., acting fairly, allowing voice, and rewarding ethical conduct). Walumbwa and Schaubroeck (2009) also use this uni-dimensional measure in their study of ethical leadership and traits. Other authors see the ethical leader behaviors that are combined in this measure as theoretically different and argue that these behaviors may have different antecedents and consequences and should ideally be measured separately (e.g., De Hoogh & Den Hartog, 2008; Kalshoven et al., in press; Resick, Hanges, Dickson, & Mitchelson, 2006). As with other leadership styles (e.g., transactional or transformational), the identification of multiple dimensions increases the comprehension of the relationships with antecedents and consequences. De Hoogh and Den Hartog (2008) distinguish different behavioral components as part of the ethical leadership style. Based on the theoretical work of Brown et al. (2005) and Treviño et al. (2003), they identify and separately measure three related but

distinguishable ethical leader behaviors, namely fairness, power sharing, and role clarification (cf., Kalshoven & Den Hartog, 2009).

First, *fairness* is seen as an important element of ethical leader behavior (Brown et al., 2005; Treviño et al., 2003). Behaviors that are part of the fairness component are making fair choices, showing trustworthy and honest behavior, not practicing favoritism, and taking responsibility for one's own actions (De Hoogh & Den Hartog, 2008). Second, *power sharing* is labeled as a behavioral component of ethical leadership by De Hoogh and Den Hartog (2008). Several authors argue that ethical leadership has an empowering element (e.g., Resick et al., 2006). Ethical leaders provide subordinates with voice, ask for and listen to their input, and allow them to share in decision-making on issues that concern their tasks (e.g., Brown et al., 2005). Third, De Hoogh and Den Hartog (2008) distinguish *role clarification* as ethical leader behavior and suggest such leaders communicate transparently and respectfully, while clarifying responsibilities, expectations, and performance goals. Open communication and transparency towards subordinates helps them knowing what is expected from them and understand when their performance is up to par. Subordinates do not worry unnecessarily and know how they can meaningfully contribute to meeting unit goals. In Study 1 we use Brown et al's (2005) uni-dimensional scale and in Study 2 we include both Brown et al's (2005) uni-dimensional scale and the three ethical leader behaviors as measured by De Hoogh and Den Hartog (2008) to operationalize ethical leader behavior.

The Five Factor Model and Ethical Leadership

The Five Factor view of personality describes an emerging consensus on the structure of personality in five main factors, often labeled Extraversion, Agreeableness, Conscientiousness, Emotional Stability and Openness to Experience (e.g., Costa & McCrae, 1992; Digman, 1990; Goldberg, 1990). The Big Five traits are found consistently using different research methods and have been recognized as genetically based, stable and cross-culture generalizable (e.g., Costa & McCrae, 1988; Digman & Shmelyov, 1996; McCrae & Costa, 1997). The Five Factor model provides a comprehensive theoretical framework for comparing empirical findings among researchers. Here we aim to test how the "Big Five" relate to ethical leadership.

Many studies and several meta-analyses found significant relationships of the Big Five traits with different leader behaviors and with leader effectiveness (e.g., De Hoogh, Den Hartog, & Koopman, 2005; Judge & Bono, 2000; Judge, Bono, Ilies, & Gerhardt, 2002a; Lim & Ployhart, 2004). Although relationships between personality and leadership typically do not tend to be high, meta-analyses do show they are consistent and stable effects (e.g., Bono & Judge, 2004). In their theoretical review, Brown and Treviño (2006) suggest there is likely to be a link between ethical leadership and the Big Five traits conscientiousness, agreeableness and neuroticism. Similarly, De Hoogh and Den Hartog (2009a) suggest that agreeableness and conscientiousness are likely to be important for ethical leadership.

So far, research on the Big Five personality traits and ethical leadership has been very limited. As mentioned, Walumbwa and Schaubroeck (2009) tested the relationships of three of the five traits with overall ethical leadership and found positive correlations for agreeableness and conscientiousness but not for emotional stability. Related research also suggests positive relationships between ethical leadership and conscientiousness, agreeableness and possibly emotional stability. For example, Sackett and Wanek (1996) report that integrity tests correlate with conscientiousness, agreeableness and emotional stability. Also, Mayer, Nishii, Schneider and Goldstein (2007) found that agreeableness, conscientiousness and neuroticism were the three most important leader traits for creating a justice climate. Below, we focus on the three traits for which strong theoretical linkages with ethical leader behaviors exist (conscientiousness, agreeableness and emotional stability) and in the two studies we also include and control for the two remaining Big Five traits (extraversion and openness).

Conscientiousness

The trait conscientiousness consists of two main facets, namely dependability reflecting being thorough, dutiful, responsible, and organized, and achievement representing the capacity to work hard and meet challenges (Digman, 1990; McCrae & Costa, 1987; Mount & Barrick, 1995). Highly conscientious individuals tend to think carefully before acting and adhere closely to their moral obligations and perceived responsibilities (Costa & McCrae, 1992). This is relevant for leaders to be perceived as ethical. Ethical leaders behave

consistently, set clear guidelines for appropriate behavior and clarify what is expected of employees and thus conscientiousness is expected to be positively related to ethical leadership (Brown et al., 2005; De Hoogh & Den Hartog, 2008). By acting dutifully themselves leaders high on conscientiousness are likely to be seen as role models of appropriate behavior. This is in line with the social learning framework Brown and colleagues (2005) apply to ethical leadership.

The duty element of conscientiousness (i.e., responsible, dependable, deliberate) may make individuals more likely to do the right thing, not only for themselves, but also for others (Moon, 2001). In line with this, we expect a positive relationship with the ethical leadership dimension fairness. In addition, leaders high on conscientiousness are expected to behave consistently and thus also treat subordinates in a consistent way (Mayer et al., 2007). Leaders high on fairness are less likely to show favoritism among employees.

Also, conscientiousness reflects the tendency to adhere to codes of conduct and follow protocols and policies (Costa, McCrae, & Dye, 1991). In doing so, leaders high on conscientiousness are likely to follow the rules and work transparently. In addition, highly conscientious individuals prefer personal responsibility (Witt, Burke, Barrick, & Mount, 2002). This combination of modeling responsibility and being transparent is likely to translate in leaders' careful attention to clarifying responsibilities and demands so that employees understand what goes on and know what is expected of them. Conscientiousness individuals see sharing relevant information with others as part of their duty (Mayer et al., 2007). In line with this, Sheppard and Lewicki (1987) found that leaders high on conscientiousness are more expected to communicate important information to their employees. Thus, conscientiousness is likely to be positively related to the dimension role clarification.

Power sharing is not expected to be related to conscientiousness. Highly conscientious individuals tend to be achievement oriented. House (1996) noted that achievement motivated individuals are focused on accomplishments through personal effort rather than delegation of power and responsibilities. In other words, the focus on personal accomplishment of achievement motivated leaders may cause them to try to retain strong control over all possible aspects of their position rather than delegate and to aim for maximizing their own rather than collective success (e.g., Spangler & House, 1991). We hypothesize:

Hypothesis 1: Conscientiousness will be positively related to ethical leadership and the ethical leader behaviors fairness and role clarification.

Agreeableness

Agreeableness reflects the tendencies to be kind, gentle, trusting, honest, altruistic, and warm (Goldberg, 1990; McCrae & Costa, 1987). Leaders high on agreeableness deal with maintenance of social relations (Jensen-Campbell & Graziano, 2001). Also, they are sensitive to the needs of subordinates. Ethical leaders are described as caring, altruistic and concerned about the welfare of employees, and therefore agreeableness is expected to relate positively to ethical leadership (Kanungo, 2001; Treviño et al., 2003). Agreeable individuals are described as caring and emphatic to others. This suggests leaders high on agreeableness are likely to treat employees in a fair and respectful manner and to attempt to not offend them. Additional support for the link between agreeableness and fairness relates to the straightforwardness element of agreeableness (McCrae & Costa, 1987). Straightforwardness reflects being honest, sincere and truthful in dealing with others (Costa et al., 1991), which implies behaving fairly. Also, being straightforward and trusting as a leader, makes it easier to delegate and share sensitive information, which means that agreeable individuals as leaders may be more likely to share their power. Also, leaders high on agreeableness are expected to provide justifications to subordinates about decision making, because of their sympathetic and sensitive characteristics (Mayer et al., 2007). This again suggests a link with power sharing.

We do not expect a relationship of agreeableness with role clarification. Role clarification is task related leader behavior. Agreeable individuals are more likely to focus on relational aspects (Costa et al., 1991). Agreeable individuals tend to be overly compliant and thus may adjust their behavior in trying to accommodate others (Graziano & Eisenberg, 1977) and therefore we do not expect agreeableness to be related to role clarification. We hypothesize:

Hypothesis 2: Agreeableness will be positively related to ethical leadership and the ethical leader behaviors fairness and power sharing.

Emotional Stability

Emotional Stability forms the opposite of Neuroticism, which is being anxious, unstable, stressed and impulsive. Generally, neurotic people are less likely to be perceived as leaders (Hogan, Curphy, & Hogan, 1994). In their meta-analysis, Judge et al. (2002a) found neuroticism to be negatively related to leadership emergence. Leaders high on neuroticism are anxious, depressed, stressed and moody (McCrae & Costa, 1987) and thus such leaders are less likely to be seen as role models (Bono & Judge, 2004). In addition, Judge, Erez, Bono and Thoresen (2002b) found that neuroticism is related to lower self-esteem and self-efficacy. Social learning theory (cf. Bandura, 1986) suggests that individuals with low self-esteem and self-efficacy have low confidence in their own abilities and therefore are less likely to be perceived as role models and less able to guide others. As role modeling of appropriate behaviors is an important element of ethical leadership (e.g., Brown et al., 2005; Treviño et al., 2003) a negative relationship with neuroticism is expected.

Low self-efficacy is also related to the use of coercive power (Goodstadt & Kipnis, 1970), rather than allowing others input and voice. Allowing voice and power sharing are aspects of ethical leadership and we thus expect a negative relationship between power sharing and neuroticism. A negative relation between neuroticism and role clarification is also expected as neurotic individuals are less likely to provide relevant information to others. Neurotic individuals are expected to only share information that is easy to share or which is less emotionally stimulating (Mayer et al., 2007). This implies neurotic leaders are less likely to communicate openly and honestly about their expectations of subordinates (i.e., role clarification).

In their review, Brown and Treviño (2006) propose a negative relation between neuroticism and ethical leadership and as outlined above we also expect that neurotic individuals are less likely to be perceived as showing ethical behavior. However, research has also found that individuals high on neuroticism are less seen as leaders in general (Judge et al., 2002a; Hogan et al., 1994). This suggests a restriction of range may occur as highly neurotic individuals will likely less often be found in leadership positions. Also, Walumbwa and Schaubroeck (2009) did not find a relationship with ethical leadership. We thus expect that neuroticism is not strongly linked to ethical leadership. Overall, we expect that ethical

leaders are somewhat lower on neuroticism as such leaders are not expected to express negative emotions, behave impulsively or to have low self-confidence (Brown et al., 2005; McCrae & Costa, 1987). Rather, ethical leaders are likely to be relatively emotional stable as emotional stable individuals are confident, secure and steady (Judge & Bono, 2001). We hypothesize:

Hypothesis 3: Emotional stability will be positively related to ethical leadership and the ethical leader behaviors role clarification, fairness and power sharing.

Method Study 1

Although we offered hypotheses concerning only three of the Big Five traits (conscientiousness, agreeableness, and emotional stability), we included the remaining two traits in all the models. First, as the Big Five has not often been related to ethical leadership and the study of Walumbwa and Schaubroeck (2009) did not include these other two traits, we felt that the inclusion of these dimensions could provide valuable information to support the theoretical reasoning for not expecting any relationships. As other leadership styles such as transformational leadership do typically relate to extraversion, not finding a relationship with extraversion for ethical leadership can help further distinguish ethical leadership from other leadership styles. Second, to determine the independent contribution of conscientiousness, agreeableness and emotional stability, it is relevant to include the other dimensions as well, because the Big Five traits are not entirely orthogonal (Digman, 1997). The overall goal of this first study was to replicate and extend the findings of Walumbwa and Schaubroeck (2009) on conscientiousness, agreeableness and emotional stability in a different country while controlling for extraversion and openness to experience.

Participants and Procedures

The sample consisted of managers and two of their direct subordinates in various organizations in the Netherlands. For this sample, graduate students at the Work and Organizational Psychology department of a Dutch University voluntarily provided names and addresses of management contacts. These contacts were invited to participate in our study (a

total of 150 managers were contacted). Survey packets were sent to the 98 managers that agreed to participate. Packets contained one questionnaire to be completed by the manager and two questionnaires to be completed by subordinates. Subordinates were chosen by the managers. Packets also contained postage paid envelopes to directly return each questionnaire. A separate letter with each questionnaire explained the importance and procedure of the study as well as the voluntary nature of participation and encouraged participants to answer honestly and openly. Finally, we explained the codes on the questionnaires to link the leader and follower data and provided contact information of the researchers in case of questions. A total of 91 supervisor and 182 subordinate questionnaires were returned. A complete set of questionnaires per manager contained one supervisor and two subordinates' questionnaires. In total, 90 complete sets of questionnaires were obtained. The response rate among those who agreed to participate was 93 % (i.e., 90 out of 98 sets that were sent out to managers who agreed to participate were returned). Managers' average age was 39 ($SD = 11$) and for subordinates' it was 30 ($SD = 10.5$) and 68 % of the managers and 48 % of the subordinates were male. Participants worked in different sectors, including financial and business services, health care and construction. For 75 % of the respondents' supervisor-subordinates tenure was over six months.

Measures

Personality. Personality was assessed with items from the IPIP version of the NEO (Goldberg, 1999). The 10-items scales were used. A sample item of the *Extraversion* scale is "Feel comfortable around people". A sample item for *Agreeableness* is "Accept people as they are" and for *Conscientiousness* is "Pay attention to details". A sample item of the *Emotional Stability* scale is "Feel comfortable with myself" and of *Openness to Experience* is "Have a vivid imagination". The Cronbach's α 's of the scales were .79 for Neuroticism, .73 for Extraversion, .68 for Agreeableness, .76 for Conscientiousness and .63 for Openness. The reliability value obtained for openness to experience was somewhat lower than reported in the manual (Goldberg, 1999). Although the reason for this difference was unclear, other research also reports low alphas for openness (cf., alpha of .69 and .62, NEO 12- items version in Thoresen, et al., 2004). The response scale ranged from 1 (*to no extent*) to 5 (*to a great extent*).

Ethical leadership. Ethical leadership was measured with the 10 items uni-dimensional Ethical Leadership Scale (ELS; Brown et al., 2005). A sample item is: "Listens to what employees have to say". The Cronbach's α was .86. The response scale ranged from 1 (*strongly disagree*) to 5 (*strongly agree*).

Method Study 2

In Study 2 we operationalized the Big Five personality traits with a different measure using more items per trait to test whether the relationships are stable. Also, both uni- and multi-dimensional measures of ethical leader behavior were used. We also added additional control variables. First, we control for context as the leaders in this study were working in various organizations. We also control for managerial level and number of direct reports. Finally, trying to account for potential halo ratings based on the relationship between leader and follower seems appropriate (cf., Murphy, 1982; Cooper, 1981). Typically a measure of Leader-Member-Exchange (LMX) can accomplish this as controlling for LMX can extract variance due to high quality or low quality relationships. As noted by Engle and Lord (1997), discrepancy between leader and employee implicit leadership theories may be important since discrepancies may influence perceived similarity and identification with the dyadic partner, which provide a basis for common understanding, and permit more automatic, intuitive social interactions. The behavior of both members of the dyad (i.e., leader and employee) is likely to align with expectations and both members are likely to interpret behavior similarly. In combination these processes should produce greater liking and higher quality relationships as assessed by LMX. Therefore we decided to control for LMX.

Participants and Procedure

The sample consisted of managers and their subordinates from diverse hierarchical levels of different organizations in the Netherlands. We aimed to get a broad sample somewhat similar to the first study and thus for this study asked students at the Business School of the same Dutch university to voluntarily provide personal management contacts, who were then invited to participate in our study. Survey packets were sent to all 287 managers that agreed to participate. Packets contained one questionnaire to be completed by

the manager and two questionnaires to be completed by subordinates who were chosen by the managers. Packets also contained postage paid envelopes to directly return each questionnaire and letters with each questionnaire that explained the importance and procedure of the study and the voluntary nature of participation, assured confidential treatment of the data, provided contact information of the researchers, and promised all interested participants that they could receive a research report after the study. After two weeks, all managers received a reminder.

In total, 195 supervisor and 360 subordinate questionnaires were returned. A complete set of questionnaires per manager contained one supervisor and two subordinates' questionnaires. Incomplete sets of questionnaires were eliminated from the sample, 150 complete sets remained. The response rate for complete sets of questionnaires was 52 %. Managers' and subordinates' average age was 43 ($SD = 10$) and 35 ($SD = 11$) respectively and 77 % of the managers and 54 % of the subordinates were male. Participants worked in different sectors, including financial and business services, health care, government, education, construction, trade, and catering. For 85 % of the respondents' supervisor-subordinates tenure was more than six months.

Measures

Personality. In study 2, we used a different operationalization of personality characteristics with more items per factor, because the alphas were somewhat low in study 1. At study 2, personality was assessed with items from a Dutch version of the IPIP (Goldberg, 1999; see e.g., Giberson, Resick, & Dickson, 2005). The measure is labeled the Five Factor Personality Inventory (FFPI; Hendriks, Hofstee, & De Raad, 1999). A 70-item version with 14 items for each of the five personality traits was used (cf. Judge, Van Vianen, & De Pater, 2004). In previous studies, the FFPI personality traits showed strong internal consistencies and good convergent validities with the Revised NEO Personality Inventory (see Hendriks, 1997). A sample item of the *Extraversion scale* is "Avoids contacts with others" (reverse coded), for *Agreeableness* is "Respect others' feelings" and for *Conscientiousness* is "Does things according to a plan". A sample item of *Emotional Stability* is "readily overcomes setbacks" and of *Openness to Experience* is "Can easily link facts together". The Cronbach's α 's

ranged from .83 to .86. The response scale ranged from 1 (*to no extent*) to 5 (*to a great extent*).

Ethical leadership. As in study 1, ethical leadership was measured with the 10 items uni-dimensional Ethical Leadership Scale (ELS; Brown et al., 2005). The Cronbach's α in study 2 was .81. In addition, ethical leadership was also assessed with a multi-dimensional measure that included fairness, power sharing and role clarification, developed by De Hoogh and Den Hartog (2008) (also used in other research, e.g., Kalshoven & Den Hartog, 2009; Kalshoven et al. in press). *Fairness* (6 items) includes leaders' honesty, taking responsibilities, fair treatment and being dependable. A sample item is: "Manipulates subordinates (reverse coded)". Cronbach's α was .84. *Power sharing* (6 items) focuses on providing voice and opportunities for input. A sample item is: "Allows subordinates to influence critical decisions". Cronbach's α was .74. *Role clarification* (5 items) refers to clarification of expectations and responsibilities and engaging in open communication. An example is: "Clarifies priorities". Cronbach's α was .82. All leadership items had a 5-point response scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*).

Control variables. As noted above, we controlled for Leader-Member-Exchange (LMX) to control for the potentially biasing impact of the quality of the relationship between leader and follower. LMX was assessed using 7 items from Graen and Uhl-Bien (1995). Cronbach's α was .82. A sample item is "How would you characterize your working relationship with your leader?" In addition, we controlled for the number of direct reports, managerial level and gender of the leader. As noted above our sample included 77 % male leaders and 50 % of the leaders indicated to work at higher management levels. For 30 % of the leaders, the number of direct reports was 5 or less, another 30 % had between 6-10 and 40 % had more than 10 direct reports.

Results

Descriptives, Measures and Aggregation

Table 1 shows the means, standard deviations and intercorrelations for all variables in both studies. For study 1, we performed a Confirmatory Factor Analysis (CFA) to show that the 10 items measuring ethical leadership are adequate indicators of their underlying

Table 1 - Means, standard deviations and correlations among variables study 1 and 2

Variables	Study 1		Study 2		1	2	3	4	5	6	7	8	9
	M	SD	M	SD									
1 Openness to experience	3.14	.50	3.96	.40	.01	.38**	-.08	.11	.16				
2 Extraversion	3.77	.50	3.97	.43	.26**		.46**	.37**	.40**	.17			
3 Agreeableness	3.53	.47	3.79	.43	-.09	.23**	.12	.25**	.24*				
4 Conscientiousness	3.93	.48	3.51	.45	.04	.13	.35**	.54**	.26**				
5 Emotional stability	3.80	.60	4.22	.42	.32**	.23**	.25**	.16*	.11				
6 ELS	3.76	.46	3.77	.37	.01	.02	.15*	.23**	.08				
7 Fairness	-	-	3.91	.53	-.02	.09	.18*	.06	.01	.60**			
8 Power sharing	-	-	3.63	.45	-.02	-.02	.22**	.08	.02	.56**	.47**		
9 Role clarification	-	-	3.80	.45	.12	.05	-.05	.23**	.14*	.53**	.17**	.19**	
10 LMX	-	-	3.61	.44	.02	.05	.08	.13	-.06	.76**	.59**	.52**	.42**

Note. Values in the top half of the table represent correlations among variables in study 1; $N = 89$ (due to missing values of one leader). Correlations on the bottom half of the table represent correlations among variables in study 2; $N = 150$.

*) $p < .05$; **) $p < .01$. All tests are one-tailed.

construct. CFA showed a good fit for the one factor-structure with the ELS items loading on one factors, χ^2 one-factor model (35, $N = 168$) = 82.96, $p < .01$, CFI = .96; NNFI = .95; RMSEA = .090; SRMR = .059 (cf. Hu & Bentler, 1999).

For study 2, we performed a Confirmatory Factor Analysis (CFA) to show that the multiple scales of ethical leadership are distinguishable. CFA showed a good fit for the four factor-structure with the fairness, role clarification, power sharing and the ELS items loading on separate factors, χ^2 four-factor model (293, $N = 288$) = 656.11, $p < .01$, CFI = .95; NNFI = .94 RMSEA = .070; SRMR = .068 (cf. Hu & Bentler, 1999). This four-factor model provided a better fit to the data than the one-factor model (119, $N = 288$) = 1245.76, $p < .01$, CFI = .86; NNFI = .85 RMSEA = .13; SRMR = .10.

To investigate whether aggregating subordinates' responses to characterize ethical leader behaviors of their managers was justified, we completed one way-analyses of variance with leaders as the independent variable and the mean scores of two subordinates for the leadership variables as dependent variables (see Bliese, 2000). We calculated the intra-class correlation coefficient ICC(1), which forms an estimate of the degree to which subordinates of the same leader answer similarly (cf. Shrout & Fleiss, 1979). ICC(1)'s values for the ELS was .47 in study 1 and .27 in study 2. In study 2, ICC(1) values were .32 for fairness, .32 for power sharing, .24 for role clarification, and .28 for LMX. These ICC(1) values are all above the median of perceptual agreement of .12 reported in previous literature (ranging from .00 to .50; James, 1982). We also calculated a within-leader correlation (rwg) to assess the amount of agreement across subordinates (James, Demaree, & Wolf, 1984). The rwg ranged from .84 to .93, indicating good agreement. Combined, these statistics support aggregating these variables to the leader level.

Hypothesis Tests

To test the hypotheses linking three of the Big Five traits to ethical leader behavior, we looked at both correlations and regression analyses (cf. Judge & Bono, 2000). In addition to the correlates, we report a series of regression analyses in which the effect of each Big Five trait is adjusted for the influence of the other traits (cf. Judge & Bono, 2000). Table 2 provides the regression results for study 1 and Table 3 for study 2. Taking the results of

both studies together, in line with expectations, conscientiousness was most consistently significantly positively related with ethical leader behaviors. Also, as expected, openness to experience and extraversion were not related to any of the ethical leader behaviors in either studies.

Study 1. In line with hypothesis 1, results show that conscientiousness was positively and significantly correlated with the uni-dimensional ELS ($r = .26, p < .01$). Also, supporting hypothesis 1, the regression results show that after controlling for the other traits, conscientiousness was related to ethical leadership measured with the ELS ($\beta = .30, p < .01$). In line with hypothesis 2, agreeableness was also positively and significantly correlated with the ELS ($r = .24, p < .05$). However, the regression results show that after controlling for the other traits, agreeableness did not show the expected unique significant positive relationship ($\beta = .17, ns$). Thus, in study 1 hypothesis 2 was not supported. Finally, in line with the findings of Walumbwa and Schaubroeck (2009), we found no relationship between emotional stability and ethical leadership (ELS) ($r = .11; \beta = .12, ns$). Thus, hypothesis 3 is not supported in study 1. In study 1, conscientiousness is the only leader personality trait that is significantly and positively related to ethical leadership after controlling for the other personality traits.

Table 2 - Results of regression analyses for Five Factor personality explaining overall ethical leadership, study 1

Variable			
Openness to experience	.13	Adj. R ²	.78*
Extraversion	.03	R ²	.13*
Agreeableness	.17	F	2.49*
Conscientiousness	.30**		
Emotional stability	.12		

Note: $N = 89$ (due to missing values of one leader)

* $p < .05$; ** $p < .01$. All tests are one-tailed.

Study 2. In line with hypothesis 1, results of study 2 show that conscientiousness was positively and significantly correlated with the uni-dimensional ELS ($r = .23, p < .01$) as well as with role clarification ($r = .23, p < .01$). As expected, power sharing and conscientiousness were not related. However, unexpectedly, conscientiousness and fairness were not related either ($r = .06, ns$). The regression results show that after controlling for the other traits as well as for managerial level, gender, number of direct reports and LMX, conscientiousness was related to role clarification ($\beta = .24, p < .01$). Also, results revealed significant positive relationships between conscientiousness and the ELS ($\beta = .12, p < .05$). Again, fairness ($\beta = -.07, ns$) was not related to conscientiousness. Thus, hypothesis 1 was partially

Table 3 - Results of regression analyses for Five Factor personality explaining overall ethical leadership and its behavioral dimensions, study 2

Variable	ELS	Fairness	Power sharing	Role clarification
Gender	-.01	-.06	-.08	-.03
Direct reports	-.05	-.06	-.03	.00
Managerial level	.05	.05	.23**	-.16*
LMX	.76**	.60**	.54**	.42**
Openness	-.04	-.03	.00	.06
Extraversion	-.06	.03	-.08	.00
Agreeableness	.03	.16*	.28**	-.22**
Conscientiousness	.12*	-.07	-.09	.24**
Emotional stability	.13*	.00	.00	.16*
ΔR^2	.04*	.02	.06*	.09**
Adj. R^2	.59**	.34**	.33**	.25**
F	24.78**	9.34**	9.18**	6.29**

Note: $N = 150$

* $p < .05$; ** $p < .01$. All tests are one-tailed.

supported, conscientiousness is found positively related to ethical leadership overall (ELS) and the specific dimension of role clarification, but not fairness.

