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Pepperdine University
Graduate School of Education & Psychology

COMMON LEADERSHIP STRATEGIES AND PRACTICES
AMONG AUTHENTIC SENIOR LEADERS

A dissertation submitted in partial satisfaction
of the requirements for the degree of
Doctor of Education in Organizational Leadership

by

Michael G. Ehret

August, 2016

Farzin Madjidi, Ed.D. – Dissertation Chairperson

This dissertation, written by

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under the guidance of a Faculty Committee and approved by its members, has been submitted to and accepted by the Graduate Faculty in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

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DEDICATION

I dedicate this work to Mr. Vit Piscuskas who gave me my first academic lesson in leadership in his eighth grade algebra class. He wrote on the chalkboard that there are three essentials to success in life:

1. Confidence
2. Communication Skills
3. Sense of Humor

I cannot remember much of algebra, or much else of what I have learned in school, but this began a fascination with the study of leadership, and for this, I am grateful.

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VITA

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PROFESSIONAL SUMMARY

Michael Ehret is the Vice President of Human Resources for Johnson & Johnson's Supply Chain. In this position, Michael helps build a culture of quality and customer excellence across J&J by ensuring a strong pipeline of talent and by optimizing process and organizational design.

Previously, Michael was Vice President of Talent Development, responsible for global Leadership Development and Learning, as well as Talent Mobility – leading the design and implementation of integrated, enterprise-wide learning and leadership development solutions (processes, tools and programs). Prior to that, Michael was Director, Human Resources, Asia Pacific Product Development for Johnson & Johnson's Medical Device and Diagnostics sector. Michael also served as Director, Human Resource for Ethicon Biosurgery and Ethicon Biopatch, inclusive of Omrix Biopharmaceuticals.

Other past experiences include Bristol-Myers Squibb and CIGNA where Michael held several Human Resources Generalist and Talent Management positions, starting as a member of the CIGNA HR Leadership Development Program.

ABSTRACT

From the early 2000s onwards, authentic leadership has continued to garner growing interest from academia, the public sector, and across multiple industries. Perhaps the reason for the increased focus on authenticity is the unethical behavior demonstrated by a number of leaders from 2000 to 2010. While there is growing interest in demonstrating authenticity as a situational leadership style or even an inherent trait, there is limited research on what leadership strategies or practices are most effective for authentic leaders. This study was designed to apply a common definition, or set of criteria, to identify leaders that are authentic. Once this group of authentic leaders has been identified, research can be conducted to understand common characteristics, traits, styles, practices, and strategies. Conversely, the opportunity exists to understand what common challenges authentic leaders face to determine mitigation strategies. The findings of this study provided exemplary best practices for leaders in business and other fields. To help ground the study, a detailed literature review of leadership theory, and authentic leadership's place within the study of leadership, was completed. The historical examination of leadership is important as it adds richness and context to how authenticity has risen to prominence within empirical and theoretical research.

This research showed that common leadership strategies and practices among authentic leaders include the ability to connect and engage through honest and transparent storytelling. Authentic leaders are vulnerable and transparent, and they enable and engage people and organizations through sharing a compelling vision. Their core leadership approach of honesty and transparency does not change, but they will flex how direct they are based on the situation and audience. In terms of challenges, authentic senior leaders have a high desire for their authentic approach to be reciprocated, and they can be too demanding. In order to overcome

these challenges, they try to manage their stress and use physiological and mental means to manage energy. Authentic senior leaders measure success in terms of business results, talent development, and being recognized. The advice they have for future leader is to be one's authentic self and to understand one's personal mission and purpose.

Chapter 1: Introduction

In 1987, Jim Kouzes and Barry Posner conducted a study to understand the characteristics or traits of superior leaders. They questioned 1,500 managers to learn what attributes or features they most highly valued from their direct supervisors. The most common answers, ranked in descending order, were: “(a) integrity (is truthful, is trustworthy, has character, and has convictions), (b) competence (is capable, is productive, and is efficient), and (c) leadership (is inspiring, is decisive, and provides direction)” (Kouzes & Posner, 1987, p. 71). Even beyond leadership competence, followers deemed integrity and trustworthiness as most important. The researchers concluded that these attributes, when combined, create credibility. Credibility builds trust, and trust leads to engagement. In the 1990s, a swell of corporate and governmental scandals called into question the integrity of several prominent leaders. These scandals included Enron, Bernie Madoff’s Ponzi investment schemes, Waste Management, Inc., WorldCom, Inc. and Freddie Mac. As a result of the rise in public mistrust of leaders, Leadership Summits were held at the Gallup Leadership Institute (GLI) of the University of Nebraska-Lincoln in 2004 and 2006. From these summits, a number of theories and articles were shared highlighting the significance of authenticity in effective leadership. Bill George, William Gardner, and Kevin Cashman are considered to be a few of the preeminent thought leaders on authentic leadership. According to Leader-Member Exchange theory (LMX), the leader/follower relationship is the quintessential success predictor for an individual or team (Gerstner & Day, 1997). Trust is foundational to a leader-follower relationship, and authenticity is a strong enabler of trust.