Supporting hypothesis 2, agreeableness was positively correlated with the ELS ($r = .15, p < .05$) in study 2. For the distinct ethical leader behaviors we found that agreeableness was also positively and significantly correlated with fairness ($r = .18, p < .05$) and with power sharing ($r = .22, p < .01$), but, as expected, not with role clarification. The regression results show that after controlling for the other traits, gender, management level, number of direct reports and LMX, agreeableness showed positive and significant regression coefficients with power sharing ($\beta = .28, p < .01$) and fairness ($\beta = .16, p < .05$). We should note that the change of the R^2 was not significant for the regression model of fairness (see Table 3). The relatively high correlations between the Big Five traits and the relatively low correlations between leader personality and the ethical leadership measure may explain why the change in R^2 is not significant, which is seen more often in research studying leadership combined with personality (cf. De Hoogh et al., 2005; Judge, & Bono, 2000; Mayer et al., 2007). Finally, although significant correlation of agreeableness with the ELS was found, regression did not show the expected significant positive relationship when the effects of the other Big Five traits and LMX were controlled for ($\beta = .03, ns$). Thus, hypothesis 2 is partially supported; agreeableness was positively related to power sharing, and fairness. Unexpectedly, when the other traits are controlled for, role clarification was significantly negatively related to agreeableness ($\beta = -.22, p < .01$). Thus, when the other traits and LMX are controlled for, subordinates rated more agreeable leaders as lower on role clarification behaviors.

In line with hypothesis 3, emotional stability was correlated with role clarification ($r = .14, p < .01$) in study 2. However, emotional stability was not correlated with fairness ($r = .01, ns$) or power sharing ($r = .02, ns$). Also, emotional stability was not correlated with ethical leadership measured with the ELS ($r = .08, ns$). However, after controlling for the influence of the other traits, gender, management level, number of direct reports and LMX, regression results revealed that leader emotional stability was related to ethical leadership (ELS; $\beta = .13, p < .05$) and role clarification ($\beta = .16, p < .05$). Thus, hypothesis 3 was partially supported.

Discussion

The aim of this study was to contribute to the currently still underdeveloped literature on antecedents of ethical leadership. Although suggested in the literature, tests of the role of the Big Five traits, and most notably conscientiousness, agreeableness, and emotional stability in overall ethical leadership as well as its different ethical leadership behaviors are scarce. The results from our two independent studies that used somewhat different measures are consistent and are also mostly in line with those of Walumbwa and Schaubroeck (2009). They reveal low but significant relationships between the Big Five traits and ethical leadership. Although the correlations were not high, they are similar in magnitude to those found in previous research linking other leadership styles to leader personality (e.g., Lim & Ployhart; 2004; Tepper, Duffy, & Shaw, 2001). Thus, similar to other styles of leadership, personality does seem to play a role in ethical leadership albeit a limited one. In line with expectations and previous findings of Walumbwa and Schaubroeck (2009), conscientiousness and agreeableness seem most relevant for ethical leadership. For the specific ethical leader behaviors, conscientiousness appears most important for role clarification, whereas agreeableness seems most important for fairness and power sharing. After controlling for the influence of LMX, emotional stability also seems relevant for ethical leadership and role clarification, which extends previous findings.

As predicted, conscientiousness emerged as one of the two strongest correlates of ethical leadership. Conscientious individuals are dependable, responsible and act dutifully, and this trait is relevant for the ethical behaviors of leaders. In addition, our results show that conscientiousness is not only related to overall ethical leader behavior, but also to the task-focused specific behavior of role clarification. Such leaders communicate transparently and clarify roles, expectations and performance goals so that subordinates know what they will be judged on and understand what they need to do to be successful at work. Conscientiousness explained significant variance in role clarification even when other Big Five traits and LMX were controlled for.

In contrast with expectations, conscientiousness and fairness were not correlated. Perhaps the strict adherence to rules and the focus on accomplishment of tasks and duties implies leaders high on conscientiousness focus less on relational aspects of the role and

on the differential needs of followers. The dual nature of conscientiousness may be relevant here. Moon (2001) argues that highly conscientious individuals are not always other-oriented and may at times act based on egoistic motives, because of their strong focus on their own achievements, well-being and goals. He argues that the achievement component of conscientiousness is self-oriented and only the duty component is other-oriented. The fairness dimension of ethical leadership includes altruistic and responsible leader behavior, which seems to reflect the duty but not the achievement element of conscientiousness. Thus, the duty rather than the achievement component of conscientiousness may be important in relation to fairness. Explicitly taking these different components of conscientiousness into account in future research may help further understanding of the relationships between conscientiousness and specific ethical leader behaviors such as fairness.

Agreeableness was the other most important predictor of ethical leadership. As expected, agreeableness correlated positively with ethical leadership, fairness, and power sharing. In line with this, when adjusted for the other Big Five traits and LMX the relationship of agreeableness with fairness and power sharing remained significant. The results are in line with suggestions by Brown and Treviño (2006). However, agreeableness was not related to overall ethical leadership as measured with the Brown et al. (2005) measure after controlling for the effects of the other traits. This is not in line with the findings of Walumbwa and Schaubroek (2009), however they did not control for the effects of the personality traits extraversion and openness to experience.

An explanation for the less strong relations between agreeableness and ethical leadership could be that perhaps agreeable individuals may at times be seen as less ethical or principled in decision making as their desire to please others may mean that they are at times overly compliant or make too many exceptions to the rules (Granziano & Eisenberg, 1977). In trying to accommodate others, agreeable leaders may thus come across as inconsistent and may be less likely to be perceived as role models. In addition, authors have started to discuss the relative validity of broad versus narrow traits (cf. Thoresen et al., 2004). It is possible that specific facets are more important and other facets minimize or negatively affect a relationship. For example, the facets altruism, trust and morality could be important for leaders to be perceived as ethical, whereas others (e.g., modesty) are perhaps

less relevant. If this were the case, measuring agreeableness by combining items of these different facets could cause these competing influences to cancel out the effect for agreeableness. Thus, future research could assess more specific facets as well as the overall traits to assess whether this plays a role here.

As predicted, we did not find a relation between agreeableness and the task focused behavior role clarification as the relationship with ethical leadership was expected based on the people oriented component of agreeableness. The literature suggests that agreeableness is important for ethical leadership as agreeable individuals tend to be kind, concerned for others and warm and ethical leaders are supposed to be caring, altruistic and concerned about the welfare of employees (Brown & Treviño, 2006). The change in the regression model was not significant in explaining fairness. According to Judge and Bono (2000) the moderate intercorrelations among the Big Five traits explain why the unique effect of one trait on leader behavior drops once the others are controlled for. Including highly correlated variables in the regression increases the error terms and the error terms could get so large that none of the coefficients are significant even if effects do exist (Berry, 1993). This may play a role here.

Although emotional stability was not related to ethical leadership in study 1, it was related to both overall ethical leadership and role clarification in study 2 after controlling for LMX. These findings contradict the findings of Walumbwa and Schaubroeck (2009), who did not find a relationship (but also did not control for LMX), however they are in line with the predictions of Brown and Treviño (2006). Neurotic individuals are less likely to be seen as role models and role modeling is an important element of how ethical leaders have an influence on employees (e.g., Kalshoven & Den Hartog, 2009). Controlling for the quality of the relationship between leader and follower seems important for the relationship between emotional stability and ethical leadership. Only when the quality of the relationship is controlled for we find the predicted impact of emotional stability. A high quality relationship is characterized by mutual support, informal influence and trust. Perhaps relationship quality affects followers' attribution of reasons for anxious, unstable, stressed or impulsive actions of their leader. When the relationship quality is higher, such actions may not be perceived as an expression of unethical behavior. When relationship quality is high, from the LMX perspective, one can argue that the high quality relationship creates a common understanding

and therefore the behavioral expectations and interpretations are similarly. Close contact and consistent behavior is important for ethical leadership behavior (Kalshoven et al., in press). Our results do suggest it is important to take the relationship between leader and follower into account in future research. Investigating more specific traits is also of interest as perhaps being low specifically on self-confidence might be more important as this might make it less easy to lead others in an ethical manner. Judge et al. (2002b) showed a strong link between neuroticism, low self-esteem and low self-efficacy. Future research could use measures for self-esteem and self-efficacy rather than neuroticism to assess whether insecurity is negatively related to ethical leadership.

As expected, openness to experience and extraversion were not related to any of the ethical leader behaviors. In their meta-analysis, Bono and Judge (2004) found that of the five personality traits, extraversion was most consistently related to transformational leadership. In these studies of the Big Five traits, conscientiousness and agreeableness are most relevant in relation to ethical leader behavior. Taken these findings together, it seems that different personality characteristics are important for these different leadership styles and these differential relationships with core traits further bolster the argument that ethical and transformational styles do significantly differ.

Also, our second study adds to the discussion on uni- versus multi-dimensional approach of ethical leadership. Some researchers suggest measuring related but different ethical leader behaviors separately will help further our understanding, whereas others prefer a uni-dimensional approach. The different ethical leader behaviors we included were already shown to have partially different outcomes (cf., De Hoogh & Den Hartog, 2008; Den Hartog, & De Hoogh, 2009; Kalshoven et al., in press). Here, we also found different results for personality traits as antecedents of these behavioral components of ethical leadership. This supports multidimensionality of ethical leadership and suggests separating measurement of these behaviors has both empirical and theoretical advantages.

Strength and Limitations

The present research has a number of strengths. We did two separate studies and collected data from multiple sources and from different organizations in various industries.

In both studies, leaders rated their own personality and for each leader two subordinates rated leader behavior. Aggregating the data from two subordinates per leader implies that we do not rely only on a single perception of each leader's behavior. We address a gap in the ethical leadership literature by investigating antecedents of such leadership. We measured the broad personality Big Five dimensions used in many leadership studies (e.g., Bono & Judge, 2004), which allows comparisons to other studies linking personality and leadership and used multiple operationalizations of ethical leader behavior. Results with the two different trait measures we used are consistent. Finally, ethical leadership was measured both as a uni-dimensional and multi-dimensional construct allowing for comparison of results with both these approaches.

Despite its strengths, the study also has a number of limitations. One limitation is that managers chose the subordinates who participated in the study. This procedure is commonly used in leadership research (e.g., Judge & Bono, 2000), yet might lead to a positive bias or restriction of variance. In study 2 we controlled for LMX. We also asked respondents to answer honestly and openly and assured them of the confidentiality of responses. All questionnaires were directly sent to the researchers and respondents knew only the researchers had insight in them. These studies were introduced as an independent university research project and participants were aware that the organizations they worked for were not involved and that neither they nor their leader would see any individual level or personal results (only an overall report was promised as an incentive in study 2). Thus, the context was not performance oriented, which should help keep possible positive bias limited. Another limitation is that the data for both studies is cross-sectional. Thus, we cannot infer the direction of causality from results, although theoretically, the proposed impact of personality on leader behavior is more plausible than vice versa.

Future Directions

Future research could use a longitudinal design to study the role of traits in the development of ethical leadership over time. Research can also investigate the role of the more specific underlying facets, especially of conscientiousness and agreeableness. There is a long tradition of discussion about the relative validity of broad versus specific traits. For

example, Judge and Bono (2000) found that the specific facets of the Big Five predicted transformational leadership less well than the general traits. This may or may not hold also for ethical leadership. Further research on the antecedents of ethical leadership could also focus specifically on ethics related traits, such as altruism and responsibility. For example, De Hoogh and Den Hartog (2008) found that leaders' personal concern for social responsibility was positively related with ethical leader behaviors fairness and role clarification. Also, the honesty-humility trait proposed as a sixth dimension of personality (see Ashton et al., 2004) may be of interest. This dimension includes an integrity facet, which may form an antecedent of ethical leadership.

Finally, future research could focus on potential moderators. It is important to recognize that behavioral phenomena are functions of personality and situations (Tett & Burnett, 2000). For example, research could aim to investigate under which circumstances agreeable individuals are more seen as ethical. The small effect sizes in this study are suggesting potentially role of contextual factors play in the relationship between leader personality and ethical leader behaviors. Applying the work context to the ethical leadership field would suggest that the context can trigger traits relevant to ethical behavior. Work contexts where ethical issues are part of daily work or ethical climates may form such triggers. Studies including the context will be valuable for understanding why some people chose to behave ethically and others do not.

Conclusion

To conclude, this study contributes to the field by testing the relationships between the Big Five personality traits and ethical leadership. Our study suggests an especially important role for both conscientiousness and agreeableness in this realm. It has potential practical implications for selection by identifying leader personality traits that are related to ethical leader behaviors. Organizations can select leaders that are likely to behave somewhat more fairly, share power and clarify roles based on their personality profiles. Selecting and developing managers who behave ethically at work is important as ethical misconduct can be costly and damage the reputation of both leaders and organizations. Instruments measuring the Big Five are often used in selection. Current measures of

integrity are sensitive to faking (Rieke & Guestello, 1995) and organizations are afraid that applicants will react negatively to integrity tests resulting in a damaged organization reputation (Sackett & Wanek, 1996). Moreover, integrity tests are not clearly distinguishable from the Big Five dimensions measures (Sackett & Wanek, 1996). Becker (1998) argues that integrity tests actually measure conscientiousness. In all, our results point to the importance of the role of individual differences and especially conscientiousness, agreeableness and emotional stability in ethical leadership.

Chapter 4

Ethical Leadership and Follower Helping Behavior: Moral Awareness and Empathic Concern as Moderators

Abstract

This study uses a multi-level approach to examine the moderating influence of the ethical context on the relationship between ethical leadership and follower helping (operationalized as altruism and courtesy). Using multisource data from a field sample including leaders and followers, we found, as expected, that moral awareness and empathic concern of the work-group moderated the relationship between ethical leadership and follower helping behavior. Relationships between individual and group perceptions of ethical leadership and followers' altruism and courtesy behavior were positive when moral awareness was low, whereas these relationships weakened when moral awareness was higher. Further, the relationship between individual and group perceptions of ethical leadership and courtesy behavior was positive when empathic concern was high, whereas this relationship weakened when empathic concern was lower. Thus, although ethical leadership relates positively with follower helping, the strength of this relationship differs depending on ethical characteristics of the context.

Introduction

The expenses of doing business in a completely unethical environment would preclude any organization from making profit (Beu & Buckley, 2004). Accordingly, creating an ethical surrounding is a challenge for many of today's organizations. Organizations therefore increasingly rely on ethical behavior of leaders at different levels. These leaders are seen as role models of appropriate behavior and followers are likely to copy their fair, open and honest behaviors (cf. Brown, Treviño, & Harrison, 2005). Indeed, research shows ethical leadership relates positively with desired follower behavior, such as helping (e.g., Kalshoven, Den Hartog, & De Hoogh, in press; Mayer, Kuenzi, Greenbaum, Bardes, & Salvador, 2009; Piccolo, Greenbaum, Den Hartog, & Folger, 2010; Walumbwa, & Schaubroeck, 2009). These previous studies show varying and often relatively weak correlations between ethical leadership and helping ranging from .11 to .49. Not surprisingly then, several authors have called for research on moderators (e.g., Brown & Treviño, 2006; De Hoogh & Den Hartog, 2009a) to clarify *when* ethical leadership is most strongly related to these desired behaviors.

In the current study we address this call. We examine distinct ethical characteristics of the context at the work group level, which are shared norms about what is appropriate (Schneider, 1987). We focus on two ethical context characteristics, namely moral awareness and empathic concern of the work group. We expect that the first acts as a neutralizer and the second as an enhancer of the relationship between ethical leadership and follower helping. Previous research suggests that the context may have different effects on the relationship between leader and follower behavior (cf. Erdogan, Liden, & Kraimer, 2006; Hofmann, Morgeson, & Gerras, 2003). Values and norms of an organization may provide employees with directions for what might be valuable exchange resources to reciprocate appreciated leader behaviors (Dienesch & Liden, 1986). When the leader conveys congruent messages about valued behavior that are congruent with this context, the context may act as an enhancer and optimize the influence of leader behavior. For example, in a context where empathy is stressed and the leader also shows concern for people, helping forms a valid way to reciprocate the leader (e.g., Erdogan et al., 2006). Yet, the context may also act as a neutralizer as it may generate uniform expectancies concerning desired behavior, so that leadership is less needed and wanted to guide follower behavior (cf., Mischel, 1977).

In these circumstances leader's influence on follower behavior is weaker (e.g., Den Hartog, De Hoogh, & Keegan, 2007).

In the current paper, we propose and empirically test a model that incorporates moral awareness as a substitute or neutralizing type of moderator and empathic concern as an enhancing type of moderator of the relationship between ethical leadership and helping. We test this in a multi-source and multi-level field study using leader ratings of follower helping behavior (i.e., altruism and courtesy) and follower ratings of ethical leadership and moral awareness and empathic concern of the workgroup.

Ethical Leadership

Ethical leadership has been the focus of much practitioner oriented literature and a growing body of empirical work (e.g., Brown, et al., 2005; Fulmer, 2004). Many books and articles address the need for and effectiveness of ethical leadership (e.g., Kanungo & Mendoca, 1996; Maak & Pless, 2006). Also, ethical behaviors of leaders have received a growing amount of attention in leadership research. Transformational leadership, for example, has been described as having an ethical component. Bass (1985) argued that transformational leaders can take ethical as well as unethical forms and later distinguished between authentic transformational leaders, who are ethical, genuine and use power to attain moral and social end-values, and pseudo-transformational leaders, who are self-interested and lack morality (e.g., Bass & Steidlmeier, 1999). Recently, rather than focusing only on ethical aspects of other leadership styles, research has started to focus on ethical leadership as a set of behaviors or a behavioral style in itself. Indeed, researchers have shown that ethical leadership is empirically related, but distinguishable from transformational and other leadership styles (cf., Brown et al., 2005; Kalshoven et al., in press; Walumbwa et al., 2008).

Brown and colleagues (2005, p. 120) see ethical leadership as a separate leadership style and define ethical leadership as: "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication, reinforcement and decision-making". Different leader behaviors have been suggested to be part of ethical leadership, including acting fairly, allowing voice, demonstrating consistency and integrity, taking responsibilities

for one's actions, promoting ethical conduct, being concerned for others, and rewarding ethical conduct (Brown et al., 2005; De Hoogh & Den Hartog, 2008; Kalshoven et al., in press; Resick, Hanges, Dickson, & Mitchelson, 2006; Treviño, Brown, & Hartman, 2003). Ethical leaders use different ways, including transactional ones to influence ethics-related behaviors among followers, such as communication, rewards and punishments (Brown et al., 2005). Ethical leaders send clear messages about expected behavior and use reward systems to hold subordinates accountable to those expectations (Treviño et al., 2003). Besides communication and reward systems, ethical leaders act as role models and promote ethical behavior among followers (Brown et al., 2005; Trevino et al., 2003). Role modelling refers to observational learning, imitation and identification (Bandura, 1977).

Ethical Leadership and Helping Behavior

A growing body of work investigates the relationship between ethical leadership and follower behavior. Various studies found a positive relationship between ethical leadership and various forms of citizenship behavior (e.g., Kalshoven et al., in press; Mayer et al., 2009; Walumbwa & Schaubroeck, 2009). Organ defined citizenship behavior as: "behavior that contributes to the maintenance and enhancement of the social and psychological context that supports task performance" (Organ, 1997, p. 91). Overall, citizenship behavior refers to behavior that goes beyond the task requirements and benefits the effective functioning of the organization (cf., Podsakoff, Whiting, Podsakoff, & Blume, 2009). Several authors hold that this behavior is stated as inherently moral in that the actor chooses to perform behavior that is beneficial to another person and is generally regarded as virtuous, over behavior that is not (Graham 1995; Ryan, 2001). The citizenship behavior literature distinguishes between challenging and affiliative behaviors (Van Dyne, Cummings, & McLean Parks, 1995). Affiliative citizenship behaviors are about strengthening relationships and include helping colleagues and showing courtesy toward others (Van Dyne et al., 1995).

Helping behavior, an example of affiliative citizenship, is one of the most frequently studied forms of citizenship. As noted, scholars view helping behavior, if it is performed willingly, as a form of moral behavior (e.g., Blasi, 1980). Podsakoff, MacKenzie, Paine and Bachrach (2000, p. 516) define helping behavior as "voluntary helping others with or

preventing the occurrence of work related problems". Altruism and courtesy can be distinguished as two forms of helping (Podsakoff et al., 2000) and in the current study both are used to operationalize helping. Helping behavior among members, such as spending time, energy and effort to aid colleagues is important for the smooth and effective functioning of workgroups and ethical leaders are expected to encourage this behavior.

Research to date finds positive relationships between ethical leadership and helping behavior operationalized as altruism (Mayer et al., 2009; Piccolo et al., 2010). Altruism is defined by Smith, Organ, and Near (1983) as behavior that is directly and intentionally aimed at helping a specific person in face-to-face situations. This behavior could be job-related, such as cooperation between colleagues on a task. However, courtesy, which is another dimension of helping behavior (Podsakoff et al., 2000), has not often been studied in relation to ethical leadership (for one exception see Kalshoven et al., in press). Courtesy reflects avoiding doing harm and being mindful of how one's action affects others, and can therefore also be seen as moral behavior (e.g., Borman, Penner, Allen, & Motowidlo, 2001; Organ, 1988). In the current study helping will be operationalized as courtesy and altruism (Podsakoff et al., 2000).

Scholars studying the link between ethical leadership and helping have used both social learning and social exchange theory to explain this relationship and have focused on different levels of analysis and theorizing (e.g., Brown, et al., 2005; Kalshoven et al., in press; Mayer et al., 2009; Piccolo et al., 2010). The social exchange perspective applied to ethical leadership (e.g., Mayer et al., 2009) suggests that each employee has a unique exchange relationship with the leader. In this individual exchange, followers want to reciprocate ethical leader behavior and helping others can be a way to do so. This focuses on individual level perceptions and exchange processes that play a role in the leadership process. These may differ for each employee, which implies focusing on the individual level of analysis (e.g., Piccolo et al., 2010). Social learning theory, however, suggests ethical leadership is also relevant at the group level. For example, research shows that ethical leaders are perceived as group prototypical (e.g., Kalshoven & Den Hartog, 2009). Brown and colleagues note that imitation and observational learning play a role in ethical leadership and through such processes may also have group level effects. Ethical leaders model desirable

behaviors for followers to emulate and copy. Employees also learn about desired behavior by witnessing how other employees are rewarded by the leader (Brown et al., 2005; Treviño et al., 2003). Combined, we expect that both individual and group level perceptions of ethical leadership are positively related to follower helping behavior.

Hypothesis 1: Ethical leadership will be positively related to follower helping.

Moral Awareness and Empathic Concern as Moderators

Recently, research has started to unpack ethical characteristics of the work context. As mentioned earlier, we conceptualize the ethical context as a moderator of the relationship between ethical leadership and helping behavior. Ethical characteristics of the work context include the established ethical values, attitudes, feelings and behaviors within a work group and represent “how things are done around here”. These characteristics emerge at the group level, because over time work groups become more homogenous in their members’ attributes and values (e.g., Schneider, 1987). Members are exposed to similar policies, procedures and practices and may have shared interpretations of these practices (Simons & Roberson, 2003).

In the current study, we focus on two ethical characteristics of the work context, namely empathic concern and moral awareness. In a work context characterized by a high empathic concern, group members sympathize with others, evaluate the consequences of their actions and are concerned with how these actions affect others (Rest & Narvaez, 1994 cf., Schneider, 1975). In contrast, in a work context characterized by high moral awareness, group members recognize a moral dilemma and are aware of ethical issues (Arnaud, in press; Jordan, 2008). Thus, within a context high on empathic concern, helping is valued and emphasized and in a context of moral awareness recognition and awareness of ethical issues is high. The degree to which the work context is collectively perceived by members of a work group as morally aware and empathically concerned (Arnaud, in press) seem relevant as moderators of follower reactions to ethical leadership.

Ethical characteristics of the work group may have different influences on the ethical leader and follower helping relationship. Previous leadership studies suggest that

the context may be an enhancer or a neutralizer for leader behavior (e.g., Howell, Dorfman, & Kerr, 1986). Here, we propose an enhancer role for empathic concern and a neutralizer role for moral awareness. In the sections below, we explain why we propose two different types of moderators for the context characteristics. Thus, we propose a model in which the effect of ethical leadership on follower helping behavior is weaker in a context where moral awareness is high and is stronger when empathic concern is high.

Empathic Concern

Empathic concern reflects evaluating the consequences of actions in terms of how they affect others (cf., Arnaud & Schminke, 2007; Davis, 1983; Rest & Narvaez, 1994). It reflects an emotional (i.e., empathy) element and concerns sympathy, emotional responsiveness or affective perspective taking (e.g., Stephan, & Finlay, 1999). For example, a work group is characterized as high on empathic concern if people in the group sympathize with someone who is having difficulties at the job. In a high empathic concern context, group members are oriented towards others within the work group rather than the self.

Within a high empathic concern context, helping behavior is strongly valued and we propose that as a result helping behavior will be regarded as an appropriate way to reciprocate valued ethical leader behaviors. This legitimization of empathic concern as an avenue for reciprocation, together with the perceived obligation arising from the social exchange with an ethical leader, is likely to result in individuals expanding their helping behavior. In line with this, a work group high on empathic concern will be characterized by relatively strong interpersonal relationships (Davis, 1983). Likewise, in a high empathic concern context the social in-group is stronger as there is a merge between the self and other group members (cf., Davis, Conklin, & Luce, 1996). In such a context high on empathic concern, it seems likely that followers reciprocate the fair and honest leader behaviors by helping each other. Thus, when both ethical leadership and empathic concern are high, followers' helping behavior may be optimized. However, when in a context of high empathic concern the leader does not show such concern for people, employees receive conflicting messages about the importance of empathic concern. This may result in a decrease of followers' helping behavior.

Related research on leadership and context also suggests that the impact of leaders on followers is stronger in work contexts where followers are able to reciprocate the close relationship with their leader. For example, Erdogan et al. (2006) found that the relationship between interactional justice and LMX is stronger when respect for employees is high. In such context, treating employees sensitively is part of the organizational schemata and will serve to maintain social exchanges (Erdogan et al., 2006). Similarly, Hofmann and colleagues (2003) found that the relationship between LMX and safety citizenship role definitions is moderated by safety climate, such that this relationship is stronger in a positive safety climate. They argue that in safety situations, safe performance is likely to be strongly valued and thus safety will be salient and legitimate in reciprocating LMX relationships (Hofmann et al., 2003). In line with this, we argue that ethical leadership may have a stronger positive effect on employees' helping when emphatic concern is high. In this context, showing helping behavior forms an appropriate and valued way to reciprocate ethical leaders.

In a work context characterized by a low empathic concern, members will place less emphasis on taking the consequences of one's actions into account or on having concern for others. Although followers are still likely to reciprocate ethical leader behaviors, they are less likely to view helping colleagues as the most obvious way to reciprocate their implicit obligations to the ethical leader. Helping is less salient and legitimate in this low concern context. Followers are less likely to show concern for others and behave with empathy if the priority of showing empathic concern is low in their work group. Employees may conclude that the use of limited resources for the purpose of helping others is not one of the goals that the work group values or rewards and thus less likely to exhibit this behavior. To summarize, we expect a stronger positive relationship between ethical leadership and followers' helping behavior in context high on empathic concern, because treating individuals with respect and in a fair way will be part of the shared schemata in the group, will be valued, and will serve to sustain social exchanges. We hypothesize:

Hypothesis 2: The positive relationship between ethical leadership and subordinates' helping will be stronger in strong empathic concern than in weak empathic concern work group context.

Moral Awareness

From a contextual perspective, moral awareness is about the prevalent norms for moral awareness that exist in a social system, such as a work group (Arnaud, in press; Arnaud & Schminke, 2006). Researchers suggest that attention is an important first step in encoding information, because in work groups the focus is selectively on certain aspects of the stimulus environment and other aspects may be ignored – this also holds for ethical issues (Arnaud, in press; Arnaud & Schminke, 2007; Schminke et al., 2007). Butterfield and colleagues (2000) address that without moral awareness, a decision or action will be evaluated as a straightforward business decision. Ethical issues or concerns will not be elaborated on. Ethical issues or concerns will not be elaborated on. In contrast, when moral awareness is high in a work group, ethical considerations are taken into account in decisions and actions.

Generally speaking, so-called strong as opposed to weak situations will often generate a relative consensus for appropriate behavior by providing clear incentives, a supportive learning environment, or normative expectations (Mischel, 1973, 1977). In a “strong” situation individuals share a common interpretation of what is important and what behaviors are expected and rewarded, thereby producing lower variance in perceptions about the situation (Schneider et al., 2002). In high moral awareness contexts, work group members have similar interpretations about the environment in terms of its ethical components. They will recognize a moral dilemma and know how to incorporate ethical considerations into their decision-making. Thus, the high moral awareness situation provides cues and reinforces to guide their behavior. For example, about when moral behavior such as helping is appropriate. If the work context is high on moral awareness, work group members know what is right and wrong and understand what the ethical choices are. They will know when and how to take responsibility and behave morally, for example by helping each other. In these situations, ethical modeling behavior and guidance of leaders is less needed as followers are already aware of ethical issues. Thus, ethical leader behaviors should have a weaker effect on helping when this behavior is already elicited by a context high on moral awareness.

In contrast, in situations that are not uniformly encoded, do not generate uniform expectancies concerning the desired behavior and do not offer sufficient incentives

for successful behavior, leaders may have a stronger impact on followers' behavioral choices (e.g., Shamir & Howell, 1999). A context low on moral awareness is characterized by little attention for and low agreement on ethical issues and this context provides fewer guidance on how to interpret or decide on ethical issues or how to deal with ethical dilemmas. Within a low moral awareness context, ethical and moral issues are subject to different interpretations. Work group members are unlikely to automatically incorporate moral considerations into their deliberations and decision making. Employees can construct their own version of what messages are being communicated by the context and therefore the need for an ethical leader to guide their behavior is stronger. In other words, ethical leaders are likely to have a stronger influence on followers' moral behavior when the situation offers less ethical guidance or cues. Thus, we expect that in low moral awareness context, ethical leadership will have a stronger impact on followers' helping behavior than in a high moral awareness context in which more cues are present and followers can more easily recognize the need for acting morally.

These arguments are consistent with the "substitutes for leadership" theory which suggests that certain contextual variables may neutralize the leader's ability to affect follower attitudes, perceptions and performance (Podsakoff, et al., 1996). The basic assumption made by Kerr and Jermier (1978) in their "substitutes for leadership" model is that the substitutes for leadership variables have their main effects on subordinate behavioral variables and replace the effect of a leader's behavior. Podsakoff et al. (1996) found that some substitutes moderated the relationship between transformational leadership and followers' citizenship. Among proposed substitutes are team characteristics. So far, the substitute for leadership literature has not been used in the ethical leadership research field. However, here we propose that the moral awareness of a group may play a similar "substituting" role in the relationship between ethical leadership and helping, such that perceived ethical leadership relates less strongly to follower helping when moral awareness is high than when it is low.

Although there is no research directly on this, related research on leadership and context also suggests that the impact of leaders on followers is stronger in a context that does not provide clear directions or cues for how to behave. So far, these situations in

leadership research are usually characterized as high on uncertainty. Under conditions of uncertainty and crisis, followers feel the need for greater direction and guidance (Bass, 1990), and their preference to accept influence may be stronger (Shamir & Howell, 1999). Thus, willingness to follow the leader may be more evident in uncertain situations. This emphasis on the importance of uncertainty corresponds with the demonstration of charisma and its outcomes (e.g., Waldman, Javidan, & Varella, 2004). Other situations may also be important in this regard. For example, specification of processes and procedures reduce the need for leadership (Jermier & Kerr, 1997). Similarly, where moral behavior is concerned, we propose that moral awareness in the context may reduce the need for ethical leaders. Taken together, we expect an interaction between ethical leadership and moral awareness in which a strong moral awareness in the context reduces the importance of perceived ethical leadership in relation to followers' helping behavior.

Hypothesis 3: The positive relationship between ethical leadership and subordinates' helping will be stronger in workgroup contexts of low moral awareness than in workgroup contexts of high moral awareness.

Method

Participants and Procedures

Individual-level data for the present study was requested from 256 employees working in different organizations located in various parts of the Netherlands. In each organization, formally defined work groups of independent employees at the same hierarchical level performed similar or dissimilar tasks and shared a supervisor. At the work group-level, 88 supervisors leading such a work group were requested to participate in the study. The organizations were located in non-profit sectors such as health care and governmental agencies and in profit sectors such as insurance and construction. Management team members were our organizational contacts and provided contact information of leaders and their direct reports. A minimum of two and a maximum of five employees per work group were approached to complete a questionnaire. Employees completed surveys that assessed their perceptions of the immediate supervisors' ethical leader behavior, the work group level of

moral awareness and empathic concern and personal information. Supervisors were asked to rate the work behaviors of three followers and were also asked about personal and organizational information. Supervisors were given the names of the employees and employees were given the name of the leader they needed to evaluate in the survey. The employees whose behavior was rated by the leader were randomly chosen from the work groups by our management contacts in close collaboration with the researchers.

For 20 work groups, supervisor questionnaires were not received. As a result, the employees from these work groups ($n = 60$) were excluded from the analyses. Further, in 27 cases only one employee questionnaire was returned and both the leader and employee data were excluded from the analyses. For testing our hypotheses we needed at least two employees per leader to indicate the work group context of moral awareness and empathic concern (i.e., 36 employee questionnaires were only used to measure ethical leadership and the context as there were no leader ratings for these particular employees). The follower sample size available to test our hypotheses was 170 and we obtained leader ratings of helping behavior for 133 followers. This resulted in a final sample of 53 work group and thus 53 supervisors. On average a supervisor rated 2.5 employees each. This translates to response rates of 60 % for the supervisor and 50 % for the employees. The average age of supervisors was 50 years ($SD = 9$); 30 % were women. The average age of employees was 46 ($SD = 9$); 42 % were women. The work groups were mostly smaller than 10 people (87 %). For 84 % supervisor-employee tenure was over six months and 81 % of the leaders were employed for at least six months.

Surveys were administrated paper-and-pencil or online. The paper version was only used on request of our management contacts (when employees did not extensively work with computers). Within each organization only one way of data collection was used. Of all completed surveys 80 % used the online version. The researchers directly sent the surveys including a cover letter (or email) to both supervisors and employees, thus researchers were sure all participants received the questionnaires. The online surveys of the similar work groups were matched by the email addresses and the paper surveys by an identical code. The cover letter (or email) explained the purpose of the study, the voluntary nature of participation, assured confidential treatment of the data, and promised an overall report at

the close of the study. The letter also included approval and support from the management team of the organization. Surveys could be completed during work time and after two weeks participants received a reminder.

Measures

Ethical leadership. Ethical leadership was assessed with the 38-item Ethical Leadership at Work questionnaire (ELW) developed and validated by Kalshoven et al. (in press). The ELW overall scale includes several ethical leader behaviors: fairness, integrity, ethical guidance, people orientation, power sharing, role clarification and concern for sustainability (these dimensions were based on work by Brown et al., 2005; De Hoogh & Den Hartog, 2008; Treviño et al., 2003). Kalshoven et al. (in press) show these behaviors can be assessed separately or combined in an overall score for ethical leadership as we do in this study. Measuring leadership styles as a combined second-order construct including several behavioral components is often done in leadership research (see e.g., transformational leadership see e.g., Podsakoff, MacKenzie, Moorman, & Fetter, 1990; or authentic leadership see e.g., Walumbwa et al., 2008).

The behaviors measured with the ELW include fairness (6 items), which measures leaders' honesty, acting responsibly, treating followers equally and being dependable. Integrity (4 items) reflects being consistent in word and deed and keeping promises. Ethical guidance (7 items) assesses acting according to ethical standards, being a role model, and setting expectations about work-related ethical issues. People orientation (7 items) refers to caring about people, respecting others and their feelings and taking interest in their welfare. Power sharing (6 items) focuses on providing voice and opportunities for input. Role clarification (5 items) refers to clarification of expectations and responsibilities and engaging in open communication. Concern for sustainability (3 items) reflects being sensitive to environmental issues and caring for sustainability. Sample items are: "Can be trusted to do the things (s)he says/ (s)he will do"; "Clearly explains integrity related codes of conduct" "Stimulates recycling of items and materials in our department" and "Allows subordinates to influence critical decisions". The items were rated from 1 (*strongly disagree*) to 5 (*strongly agree*). The overall ethical leadership scale had a Cronbach's α of .95.

To test the appropriateness of using the overall scale a second-order confirmatory factor analysis (CFA), in which the individual ethical leadership items were modeled as indicators of their underlying dimensions (fairness, integrity, people orientation, power sharing, role clarification, ethical guidance, concern for sustainability), which in turn were modeled as indicators of an overarching latent ethical leadership construct was performed. The CFA showed a good fit, χ^2 second-order factor model (658, $N = 139$) = 961.27, $p < .01$, CFI = .98; NNFI = .97 RMSEA = .05; SRMR = .08 (cf. Hu & Bentler, 1999). A measurement model including all variables will be tested below.

Helping behavior. Employees' helping behavior is operationalized with two forms, namely altruism and courtesy behavior and both were assessed with 4-items of the OCB scale of MacKenzie, Podsakoff and Fetter (1991). The items were reformulated to be used as supervisor ratings. Courtesy reflects polite and respectful behavior toward co-workers that is intended to prevent work-related conflicts before they occur. A sample item is: "Touches base" with others (informs them in advance) before initiating actions that might affect them" Altruism behavior refers to the process of helping a co-worker. A sample item of altruism behavior is: "is always ready to help or lend a helping hand to those around him/her". The items had a 5-point response scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*). Cronbach's alpha was for courtesy .81 and for altruism .87. In the measurement model section below we show that the measures of courtesy and altruism are empirically distinct.

Empathic concern and moral awareness. Empathic concern and moral awareness were each assessed with 3-items of the Ethical Climate Index developed and validated by Arnaud (in press) and Arnaud and Schminke (2006). The empathic concern items are based on role taking and perspective taking. The items for empathic concern are: "People in my department sympathize with someone who is having difficulties in their job", "For the most part, when people around here see that someone is treated unfairly, they feel pity for that person" and "People around here feel bad for someone who is being taken advantage of". Cronbach's α was .74. Items measuring moral awareness are: "People around here are aware of ethical issues", "People in my department recognize a moral dilemma right away" and "people in my department are very sensitive to ethical problems". Cronbach's α was .73.

Participants indicated the degree to which each items described their workgroup on a five-point scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*).

Control variables. As noted above, previous research found ethical leadership to correlate with transformational leadership (Brown et al., 2005; Kalshoven et al., in press). Thus, we controlled for employees' perception of their leader's transformational leadership measured using Dutch Charismatic Leadership In Organizations questionnaire (cf., De Hoogh & Den Hartog, 2009b; De Hoogh, Den Hartog, & Koopman, 2004). Sample items for transformational leadership are: "Has a vision and imagination of the future" and "Mobilizes a collective sense of a mission" (5 items). Cronbach's α was .80.

Measurement model. Prior to testing the hypotheses we tested a measurement model at the item-level to determine if scale items were adequate indicators of their underlying constructs. Particularly, in the literature there is a debate about the distinctiveness of the citizenship behavior dimensions (cf., Lepine, Erez, & Johnson, 2002; Podsakoff et al., 2000) and thus we conducted CFA's to determine whether our measures of courtesy and altruism were empirically distinct. A confirmatory factor analysis involving the ethical leadership, empathic concern, moral awareness, altruism and courtesy measures was conducted as a means of assessing their viability as separate constructs. To increase indicator stability (e.g., West, Finch, & Curran, 1995) and meet sample size guidelines for parameter estimation (see Landis, Beal, & Tesluk, 2000), we used the seven behavioral dimensions or sub-scales of ethical leadership as indicators to form a reduced set of indicators. This procedure reduced the number of indicators for the latent variable ethical leadership to seven (in stead of 38 at the item level). The other latent variables had three or four indicators (item level) each.

Results for the proposed five factor measurement model provided a good fit to the data ($\chi^2 = 225.72$, $df = 160$, $p < .01$; CFI = .95; NNFI = .94 RMSEA = .055; SRMR = .069; cf., Hu & Bentler, 1999). In order to test the discriminant validity of altruism and courtesy, we compared the fit of our measurement model with competing models. For example, the items of altruism and courtesy were set to load on a single factor. The fit of this competing four factor model, including, ethical leadership, moral awareness, empathic concern and OCB, was inferior to our measurement model ($\chi^2 = 288.26$, $df = 164$, $p < .01$; CFI = .91; NNFI = .89 RMSEA = .08; SRMR = .08; cf., Hu & Bentler, 1999) as was a three-factor model

that included ethical leadership, combined moral awareness and empathic concern into one factor, and combined altruism and courtesy into one factor, model ($\chi^2 = 317.26$, $df = 167$, $p < .01$; CFI = .89; NNFI = .88 RMSEA = .09; SRMR = .09). Finally, a one-factor model including all study variables showed poor fit to the data ($\chi^2 = 624.20$, $df = 170$, $p < .01$; CFI = .68; NNFI = .64; RMSEA = .17; SRMR = .15). These models supported the empirical distinctiveness of all study variables and more specifically of courtesy and altruism.

Aggregation of empathic concern and moral awareness. Our level of theory for empathic concern and moral awareness was the work group level. As recommended by Kozlowski and Klein (2000), we focused on the appropriate level of analysis. The items of empathic concern and moral awareness are formulated at the work group level. As the work context is a shared perception, the individual level work context perception is aggregated into a work group level measure. Subordinates' responses were averaged by work group (i.e., leader). To assess the degree of agreement across subordinates regarding each of the climate dimensions, we calculated a within-leader correlation (rwg; James, Demaree, & Wolf, 1984). The rwg statistic reflects the degree of interrater agreement between members of a work group, with 1 reflecting perfect agreement across all members. Mean rwg values of .70 or higher provide evidence of acceptable agreement among member responses (Klein, & Kozlowski, 2000). The mean rwg was .87 for moral awareness and .89 for empathic concern. Thus, aggregation of moral awareness and empathic concern seems appropriate.

Analytical Approach

Our hypotheses consisted of variables both at the individual-level (e.g., ethical leadership, employee courtesy behavior and employee altruism behavior) and group-level (e.g., ethical leadership, and moral awareness and empathic concern). Furthermore, employees are nested within the work groups guided by the same leader as leaders provide ratings on employees' behavior for up to three followers. Thus, the data in the present study were multi-level in nature (cf. Bliese, Halverson & Schriesheim, 2002). Therefore, we performed a two-level Hierarchical Linear Modeling (HLM) analysis to decompose the variance of the variables into within-group and between-group components. In addition, HLM

is valuable for modeling cross-level interaction effects between group-level predictors and individual-level independent variables on outcome variables (Hofmann, Griffin, & Gavin, 2000; Klein, & Kozlowski, 2000).

We calculated the intra-class correlation coefficient ICC(1), which is an estimate of the degree to which subordinates of the same leader answer similarly (cf. Shrout & Fleiss, 1979) and a within-leader correlation (rwg) to assess the amount of agreement across subordinates (James et al., 1984). There was meaningful between-group variance for ethical leadership ICC(1) = .20, rwg = .96, which is consistent with our interpretation of ethical leadership. Given the between-group variance, it is important to investigate whether the ethical context moderation is a cross-level or between group interaction (Hofmann & Gavin, 1998; Hofmann et al., 2003). To test the cross-level interaction, we used group-mean centering with the between-group variance in ethical leadership included in the Level 2 intercepts model and the other variables were grand-mean-centered (Hofmann & Gavin, 1998). We also analyzed the data by using more traditional cross-level analysis in ordinary least square statistics. The patterns of results of these OLS analyses were consistent with the multi-level results reported below.

Results

Table 1 presents the means, standard deviations and correlations among all study variables. Results provide initial support for hypothesis 1 by showing that individual perceptions of ethical leadership significantly correlate with altruism ($r = .25, p < .01$) and courtesy ($r = .20, p < .05$). A group-level perception of ethical leadership was significantly correlated with altruism ($r = .19, p < .05$), however not with courtesy ($r = .12, p < .10$). Transformational and ethical leadership were highly related ($r = .75, p < .01$), in line with previous studies (cf., Kalshoven et al., in press). Empathic concern was not related to ethical leadership at individual- or group-level (both $r = .07, ns$). Nevertheless, moral awareness was positively associated with ethical leadership at both levels ($r = .35, p < .01$; $r = .45, p < .01$). This is consistent with our suggestion that ethical context and ethical leadership at all levels may be related. These correlates do not take the multi-level nature of the data into account.

Table 1 - Means, standard deviations and correlations

Variables	M	SD	1	2	3	4	5	6
1 Transformational leadership	3.66	.44						
2 Ethical leadership	3.82	.54	.75**					
3 Ethical leadership mean	3.64	.30	.52**	.67**				
4 Moral awareness	3.52	.39	.31**	.35**	.45**			
5 Empathic concern	3.88	.27	.20*	.07	.07	.38**		
6 Altruism behavior	4.10	.63	.13†	.25**	.19*	.11	.16*	
7 Courtesy behavior	3.86	.62	.12†	.20*	.12	.10	.10	.45**

Note: $N = 133$. Moral awareness and empathic concern are work group level variables.

* $p < .01$; ** $p < .05$; † $p < .10$. All tests are one-tailed.

Before testing the hypotheses using HLM, we examined whether there was significant systematic within- and between work group variance in supervisory rated altruism and courtesy behavior. First, we ran null models (no individual- or group-level predictors) to examine whether significantly systematic between-group variance in the employee behaviors variables was present. This null models forces all within-group variance in the outcome variable into Level 1 and all of the between-group variance in the outcome variable into the Level 2 residual term (Gavin & Hofmann, 2002). The null models were used to calculate the interclass correlations 1 (ICC1) for employee behaviors, which were .62, for altruism behavior and .21 for courtesy behavior. These results suggest that approximately 62 % of the variance in altruism and 21 % of the variance in courtesy is between-work group variance. The chi-square tests also indicated between-group variance for courtesy ($\tau_{00} = .08$, $\chi^2(54) = 240.60$, $p = .05$) and altruism $\tau_{00} = .16$, $p < .01$. In other words, the intercept terms of the models significantly varied across groups (cf., Schaubroeck, Lam, & Cha, 2007). Taken together, this suggests that leader ratings of employee behavior were to some extent due to group membership. These results supported the precondition for cross-level analyses for the employee behavioral variables. Table 2 provides an overview of the tested models and the results for testing the hypotheses. To test hypothesis 1, the individual level ethical leader-

ship variable was entered in the model. The model was tested for the two follower behavior variables (altruism and courtesy) and takes the following form:

$$\text{Level 1: Altruism}_{ij} = \beta_{0j} + \beta_{1j}(\text{Ethical leadership}_{ij}) + r_{ij}$$

$$\text{Level 2: } \beta_{0j} = \gamma_{00} + U_{0j}$$

$$\beta_{1j} = \gamma_{10} + U_{1j}$$

In line with hypothesis 1, results demonstrated that individual perceptions of ethical leadership were significantly related to altruism $\gamma_{20} = .40, p < .05$ and courtesy $\gamma_{20} = .49, p < .05$. Additionally, in line with the correlations, shared perceptions of ethical leadership were significantly related to altruism $\gamma_{01} = .48, p < .05$ and not to courtesy $\gamma_{01} = .17, ns$. Overall, individual and aggregated perceptions of ethical leadership are related to followers' altruism and only individual perceptions of ethical leadership are related to followers' courtesy.

Hypothesis 2 and 3 propose that moral awareness and empathic concern moderate the relationship between ethical leadership and employee behavior. As can be seen in Table 2, to be conservative, we controlled for transformational leadership in our test of each hypothesis. When examining the correlations, the control variable transformational leadership was marginally related to courtesy and altruism, however these relationships were not significant in the hierarchical linear models for altruism or courtesy. For testing interactions, according to Hofmann and Gavin (1998) it is important to distinguish between cross-level and between-group interaction as the variable (ethical leadership) being moderated contains both individual- and group- level variance. In doing so, we added the interaction term of group-mean ethical leadership, moral awareness and empathic concern as predictors of the intercept and we added moral awareness and empathic concern as predictors of the variance in the slopes relating ethical leadership to follower behaviors (i.e., outcome variables). The results of the interaction effects are shown in Table 2.

The results of the model for altruism revealed that the between-group interaction and the cross-level interaction of empathic concern were both not significant (respectively, $\gamma_{05} = 1.31, \gamma_{23} = .60, ns$), which is not in line with hypothesis 3. For moral awareness both the between-group and the cross-level interaction were significant in relation to altruism,

Table 2 - Results of hierarchical linear models of interactions on follower behavior

Variables	Altruism				Courtesy				
	Estimate	SE	t		Estimate	SE	t		
1 Intercept	Y ₀₀	4.19	.06	66.54	**	3.96	.05	65.70	**
2 Transformational	Y ₁₀	-.17	.15	-1.14	ns	-.13	.15	-.82	ns
3 EL a	Y ₂₀	.40	.20	2.02	*	.49	.23	2.16	*
4 Mean EL	Y ₀₁	.48	.27	1.81	*	.17	.26	.66	ns
5 Moral awareness	Y ₀₂	-.12	.18	-.71	ns	-.03	.17	-.15	ns
6 Empathic concern	Y ₀₃	.51	.24	2.12	*	.34	.23	1.47	ns
7 MeanEL*moral awareness	Y ₀₄	-1.04	.59	-1.78	*	-1.63	.56	-2.92	**
8 MeanEL*empathic concern	Y ₀₅	1.31	1.01	1.29	ns	1.73	.97	1.79	*
9 EL*moral awareness	Y ₂₂	-1.18	.69	-2.20	*	-1.24	.61	-2.02	*
10 EL*empathic concern	Y ₂₃	.60	.66	.91	ns	1.32	.77	1.72	*

Note. a) EL = Ethical Leadership; ns = not significant.

* $p < .05$; ** $p < .01$. All tests are one-tailed.

respectively $\gamma_{04} = -1.04$, $\gamma_{22} = -1.18$, $p < .05$. The significant cross-level interaction is depicted in Figure 1 and the between-group level interaction in Figure 2. Both were plotted at one standard deviation above and below the mean. The slope for the relationship between ethical leadership and altruism was positive and significant for employees who experience low levels of moral awareness, $t(126) = 2.75$, $p < .01$, but not for those experiencing high level of moral awareness, $t(126) = -.19$, *ns*. A similar pattern arises when calculating the simple slope analysis for ethical leadership at the group level. That is, significant for employees who experience low levels of moral awareness, $t(126) = 2.96$, $p < .01$, but not for employees experiencing high level of moral awareness, $t(126) = -.21$, *ns*.

Figure 1 illustrates that the relationship between ethical leadership and altruism behavior was positive when moral awareness was low, but this relationship weakened and became not significant when moral awareness of the work group became higher. The cross-level interaction represents how the within-group relationship between ethical leadership and altruism changes as a function of moral awareness. Thus, the relationship between ethical leadership and altruism within work groups changes as a function of between work group differences in moral awareness. The above presented results support our hypothesis 3.

The results of the model for courtesy revealed that the between-group interactions of moral awareness and empathic concern were both significant (respectively, $\gamma_{04} = -1.63$, $p < .01$; $\gamma_{05} = 1.73$, $p < .05$). Furthermore, both the cross-level interaction of empathic concern as well as the cross-level interaction of moral awareness were significant (respectively, $\gamma_{23} = 1.32$, $p < .05$; $\gamma_{24} = -1.24$, $p < .05$). The results support hypothesis 2 and 3. The slope for the relationship between ethical leadership and courtesy was positive and significant for employees who experience low levels of moral awareness, $t(126) = 2.98$, $p < .01$, but not for employees experiencing high levels of moral awareness, $t(126) = .02$, *ns*. Simple slope analyses for ethical leadership at the group level indicated that the slope for the relationship between ethical leadership and courtesy was significant for employees who experience low levels of moral awareness, $t(126) = 2.60$, $p = .01$, but not for employees experiencing high level of moral awareness, $t(126) = -1.27$, *ns*. A similar pattern was found for ethical leadership at the work group level, the slope for the relationship between ethical leadership and courtesy was positive and significant for employees perceiving high levels of empathic

Figure 1 - Follower altruism behavior as a function of ethical leadership at individual level and moral awareness interaction

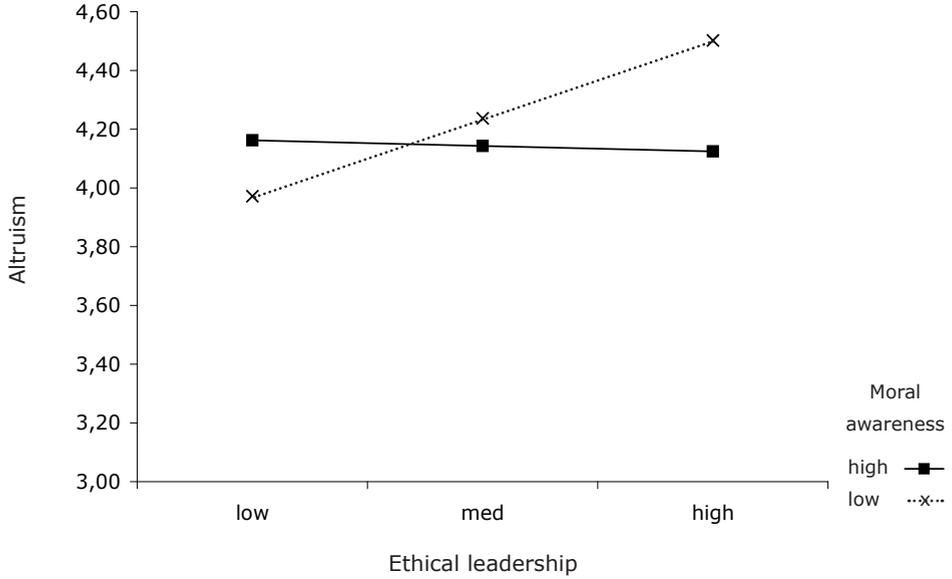


Figure 2 - Follower altruism behavior as a function of ethical leadership at group level and moral awareness interaction

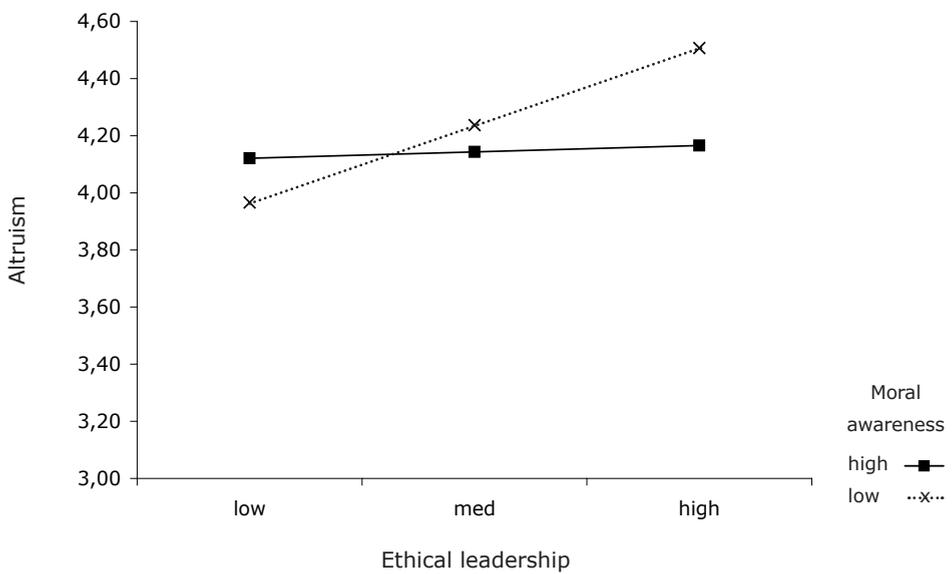


Figure 3 - Follower courtesy behavior as a function of ethical leadership at individual level and moral awareness interaction

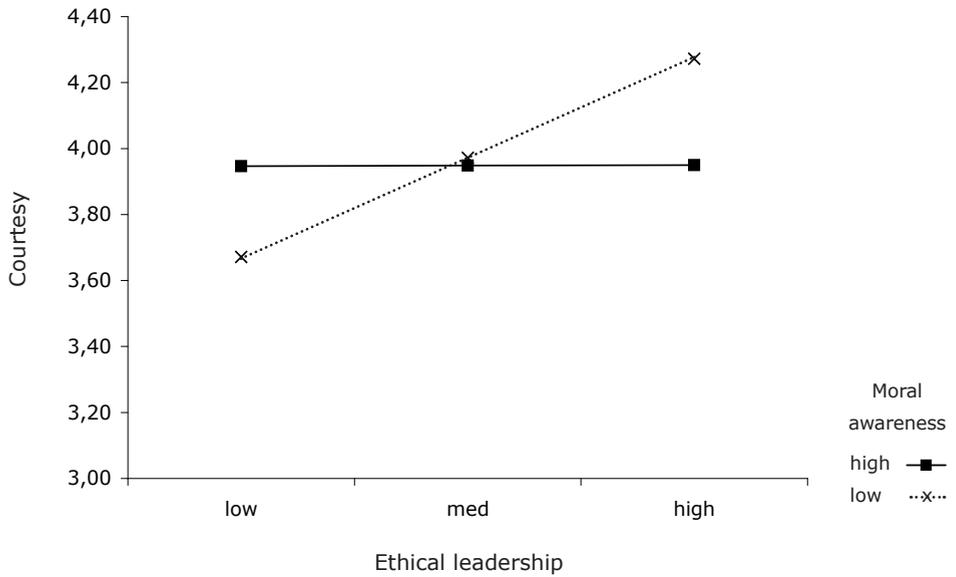


Figure 4 - Follower courtesy behavior as a function of ethical leadership at group level and moral awareness interaction

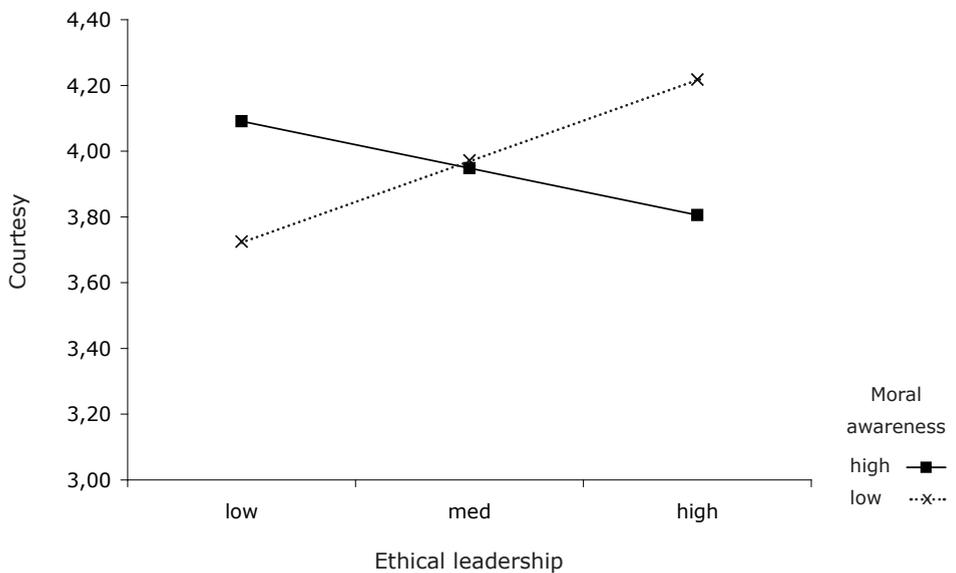


Figure 5 - Follower courtesy behavior as a function of ethical leadership at individual level and empathic concern interaction

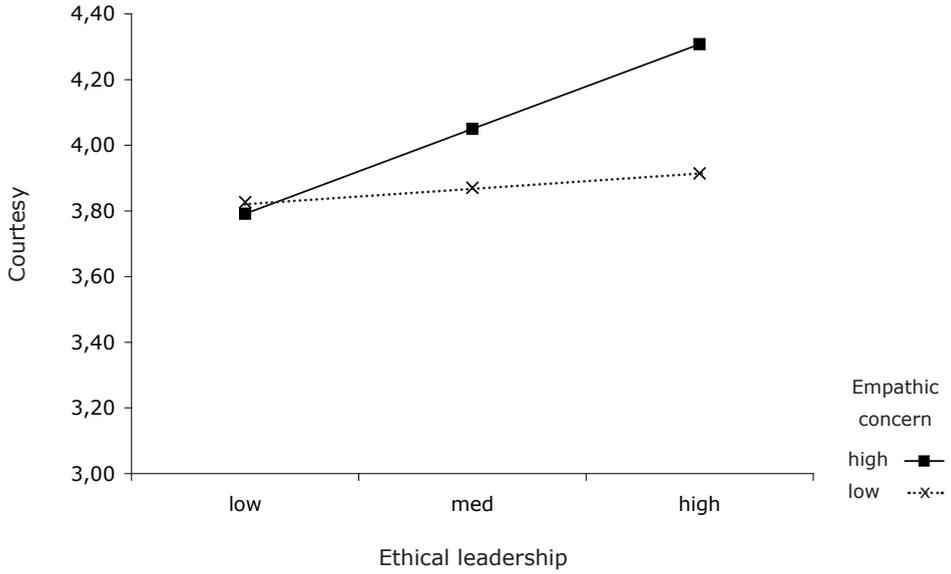
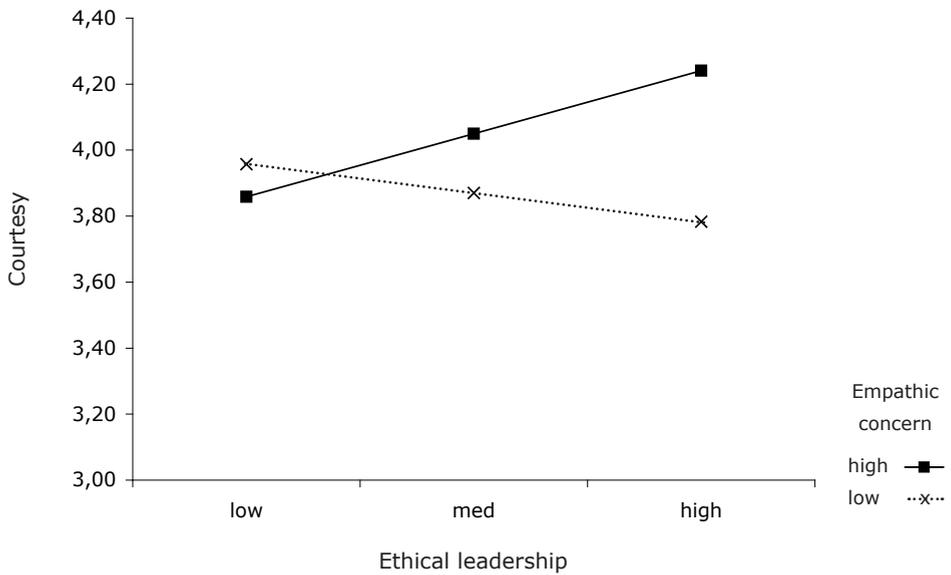


Figure 6 - Follower courtesy behavior as a function of ethical leadership at group level and empathic concern interaction



concern, $t(126) = 2.81, p < .01$, but not for those perceiving low levels of empathic concern, $t(126) = .47, ns$. The slopes for the relationship between ethical leadership at group level and courtesy were significant for high levels of empathic concern, $t(126) = 1.81, p < .05$, but not significant for low levels of empathic concern $t(126) = -.67, ns$.

To estimate the level of variance in follower behaviors accounted for by the interactions, hierarchical regression analyses was conducted to estimate the R2 change, when the interaction terms were added in the model (Hofmann et al., 2003; see also, Erdogan et al., 2006; Tse et al., 2008). Interactions of both moral awareness and empathic concern with ethical leadership on altruism behavior explained 8 % of the variance, whereas the interactions of moral awareness and empathic concern with ethical leadership on courtesy behavior explained 10%. According to Cohen, Cohen, West and Aiken (2003) interactions typically explain 1 % -3 % of the variance in outcome variables. Thus, the R2 changes in our models can be considered relatively high.

Discussion

In the current study we found that individual perceptions of ethical leadership are significantly related to moral awareness in the work group, as well as followers' courtesy and altruism behavior. Also, group level perceptions of ethical leadership are related to moral awareness and followers' altruism. In addition, the core findings of the current study are that moral awareness and empathic concern acted as contextual moderators of the relationship between ethical leadership and follower helping behavior. These interaction effects are found within and between work groups. Specifically, as expected in work contexts high on empathic concern, employees show more courtesy. This is in line with our hypotheses and suggests that in a context that emphasizes helping, followers are more likely to reciprocate ethical leader behaviors by exhibiting courtesy. When empathic concern is low, this relationship between ethical leadership and courtesy is not found. Additionally, in line with our hypotheses, in work context high on moral awareness, ethical leaders have a weaker effect on followers' altruism and courtesy behavior. When moral awareness is low, no relationship is found between ethical leadership and followers' altruism and courtesy.

Theoretical Implications

The most important contribution of this study to the ethical leadership literature is that it investigates the ethical context as a moderator on the relationship between ethical leadership and followers' altruism and courtesy behavior. Our results suggest a neutralizer effect of moral awareness on the relationship between ethical leadership and follower helping, because we did not find a main effect for the moderator (cf., Howell et al., 1986). A neutralizer decreases the relationship between leader behavior and follower behavior. In contrast, for empathic concern we expected and found an enhancer effect. That is, empathic concern increases the relationship between ethical leadership and follower helping. Enhancers and neutralizers are two varieties of the same basic type of a moderator (Howell et al., 1986).

In line with previous leadership studies, the leader substitutes theory helps explain under which conditions leaders have more or less influence on followers. Using this theory, we proposed and found an important role for moral awareness. The results show that ethical leadership has more impact on helping in a low moral awareness context. Once employees helping behavior is ensured through high moral awareness in the context, the additional impact of ethical leadership on helping is weakened. In high moral awareness contexts, ethical leadership does not affect followers' helping behavior. In these contexts, followers will construe the context similarly and therefore draw similar conclusions as how to respond appropriately. They may then not be open to the direction and role modeling of desired behavior shown by ethical leaders in contrast to a context that does not offers sufficient guidance.

The findings of empathic concern as a moderator are consistent with the social exchange view that followers are likely to reciprocate ethical leader behaviors (e.g., Diensch & Liden, 1986). The results suggest that the context can serve to emphasize or de-emphasize certain valued behavior and that followers who work for an ethical leader may reciprocate this behavior in ways consistent with this valued behavior. Followers are likely to reciprocate ethical behaviors of their leader who acts in a trustworthy, fair and considerate manner. Followers will be motivated to behave in ways that are desired and rewarded by the ethical leader. In an empathic context, helping others is clearly a desired behavior. Thus, we

add to the ethical leadership literature by showing two contextual factors that have different effects on the ethical leader and follower helping behavior relationship.

Examining contextual influences on the relationship between leadership and follower behavior is important. However, leaders may also have some role in the creation of the context. For example, Dickson and his colleagues (2001) argue that the founder and early leaders bring their personal values to the organization and these values play a primary role in determining the strategy, structure, climate, and culture of an organization. By passing on these values to new leaders and selecting leaders with similar values, the strategy, structure, climate, and culture get deeply rooted in the organization. This conceptual work suggests an association between ethical leadership and the ethical context, such as climate regarding ethics (cf., Dickson et al., 2001). However, to our knowledge this has not been tested yet. A related study from Schminke et al. (2005) only found for two out of five ethical climate dimensions a direct relationship with moral development of the CEO (i.e., individual characteristic). Thus, they did not find consistent main effects between leader moral development and ethical climate. This may be due to different forces within an organization that shape the ethical context, such as top management, codes of ethics, HRM practices and even bottom-up processes driven by employees (cf. Bowen & Ostroff, 2004; Dickson, Smith, Grojean, & Ehrhart, 2001; Kozlowski & Klein, 2000; Schneider & Reichers, 1983).

In the current study, in our sample of lower level managers we also did not find support for the idea that ethical leadership and the ethical context are consistently related. We found a positive relationship between ethical leadership and moral awareness, however, ethical leadership and empathic concern were not related. Thus, our study again suggests that ethical leadership and ethical context elements are not always related. Future research may further elaborate on the role of the ethical context for leadership. For example, ethical leaders at CEO or top management team level may have more influence on the ethical context in the organization whereas leaders at lower levels may have less of an impact on this general climate and instead have to work within the broader ethical setting in their firms (cf., Tsui, Zhang, Wang, Xin, & Wu, 2006). However, conversely, scholars also have argued that the ethical context may influence ethical leadership (cf., Brown & Trevino, 2006). Liden and Antonakis (2009) note that leadership and context may be best portrayed as reciprocally

related (cf. Kozlowski & Doherty, 1989). The design of the current study does not allow testing for such causality. Future longitudinal research could help further unpack this.

Another finding of the present study that extends previous research and contributes to the theoretical work on ethical leadership concerns the findings for individual versus shared perceptions of ethical leadership among employees working in the same work group. The results show that individual perceptions of ethical leadership are more strongly related to follower behavior than shared perceptions of ethical leadership. Although in previous studies ethical leadership is often approached as a work-unit variable, individual employee perceptions are relevant as well. For various forms of helping behavior both individual- and group-level ethical leadership are shown to be important (e.g., Kalshoven et al., in press; Mayer et al., 2009; Piccolo et al., 2010). Thus, studies assume that ethical leadership is an individual- oriented as well as a group-level oriented phenomenon. Den Hartog and De Hoogh (2009) also show both individual and group level effects of ethical leader behaviors and find more individual than group level effects on follower attitudes. We add to this literature by showing that ethical leadership at the individual level is positively related to followers' altruism and courtesy behavior and perceptions of work-group level ethical leadership is related to altruism behavior. In line with the findings of Den Hartog and De Hoogh we found stronger effects for ethical leadership at the individual than at the group level.

The relationship found between individual perceptions of ethical leadership and follower behavior may be encouraged by the design of the study in which leaders rated follower behaviors. This design emphasizes the relationship between leaders and followers. Additionally, ethical leadership at the group level is likely to occur, because individuals within a work-group are more homogenous in their ethical leadership perceptions (cf. Schneider, 1987). While ethical leadership can be a within- and between-group variable, the theoretical basis should determine the level of analysis (Kozlowski & Klein, 2000). For example, the impact of the different levels of ethical leadership could also be dependent on the outcome variables. Hackman (1992) notes that work groups are more likely to influence individual employees' behaviors than their attitudes, because attitudes are more personal than behaviors. In this study, we found that shared perceptions of ethical leadership were related to

altruism. However, we did not find this for courtesy. Future research may incorporate different levels of analysis depending on, for example, the outcome variables.

We found different results for our two dependent variables as stated above. For altruism we found that ethical leadership at the individual- and group-level is related to altruism. However, only individual perceptions of ethical leadership are related to courtesy. Thus, altruism and courtesy show similar results at the individual level, but not at the work group level. While altruism and courtesy are two forms of helping behavior and both involve formal and informal cooperation among colleagues (Konovsky & Organ, 1996), they were distinctive in the measurement model. Schnake and Dumler (2003) argue that despite the potential for group-level and mixed- or cross-level theory in citizenship research, relatively few studies have examined the effects of group phenomena on individual-level citizenship behavior. Thus, we add to this literature by studying a group level antecedent of citizenship. Additionally, results differ for various forms of citizenship. In our study, approximately 62 % of the variance in altruism and 21 % of the variance in courtesy is between-work group variance. Other studies have found similar patterns. For example, Kidwell, Mossholder and Bennett (1997) showed that 25 % of the variance in courtesy was between groups. More attention for these levels issues is clearly needed.

Practical Implications

In organizational settings in which leaders are less directly available or accessible for followers, creating strong moral awareness in the context seems beneficial as our results suggest that context can substitute for the ethical behavior of leaders. If members from a work group are all morally aware, moral behavior such as courtesy and altruism is still likely to occur even without the leader being there to offer an ethical role model. According to Schminke et al. (2007) moral awareness in the context can be improved by clear and open communication about what constitutes (un)ethical behavior and desired behavior. Training on improving moral awareness should not only educate about the moral values, rules and guidelines (cf., Butterfield et al. 2000; Reynolds, 2006), but also on the informal grey area. Training ideas are games, scenarios or interactive videos (Arnaud & Schminke, 2007) that allow experience and probably help identify ethical issues at work. Training on empathic

concern is more of a challenge than moral awareness, yet training ideas are interactive role playing and learn to be receptive and interactive in order to understand another's need (Schminke et al., 2007). Since the moderators moral awareness and empathic concern have different effects (i.e, enhance and neutralize), it will pay off if a leader can recognize the ethical context present in the work group in order to develop a successful strategy for influencing follower helping behavior.

Strengths, Potential Limitations and Future Research

Main strengths of our study include its multilevel field research design and multisource nature. Most research on ethical leadership has been conducted at a single level without taking the influence of contextual variables into account. Common source bias was reduced by using different raters of leader behavior and follower work behaviors (Podsakoff et al., 2003). Although the two antecedents of this study, ethical leadership and ethical context, were provided by the same employees, common method bias is unlikely to result in statistical interactions which are the main purpose of this study (Aiken & West, 1991; Epitropaki & Martin, 2005). Thus, common method bias is not likely to be a concern here. Additionally, the followers that participated in the study were randomly selected whenever leaders had multiple followers in their work group. To encourage fair and honest answers, all participants were assured confidentially and were informed that the organization and their leader would only receive an overall report and not their specific responses.

Our study has potential limitations as well. First, recognition of the limits of the generalizability of the study is important. We investigated a sample of leaders and followers in various organizations in the Netherlands. The organizations and work groups had different tasks and goals and these characteristics may have affected the ethical context variables. Work by Weber (1995) showed that employees within different departments within one organization showed different preferences for ethical climate related to their core tasks. In our study, employees within a work-group sometimes had different core tasks and thus may have had different preferences for context. Future research may use a more structured setting in this regard. Future research is thus needed to replicate the findings within other organizations and in other countries.

Second, the cross-sectional design of this study does not allow testing for causality. Further, we controlled for transformational leadership and did not find a direct relationship between follower helping and such leadership. This is not in line with a meta-analysis performed by Podsakoff et al. (2000). They report relationships between various forms of leadership and altruism and courtesy. Finally, our study was limited to two dimensions of the ethical context. Although these two dimensions are important, the ethical context is a complex construct and additional ethical context facets should be studied in relation to leadership to gain further understanding of the circumstances under which ethical leaders are effective. Avenues for future research would be to investigate the context of concern for sustainability (Arnaud & Sekerka, in press) or procedural justice climate (e.g., Naumann & Bennett, 2000) as potential moderators for the ethical leadership and follower behavior relationship. In line with this, research could involve a broader range of followers' moral behaviors. Future research could, for example, address the influence of ethical leaders and the ethical context on followers' initiative. Organizations need employees who behave ethically, anticipatory and future-oriented (e.g., Grant, 2000) and it is possible that leadership and the context may interact to affect these other forms of follower behavior as well.

Stimulating ethical behavior at work is important for organizations. Leaders are often seen as a role model of appropriate behavior by which they motivate followers to help others. However, this study shows that the role of the work group context is also important in this regard. Specifically, this study contributes to the field by showing that moral awareness and empathic concern are relevant contextual variables in the relationship between ethical leadership and helping. Our results support the argument that individual and shared perceptions of ethical leadership in combination with moral awareness and empathic concern have significant influences upon employee moral behavior.

Chapter 5

Ethical Leadership and Followers' Citizenship Behavior: The Role of Responsibility and Autonomy

Abstract

In this multi-source study, we investigated a mediated moderation model proposing the moderating role of job autonomy and the mediating role of responsibility in the relationships between ethical leadership (subordinate rated) and both an affiliative and a challenging form of follower citizenship behavior, namely helping and initiative (supervisor rated). In line with expectations, a study of 147 leader-follower dyads demonstrated that perceived job autonomy moderated the relationship of ethical leadership with citizenship such that it was positive when job autonomy was high, but not significant when job autonomy was low. This moderated relationship was mediated by the extent followers show responsibility at work. Responsibility fully mediated the moderated relationship of ethical leadership with initiative and partially mediated the moderated relationship of ethical leadership with helping behavior. ¹

¹) This chapter is based on: Kalshoven, K., Den Hartog, D.N., & De Hoogh, A.H.B. (under review). Ethical Leadership and Followers' Citizenship Behavior: The Role of Responsibility and Autonomy.

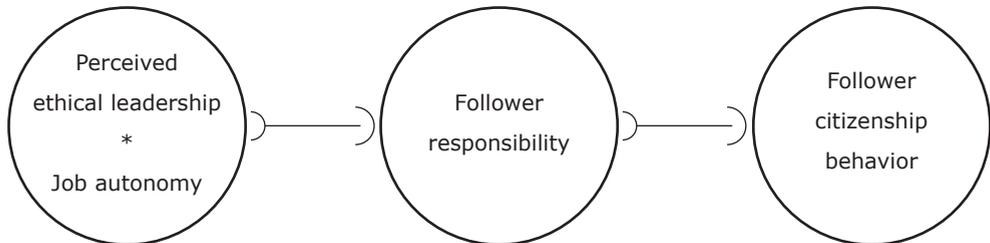
Introduction

In difficult times such as the current financial crisis organizations face an increased pressure to perform efficiently and effectively. At the same time, recent ethical scandals have generated pressure from various stakeholders to manage organizations in an ethical manner (Treviño, Weaver, & Reynolds, 2006). Research is starting to suggest that ethical leaders play an important role in influencing employees' behaviors and ultimately unit or even organizational performance (for a review, see Brown, & Treviño, 2006). For example, recent studies show that ethical leader behavior has a positive relationship with perceptions of leader effectiveness (Kalshoven & Den Hartog, 2009), top management team effectiveness (De Hoogh & Den Hartog, 2008) and citizenship at individual- and group-level (Kalshoven, Den Hartog, & De Hoogh, in press; Mayer, Kuenzi, Greenbaum, Bardes, & Salvador, 2009; Piccolo, Greenbaum, Den Hartog, & Folger, 2010; Walumbwa, & Schaubroeck, 2009). We aim to contribute to this, so far, limited body of work on ethical leadership and follower citizenship behavior by addressing two critical needs: namely investigating the context in which ethical leaders are more likely to positively influence employee citizenship behaviors and help clarifying how ethical leadership positively relates to employee citizenship behaviors.

Previous studies show small but positive correlations between ethical leadership and citizenship behaviors and they ignore possible moderators of this relationship. However, related leadership research clearly shows that the context in which leadership takes place is highly relevant and affects the relationship between leader behavior and follower behavior. For example, related research shows that the relationship between charismatic leadership and citizenship is stronger in some contexts than in others (e.g., Den Hartog, De Hoogh, & Keegan, 2007). We propose that this also holds for ethical leadership. Here, we test whether the work context (and specifically job autonomy) moderates the relationship between ethical leadership and follower citizenship behavior. Specifically, we argue that ethical leader behavior will have more impact on citizenship behavior in a high job autonomy context. In these high autonomy situations followers are likely to be more open to the influence of an ethical leader who acts as a role model and provides guidance and direction than in more prescribed contexts.

Additionally, we try to shed more light on *how* ethical leadership relates to employee citizenship. We propose enhancing follower responsibility as a mechanism through which ethical leadership may affect follower behavior. We propose that ethical leadership will be related to employees' demonstration of responsibility and, in turn, employees who behave more responsible at work are also likely to show more citizenship behavior. Combining this with the argumentation above suggests that this relationship will mainly exist in high autonomy contexts. We thus test a mediated moderation process suggesting that especially in high autonomy contexts ethical leadership is related to citizenship behaviors through stimulating follower responsibility. This mediated moderation model is tested using leader-follower dyads in a field setting. Multi-source ratings are used to prevent common source bias problems (see e.g., Podsakoff, MacKenzie, Lee, & Podsakoff, 2003). Figure 1 depicts the research model that is described in more detail below.

Figure 1 - *Proposed research model.*



Ethical Leadership and Citizenship Behavior

Ethical leaders make fair decisions, allow followers' voice, promote and reward ethical behavior, treat others with respect and care, and consider others in making decisions (Brown et al., 2005; De Hoogh, & Den Hartog, 2009a; Kalshoven et al., in press). Brown and colleagues (2005) define ethical leadership as: "the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication, reinforcement and decision-making" (p. 120). Drawing on this definition, Brown et al. describe ethical leaders as honest, trustworthy, fair and caring. Such leaders make fair and principled decisions,

consider ethical consequences of decisions, have an open communication style and provide employees with voice (De Hoogh & Den Hartog, 2008; Treviño, Brown, & Hartman, 2003). Further, ethical leaders draw attention to ethics by explicitly talking about ethical issues. Ethical leader behavior shows some overlap with other leadership styles, such as transformational (Bass, & Steidlmeier 1999; Barling, Christie, & Turner, 2008), transactional (Brown et al., 2005) and authentic leadership (Walumbwa, Avolio, Gardner, Wernsing, & Peterson, 2008). However, previous research shows that ethical leadership is also clearly distinguishable from these styles (cf., Brown et al., 2005; Kalshoven et al., in press; Walumbwa et al., 2008). In the current study we focus on the relationship between ethical leadership and follower citizenship behavior.

Organ defines citizenship behaviors as "organizationally beneficial behaviors and gestures that can neither be enforced on the basis of formal role obligations nor elicited by contractual guarantee of recompense" (Organ, 1990, p. 46). Such behaviors maintain or improve the social and psychological context within which work tasks are performed (Borman & Motowidlo, 1993). Scholars have distinguished various forms of citizenship, including affiliative and challenging forms (Van Dyne, Cummings & McLean Parks, 1995). Both affiliative and challenging citizenship behaviors go beyond direct role requirements and both contribute indirectly to organizational effectiveness (Frese, Kring, Soose, & Zempel, 1996; Organ, 1988). Van Dyne et al. describe affiliative behaviors as interpersonal and cooperative, including helping, courtesy or compliance. Challenging forms of citizenship include voice, taking charge, and taking initiative (Morrison & Phelps, 1999; Van Dyne et al., 1995).

Interpersonal helping behavior is one of the most frequently studied forms of affiliative citizenship behavior and a strong predictor of individual performance (Podsakoff et al., 2000; Van Dyne, et al., 1995). Helping behavior involves followers voluntarily helping co-workers on work-related problems or preventing the occurrence of such problems (Podsakoff et al., 2000). Examples of helping behavior include helping co-workers who have high work loads or who are new. In contrast, challenging citizenship is change oriented and involves a constructive challenge to the status quo (cf., Moon, Kamdar, Mayer, & Takeuchi, 2008; Morisson, & Phelps, 1999). Initiative can be seen as one form of challenging citizenship and is change focused and anticipatory in contrast to passive or reactive behaviors

(cf., Frese & Fay, 2001; Bolino & Turnley, 2005). Examples of initiative include taking initiative to improve the circumstances at work, solving problems and making suggestions for change (Grant, 2000). In the current study, we include helping as an affiliative and initiative as a challenging form of citizenship behavior.

Social learning theory (Brown et al., 2005) as well as social exchange theory (Mayer et al., 2009) are used as theoretical foundations in the ethical leadership field and are useful in understanding individuals' reactions to ethical leader behavior. Both these perspectives suggest that ethical leadership is likely to relate positively to followers' citizenship behaviors. Based on social learning, Treviño and colleagues (2003) argue that ethical leaders' act as role models of appropriate behavior. Such leaders use reward, punishment and open communication about the importance of ethics to stimulate ethical conduct among followers (Brown et al., 2005; Treviño et al., 2003). Ethical leaders set an example by showing concern and considering others in making decisions. As leaders are role models of ethical behavior they become the target of emulation and identification for employees (cf., Bandura, 1986; Hogg, 2001). Such emulation may take the form of showing citizenship.

Furthermore, an important element of ethical leadership is power sharing, allowing voice or empowering, which reflects giving employees a say in decision making, stimulating them to provide input and listening to their ideas and concerns (De Hoogh & Den Hartog, 2008; Kalshoven et al., in press; Resick, Hanges, Dickson, & Mitchelson, 2006). This should enhance employees' willingness to show different forms of citizenship, for example to speak up or show initiative. Research indeed suggests that employees who perceive their leader as exhibiting more power sharing engage in more citizenship (Kalshoven et al., in press).

Besides social learning, social exchange theory is also important to help understand follower reactions to ethical leadership (Mayer et al., 2009; Turner, Barling, Epitropaki, Butcher, & Milder, 2002). Based on the norm for reciprocity, followers are willing to reciprocate when treated fairly and with concern (e.g., Blau, 1964; Cropanzano, & Mitchell, 2005; Mayer et al., 2009). Ethical leaders share power, provide guidance, behave fairly and consistently and demonstrate that they care about the welfare of their employees. In return, subordinates may experience a personal obligation and try to reciprocate through engaging in citizenship behaviors. High quality relationship between leader and follower suggests that

when followers feel a personal obligation (Kamdar, McAllister & Turban, 2006) they will wish to reciprocate and will be inclined to go beyond expectations (Podsakoff et al., 2000).

So far, research on the relationship between ethical leadership and citizenship behavior has mainly focused on affiliative forms of citizenship behavior. Positive relationships are found. For example, Mayer et al. (2009) found a positive relationship between ethical leadership and group-level helping rated by supervisors and employees. Further, Piccolo et al. (2010) found a positive relationship between ethical leadership and helping rated by co-workers and Kalshoven et al. (in press) found a similar relationship for supervisor-rated helping. Research on ethical leadership and challenging citizenship behavior has been more limited so far. One study shows ethical leadership relates positively to follower voice (Walumbwa & Schaubroeck, 2009). Thus, in line with this empirical evidence we expect ethical leadership to relate positively to citizenship behaviors. Nevertheless, studies show that the strength of the associations found between ethical leadership and citizenship behavior varies from of .11 and .49. This may be due to the existence of moderator or mediator variables.

The Moderating Role of Autonomy

Job autonomy reflects the extent to which a job allows freedom, independence, and discretion to select the methods used to conduct work tasks or schedule work (Hackman, & Oldman, 1976). Autonomy is an important situational factor that can affect the leadership process. Such situational factors have not yet been studied much in the ethical leadership process. Piccolo and colleagues (2010) examined job autonomy as a mediator between ethical leadership and effort, suggesting that ethical leaders may affect effort through enhancing autonomy, but did not find support for such mediation. Based on the situational strength model (e.g., Mischel, 1977) we suggest that job autonomy may act as a moderator rather than a mediator of the ethical leadership – follower behavior relationship.

Situational strength theory contrasts two types of situations affecting individuals' behavior, namely strong and weak situations (Mischel, 1977). In strong situations (i.e., low job autonomy), the situation is structured and clear. Strong situations provide individuals with signals for what is expected and how to behave appropriately. People tend to act similarly. Weak situations (i.e., high job autonomy), on the other hand, are ambiguous. That is,

they are open to different interpretations and it is less clear how to respond appropriately. In weak situations, people do not have clear external social or structural cues to guide their behavior and people tend to act differently in those situations. In work settings, jobs differ in the extent to which the employees can perform tasks in distinctive ways, that is, select appropriate work behaviors, decide the order of job tasks or coordinate activities with other employees. The work aspects that best captures these differences is the amount of job autonomy (Hackman & Oldham, 1976). Greater job autonomy creates fewer constraints on employees' behavior and thus provides a weaker situation that allows individuals to choose and drive their own behaviors. Autonomy and situational strength are not identical constructs; however, in work settings the amount of job autonomy is a substitute for conditions that permit (weak situations) or inhibit (strong situations) differences in behavior (cf., Barrick & Mount, 1993).

The ambiguity experienced by people in weak or high job autonomy situations and their tendency to look for cues to guide their behavior, create opportunities for the influence of ethical leaders. In such weak situations, followers' self-concepts, values, and identities can be more readily appealed to (Shamir & Howell, 1999) and people tend to affiliate more with group members (Hogg, 2001). Furthermore, in the absence of clear extrinsic justifications for behavior, followers are more likely to look at others (especially leaders) to provide information on how to behave (Burger, 2009). As leaders are usually the prototype of a work group and this prototype is used as information on appropriate attitudes and behaviors (e.g., Hogg, 2001), followers will become more prone to the ethical guidance of leaders (Brown et al., 2005). Thus, if job autonomy is high, followers will have more freedom in deciding how to behave and will look at leader's behaviors for clues for appropriate conduct.

Employees, in strong or low job autonomy situations where means and ends are specified and prescribed, will probably distinguish more between tasks or behaviors that are in-role or extra-role (Hackman, & Oldman, 1977). In such low autonomy work situations, ethical leadership is less likely to have a strong influence on follower behavior as followers are less likely to need their leader for guidance or as a model of appropriate behavior. In such structured and clear contexts, employees will tend to behave more similarly and there is less room for social exchange. Thus, leaders may have less room to affect followers in

such contexts. Therefore, we expect the relationship between ethical leadership and citizenship is less strong when job autonomy is low.

In general, we suggest that job autonomy interacts with ethical leadership and that the guidance of ethical leaders is especially relevant to followers in more ambiguous or weaker high autonomy contexts. Thus, we propose that job autonomy moderates the relationship between ethical leadership and follower citizenship such that this relationship is stronger in high than in low job autonomy situations.

Hypothesis 1: Job autonomy moderates the relationship between ethical leadership and followers' citizenship behavior, such that the relationship between ethical leadership and followers' citizenship behavior is stronger when followers' job autonomy is higher.

Our research model, depicted in Figure 1, proposes a mediated moderation model. Mediated moderation exists when the interaction between two variables (in our model ethical leadership and job autonomy) affects a mediator, which then affects a dependent variable (in our model citizenship behavior; Morgan-Lopez & MacKinnon, 2006). Thus, besides refining our notion of in which situations ethical leadership is most strongly related to follower behavior, another important question is whether an intermediary mechanism explains this link. Here, we suggest followers' responsibility functions as such a mechanism.

The Mediating Role of Responsibility

We argue that in high job autonomy contexts ethical leadership influences citizenship behaviors through the mediating effect of responsibility. We develop the argumentation for this hypothesis in steps, first describing the responsibility construct and the relationship of responsibility with both citizenship and ethical leadership. Next, we include the role of job autonomy. Finally, we combine these elements in a mediated moderation model.

Individuals vary in the amount of responsibility they take at work (Frese & Fay, 2001). Researchers have indicated that learning experiences are essential in developing a sense of responsibility (e.g., Winter, 1992). Winter (1991) suggests that individuals who take responsibility are able to control their behavior, which implies they can fairly be blamed

for negative actions or appreciated for positive ones. Responsibility can be described as behaving with dependability, taking responsibility for one's actions, and being concerned about one's impact on others (Blasi, 1983; Winter, 1991).

Schwartz (1968) showed that having control over one's behavior and taking responsibility for one's actions is necessary for showing moral behavior. Citizenship is seen as moral in that an individual chooses to perform behavior that is beneficial to another and that is generally regarded as virtuous, over one that is not (cf., Graham 1995; Ryan, 2001). According to Blasi (1980) the decision for individuals to behave altruistically is dependent on the level of responsibility they take. Furthermore, one connotation of responsibility is showing concern for others (Blasi, 1983). In that sense, responsibility can refer to a felt moral obligation to help others without consideration of an expected personal benefit (Kanungo, 2001; MacLagan, 1983). This suggests that employees who take responsibility for their actions are more likely to exhibit affiliative citizenship behaviors.

Evidence also suggests that responsibility is likely to stimulate challenging forms of citizenship (cf., Bledow & Frese 2009; Frese & Fay, 2001; Grant & Ashforth, 2008; Morrison & Phelps, 1999). For Example, Morrison and Phelps (1999) found support for a relationship between responsibility and taking charge (i.e., a form of challenging citizenship). Responsibility for actions and their outcomes gives individuals the feeling that showing initiative is possible or appropriate (cf., Frese, & Fay, 2001). In contrast, Grant and Ashforth (2008) argue that if employees are not held responsible for their behaviors, it will be safer for them not to take any risks and thus not to behave in a challenging way. Followers who take responsibility are not likely to give up easily and are likely to search for opportunities and information to act on (Ashford, & Tsui, 1991; Bandura, 1999). Hence, we expect that responsibility and challenging citizenship behaviors are positively related.

Although the relationship between ethical leadership and follower responsibility has not yet been studied, related research suggests that responsibility is important in the ethical leadership process. De Hoogh and Den Hartog (2008) showed that leaders' personal concern for social responsibility is related to ethical leadership. Leaders who were perceived as more ethical showed more concern for social responsibility in terms of having an inner obligation to do what is right, taking responsibility for others, being dependable,

instilling self-control and having awareness of the consequences of their actions (Winter, 1991, 1992). This suggests that ethical leadership involves demonstrating a sense of responsibility at work. Building on this, we suggest that followers are likely to emulate the responsibility that their leaders demonstrate. Ethical leaders model taking responsibility which followers may copy by showing a higher sense of duty and responsibility themselves. Further, as ethical leaders share power, followers are likely to feel empowered to make decisions without checking with their supervisor first. This again suggests that followers are more likely to take responsibility.

Although ethical leaders are generally likely to stimulate follower responsibility, leader role modeling is more likely to affect follower responsible behavior when autonomy is high as this context implies followers have a range of different behavioral options and responses they could choose from, including whether to take responsibility or not (Mischel, 1973). In that context, ethical leader responsibility role behavior is likely to enhance the extent to which followers take responsibility. In contrast, where job autonomy is low, behavior is driven more by demands of the context than the choice of the follower. Followers are likely to behave similarly in such structured and clear circumstances and leaders' modeling will likely have less impact on follower behavior. Thus, we argue that ethical leadership promotes followers responsibility in high autonomy situations.

We combine the argumentation above in our proposed mediated moderation model (see Figure 1). Our model suggests that the strength of the mediated relationship of ethical leadership with followers' citizenship behaviors through responsibility will vary depending on the level of job autonomy. This indirect effect of ethical leadership on citizenship will be stronger when job autonomy is high compared to when autonomy is low. Employees with high job autonomy have discretion in choosing behavioral options. The situation is ambiguous and the ethical role model formed by the leader is likely to guide followers to take responsibility and show desired behavior. In low autonomy jobs, where behavior is more prescribed and individuals have less room for their own input, methods or decisions, less guidance is needed from leaders and taking responsibility is a less appropriate behavioral option. In other words, ethical leadership will be related to citizenship behaviors through responsibility, especially when autonomy is high.

In sum, we propose that responsibility mediates between the interaction of ethical leadership and job autonomy on citizenship behaviors. In a high autonomy context, ethical leaders' modeling, integrity and power sharing enhance followers' responsibility and in turn followers are likely to show citizenship. Taken together, we expect that the interaction between ethical leadership and job autonomy in relation to citizenship behaviors will be mediated by responsibility.

Hypothesis 2: Responsibility mediates the interaction between ethical leadership and job autonomy on follower citizenship behavior.

Method

Participants and Procedures

Via organizational contacts, data for the present study was requested from 299 employees and 103 supervisors working in different organizations in the Netherlands and the survey was administered in Dutch. The organizations were located in non-profit sectors such as health care and government agencies and in profit sectors such as insurance and construction. In total, 74 leader- and 207 employee questionnaires were returned. Two followers' and one leader questionnaire were returned incomplete and were removed from the dataset. For testing our hypothesis we needed matched questionnaires (i.e., supervisor-employee dyads), 147 dyads could be formed. This translates to response rates of 65 % and 49 % for the supervisors and employees respectively. This matched dyad sample includes 147 employees, rated by 70 direct managers (i.e., on average, managers rated two employees). The average age of supervisors was 50 years ($SD = 8$); 32 % were women. The average age of employees was 45 ($SD = 9$); 41 % were women. For 87 % of the participants supervisor-employee tenure was over six months.

Our organizational contacts were management team members who provided (email) addresses of leaders and their direct followers. The employees who participated in the study were randomly chosen from the workgroup of a particular leader by our organizational management contacts (i.e. not by the supervisors themselves). For this study, both paper-and-pencil and online versions of the questionnaires were created. The paper version

was only used if organization contacts asked for it due to employees' lack of computer access or experience. Within each organization only one way of data collection was used. Of all completed questionnaires, 72 % used the online version of the questionnaire.

Supervisors as well as employees received a questionnaire and an information letter or email. The letter (email) explained the importance and purpose of the study, explained the voluntary nature of participation, assured confidentiality and offered an overall feedback report at the close of the study. Also, approval and support from the management team of each organization was provided in the letter. All participants received a reminder after two weeks. The online version of the employee and supervisor questionnaires was linked using email addresses and the paper version using a matching code. Both supervisors and employees were given the names of the person they were supposed to rate to avoid confusion. Supervisors were asked to rate responsibility and citizenship behaviors of two or three of their direct reports. Employees were asked to rate ethical leadership of their direct supervisor and job autonomy.

Measures

Ethical leadership. We measured ethical leadership as experienced by followers with the Ethical Leadership at Work questionnaire (ELW) developed and validated by Kalshoven et al. (in press) in the Netherlands. The ELW measures ethical leadership detailed with 38 items. Seven forms of ethical leader behavior are included in the overall ethical leadership scale: fairness, integrity, ethical guidance, people orientation, power sharing, role clarification and concern for sustainability. Kalshoven et al (in press) show these behaviors can be measured separately or combined in an overall score for ethical leadership as we do here. Measuring leadership styles as a combined second-order construct including several behavioral components is more often done in leadership research (see e.g., transformational leadership see e.g., Podsakoff, MacKenzie, Moorman, & Fetter, 1990; or authentic leadership see e.g., Walumbwa et al., 2008).

Overall ethical leadership consists of seven dimensions. The first dimension is *fairness* (6 items) including leaders' honesty, taking responsibilities, treating followers equally and being dependable. *Integrity* (4 items) reflects being consistent in word and deed and

keeping promises. *Ethical guidance* (7 items) reflects acting according to ethical standards, being a role model, and setting expectations about work-related ethical issues. *People orientation* (7 items) refers to caring about people, respecting others and their feelings and taking interest in their welfare. *Power sharing* (6 items) focuses on providing voice and opportunities for input. *Role clarification* (5 items) refers to clarification of expectations and responsibilities and engaging in open communication. *Concern for sustainability* (3 items) reflects being sensitive to environmental issues and caring for sustainability. Sample items are: "Manipulates subordinates (reverse coded)"; "Can be trusted to do the things (s)he says/ (s)he will do"; "Clearly explains integrity related codes of conduct" "Pays attention to my personal needs" and "Allows subordinates to influence critical decisions". The overall scale had a Cronbach's α of .95. The items had a 5-point scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*).

The correlations among the seven dimensions range from .15 to .66. To test the appropriateness of using this overall ethical leadership scale we performed confirmatory factor analysis. A second-order CFA, in which the individual items were modeled as indicators of their underlying dimensions (fairness, integrity, people orientation, power sharing, role clarification, ethical guidance, concern for sustainability), which in turn were modeled as indicators of an overarching latent ethical leadership construct showed good fit, χ^2 ($df = 658$, $N = 115$) = 1047.29, $p < .01$, CFI = .96; NNFI = .95, RMSEA = .06 (cf. Hu & Bentler, 1999). Chi-square difference tests indicated that the second-order model yielded a better fit to the data than either a one-factor model, χ^2 ($df = 665$, $N = 115$) = 2526.54, $p < .01$, CFI = .86; NNFI = .85, RMSEA = .16, or other conceivable six-factor models, for example combining fairness and integrity items into one factor χ^2 ($df = 650$, $N = 115$) = 1172.61, $p < .01$, CFI = .94; NNFI = .94, RMSEA = .09, or four-factor models, for example, combining fairness and integrity items into one factor, combining people-orientation and power sharing items, combining role clarification and ethical guidance items and finally a concern for sustainability factor χ^2 ($df = 659$, $N = 115$) = 1517.47, $p < .01$, CFI = .92; NNFI = .91, RMSEA = .11. We thus chose to use the overall second order scale.

Responsibility. Responsibility was assessed with four items we developed based on Winter (1991; 1992). Winter distinguishes different elements of responsibility, namely to

take responsibility, own and acknowledge one's behavior, behave dependably and responsibly towards others, and to be able to be counted upon. These elements are reflected in the items we used for measuring responsibility. Before the current study, the items were presented to four leaders who were asked to comment on items they found ambiguous or difficult to answer about their followers. Based on their comments some small adaptations were made. The four items were: "takes responsibility at work", "acknowledges his/her mistakes", "is dependable and can be counted upon", "considers the impact of his/her actions on others". All questions were answered on a 5-point scale (from *strongly disagree* to *strongly agree*). An exploratory factor analysis was performed on the data with oblimin rotation. The results showed one factor with an eigenvalue above 1 and four items loaded well on that factor, which explained 67 % of the variance. Cronbach's alpha was .83.

Citizenship behavior. Two forms of citizenship behavior were included, one affiliative form, namely employees' interpersonal helping behavior and one challenging form, namely personal initiative. Interpersonal helping was assessed using 4-items developed by MacKenzie, Podsakoff and Fetter (1991). The items were reformulated to be used as supervisor ratings. Interpersonal helping behavior refers to the process of helping a co-worker complete a job-related task. A sample item is: "is always ready to help or lend a helping hand to those around him/her". Cronbach's alpha was .91. Employee initiative was assessed using 7-item scale developed by Frese, Fay, Hilburger, Leng, and Tag (1997). The items were reformulated to be used as supervisor ratings. Frese et al. demonstrated the scales' convergent validity with ratings by others. A sample item is: "he/she is particularly good at realizing ideas". Cronbach's alpha was .90. The citizenship items had a 5-point response scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*).

As there is some discussion in the literature about the dimensionality of citizenship (see e.g., LePine, Erez, & Johnson, 2002), confirmatory factor analysis was performed to show that these two forms of citizenship are distinguishable as two separate factors and that they differ meaningfully from responsibility. A three factor model showed a good fit to the data $\chi^2 (df = 87, N = 143) = 186.49, p < .01, CFI = .97; NNFI = .97, RMSEA = .087, SRMR = .063$ (cf. Hu & Bentler, 1999). A two factor model including helping and initiative combined into one factor as well as responsibility, $\chi^2 (df = 89, N = 143) = 562.27, p < .01,$

CFI = .91; NNFI = .89, RMSEA = .19, SRMR = .10, and a one factor model χ^2 ($df = 90$, $N = 143$) = 575.21, $p < .01$, CFI = .90; NNFI = .89, RMSEA = .20, SRMR = .10, did not fit the data. These models supported the empirical distinctiveness of responsibility, initiative and helping.

Job Autonomy. Job autonomy is measured with six items taken from Jackson, Wall, Martin and Davids (1993). A sample item is: "Decide how to go about getting your job done". Responses for all job autonomy items were given on a 5-point answering scale ranging from 1 (*not at all*) to 5 (*a great deal*). Cronbach's alpha was .85.

Measurement model. Prior to moving on to testing our hypotheses, we tested a measurement model at the item-level to verify whether the scale items were adequate indicators of their underlying construct. The measurement model had five latent factors, ethical leadership, autonomy, responsibility, helping behavior and initiative. To increase indicator stability (e.g., West, Finch, & Curran, 1995) and meet sample size guidelines for parameter estimation (see Landis, Beal, & Tesluk, 2000) we used the behavioral dimensions of ethical leadership as indicators to form a reduced set of indicators. The procedure reduced the number of indicators for the latent variable ethical leadership to seven. This expected measurement model provided a good fit to the data χ^2 ($df = 340$, $N = 143$) = 531.54, $p < .01$, CFI = .95; NNFI = .95, RMSEA = .06, SRMR = .06 (cf. Hu & Bentler, 1999). Conceivable alternative models with fewer factors (such as a four-factor model that comprised helping and initiative into one factor or a three-factor model that included ethical leadership, autonomy and combined responsibility, helping and initiative into one factor) did not fit our data. Thus, these models supported the distinctiveness of all study variables.

Analytic Strategy

Hypothesis 2 proposes a "mediated moderation" model. Mediated moderation refers to an effect of the independent variable on the dependent variable that is different depending on the level of a moderator variable and a mediator variable is shown to be responsible for the moderation (e.g., Baron & Kenny, 1986; Muller, Judd, & Yzerbyt, 2005). To test for mediated moderation, the guidelines of Muller et al. (2005) were followed which operationally defines Baron and Kenny's (1986) conceptualization of mediated moderation

(see also Grant, 2008; Rupp, McCance, Spencer, & Sonntag, 2008; Schaubroeck, Lam & Cha, 2007).¹

The guidelines of Muller et al. (2005) suggest testing three different regression models. First, Model 1 regresses the dependent variable (i.e., follower citizenship) on the independent variable (i.e., ethical leadership), the moderator (i.e., autonomy) and the interaction term (i.e., ethical leadership*autonomy). Second, Model 2 regresses the mediator (i.e., responsibility) as dependent variable with the same independent variables as in Model 1 (i.e., ethical leadership, autonomy and ethical leadership*autonomy). Third, Model 3 builds on Model 1. Model 3 also includes the mediator (i.e., responsibility) and an interaction term between the mediator and the moderator variable (i.e., responsibility* autonomy). To confirm mediated moderation, first, the interaction term in Model 1 should be significant and reduced or become non-significant in Model 3. Second, in Model 2 the interaction term should be significantly related to the mediator and finally, the mediator should be significantly related to the dependent variable in Model 3 (Muller et al., 2005). Following the suggestions of Aiken and West (1991), the independent and moderator variables were mean centered. The interaction term was created by multiplying the centered variables.

Results

Table 1 shows the means, standard deviations and correlations among the study variables. Ethical leadership was positively and significantly correlated with both follower initiative ($r = .19, p < .05$), follower helping ($r = .17, p < .05$) and job autonomy ($r = .20, p < .01$), whereas ethical leadership was not significantly correlated with responsibility. Moreover, responsibility was correlated with helping ($r = .68, p < .01$), initiative ($r = .73, p < .01$) and job autonomy ($r = .18, p < .05$) Job autonomy was not correlated with helping or initiative.

We then ran the three different regression models outlined above and the results of these regressions are reported in Table 2 for helping behavior and in Table 3 for initiative.

¹ Edwards and Lambert (2007) have formulated an alternative approach. However, Bond, Flaxman and Bunce (2008) note that Edwards and Lambert' conceptualization does only differ on moderated mediation. This does not matter for the type of model we test in this study, namely mediated moderation.

Table 1 - Means, standard deviations and correlations

Variables	M	SD	1	2	3	4
1 Ethical leadership	3.67	.42				
2 Job autonomy	4.01	.56	.20**			
3 Responsibility	4.10	.63	.09	.18*		
4 Helping behavior	4.00	.75	.18*	.04	.68**	
5 Initiative behavior	3.88	.65	.19*	.11	.73**	.58**

Note: $N = 147$

* $p < .05$; ** $p < .01$. All tests are one-tailed.

The results from model 1 support the predicted interaction between ethical leadership and job autonomy in relation to helping ($\beta = .22, p < .01$) and initiative ($\beta = .18, p < .05$). This is in line with hypothesis 1, ethical leadership is related to both follower citizenship behaviors and these relationships are stronger in high than in low job autonomy contexts. These significant interactions were plotted in Figure 2 and Figure 3 at one standard deviation above and below the means. The slope for the relationship between ethical leadership and follower initiative was positive and significant for employees with high job autonomy, $t(143) = 3.03, p < .01$, but not for employees with low job autonomy, $t(143) = -.38, ns$. Similarly, the slope for the relationship between ethical leadership and helping was positive and significant for employees perceiving high job autonomy, $t(143) = 3.34, p < .01$, but not for those with low job autonomy, $t(143) = -.73, ns$.

Similar to the results found testing model 1, the results of model 2 (see Table 2 and 3) show a significant and positive interaction effect of ethical leadership and job autonomy, but in this model on the mediator responsibility ($\beta = .17, p < .05$). These results support an indirect effect of the interaction between ethical leadership and job autonomy on follower work behaviors. Simple slope analyses (Aiken & West, 1991) revealed that when job autonomy was high, responsibility was significantly positively related to ethical leadership, $t(143) = 2.96, p < .05$. By contrast, when job autonomy was low, responsibility was negatively but not significantly related to ethical leadership, $t(143) = -1.62, ns$.

Table 2 - Regression results for mediation moderation:

Followers' helping behavior

Variables	Model 1	Model 2	Model 3
	β	β	β
Ethical leadership	.13*	.02	.11
Job autonomy	.02	.17*	-.10
Ethical leadership*Autonomy	.22**	.17*	.11*
Responsibility			.67**
Responsibility*Autonomy			.00
F	3.94*	3.01*	28.80**
Total R ²	.08	.06	.51

Note. *N* = 147.

For model 1 and 3 the outcome variable is helping behavior and for model 2 responsibility.

* *p* ≤ .05; ** *p* < .01. All tests are one-tailed.

Figure 2 - Follower helping behavior as a function of ethical leadership and job autonomy interactions

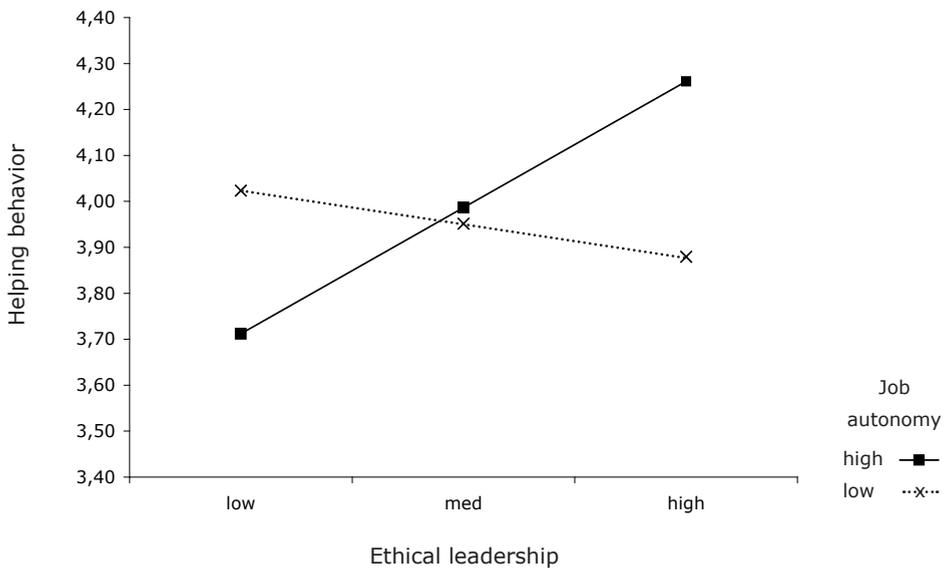


Table 3 - Regression results for mediation moderation:

Followers' initiative behavior

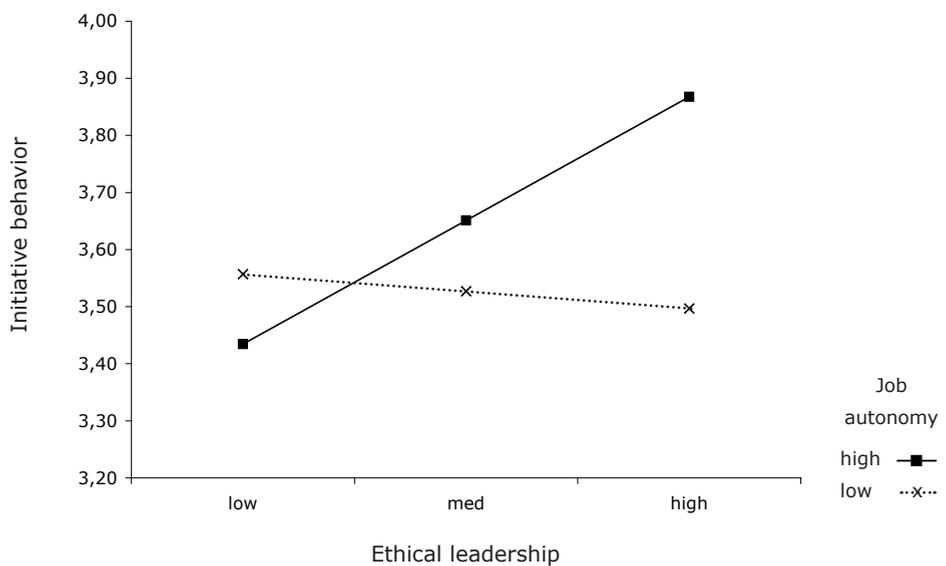
Variables	Model 1	Model 2	Model 3
	β	β	β
Ethical leadership	.14*	.02	.10
Job autonomy	.09	.17*	-.02
Ethical leadership*Autonomy	.18*	.17*	.07
Responsibility			.73**
Responsibility*Autonomy			.04
F	3.70*	3.01*	35.67**
Total R ²	.07	.06	.56

Note. $N = 147$.

For model 1 and 3 the outcome variable is initiative behavior and for model 2 responsibility.

* $p < .05$; ** $p < .01$. All test are one-tailed.

Figure 3 - Follower initiative behavior as a function of ethical leadership and job autonomy interaction.



The results of model 3 in Table 2 shows the mediator responsibility was significantly related to helping ($\beta = .67, p < .01$). For helping behavior, the residual direct effect of ethical leadership on helping is less strongly moderated by job autonomy once the mediator is included in the model (β reduced from $.22, p < .01$ to $.11, p < .05$), but it remained significant. This implies there is partial mediation in line with hypothesis 2. A Sobel test was performed to assess whether the decrease in the beta is significant (Goodman, 1960). The z -value was $1.96, p < .05$, indicating a significant drop in the beta coefficient. The relationship between initiative and the mediator responsibility was significant ($\beta = .73, p < .01$). The formerly significant direct effects of the interactions of job autonomy with ethical leadership (see Table 3, Model 3) became non-significant for initiative behavior after controlling for the mediator ($\beta = .04, ns$). This supports a full mediation in line with hypothesis 2. Thus, responsibility fully mediates the indirect relationship of ethical leadership with initiative and partially mediates the indirect relationship with helping when job autonomy is high, but not when it is low.

Discussion

In the current study we proposed and found that ethical leadership is associated with followers' citizenship behaviors in high autonomous situations and that this association runs at least in part via enhanced responsibility. We replicate previous studies relating ethical leadership with affiliative citizenship behavior, such as helping. We add to the literature that ethical leadership is also related to initiative, which is a challenging citizenship behavior. Specifically, we found that employees are more likely to behave proactively and take initiative to make suggestions or change their work environment and to help others at work if they perceive their leader as more ethical, which was in line with our expectations based on social learning and social exchange theory.

A finding of the present study that extends previous research concerns the interaction between ethical leadership and job autonomy in relation to helping and initiative. We found that the relationship between ethical leadership and these citizenship behaviors was positive in high job autonomy situations. In low job autonomy situations there is no relationship between ethical leadership and follower citizenship. This finding is in line with our

reasoning that ethical leaders are more likely to be turned to as role models and for guidance in more ambiguous and autonomous situations.

Another contribution of this study is that we demonstrated that the interaction effect of leadership and job autonomy on citizenship behavior was mediated by responsibility. In other words, leaders who are honest, principled, and responsible, shape a fair and respectful relationship with employees, allow employees voice and model and reward ethical behavior, enhance a sense of responsibility in followers. That in turn translates into higher levels of citizenship when job autonomy is high. Overall, we found support for our research model proposing a mediated moderation effect. Full mediation of responsibility was found for initiative and partial mediation for helping.

Theoretical Implications

This study contributes to the field in several ways. Prior studies on the effects of ethical leadership have focused mainly on employees' attitudes. Recently, research has started to address the relationship between ethical leader behavior and different employee behaviors. Our study adds to this stream of research by showing that ethical leadership relates positively to both affiliative and challenging citizenship behavior. Also, this study responds to the call for more understanding of the intermediary mechanisms and context in which ethical leaders affect follower work behaviors (e.g., Brown, & Treviño, 2006; De Hoogh, & Den Hartog, 2009a). Here, we developed and tested a mediated moderation model, which is not often done to date (cf., Muller et al., 2005). The mediated moderation model is supported by our data.

The partial mediation for helping and full mediation for initiative may be explained by the affiliative versus challenging nature of these work behaviors. Helping is primarily related to the social work area and focuses on interpersonal relationships whereas initiative is more change, organization and task-oriented. Helping specific others will usually be valued by colleagues and supervisors (McAllister, Kamdar, Morrison, & Turban, 2007) and as helping tends to be appreciated, it strengthens relationships (McAllister et al., 2007). The costs to exhibit helping are low and the social rewards are high. Therefore, responsibility may be less crucial and may be only one reason to help others, more affiliative and social-emotional

reasons may also play a role and motivate to help others. In contrast, challenging citizenship behavior such as showing initiative may involve risks, because supervisors may resist attempts to change the status quo (Morrison & Phelps, 1999). Given these potential costs, employees may be reluctant to behave proactively when they are unsure whether this behavior is legitimate. When followers view proactivity and initiative to be within the boundaries of their responsibilities, they may perceive it as less risky. Therefore, followers are more likely to perform proactive in exchange for ethical treatment of their leader. Additionally, responsibility is needed to provide clear expectations and ownership regarding task requirements (Breux, Munyon, Hochwater, & Ferris, 2009; Tetlock, 1985) and may therefore be related to initiative. Thus, helping is more interpersonal and initiative is more task-oriented and this difference may explain that responsibility fully mediates in explaining initiative and partly mediates in explaining helping.

Results indicate responsibility to be important for ethical leaders in stimulating employee helping and initiative in high autonomy situations. Ethical leaders, who have been shown to be responsible individuals themselves (cf., De Hoogh & Den Hartog, 2008), may be attracting or selecting employees who want and can handle responsibility in their jobs, consistent with Schneider's (1987) model of attraction-selection-attrition. However, the results did not show an overall direct relationship between ethical leadership and followers' responsibility. In line with the social learning theory, we would have expected a relationship between ethical leadership and followers' demonstration of responsibility as ethical leaders may be able to guide their followers in how to take responsibility at work by using communication, rewarding and role modeling. On the other hand, research has suggested that learning experiences are necessary in developing responsibility (Winter, 1992). Employees are more likely to take responsibility in situations where they have an opportunity to decide how to act (responsibility and job autonomy were related in this study) and in those situations the guidance of an ethical leader may be more necessary for them. Like in other leadership studies, the context seems highly relevant in studying ethical leadership.

In the current study, we focused broadly on employees' responsibility for contextual and task related behaviors rather than responsibility specifically for work tasks. Responsibility related to contextual performance is similar to social exchange in that the nature of

the exchange is unspecified. Social responsibility refers to a moral obligation to help others without any consideration of an expected personal benefit (Maglagan, 1983). We find that when employees perceive their leader as acting ethically, they tend to reciprocate by showing such responsibility and are likely to perform various behaviors, regardless of whether these behaviors are requested. Contextual responsibility thus shows similarities with the theory of Blau (1964) on social exchange. Social exchange theory thus seems a useful framework that can help explain the effects of ethical leader behavior.

Here, we add to the existing literature by addressing and empirically testing a novel mediator, namely responsibility, as a link between ethical leadership and follower behavior. Researchers have also suggested that ethical leaders may affect follower behavior through enhancing trust (cf., De Hoogh & Den Hartog, 2009a; Kalshoven, & Den Hartog, 2009; Walumbwa, & Schaubroeck, 2009) or task significance (cf., Piccolo et al., 2010). Trust and task significance are mediators that are also suggested as relevant for related leadership styles such as transformational leadership (cf., Piccolo, & Colquitt, 2006; Pillai, Schreisheim, & Williams, 1999). Responsibility may be especially relevant in regard to ethical leadership as it more specifically relates to the socially responsible influencing process of ethical leadership (cf., De Hoogh & Den Hartog, 2009a).

Finally, we found that ethical leadership is related more strongly to employees work behaviors under conditions of high job autonomy than under conditions of low job autonomy. The context in which leaders and followers interact is important in shaping the effects of leaders and has not yet been sufficiently investigated in the ethical leadership field. The situation can constrain or facilitate a leader's behaviors. In line with previous leadership studies, situational strength helps explain under which situations leaders have an influence. Using this theory, we proposed and found an important role for job autonomy.

High job autonomy (i.e., a weak situation) implies a more ambiguous situation with fewer cues or reinforces to guide behavior. The appropriate behavior in these ambiguous situations is less clear. In this situation employees are more open to the direction and role modeling of desired behavior provided by ethical leaders than in a more prescribed context that already offers sufficient guidance. The findings support the importance of social learning in ethical leadership research (cf., Brown et al., 2005; Kalshoven & Den Hartog,

2009). However, when job autonomy is low (i.e., strong situation) an ethical leader does not seem to have an impact on followers' behaviors. In these low autonomy situations followers will construe the situation in the same way and therefore draw similar conclusions as to appropriate responses.

Practical Implications

The results also have some practical implications. As demonstrated by previous and current research, organizations can enhance citizenship behaviors by encouraging leaders to develop close, fair and respectful relationships with employees and by modeling desired behaviors. Moving beyond past research, our results also demonstrate that an autonomous work situation and followers taking responsibilities are important to yield helping and initiative. Our results indicate that ethical leadership is especially important for influencing followers in a high autonomy work context. Organizations could train their leaders to act as role models, for instance, by emphasizing a sense of responsibility. Previous research has shown that ethical leadership is only partly based on leader personality (cf., Walumbwa, & Schaubroeck, 2009), which suggests training leaders in ethical behavior may be a realistic option for enhancing desired work behavior more broadly. In doing so, organizations can make leaders aware of their important position as role models of appropriate behavior and stress that employees are likely to copy their behavior.

Strengths, Limitations and Future Research

Main strengths of the current study include that it was a field study and common source bias was reduced by using different raters of leader and follower citizenship behaviors (Podsakoff et al., 2003). Further, the study included two different forms of citizenship behavior. Also, the followers that participated in the study were randomly selected whenever leaders had multiple followers in their work group. To encourage fair and honest answers, all participants were assured confidentially and were informed that the organization and their leader would only receive an overall report and not their specific responses.

While this study had a number of strengths, several limitations should be addressed as well. First, responsibility was assessed with new items developed for this study.

As measures of this construct are scarce, we created items that operationalized this construct. The items were based on the theoretical work of Winter (1991). The data showed good internal reliability and a good fit of the measurement model. As a first step in studying the role of follower responsibility, we chose to focus on demonstrated responsibility as rated by supervisors. Future research may also investigate other types of responsibility as a mediation mechanism such as felt responsibility, being accountable or a responsible organizational climate. For example, felt responsibility reflects feeling personally accountable and responsible for the results of the work (e.g., Hackman & Oldman, 1976).

Second, the cross-sectional nature of the study implies we cannot test causal relationships. Where inferred, directionality of relationships is based on and supported by existing literature. However, reversed causation or additional causal paths may also be possible, for example, employees who experience more job autonomy may also be more likely to perceive their leader as ethical (Piccolo, et al., 2010). Obviously, there is a need for a longitudinal design in future research, not only to address causality but also to explore how ethical leadership evolves over time. Also, the time perspective is different between affiliative and challenging citizenship behavior. A worker with high initiative considers long-term impact of their actions, whereas helping behavior is short-term oriented (Frese & Fay, 2001). More attention for such time issues is needed in future research. In addition, only one form of challenging and one form of affiliative citizenship behavior was studied. However different forms of employee behavior seem relevant to include in future work.

Research is needed to examine a broader range of situational influences on ethical leadership. Additional work characteristics could play a role in leadership processes. For example, meaningfulness could play a role in the relationship between ethical leader behavior and employees' work behavior. Also important to investigate are situational influences that include ethically oriented situational characteristics, such as facing ethical dilemmas. As ethical dilemmas are seen as ambiguous situations, ethical leaders may have more influence on employees in such a situation (Treviño, 1986). Employees are more likely to search for a role model in ambiguous situations. However, the current lack of validated measures of ethically oriented situational factors has hindered this research. Another promising direction involves assessing the role of organizational level situational factors, such as

the type of organization. For example, De Hoogh and Den Hartog (2008) found that leaders in voluntary, mission-driven organizations were seen as more ethical than leaders in profit organizations.

Individual difference moderators are also potentially of interest. For example, the effect of ethical leader behavior on employee citizenship could be moderated by whether the employee is low or high on responsibility as a personality trait. In line with this, employees high on responsibility may be less influenced by an ethical leader than employees low on responsibility as they are already prone to 'do the right thing'. Employees low on responsibility may need more encouragement of an ethical leader to do so.

Conclusion

The pressure from society to operate ethically has increased organizations' interest in ethical behaviors of leaders and employees. Ethical leaders stimulate helping and initiative behavior by modeling desired behavior and building fair relationships. Results of our field study with matched data from multiple sources help to extend our knowledge on how and under which conditions ethical leadership has an impact on employees' work citizenship. Especially, we found important roles for responsibility and job autonomy in this regard.

Chapter 6

Discussion

Abstract

The present dissertation examined ethical leader behavior and its antecedents, follower outcomes and the context in which these leaders function. Ethical leadership can be seen as a separate leadership style and may be measured as multi-dimensional or as an overall construct consisting of several different, yet related behaviors. Leader personality is an antecedent of these leader behaviors, however relationships are not strong. Furthermore, ethical leadership is positively related to follower attitudes as well as different affiliative and challenging citizenship behaviors. The strength of these relationships fluctuates depending on the context. The research findings may have some important implications for organizations and leaders who want to operate with integrity. However, future research is needed to further substantiate the findings that are reported on in this dissertation.

Introduction

The current dissertation presented several studies on ethical leadership. These studies investigated antecedents, consequences and context of ethical leadership and a questionnaire was developed for measuring ethical leader behaviors. The tested hypotheses in the studies were based on two guiding theories in this research field, the social learning and the social exchange theory. In this chapter, the results of the separate research chapters are combined and summarized. The first paragraph will describe the concept of ethical leadership by discussing the measurement of ethical leadership and its links with other leadership styles. After that, ethical leadership and its influence on follower behaviors and the role of context will be addressed. Then, the direction and guidance of the social learning and the social exchange theories will be discussed. The general strengths and weaknesses of the research presented in this dissertation together with recommendations for future research will be described. Finally, some practical implications will be presented.

The Concept of Ethical Leadership

Measuring Ethical Leadership

The Ethical Leadership Scale (ELS) is the most often used uni-dimensional questionnaire to measure ethical leadership. In chapter 2 and 3 this scale was used to measure ethical leadership. Several items of this measure are somewhat problematic. Respondents in our studies experienced difficulties answering the following item: "my leader conducts his/her personal life in an ethical manner". Particularly, respondents argue that they are not familiar with what their leader is doing in his/her personal life. Walumbwa and Schaubroeck (2009) address similar problems and did not include this item in the mean score of the ethical leadership measure. Another item "my leader can be trusted" is likely to measure trust in the leader, which seems to be a proximal outcome of leader behavior rather than being a part of ethical leader behavior. Although ethical leadership and trust are highly related, they are separate constructs and should ideally be measured as such.

A new questionnaire was developed to cover a broader range of behaviors based on the theoretical work of Brown and Treviño. In contrast to the ELS, the Ethical Leadership at Work (ELW) questionnaire aims to measure a wider range of ethical leader behaviors.

Several behaviors that seem important for ethical leadership are not included in the ELS. Results in chapter 2 showed that the ELW explains variance above the ELS in trust, employee and leader effectiveness and OCB. The empirical tests have demonstrated the ELW measure to be reliable and valid in terms of convergent, divergent and criterion validity.

The ELW was supported to measure seven dimensions of ethical leadership. Also, the second-order factor structure was stable and dominant across all studies conducted in this dissertation. That means that ethical leadership may be measured as an overall construct or as separate leader behaviors. Subsequent exploratory and confirmatory factor analyses with employees from diverse occupations and organizations provide evidence for the high internal reliability and dimensionality of the ELW scale. Different ELW dimensions contributed differently to the explanation of variance in outcome variables (see chapter 2, appendix 2 and 3). Furthermore, more support for the dimensionality of the ELW was found in chapter 3 where leader personality traits differently related to the ethical leader dimensions.

The ELW measure is in need of more development as validation is an ongoing process. The results in chapter 2 showed that the seven factor solution defined a priori and the second-order factor solution fitted the data best. One direction for future research, however, may be to combine several dimensions to make it statistically and theoretically manageable to use the dimensions. A suggestion would be to combine the behaviors into three core dimensions for example focusing on people, task and environment. The concern for sustainability is an environmental component. The people-orientation, fairness, and power sharing would best fit into a people component. Finally, role clarification, ethical guidance and integrity would most likely fit into a task component. However, this way of clustering the ethical leader behaviors shows overlap with previous leadership theories and makes it harder to distinguish ethical leadership from already existing leader behaviors.

For example, early research on leadership behaviors focused on task-oriented (directive), people-oriented (participative) and relationship-oriented leadership. Others focused on the dichotomy of consideration and initiating structure. Judge, Piccolo, and Ilies (2004) called initiating structure and consideration the “forgotten ones” of empirical leadership research since 1987. Their meta-analysis found significant relationships between initiating

structure and follower and group-organization performance. In addition, they found that consideration was related to follower satisfaction, motivation and leader effectiveness. A leader behavior of initiating structure defines, directs, and structures the roles and activities of subordinates toward attainment of the team's goals (Bass, 1990; House & Aditya, 1997; Yukl, 2006). Considerate leaders are skilled at sensing and subsequently satisfying the needs of followers. Transformational leadership is seen as an advance over the consideration and initiative structure leader behaviors (Judge et al., 2004). Bass argues that transformational and transactional leaders can exhibit task- and people-oriented behaviors. In line with this, ethical leaders are likely to show ethics via people or task oriented behavior.

To conclude, the measurement of dimensions of ethical leadership is a prominent theme in this dissertation. A valid instrument has been developed that may be used in future research focusing on specific ethical leader behaviors or research focusing on overall ethical leadership. However, it seems a paradox between measuring ethical leadership that requires smaller amount of dimensions and items and yielding a complete picture of all ethical leadership behaviors that requires multiple dimensions and items. This paradox did not reach a solution yet. An overall ethical leadership variable is usually better manageable in research. However, using an overall ethical leadership variable does not provide information on antecedents and outcomes of the different ethical leader behaviors. Depending on the research question, both approaches may be used.

As discussed in chapter 2, the concern for society items did not cluster into a factor and this dimension needs more refinement. In doing so, the data gathered in chapter 4 included new developed items measuring concern for society based on the suggested items in the discussion of chapter 2 of this dissertation. Thus, four items measuring concern for society were included in the data. A principal component factor analysis was performed with Oblimin rotation on the 38 ELW items plus four new developed ethical leadership items (i.e., 42 items). Eight factors explained a total of 67 % of the variance. A less well interpretable solution was the seven factor solution trying to combine the concern for society and sustainability items into one factor. To confirm these findings several confirmatory factor analyses were performed. An eight factor solution fitted the data best $\chi^2 (df = 712, N = 208) = 1091.75$, $p < .01$, CFI = .98; NNFI = .98, RMSEA = .05, SRMR = .06 (cf. Hu & Bentler, 1999). Also,

the second-order factor analysis, in which the individual items were modeled as indicators of their underlying dimensions (fairness, integrity, people orientation, power sharing, role clarification, ethical guidance, concern for sustainability and concern for society), which in turn were modeled as indicators of an overarching latent ethical leadership variable, had a good fit to the data, $\chi^2 (df = 732, N = 208) = 1167.57, p < .01, CFI = .98; NNFI = .97, RMSEA = .054, SRMR = .068$. These results support including concern for society as a factor of ethical leadership in the ELW.

Furthermore, for practical reasons, many studies may want to use fewer items to measure ethical leadership. Prudence suggests that all facets of the ELW need to be represented in short versions of the questionnaire. An idea would be to take the three items with the highest factor loading per facet. This would result in 21 items in stead of 38 ones. To illustrate, based on the employee data from study 2 in chapter 3 a CFA was performed. A second-order CFA, in which three individual items were modeled as indicators of their underlying dimensions (fairness, integrity, people orientation, power sharing, role clarification, ethical guidance, concern for sustainability), which in turn were modeled as indicators of an overarching latent ethical leadership construct showed a good fit, χ^2 -second order ($df = 182, N = 290$) = 325.60, $p < .01, CFI = .97; NNFI = .97, RMSEA = .05, SRMR = .069$. Conceivable alternative models with fewer factors (e.g., a one factor model) did not fit the data. The use of this shorter version is also possible to use as a measure of ethical leadership.

Ethical leadership is measured through the eyes of the followers. For many research questions, follower perceptions of ethical leader behavior may be sufficient. However, in some cases the behavior of a leader may be ethical in the eyes of one but not another stakeholder. In this dissertation only the perspective of followers is taken into account (cf., Brown et al., 2005). So far, potential other stakeholders such as customers or stockholders have been ignored in the ethical leadership research field. Being perceived as an ethical leader by employees does not automatically mean that the leader is also ethical to others. Different stakeholders may have conflicting interests. For instance, in times of financial crisis, a leader may be forced to fire some employees to ensure the survival of the organization and thus be ethical to other employees and the organization itself. However, ethical leaders are people-oriented and genuinely care about, respect and support others and where

possible ensure needs are met. Therefore such leaders are likely to be able to see the interest of various stakeholder groups. Ethical leaders will likely value meeting the needs of other stakeholders within the firm and society and protecting the sustainable environment. Thus, the ethical leadership concept may be enriched if its possibilities were stretched to include the perceptions of different stakeholders, rather than only focusing on the perception of employees.

Ethical Leadership and Other Leadership Styles

As described in the introduction section early research on ethics and leadership first received attention in Burns' transforming (and later also the transformational) leadership style. Other leadership styles, such as transactional, authentic or servant leadership are also seen as styles containing an ethical component. Previous studies found that authentic and transformational leadership are related to ethical leadership, however distinguishable (Brown et al., 2005; Walumbwa et al., 2008). In this dissertation, we found ethical leadership to be related to, yet distinct from, transformational and transactional leadership (see chapter 2). The distinctiveness between ethical leadership and other leadership styles was also shown by regression results. In chapter 4, ethical leadership explained follower behaviors after controlling for transformational leadership. Additionally, in chapter 3 the results showed that after controlling for Leader-Member exchange, personality still explained variance in ethical leadership. In conclusion, it seems that ethical leadership is different enough from other leadership styles to be seen as a separate style. That means a focus shift from ethics in other leadership styles to ethical leadership as a separate style is worthwhile for those interested in ethical leader behavior.

There is also a modest amount of research or theoretical work on the relationship between ethical and unethical leadership. Researchers in the transformational leadership field theoretically differentiate between ethical and unethical leadership (cf., pseudo- and authentic transformational leadership; e.g., Bass & Steidlmeier, 1999). In the area of leadership, positive scholars focus on servant, authentic and ethical leadership. Simultaneously, a rather separate body of literature focusing on the dark side of leadership, such as abusive supervision, bullying and unethical leader behaviors is emerging (see e.g., Ashforth,

1994; Beu & Buckley, 2004; Bies, 2000; Howell, 1988; Tepper, 2000). However, so far, the bodies of work on ethical and unethical leadership are developing separately. None of the researchers have mentioned how the positive and negative ethical poles are related. In this dissertation the focus is on the positive rather than the negative side of ethics in leadership. Various unethical leader behaviors, such as destructive and abusive leadership, have been suggested to be disastrous for organizations and their members (e.g., Harris, Kacmar & Zivnuska, 2007; Padilla, Hogan, & Kaiser, 2007). These forms of unethical leadership describe destructive behaviors towards subordinates, such as intimidation, belittling, manipulation and bullying.

Despite the proclaimed relevance, integration of this emerging body of work on ethical and unethical leader behaviors has lagged, with few exceptions. For example, De Hoogh and Den Hartog (2008) found that destructive and ethical leadership were moderately negative correlated ($r = -.56$; $p < .01$). Results in this dissertation show that passive leadership (i.e., laissez-faire and management by exception; Bass, 1985) and ethical leadership are negatively related ($r = -.40$). Einarsen, Aasland and Skogstad (2007) stress that passive leadership is a form of unethical behavior as passive leaders violate the legitimate involvement in the organization, as they waste time, are not motivated and fail to support or guide their followers. Although ethical and unethical leader behaviors have been found negatively correlated (e.g., De Hoogh & Den Hartog, 2008), construing these constructs as opposites seems premature as only few studies include both types of leader behaviors simultaneously. A similar discussion has been directed at the relationship between transformational and transactional leadership. Burns (1978) considered these two types as the opposite ends of a continuum. Yet later, transactional and transformational leadership were seen as two separate dimensions (e.g., Bass, 1985). This means that a leader can act both transactional and transformational. In this line, is it possible for a leader to act ethical and unethical at the same time? Future research needs to facilitate in formulating an answer.

Furthermore, there is some synergy among theories in explaining how ethical and unethical leadership have an impact on followers. For example, the reciprocity orientation from the social exchange theory is used to explain both ethical and unethical leadership processes (e.g., Mayer et al., 2009; Mitchell & Ambrose, 2007). Employees will react

negatively to the negative treatment and positively to the positive treatment of the leader. However, there are also differences among used theories to explain the effect of unethical and ethical leader behavior. In conclusion, based on the definitions, correlations and the theories used in both the ethical and unethical stream of leadership research, we would argue that there is some overlap between these constructs. Although unethical leadership is negative and ethical leadership is positive leader behavior, the stream of research is too premature to draw conclusions on the relationship between ethical and unethical leadership. Future research needs to establish whether ethical leadership behavior is the conceptual pole opposite of unethical leader behavior or conceptual distinct.

Individual and Group Perceptions of Ethical Leadership

Levels of analysis are important in leadership research. This dissertation showed that both individual as well as group perceptions of ethical leadership are important in understanding the consequences of ethical leadership. In chapter 4 the data were analyzed using multi-level procedures and results showed that both individual and group perceptions of ethical leadership were needed to explain most variance. Consistent with the view that employees form a general belief regarding the ethical behavior of their leader, the results showed that employees have a consistent pattern of agreement with statements concerning whether the leader would treat them ethically. In line with this, in chapter 3 we statistically showed that aggregation of ethical leadership ratings of followers is allowed. This is in line with other studies on ethical leadership (cf., De Hoogh & Den Hartog, 2008; Mayer et al., 2009). In studies presented in chapter 2 and 5 we also showed that individual perceptions of ethical leadership are important to investigate (cf., Piccolo et al., in press).

Leadership is also often studied as a dyadic phenomenon (Yukl, 2006). In dyadic relations Kenny et al. (2006) suggest using multi-level modeling to analyze the data. Multi-level modeling is the method to be used to analyze nested data. A special issue on *Multi-Level Approaches to Leadership* in *The Leadership Quarterly* in 2008 shows the importance in a typical leadership study to analyze the data with multi-level models. The data from a typical multi-level research design are supposed to be hierarchically structured. Thus, research on leadership is generally collected from persons nested within several levels, as followers are

nested in leaders and leaders are nested in organizations. To overcome the limitation of the aggregation biases related to multi-level, hierarchical linear modeling (HLM) is used in chapter 4. HLM allows for the analysis of multi-level data simultaneously to avoid the possible biases, and it supports the investigation of interactions between variables at different levels of analysis while accounting for their different sources of variance (Griffin, 2001). So far, studies on ethical leadership have not often analyzed the data using multi-level procedures. The results in chapter 4 show that multiple levels of ethical leadership (i.e., individual and group) are important. Future research needs to consider that analyses at a certain level first involve specifying a theoretical rationale.

Ethical leadership and Leader Personality

The studies on the Big Five Factors of personality in relation to ethical leadership are reported in chapter 3. These studies partly replicate and extend previous research by Walumbwa and Schaubroeck (2009). The results show that conscientiousness is positively associated with ethical leadership and role clarification. Furthermore, agreeableness is positively related to ethical leadership, fairness and power sharing. After controlling for LMX, neuroticism is negatively related to ethical leadership and role clarification. As proposed, no relationship was found between openness to experience and extraversion with ethical leadership or its dimensions.

We also addressed the relationship between leader personality and the seven ethical leadership dimensions assessed with the ELW. The correlation results are reported in Appendix 1. For the specific ethical leader behavior dimensions, conscientiousness appears most important for role clarification, ethical guidance and integrity, whereas agreeableness seems most important for fairness, people orientation and power sharing (see Appendix 1). For concern for sustainability both traits seem relevant. Extraversion was only positively related to the people oriented component of ethical leader behavior. Conscientiousness and agreeableness are most relevant in relation to ethical leader behavior.

Although these studies show significant relations between the Big Five traits and ethical leadership, it is important to notice that the correlations were not very strong. This may suggest that personality expression in behavior varies by situation type. In their

meta-analysis, Judge et al. (2002a) emphasize the need for research investigating the role of the situation in the relationship between personality traits and leadership in general. Research on related leadership styles suggests that the strength of the link for charismatic and transactional leadership with personality depends on the context (De Hoogh et al., 2005; Ployhart et al., 2001). This may also hold for ethical leadership. Thus, in addition to the direct effects personality may interact with the work context in predicting ethical leadership.

Trait-activation theory represents the way in which individual differences are perceptible in the presence of trait-relevant contextual signs (Tett & Burnett, 2000). From this perspective the presence of a trait is not enough to guarantee its predictive utility. Traits are seen as latent unless the situation triggers the trait into action. Consistent with trait activation theory, Ng, Ang and Chan (2008) expect that the freedom and latitude available to leaders (i.e., job autonomy) to make decisions in their jobs create opportunities for them to act in ways that are consistent with their personality. Furthermore, Barrick and Mount (1993) showed that the Big-Five dimensions conscientiousness and agreeableness better predict performance in high autonomy jobs. In line with this, it may be expected that in, for example, high autonomy jobs leaders high on conscientiousness and agreeableness exhibit more ethical behaviors. Giving leaders the freedom to plan and decide how the work is to be done (i.e., high autonomy-jobs) provide cues that are directly relevant for the organized and planning tendencies of conscientious individuals. The ethical leadership research field may be substantially enriched if more explicit attention is given to situational factors in testing the proposed relationships.

In line with the suggestions above including personality and situational factors in explaining ethical leadership, some other personality factors may also seem important. The personality factors that have been proposed to relate to ethical leadership include locus of control and machiavelism (Brown & Treviño, 2006). Leaders who have an internal locus of control have the tendency to attribute their own personal success or failures to themselves. Leaders with an external locus of control tend to attribute success and failure to things beyond their control, such as luck or other people. Treviño (1986) proposed that individuals with an internal locus of control are more likely to behave ethically, because these individuals are able to connect between their own behavior and the outcomes of their behavior. In

line with this, Brown and Treviño (2006) propose that internal locus of control is related to ethical leadership. Another personality factor that might be negatively related to ethical leadership is machiavelism. Leaders who score high on machiavelism value goals more than the means to obtain the goals and are manipulators in order to obtain their own goals. Thus, ethical leaders are likely to score low on machiavelism. Again, it would be useful to study personality of ethical leadership and situational factors together.

Ethical leadership and Follower Behaviors

An interesting question is what the relevant and positive outcomes of ethical leadership are. The studies described in chapter 2, 4 and 5 extended previous research on ethical leadership by focusing on ethical leadership and follower behaviors rather than follower attitudes as was examined in previous research. We found that ethical leadership was positively related to follower helping, altruism, courtesy and initiative behaviors.

For the specific ethical leader behaviors different effects are found. The correlation results in appendix 2 and 3 show that integrity and role clarification were most consistently related to the affiliative citizenship behaviors (i.e., helping, altruism and courtesy). People orientation was not related to the affiliative citizenship behaviors. This is in contrast to the results of chapter 2. In this chapter, we found that people orientation, power sharing and fairness were related to courtesy and altruism. However, the regression results show that after controlling for the effects of the other ELW dimensions, only fairness and power sharing are related to OCB. The other ELW dimensions were found unrelated to OCB, altruism and courtesy. The different findings may be due to the design of the studies. The participating leaders in chapter 2 could choose the followers, while the results in the appendices are based on participation of random selected followers. For follower initiative behavior, it appears that fairness and role clarification are most important. For future research, it seems important to focus both on ethical leadership overall and the several behavioral dimensions to investigate outcomes of ethical leadership.

As indicated above, as there is some overlap between ethical leadership and other leadership styles, the newly developing ethical leadership field may profit from research done in other leadership fields. As this is a new research field focusing on behavioral ethics,

measures of such behavior are limited available yet. Therefore, the field of ethical leadership uses the field of other leadership styles and slowly measures develop to start linking ethical leadership to more ethical oriented follower behaviors (cf., Kaptein, 2008). However, OCB or citizenship behavior is seen as ethical behavior as well (cf., Graham, 1995; Ryan, 2001).

Furthermore, ethical leadership may also contribute to objective outcomes, such as organizational financial performance (e.g., Kanungo, 2001). The use of objective outcomes, such as organizations' net profit margin or business unit sales or customer reports of quality and organizational reputation as measures may improve the research on the effectiveness of ethical leadership. Studies investigating objective outcomes may also provide information on the effects of ethical leaders on diverse stakeholders and in this way contribute to the stakeholder discussion as mentioned earlier in this chapter. However, studying organizational outcomes in this regard makes it hard to determine the leadership influence as many other factors may have an impact. Other interesting outcomes of this type of leadership include value congruence, accountability, follower well-being or preventing stress or integrity violations. A broader set of outcomes needs to be considered in future research.

Ethical Leadership and Context

Chapter 4 and 5 present several hypotheses regarding situational moderators of the relationship between ethical leadership and follower behaviors. In the present dissertation, job autonomy, moral awareness and empathic concern were investigated as moderators of the ethical leadership and follower behavior relationship. Moral awareness and job autonomy were proposed to act as indicators of situational strength. Support was found for the moderator roles of these variables. Ethical leadership was strongly related to helping and initiative in situations of perceived job autonomy. In addition, ethical leadership was found strongly related to altruism and courtesy under circumstances of low moral awareness. Job autonomy was measured using individual level perceptions whereas moral awareness was measured at the group level. Our results support that situational factors at individual and group levels seem important (cf., Meyer, Dalal & Hermida, 2010).

Generally, these findings are in line with previous studies on leadership. For example, De Hoogh et al. (2004) found that the relationship between charismatic leadership and

performance is stronger in challenging and dynamic environments. Taken together, these findings stress that ethical leadership may be most influential in situations where there are few situation cues and few situation reinforces to guide follower behaviors. In these circumstances, followers may need more ethical guidance from a leader (cf., Brown et al., 2005). Based on the situational strength theory many other moderator variables may play a role. For example, the more often employees' work involves ethical dilemma's, the more often employees will need ethical guidance and the more likely ethical leadership will influence the behavior of followers (e.g., Brown et al., 2005).

Empathic concern was also studied as a moderator of the relationship between ethical leadership and follower helping behavior. The expected moderation of empathic concern was based on the social exchange theory. In line with this theory, we expected that in high empathic concern circumstances followers realize that helping behavior will be valued and therefore are more likely to reciprocate the fair treatment of a leader by exhibiting helping behaviors. We found support for this expectation. The moderator variables studied in this dissertation are follower perceptions of situations. Almost all research on context in leadership focuses on either followers' or leader perceptions. It would be interesting to examine the effects of the consensus between leaders and followers perceptions of the ethical context. In addition, the effects of other stakeholders' perceptions of the ethical context have never been studied before. Potential interesting research directions to examine may be customer perceptions. Overall, our findings stress the importance of considering elements of context as moderators in research on ethical leadership and follower behaviors.

Guiding Theories and Processes

Little theoretical and empirical research has examined the way in which ethical leadership affects outcomes. Brown and colleagues (2005) concentrate on social learning as the key theoretical process to explain how ethical leaders influence outcomes, namely through modeling and vicarious learning. Mayer et al. (2009) found support for this. They showed that supervisory ethical leadership mediates between ethical leader behavior from top management and follower group-level OCB. However, it seems that other underlying processes may also play a role. For instance, social exchange theory is suggested to

contribute to explaining the influence process (e.g., Mayer et al., 2009). Social exchange theory suggests employees will reciprocate fair and just treatment by their leader. So far, research on ethical leadership has been guided by the social learning and the social exchange theories. However, the social learning and social exchange theories cannot account for all relevant processes and effects. We suggest integrating other theories such as social identity, justice and management impression theories, which may help move the ethical leadership research field forward.

Social identity explains that individuals want to belong to a group, because group membership provides information on the appropriateness of one's values and attitudes (Hogg, 2002). Social identity theory will help explain how ethical leaders influence individual followers via identity effects of such leaders. For example, ethical leaders stress ethical values. This communicates identity relevant information to followers. Identity information is likely to influence the way followers feel about themselves and the way they behave. Social identity will strengthen the distinctiveness of the group values. Values congruence among followers and leaders is important, because they will perceive stimuli in the same manner. Thus, examining ethical leadership in relationship to follower value congruence and moral behavior seem highly relevant from a social identity perspective.

Another central element of social identity is the group prototype. The leader is usually most representative of the in-group, attracts most attention and therefore has most influence in a work group (Hogg, 2001). In line with this, Kalshoven and Den Hartog (2009) showed that followers identify with their ethical leaders, because these leaders are seen as more group prototypical, and in turn these leaders are trusted more by followers. Individuals desire to adjust their behavior to the behaviors and norms of the group representative (i.e., prototype; Hogg, 2001). These arguments imply that prototypicality may be a mediator between ethical leadership and follower outcomes.

Furthermore, in the unethical leadership literature, besides social exchange, the justice and fairness perspective as well as the reactance theory are used to explain the relation between leadership and attitudinal and perceptual outcomes (e.g., Mitchell & Ambrose, 2007; Tepper, 2000). For example, in his abusive supervision research Tepper (2000) focuses on the justice perspective and argues that when employees feel treated unfairly,

positive attitudes and behaviors diminish. According to justice theory, individuals levels of fairness draw on perceptions of distributive justice (fairness of outcome), procedural justice (fairness of procedures), and interactional justice (fairness of the interpersonal treatment). Interactional justice is mostly relevant to the ethical leadership construct, because it reflects the interpersonal dimension of fairness (Bies, 2000). Tepper (2007) argues that injustice may be a mediator between unethical leadership and follower outcomes. In contrast, justice may be a mediator for the ethical leadership and follower outcomes relationship.

Reactance theory focuses on the maintenance of personal control and followers who experience their leader as unethical will feel little or no control and consequently will try to re-establish their control (Zellars et al., 2002). Ethical leaders will not pressure followers to take on their point of view and therefore we do not expect the reactance theory to play a role in the ethical leadership field. However, Wright and Brehm (1982) argue that the reactance theory needs to be evaluated as impression management. Drawing on theories of impression management (e.g., Bolino, 1999), research shows that employees engage in citizenship at strategic times and in strategic ways to establish their reputations as helpful, capable contributors (Deutsch Salamon & Deutsch, 2006). Grant and Mayer (2009) argue that impression management motives are self-serving. In that light, it is expected that ethical leaders will be negatively related to self-serving impression management tactics. In addition, it is expected that followers will not be motivated by impression management. Through the nature and timing of their behaviors, employees reveal visible cues about their values. For instance, Bolino (1999) stressed that employees with self-serving values offer less effective help. These employees are distracted by concerns of others and tend to expend less energy in initiative because they stop helping once their own interests are served rather than continuing to help until others are satisfied. Overall, there is room to broaden the scope of theories that need to be considered in future research on ethical leadership processes.

Potential Limitations

All four empirical studies are based on cross-sectional questionnaire data. This way of designing a study has some limitations. First, a cross-sectional design implies that no

causal relationships could be examined. Therefore, the direction of the relationships remains untested. The proposed directions of the relationships were theoretically driven and based on previous related leadership studies. In future, experimental work is needed. Second, the data were collected at one point in time. The assessment of ethical leadership processes requires data collection over a longer period of time. Future research may assess the influence of ethical leadership on followers during a longer time period. Also, due to the set up of the studies in this dissertation the outcome variables and the leader behaviors have been gathered at the same time. A more longitudinal design, in which outcomes are measured some time apart from the leadership rating, might prove interesting. The effects of ethical leadership may be more visible over a longer period of time. Third, we used a survey method. Other methods, such as qualitative and experimental designs have not often been used in this dissertation or in the ethical leadership research field so far and may enrich the investigation of ethical leadership

Generalizability should also be discussed. There could be a positive bias in the data as the leaders and organizations willing to cooperate with the studies are maybe more ethical than those who did not participate. For example, organizations contributing to these studies mostly belong to the public sector. Another positive bias may be caused by the sensitivity of the topic. Respondents are maybe likely to respond positively. However, the context was not performance oriented, which should help keep possible positive biases limited. Participants represented all sectors in the Netherlands and also all levels of hierarchy within organizations. The data collection for all studies has taken place in Dutch organizations and therefore it is not automatically generalizable to other countries.

Some strengths should also be highlighted. Almost all data collection was based on multi-source ratings, i.e., leaders and followers rated each others behaviors. In this way the data were less susceptible to common-method bias. Another strength is that in two chapters (i.e., chapter 2 and 3) multiple samples were analyzed for testing hypotheses. Additionally, in chapter 2 and 4, leaders were rated by multiple followers. In some studies leaders could choose the follower participants and in others the followers were randomly selected. Random selection of followers has a preference, however sometimes due to the type of access we had and the set up of the study, leaders had to pick their followers. This may have led to

a positive bias of followers ratings of their leaders' ethical behaviors. Thus, social desirability bias may play a role like in many leadership studies.

Practical Implications

Many organizations face the challenge of ethical behavior to keep their organization in business. Organizations have experienced that introducing and distributing a code of ethics among the members of the organizations is not enough. For the actual implementation of ethics at work ethical leader behavior is important. Ethical leaders are role models who openly communicate and reinforce ethical behaviors among followers. Increasing our knowledge about ethical leadership is practical relevant. The research put forward a number of suggestions for practitioners.

First, leaders operating ethically for society, environment and employees increases the reputation of the organization, which may be important for the attraction of applicants. Generally, organizations may want to focus on the general attractiveness and the fit applicants experience with the organization in order to increase the attractiveness. In similar lines, organizations with a strong focus on ethics may attract applicants with a focus on ethics. For personnel selection, the personality characteristics agreeableness and conscientiousness are most relevant, however these characteristics are not enough for the prediction of ethical leadership. Probably, situational demands of leadership need to be integrated into personnel selection.

Putting the main findings of this dissertation together suggests that ethical leadership mainly has a positive relationship with follower behaviors. One way for managers to stimulate these desired behaviors is by modeling. For managers these modeling behaviors include open communication, discuss ethical dilemmas, treat others equally, keep promises, share power and clarify expectations. Organizations can help leaders to show such behavior. For example, coaching may help to increase leaders' awareness of their role modeling function. Coaching may also help leaders to develop manners to strengthen the relationships with their followers. In line with social exchange theory a strong relationship between leader and follower is likely to result in desired follower behaviors. In light of training facilities, leader personality is only slightly important for predicting ethical leadership, which may

indicate that ethical leader behaviors may be learned. As ethical leadership is likely to be multi-dimensional, training could focus on improving a variety of ethical leader behaviors. As stated before, training should not only be focused on integrity rules and procedures, but also on learning by experience of ethical situations at work.

To conclude, the present research has increased our understanding regarding ethical leader behavior, antecedents, follower outcomes and the context in which these leaders operate. However, more research is needed to further help organizations in the battle against fraud and integrity breakdowns. This premature ethical leadership research field needs future research to improve our understanding of the ethical leadership process and the stimulating and hindering contextual factors. So far, studies show that ethical leaders are likely to positively affect employee's attitudes and responsibility, helping and initiative behaviors. Hopefully, these results will stimulate organizations to keep ethics in combination with leadership high on their agendas.

Appendix 1

Correlations Between The ELW Dimensions and Leader Personality

Table - Means, standard deviations and correlations among variables Study 2 of Chapter 3

Variables	M	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14
1 Openness to experience	3.96	.40														
2 Extraversion	3.97	.43	.26**													
3 Agreeableness	3.79	.43	-.09	.23**												
4 Conscientiousness	3.51	.45	.04	.13	.35**											
5 Emotional stability	4.22	.42	.32**	.23**	.25**	.16*										
6 ELS	3.77	.37	.01	.02	.15*	.23**	.08									
7 ELW combined	3.67	.36	.02	.08	.17*	.25**	-.01	.89**								
8 Fairness	3.91	.53	-.02	.09	.18*	.06	-.01	.60**	.70**	.84						
9 Power sharing	3.63	.45	-.02	-.02	.22**	.08	-.02	.56**	.62**	.47**	.74					
10 Role clarification	3.80	.45	.12	.05	-.05	.23**	.14*	.53**	.61**	.17**	.19**	.82				
11 People orientation	3.86	.51	.02	.19**	.20**	.18**	-.08	.77**	.85**	.61**	.54**	.39**	.90			
12 Ethical guidance	3.38	.49	.10	.04	-.04	.20**	.02	.66**	.75**	.29**	.31**	.53**	.50**	.88		
13 Integrity	3.88	.64	-.11	-.02	.09	.28**	-.08	.70**	.72**	.47**	.29**	.50**	.56**	.45**	.90	
14 Concern for sustainability	3.09	.64	-.04	.02	.22**	.21**	.05	.35**	.45**	.19**	.07	.31**	.29**	.49**	.23**	.81
15 LMX	3.61	.44	.02	.05	.08	.13	-.06	.76**	.79**	.59**	.52**	.42**	.75**	.54**	.59**	.29**

Note: $N = 150$ * $p < .05$; ** $p < .01$. All tests are one-tailed. Cronbach's α appeared on the diagonal.

Introduction

Appendix 1 is supplementary to Chapter 3 of this dissertation. In chapter 3, ethical leadership is operationalized with the ELS (Brown et al., 2005) and three dimensions of the ELW, namely fairness, power sharing and role clarification. The overall scale as well as the other dimensions of the ELW are not presented in that chapter. As the development of the ELW measurement is a key theme of this dissertation, the correlations between the overall ELW scale as well as the various ELW dimensions and leader personality are presented in this appendix.

Rater Agreement

To investigate the justification for aggregating subordinates' responses to characterize the ethical leadership style of the managers, we completed one way-analyses of variance with leaders as the independent variable and the mean scores of two subordinates for the dimensions of ethical leadership as the dependent variables. Results of the one-way Anova analyses showed that the between-group variance was significantly different from zero for all ethical leadership variables (see Bliese, 2000). We calculated the intra-class correlation coefficient ICC(1) (Shrout & Fleiss, 1979). The ICC(1) is an estimate of the degree to which subordinates of the same leader answer similarly. In this study, the ICC(1)'s values were .32 for fairness, .43 for integrity, .27 for people orientation, .32 for power sharing, .24 for role clarification, .32 for ethical guidance and .45 for concern for sustainability. These ICC(1) values are all above the median of perceptual agreement, which is .12 (ranging from .00 to .50) reported in previous literature (James, 1982). These ICC values support the validity of aggregation of the ethical leader behaviors. Thus, we calculated a mean score for all leadership behaviors based on the two subordinates for each leader.

Results and Discussion

Additional to the results presented in chapter 3, the results in the table show that conscientiousness is most consistently correlated with the ethical leadership dimensions, namely role clarification ($r = .23, p < .01$), people orientation ($r = .18, p < .01$), ethical guidance ($r = .20, p < .01$), integrity ($r = .28, p < .01$) and concern for sustainability ($r = .21,$

$p < .01$). Surprisingly, conscientiousness was unrelated to fairness ($r = .06$, *ns*) and as expected conscientiousness was not correlated to power sharing ($r = .08$, *ns*).

Also, agreeableness shows connections with several dimensions of ethical leadership. The significant relationships are found between agreeableness and people orientation ($r = .20$, $p < .01$), fairness ($r = .18$, $p < .01$), power sharing ($r = .22$, $p < .01$) and concern for sustainability ($r = .22$, $p < .01$).

Except for one sub-dimension of ethical leadership, namely consideration ($r = .19$, $p < .01$), extraversion was found unrelated to ethical leadership. Similarly, emotional stability was found unrelated to ethical leadership, except for one sub-dimension labeled role clarification ($r = .14$, $p < .05$).

Conscientiousness emerged as the strongest predictor in that it is most consistently related to multiple ethical leader behaviors, namely role clarification, consideration, ethical guidance, consistency and concern for sustainability. As conscientious leaders are dependable, responsible and act dutiful, the relevance of this characteristic for the ethical potential of leadership is not surprising. In contrast with our expectations, highly conscientious leaders are not perceived as more fair by their subordinates. The fairness component measures as a leader have no favorite subordinates, take your own responsibilities and act altruistically. Moon (2001) argues that conscientious individuals can act with egoistic motives, because they are focused on their own achievements and goals. He argues that the achievement component of conscientiousness is self-oriented and the duty component is other oriented. Studying different facets of conscientiousness in relation to ethical leadership may help further understand these relationships.

Agreeableness shows several relationships with ethical leadership dimensions. Agreeableness was less strong related to ethical leadership and its dimensions than expected. The results showed that agreeableness correlates with fairness, power sharing, people orientation and concern for sustainability. The link between agreeableness and ethical leadership was mostly expected through the people-oriented component of this trait. In line with this, agreeableness was most strongly related to people orientation.

Several factors could explain why the relationships with the other components of ethical leadership were not found. The literature suggests that agreeableness is important

for ethical leadership as agreeable individuals tend to be kind, altruistic and warm and ethical leaders are supposed to be caring, altruistic and concerned about the welfare of their employees. However, perhaps agreeable individuals may also at times be seen as less principled or fair in decision making as their desire to please others and take their needs' into account may mean they treat people differentially. Another potential reason for the limited role of agreeableness for ethical leader behavior is the tendency of agreeable individuals to be overly compliant. Agreeable individuals are likely to adjust their behaviors in trying to accommodate others and perhaps this makes more agreeable leaders less likely to be perceived as consistent and convey about the roles, tasks and ethical codes of conduct.

Appendix 2

**Correlations Between The ELW Dimensions and Follower Helping Behavior
as well as The Ethical Context of Moral Awareness and Empathic Concern**

Table - Correlations among variables Study of Chapter 4

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
1 Transformational leadership																					
2 Ethical leadership	.75**																				
3 Ethical leadership mean	.52**	.70**																			
4 Moral awareness	.31**	.35**	.47**																		
5 Empathic concern	.20*	.07	.07	.38**																	
6 Power sharing	.64**	.76**	.49**	.29**	.11	.80															
7 Power sharing mean	.47**	.52**	.72**	.38**	.08	.65**															
8 Fairness	.49**	.64**	.44**	.07	.06	.47**	.32**	.83													
9 Fairness mean	.41**	.52**	.74**	.14*	.10	.37**	.56**	.62**													
10 Role clarification	.67**	.81**	.61**	.35**	.07	.57**	.44**	.41**	.34**	.85											
11 Role clarification mean	.50**	.60**	.84**	.43**	.07	.41**	.61**	.28**	.47**	.73**											
12 People orientation	.69**	.78**	.54**	.17*	.05	.61**	.43**	.53**	.47**	.58**	.44**	.91									
13 People orientation mean	.53**	.53**	.78**	.21*	.05	.40**	.60**	.41**	.67**	.44**	.65**	.67**									
14 Integrity	.41**	.72**	.57**	.31**	.04	.40**	.30**	.52**	.45**	.55**	.45**	.41**	.32**	.94							
15 Integrity mean	.29**	.54**	.77**	.39**	.03	.27**	.43**	.35**	.62**	.47**	.61**	.32**	.46**	.75**							
16 Sustainability	.40**	.57**	.37**	.19*	.00	.39**	.29**	.14*	.15*	.35**	.24**	.30**	.18*	.26**	.14	.78					
17 Sustainability mean	.21*	.34**	.53**	.24**	.00	.21*	.38**	.09	.21*	.23**	.33**	.16*	.26**	.14	.22**	.67**					
18 Ethical guidance	.52**	.74**	.47**	.37**	.01	.47**	.26**	.27**	.20*	.62**	.43**	.48**	.25**	.42**	.27**	.46**	.26**	.91			
19 Ethical guidance mean	.32**	.51**	.68**	.54**	.02	.27**	.35**	.20*	.30**	.44**	.61**	.30**	.39**	.31**	.40**	.30**	.39**	.71**			
20 Altruism behavior	.13	.25**	.19*	.11	.15*	.22*	.17*	.20*	.13	.19*	.17*	.12	.03	.17*	.16*	.22*	.22*	.14*	.11		
21 Courtesy behavior	.12	.20*	.12	.10	.10	.17*	.07	.21*	.14	.21*	.12	.02	-.17*	.19*	.19**	.07	.11	.10	.45*		

Note: $N = 133$. * $p < .05$, ** $p < .01$. All tests are one-tailed. Cronbach's α appeared on the diagonal.

Introduction

Appendix 2 is supplementary to Chapter 4. In that chapter, ethical leadership is operationalized with the ELW overall scale. There is no emphasize on the different ethical leader behaviors. In the current appendix, the correlations between the seven ethical leader behaviors and the study variables of chapter 4 are described.

Rater Agreement

An aim of chapter 4 is to examine whether individual- or group-level effects of ethical leader behavior are related to follower behaviors. We calculated the intra-class correlation coefficient ICC(1), because we wanted to aggregate the ethical leader behaviors to create group-level variables. The ICC(1) is an estimate of the degree to which subordinates of the same leader answer similarly (cf. Shrout & Fleiss, 1979). We also calculated a within-leader correlation (rwg) to assess the amount of agreement across subordinates (James, Demaree, & Wolf, 1984). There was meaningful between-group variance for all ethical leadership behavior, fairness ICC(1) = .12, rwg = .85, power sharing ICC(1) = .19, rwg = .89, role clarification ICC(1) = .29, rwg = .89, ethical guidance ICC(1) = .26, rwg = .86, concern for sustainability ICC(1) = .20, rwg = .89, people orientation ICC(1) = .17, rwg = .84 and integrity ICC(1) = .29, rwg = .78. The ICC en rwg values support the validity of aggregation of the ethical leader behaviors. That means for all leadership behaviors a mean score was calculated.

Correlation Results

Results show that an individual perception of various ethical leadership dimensions significantly correlates with altruism behavior and courtesy behavior. Specifically, Altruism behavior was most strongly correlated with various ethical leadership behaviors, power sharing ($r = .22, p < .05$), fairness ($r = .20, p < .05$), role clarification ($r = .19, p < .05$), integrity ($r = .17, p < .05$), concern for sustainability ($r = .22, p < .05$) and ethical guidance ($r = .14, p < .05$). ($r = .20, p < .05$), whereas people orientation was not significantly correlated ($r = .12, ns$). Additionally, courtesy was significantly correlated with power sharing ($r = .17, p < .05$), fairness ($r = .21, p < .05$), role clarification ($r = .21, p < .05$) and

integrity ($r = .19, p < .05$). People orientation ($r = .02, ns$), concern for sustainability ($r = .07, ns$) and ethical guidance ($r = .11, ns$) were not correlated to courtesy behavior.

A group-level perception of ethical leadership was significantly correlated with altruism, however not with courtesy. More specifically, altruism was significantly correlated with power sharing at the group level ($r = .17, p < .05$), role clarification at the group level ($r = .17, p < .05$), integrity at the group level ($r = .16, p < .05$), and fairness at the group level ($r = .22, p < .05$). However, people orientation at the group level ($r = .03, ns$), fairness at the group level ($r = .13, ns$) and ethical guidance at the group level ($r = .11, ns$) were not correlated to altruism behavior. As stated above, courtesy was not correlated to the ethical leadership behaviors. Surprisingly, people orientation was negatively and significantly correlated with courtesy ($r = -.17, p < .05$).

None of the ethical leadership behaviors, individual- as well as group-level, were correlated to empathic concern (correlations ranging from $r = .00$ to $r = .11$). Except for fairness at the individual level ($r = .07, ns$), both the individual- and the group level perceptions of ethical leadership were correlated with moral awareness (correlations ranging from $r = .14$ to $r = .54$).

Appendix 3

Correlations Between The ELW Dimensions and Follower Helping, Initiative, Responsibility and Job Autonomy

Table - Correlations among variables Study of Chapter 5

	1	2	3	4	5	6	7	8	9	10	11
1 Ethical leadership											
2 Fairness	.65**	.81									
3 Integrity	.73**	.38**	.92								
4 People orientation	.78**	.56**	.45**	.90							
5 Concern of sustainability	.56**	.15*	.27**	.28**	.77						
6 Power sharing	.75**	.47**	.39**	.66**	.33**	.79					
7 Ethical guidance	.74**	.31**	.44**	.44**	.48**	.46**	.91				
8 Role clarification	.80**	.44**	.58**	.53**	.32**	.56**	.58**	.85			
9 Follower job autonomy	.20*	.15*	.08	.24**	.12†	.19*	.13†	.12†			
10 Follower responsibility	.09	.18*	.06	.01	.00	.09	.00	.14*	.18*		
11 Follower helping behavior	.17*	.13†	.14*	.03	.12†	.12†	.12†	.25**	.04	.65**	
12 Follower initiative	.19**	.25**	.13†	.05	.11†	.12†	.13†	.18**	.11†	.73**	.58**

Note: $N = 147$. Cronbach's α appeared on the diagonal.

* $p < .05$; ** $p < .01$; † $p < .10$. All tests are one-tailed.

Introduction

Appendix 3 is supplementary to chapter 5 of this dissertation. In that chapter ethical leadership is operationalized with the ELW overall measurement. Here, the correlation between the separate ethical leader behaviors and follower initiative as well as helping are addressed.

Correlation Results

The results in the table show that integrity and role clarification are correlated with helping behavior (respectively, $r = .14, p < .05$; $r = .25, p < .01$), whereas fairness and role clarification were correlated with initiative (respectively, $r = .25, p < .01$; $r = .18, p < .01$). Except for people orientation, the other ethical leader behaviors were marginally significantly correlated with helping and initiative. That is, with helping and initiative concern for sustainability and ethical guidance were marginally related (ranging from $r = .11$ to $r = .13, p < .10$). Integrity is marginally related to initiative ($r = .13, p < .10$), while fairness is marginally related to helping behavior ($r = .13, p < .10$).

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Abstract in Dutch

Ethisch Leiderschap op het werk

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Ethisch leiderschap wordt in toenemende mate gezien als een succesfactor in het bedrijfsleven. Ethisch leidinggevenden vertonen normatief juist gedrag, zoals eerlijkheid, betrouwbaarheid, oprechtheid en zorgzaamheid (Brown et al., 2005). Deze ethisch handelende leidinggevenden nemen eerlijke beslissingen, behandelen anderen zorgzaam en met respect, houden rekening met anderen als ze een beslissing nemen en betrekken werknemers in het nemen van beslissingen (De Hoogh & Den Hartog, 2008; Treviño, Brown, & Hartman, 2003). Verder kunnen zij het gedrag van medewerkers sturen door het juiste voorbeeldgedrag te vertonen, te communiceren over de gedragsregels en het stimuleren en belonen van ethisch verantwoordelijk gedrag onder werknemers. Er wordt verwacht dat ethisch leiderschap de attitude en het gedrag van medewerkers op alle niveaus in de organisatie en zelfs uiteindelijk de prestaties van de organisatie positief beïnvloedt.

Het schenden van integriteitsprincipes en machtsmisbruik van publieke en zakelijke leidinggevenden, vooral aan de top van organisaties, is de afgelopen jaren veelvuldig in het nieuws geweest en heeft het publieke vertrouwen in organisaties verminderd. De huidige tijd vraagt om leidinggevenden die een lange termijn visie hebben, bouwen aan welzijn en duurzaam willen ondernemen voor alle betrokken partijen. Hoewel vele factoren ethisch gedrag op het werk kunnen beïnvloeden, blijkt uit de literatuur dat leidinggevenden op alle niveaus in de organisatie de toon zetten. Leidinggevenden worden daarom gezien als een van de belangrijke factoren in studies naar ethisch gedrag op het werk (Brown & Treviño, 2006). Pas sinds 2005 is het onderzoek naar ethisch leiderschapsgedrag te onderscheiden als een apart veld binnen leiderschapsonderzoek. Daarvoor richtte het onderzoek zich meer op ethiek in organisaties in brede zin, of op de ethische aspecten van andere leiderschapstijlen, zoals de moraliteit van transformationele leiders. In dit proefschrift staan dus ethisch gedragingen van leidinggevenden centraal. Ook wordt ethisch leiderschap niet benaderd als iets wat aan de top van de organisatie moet plaatsvinden, maar als een vorm van leidinggeven die in alle lagen van de organisatie van belang is.

Wetenschappelijke kennis over de inhoud, antecedenten en uitkomsten van ethisch leiderschap is nog minimaal. Het doel van dit proefschrift is een bijdrage te leveren aan het ethisch leiderschapsgedrag onderzoeksveld. Dit gebeurt door het ontwikkelen van een

vragenlijst die ethisch leiderschap meet. Tevens wordt de rol van de persoonlijkheid van leidinggevend en bij ethisch leiderschap onderzocht en wordt deze leiderschapsstijl gerelateerd aan attitude en gedrag van medewerkers. Tenslotte is de effectiviteit van ethisch leiderschap in verschillende werk situaties onderzocht. Deze onderwerpen worden empirisch onderzocht in verschillende onderzoeken die worden gepresenteerd in hoofdstuk 2 tot en met hoofdstuk 5 van dit proefschrift. Hieronder volgt een samenvatting van deze hoofdstukken.

Het Meten van Ethisch Leiderschap

Tot nu toe is ethisch leiderschap vaak gemeten met behulp van de Ethisch Leiderschap Schaal (ELS) ontwikkeld door Brown en collega's (2005). Het is belangrijk om valide meetinstrumenten te ontwikkelen, zeker ook in een nieuw onderzoeksveld. De ELS is ontwikkeld om percepties van ethisch leiderschapsgedrag dat door de direct aangestuurde werknemers wordt waargenomen, te meten. Kijkend naar de bestaande literatuur lijkt de ELS niet alle gedragsfacetten van ethisch leiderschap te meten en daarom is in dit proefschrift een nieuwe vragenlijst ontwikkeld, genaamd de Ethisch Leiderschap op het Werk (ELW) vragenlijst. De ontwikkeling van deze vragenlijst staat centraal in hoofdstuk 2. Interviews onder werknemers en leidinggevend en een literatuurstudie resulteerden in acht gedragsdimensies van ethisch leiderschap. Analyses van drie steekproeven onder respectievelijk studenten, werknemers en de combinatie van leidinggevend en werknemers leidden uiteindelijk tot zeven valide gedragsdimensies. Al in de voorstudie onder studenten bleek de dimensie "het delen van kennis" niet als aparte dimensie te onderscheiden te zijn. Items gebaseerd op de interviews die "het delen van kennis" beoogden te meten, bleken op meerdere ethisch leiderschapsdimensies te laden en daarom is de dimensie "het delen van kennis" in verdere analyses niet meegenomen. Daarnaast is de vooraf opgestelde dimensie "gericht zijn op de omgeving" waarin zowel een gerichtheid op milieu als maatschappij werden geoperationaliseerd uiteindelijk geherdefinieerd als "gericht zijn op het milieu", omdat uit de analyses bleek dat de items "gericht zijn op de maatschappij" niet coherent samenhangen. De items die "gericht zijn op de maatschappij" beoogden te meten, kwamen daardoor te vervallen. Deze dimensie behoeft verdere verfijning in toekomstig onderzoek.

De uiteindelijke ELW-vragenlijst bevat dus zeven gedragsdimensies en de vragenlijst is samengesteld uit 38 items die tezamen het samengestelde construct ethisch leiderschap meten. Deze gedragsdimensies zijn zorgzaamheid, eerlijkheid en rechtvaardigheid, integriteit, begeleiden en stimuleren van ethisch gedrag, verhelderen van verwachtingen, rechten en plichten van medewerkers, delen van beslissingen en verantwoordelijkheid, en tenslotte het aandacht hebben voor bredere belangen zoals het milieu (zie ook De Hoogh & Den Hartog, 2009a; Kalshoven, Den Hartog, & De Hoogh, in druk). Onder *zorgzaamheid* wordt verstaan dat leidinggevenden oog hebben voor wat belangrijk is voor hun medewerkers en geïnteresseerd zijn in wat er in hun leven speelt. Bij *eerlijkheid en rechtvaardigheid* draait het erom dat medewerkers eerlijk en fair behandeld worden. Verder is een ethisch leidinggevende *integer*. Dit houdt in dat een leidinggevende zich aan beloften houdt. *Begeleiden van ethisch gedrag* kan door communiceren over de regels met betrekking tot integriteit en het belonen van ethisch verantwoordelijk gedrag van medewerkers. Ook is het voor medewerkers van belang dat helder is welke eisen aan hen gesteld worden en hoe zij succesvol kunnen bijdragen doordat de *verwachtingen, rechten* en *plichten* helder zijn. Ethisch leidinggevenden *delegeren* beslissingen en verantwoordelijkheden en geven werknemers inspraak. Bij het nemen van beslissingen denken ethische leidinggevenden niet alleen aan zichzelf en hun werkgroep, maar ook aan bredere belangen in de omgeving zoals het *milieu*. De ELW vragenlijst omvat in tegenstelling tot de ELS vragenlijst meer ethisch leiderschapsgedragingen. Echter, het meetinstrument zal in de toekomst verder ontwikkeld worden, omdat het een continue proces is.

De ELW vragenlijst is in dit proefschrift gebruikt in hoofdstuk 4 en 5. In deze hoofdstukken is het overkoepelende construct van ethisch leiderschap gemeten in relatie tot werknemersgedrag. In appendices in dit proefschrift staan ook resultaten gepresenteerd over de zeven bovengenoemde ELW dimensies en werknemersgedrag. In hoofdstuk 3 is ethisch leiderschap geoperationaliseerd aan de hand van zowel de ELS (Brown et al., 2005) als drie dimensies van de ELW, namelijk "eerlijkheid en rechtvaardigheid", "delen van beslissingen en verantwoordelijkheid" en "verhelderen van rechten en plichten". Ethisch leiderschap is in eerder onderzoek aan de hand van deze drie dimensies geoperationaliseerd door bijvoorbeeld De Hoogh en Den Hartog (2008).

Persoonlijkheid en Ethisch Leiderschap

In recent theoretisch onderzoek over ethisch leiderschap worden situationele en individuele karakteristieken als belangrijke invloeden op het ontstaan van ethisch leiderschap gezien (Brown & Treviño, 2006). Er is echter nog vrij weinig onderzoek naar de antecedenten van ethisch leiderschap gedaan. Hoofdstuk 3 is gericht op het verduidelijken van de rol van persoonlijkheid bij ethisch leiderschap. In twee studies is de relatie tussen karaktertrekken van leidinggevend en percepties van ethisch leiderschapsgedrag door medewerkers onderzocht. Daarbij zijn de vijf basale karaktertrekken van mensen gebruikt, de "Big Five" genoemd. Deze vijf karaktertrekken zijn neuroticisme, extraversie, openheid voor ervaringen, vriendelijkheid en consciëntieusheid. Drie van de vijf basale trekken lijken belangrijk te zijn voor ethisch gedrag van leidinggevend, namelijk consciëntieusheid, vriendelijkheid en neuroticisme (zie De Hoogh, & Den Hartog, 2009a; Walumbwa & Schaubroeck, 2009).

Om deze relatie te onderzoeken zijn twee studies uitgevoerd. In beide studies is een persoonlijkheidsvragenlijst afgenomen onder leidinggevend. Per leidinggevende vulden twee direct aangestuurde medewerkers een vragenlijst in over het getoonde ethisch leiderschapsgedrag. In studie 1 is het aantal participerende leidinggevend 89 en in studie 2 participeerden 150 leidinggevend. Het onderzoek laat zien dat de karaktertrek consciëntieusheid positief gerelateerd is aan ethisch leiderschap en ook aan de ethisch leiderschapsdimensie "verhelderen van rechten en plichten". Dit is in lijn met de verwachtingen en een eerdere studie van Walumbwa en Schaubroeck (2009). Consciëntieusheid maakt dat leidinggevend zich eerlijk en rechtvaardig gedragen, regels en procedures duidelijk maken, anderen daar ook op wijzen en daarom als meer ethisch ervaren worden. De studies laten ook een verband zien tussen de karaktertrek vriendelijkheid en ethisch leiderschap als geheel en twee gedragsdimensies van ethisch leiderschap, namelijk "eerlijkheid en rechtvaardigheid" en "het delegeren van beslissingen en verantwoordelijkheden". Vriendelijkheid staat voor warm, genereus, altruïstisch, betrouwbaar en de mate waarin iemand het belang van anderen boven het eigen belang stelt (McCrae & Costa, 1987). Deze karaktertrek zullen ethisch leidinggevend onder andere uiten door het tonen van bezorgdheid en het geven om anderen. Leidinggevend die hoog scoren op vriendelijkheid, worden dus als ethischer ervaren door hun werknemers.

In tegenstelling tot voorgaand onderzoek (Walumbwa & Schaubroeck, 2009), werd er in het onderzoek in dit proefschrift een verband gevonden tussen neuroticisme en ethisch leiderschap. Ook werd er een verband gevonden tussen neuroticisme en de ethisch leiderschapsdimensie "het verhelderen van rechten en plichten". Neuroticisme staat voor angst, impulsiviteit, stemmingswisselingen en kwetsbaarheid (McCrae & Costa, 1987). Dit verband valt te verklaren doordat leidinggevenden die hoog scoren op neuroticisme, minder stabiel gedrag laten zien en daardoor geen goede voorbeeldfunctie kunnen vervullen. Toekomstig onderzoek zal moeten uitwijzen onder welke omstandigheden neuroticisme belangrijk is voor ethisch leiderschap.

Het onderzoek dat wordt gepresenteerd in hoofdstuk 3, geeft het belang van karaktertrekken voor ethisch leiderschap aan. Ten eerste dragen de resultaten bij aan eerder onderzoek, door de bevindingen van Walumbwa en Schaubroeck (2009) te repliceren in Nederland. Daarnaast is niet alleen naar het overkoepelende construct ethisch leiderschap gekeken, maar wordt persoonlijkheid ook gerelateerd aan drie gedragsdimensies van ethisch leiderschap. Tenslotte neemt het onderzoek alle vijf de basale karaktertrekken mee in plaats van alleen de drie karaktertrekken die op basis van de theorie belangrijk lijken. De resultaten laten het belang van de karaktertrekken consciëntieusheid en vriendelijkheid voor ethisch leiderschapsgedrag zien.

De Effecten van Ethisch Leiderschap

In verschillende studies in dit proefschrift is ethisch leiderschap aan attitudes en gedrag van werknemers gerelateerd. Twee studies in hoofdstuk 2 zijn gewijd aan de relatie tussen percepties van ethisch leiderschap en de attitude van werknemers. Uit diverse eerdere onderzoeken blijkt dat ethisch leiderschapsgedrag positief samenhangt met attitudes van werknemers, zoals bereidheid van medewerkers om problemen aan het management team te rapporteren, bereidheid van werknemers om extra energie in hun werk te stoppen, commitment, vertrouwen in management en collega's en percepties van leiderschapseffectiviteit (Brown et al., 2005; De Hoogh & Den Hartog, 2008; Den Hartog & De Hoogh, 2009; Kalshoven & Den Hartog, 2009). In lijn hiermee is in de onderzoeken in dit proefschrift bevestiging gevonden voor de positieve relaties tussen ethisch leiderschap en tevredenheid,

commitment, vertrouwen en leiderschapseffectiviteit. Tevens blijkt ethisch leiderschap negatief samen te hangen met cynisme. De zeven dimensies van ethisch leiderschap hangen allemaal samen met de bovengenoemde attitudes.

Niet alleen de relatie tussen ethisch leiderschap en werknemerattitude is van belang, ook is er onderzoek nodig dat de relatie tussen ethisch leiderschap en het gedrag van werknemers onderzoekt. Een onderzoek in hoofdstuk 2 en de onderzoeken in hoofdstuk 4 en 5 richten zich op deze relatie. Ethisch leiderschap is beoordeeld door werknemers, terwijl gedrag van werknemers in alle onderzoeken is beoordeeld door hun direct leidinggevendenden, zodat de onderzochte relaties gebaseerd zijn op informatie van zowel leidinggevendenden als werknemers. In lijn met eerder onderzoek en de verwachtingen blijkt dat ethisch leiderschapsgedrag positief samenhangt met prosociaal gedrag van werknemers (Mayer et al., 2009; Piccolo et al., 2010). Naast deze meer affectieve vorm van gedrag, blijkt uit de resultaten van hoofdstuk 5 dat ethisch leiderschap ook positief samenhangt met een veranderingegeoriënteerde vorm van werknemersgedrag, namelijk initiatiefrijk werkgedrag. Dit is in lijn met eerder onderzoek dat een relatie vond tussen ethisch leiderschap en het uiten van een mening door medewerkers (Walumbwa & Schaubroeck, 2009).

Hoewel in het onderzoek alle zeven ethische leiderschapsdimensies positief gerelateerd zijn aan de attitude van werknemers, vinden we wel verschillende relaties tussen de ethisch leiderschapsdimensies en werkgedrag van werknemers. Voor de affectieve vormen van werknemersgedrag blijken voornamelijk de dimensies "eerlijkheid en rechtvaardigheid", "zorgzaamheid" en "het delen van beslissingen" van belang (zie hoofdstuk 2). Echter, de correlaties in appendices 2 en 3 laten ook een consistente samenhang zien tussen de ethisch leiderschapsdimensies "integriteit" en "het verhelderden van rechten en plichten" enerzijds en affectieve vormen van werknemersgedrag anderzijds. Deze verschillen in bevindingen kunnen wellicht zijn ontstaan door de opzet van de onderzoeken. In hoofdstuk 2 konden leidinggevendenden kiezen welke werknemers participeerden, terwijl de resultaten in de appendices (hoofdstuk 4 en 5) zijn gebaseerd op participatie van willekeurig gekozen werknemers.

Voor initiatiefrijk werkgedrag lijken de ethisch leiderschapsdimensies "het tonen van rechtvaardig gedrag" en "het verhelderden van rechten en plichten" relevant. "Eerlijkheid en rechtvaardigheid", "zorgzaamheid" en "het delegeren van beslissingen en

verantwoordelijkheden" lijken van belang voor gedrag dat gericht is op de reputatie van de organisatie. Voor toekomstig onderzoek lijkt het belangrijk om de effecten van de verschillende ethisch leiderschapsdimensies op werknemersgedrag te onderzoeken. Samengevat laten de onderzoeksresultaten zien dat ethisch leiderschapsgedrag positief samenhangt met verschillende vormen van werknemersgedrag.

Ethisch Leiderschap en Context

In dit proefschrift worden in de hoofdstukken 4 en 5 mogelijke moderatoren van de relaties tussen ethisch leiderschap en werknemersgedrag onderzocht. Hoofdstuk 4 richt zich op de werkcontext van moreel bewustzijn en op de werkcontext die gericht is op sympathie binnen een team. In hoofdstuk 5 wordt de door werknemers ervaren vrijheid in het uitvoeren van de werkzaamheden (autonomie) onderzocht als potentiële moderator van de relatie tussen ethisch leiderschap en gedrag van werknemers. Verwacht werd dat zowel moreel bewustzijn als autonomie zorgt voor een situatie waarin het onduidelijk is wat gewenst gedrag is en dus zullen werknemers zich richten tot de directe leidinggevende voor aanwijzingen van gewenst gedrag. Deze verwachtingen zijn bevestigd. Ethisch leiderschap blijkt sterker gerelateerd aan prosociaal gedrag van werknemers in een werkcontext waar een lage mate van moreel bewustzijn heerst. Een lage mate van moreel bewustzijn betekent dat werknemers zich niet bewustzijn van ethische kwesties die op het werk spelen. Bovendien blijkt dat ethisch leiderschap positief gerelateerd is aan prosociaal gedrag van werknemers als er een hoge mate van vrijheid in het uitvoeren van werkzaamheden wordt ervaren. Hetzelfde verband is ook gevonden voor het nemen van initiatief op het werk door werknemers. Deze resultaten tonen aan dat ethisch leiderschap het meest van belang is in situaties waar er vanuit de omgeving weinig beperkingen en stimulansen zijn om gedrag te sturen. Het lijkt erop dat in die situaties de voorbeeldfunctie van ethische leiders belangrijk is.

Naast bovengenoemde redenering, werd er voor een werkcontext waar sympathie centraal staat een ander modererend verband verwacht. Verwacht werd dat werknemers in een sympathieke omgeving meekrijgen dat sympathie gewaardeerd en beloond wordt. Werknemers zullen dus het eerlijke en zorgzame gedrag van een leidinggevende belonen door ook sympathie te tonen in de vorm van bijvoorbeeld prosociaal gedrag. Deze verwachting

is bevestigd door de gevonden resultaten. Ethisch leiderschap blijkt sterker samen te hangen met pro sociaal gedrag van werknemers in een hoge mate van een sympathieke context. De resultaten benadrukken het belang van het betrekken van de context als moderator in onderzoek naar ethisch leiderschap en werkgedrag van werknemers.

Hoofdstuk 5 gaat dieper in op de modererende rol van de context en toetst een mediërend moderatie model. De studie in hoofdstuk 5 toont aan dat ethisch leiderschap in een hoge autonomie situatie de verantwoordelijkheid van medewerkers vergroot en werknemers daardoor meer pro sociaal- en initiatiefrijke werkgedrag laten zien. De studie vindt dus steun voor de mediërende rol van verantwoordelijkheid van het interactie effect tussen ethisch leiderschap en autonomie, maar alleen als de ervaren autonomie hoog is. De indirecte effecten van ethische leiders verdienen meer aandacht in toekomstig onderzoek.

Conclusie

De onderzoeksbevindingen in dit proefschrift laten zien dat ethisch gedrag van leidinggevend een positieve bijdrage levert aan het stimuleren van gewenst werkgedrag en attitudes van medewerkers. De zeven ethisch leiderschapsdimensies zijn allemaal gerelateerd aan de onderzochte attitudes, terwijl er verschillende effecten zijn gevonden tussen de ethisch leiderschapsdimensies en werknemersgedrag. Het lijkt er dus op dat het indelen van ethisch leiderschap in verschillende factoren een nuttige en belangrijke aanvulling op bestaand onderzoek biedt. Dit blijkt ook uit de studies waarin gevonden is dat karaktertrekken van leidinggevend verschillend gerelateerd zijn aan ethisch leiderschapsdimensies. Bovendien blijkt dat een ethische leider effectiever zal zijn in het aansturen van medewerkers in de ene situatie dan in de andere. Het lijkt daarom belangrijk om context te integreren in personeelsselectie, adviezen en trainingen. Echter, meer onderzoek lijkt nodig om in kaart te brengen onder welke omstandigheden organisaties profiteren van het ethisch gedrag van leidinggevend.

Een andere kanttekening bij de gepresenteerde onderzoeken betreft het cross-sectionele karakter van de onderzoeken, waardoor de richting van de gevonden verbanden theoretisch verondersteld, maar niet getoetst kan worden. De veronderstelde richting van de verbanden zijn gebaseerd op eerder leiderschapsonderzoek. Dat er aangehaakt kan worden

bij eerder leiderschapsonderzoek, is een voordeel voor het ethisch leiderschap onderzoeksveld. Toekomstig onderzoek kan zich richten op het verder uitbouwen van valide schalen die ethische componenten op het werk meten, zodat het eigen onderzoeksdomein van ethisch leiderschap verder uitgebouwd kan worden. Ook al is het vakgebied nog pril, dit proefschrift toont het belang van ethisch handelende leidinggevendenden voor organisaties aan. Hopelijk zijn organisaties geprikkeld door de resultaten en levert dit proefschrift een bijdrage aan de interne discussie over leiderschap in combinatie met ethiek op het werk, opdat de kwaliteit van leiderschap verbetert.

About the author

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Karianne Kalshoven was born on November 26, 1979 in Amsterdam, the Netherlands. She obtained a Master of Science in Work and Organizational Psychology at the University of Amsterdam in 2004. As part of this study she spent a semester at the University of Bergen, Norway. Subsequently, she did an internship at TNO work and employment investigating determinants of absenteeism in relation to individuals with a chronic disease and/or impairment. In 2006 she started her PhD at the HRM-OB department at the University of Amsterdam Business School on antecedents and consequences of ethical leadership in organizations. She presented her research on international conferences, including the Academy



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