Consultancy is a practice that necessitates the ability to build trust quickly. Peter Block (1993) is recognized as one of the world experts on consultancy and organizational development.

Block (as cited in Duignan & Bhindi, 1997) concluded from academic endeavors and practical experiences that leadership effectiveness is directly correlated to trustworthiness. He stated:

The fire and intensity of self-interest seem to burn all around us. We search, so often in vain, to find leaders we can have faith in. Our doubts are not about our leaders' talents, but about their trustworthiness. We are unsure whether they are serving their institutions or themselves. (pp. 9-10)

With heavy influence from the results of the Kouzes and Posner study in 1987, Duignan and Bhindi (1997) offered a theoretical construct for the study of authentic leadership in an organization. Some of the most relevant elements of the construct include the fact that widespread disparagement of leaders in the late 90s was based on perceptions of their integrity and ethics, especially since authenticity and authentic relationships are critical to impactful leadership. The culture of an organization plays an important role in allowing people to be authentic. In addition, an organization must have an environment that values learning. All of these components are factors for those who desire to be authentic leaders.

From 2000 to 2010, there was a movement in the study of leadership focused on the importance of authenticity (see Figure A1 in Appendix A; Gardner, Coglisier, Davis, & Dickens, 2011). Perhaps the explanation for the swell in authenticity as a central theme in leadership studies is the cynicism and mistrust of leaders in the corporate setting. One of the significant eroders of corporate trust was the Enron Scandal. By all accounts, in the 1990s Enron was viewed as a successful company, rooted in utilities and energy; Enron had a market capitalization of over 70 billion US dollars. However the company has leveraged unmanageable debt through partnerships with subsidiaries it had created. Enron misstated equity value and income, and its auditor, Arthur Anderson, neglected to report the company's problems. By 2001, Enron declared

bankruptcy, leaving thousands of people out of work. In addition, both individual and institutional investors had lost billions (NPR, n.d.). Enron may have been the most visible display of corporate mistrust of the early 2000s, but there were other incidents in the early 2000s as well, including Bernie Madoff scamming thousands of investors via a Ponzi scheme, and numerous banks requiring a U.S. governmental bailout for subprime mortgage defaults.

Robert Starratt (1991), who conducted research broadly across the social sciences from 1989 to 1994, demonstrated the need for ethics and morality in an organization's culture, especially among its leaders. Starratt (as cited in Duignan & Bhindi, 1997) argued that the community has a suspicion and widespread distrust of nearly every leader. Further, Starratt asserted that mistrust has become an inherent part of the modern world, advising others to live life by:

A series of *do not*s: Do not trust the government. Do not trust the banks. Do not trust salespeople. Do not trust the police. Do not trust your emotions or, for that matter, your reason. Do not trust language. And most disturbing of all, do not trust yourself. (p. 196)

Given this swell in corporate mistrust, it is easy to see why believability, trustworthiness, ethics, and morality in leadership is more important than ever (Kouzes & Posner, 1987). These attributes are critical contributors to the notion of authentic leadership.

Inspired by the flawed ethics and morality of modern leadership as evidenced by these examples and others of industrial and political malpractice, two enormously impactful authors emerged: former Medtronic CEO, Bill George, and scholar/teacher, William Gardner. George and Gardner advocated for honesty, transparency, genuineness, and ethically based leadership, which they referred to as *authentic leadership* (Gardner et al., 2011). With a similar concern for morality in leadership, Luthans and Avolio (2003) communicated “a need for a theory-driven

model identifying the specific construct variables and relationships that can guide authentic leader development and suggest researchable propositions” (p. 244). In response to the need that they declared, Luthans and Avolio went on to create a model to help guide authentic leadership. A number of conferences were held between 2004 and 2006 at the University of Nebraska-Lincoln with the goal of generating academic and practitioner attention to the study of leadership authenticity. The summit and subsequent publications successfully generated significant incremental interest in authenticity in leadership (Gardner et al., 2011).

The emergence of authentic leadership research resulted in some contradictory concepts on authenticity that created some confusion on the subject (Gardner et al., 2011). Cooper, Scandura, and Schriesheim (2005) identified a number of drivers of the confusion, advised that the theories be clearly defined, measurable, and thoroughly investigated in the future. In 2008, Yammarino, Dionne, Schriesheim, and Dansereau (2008) conducted a meta-analysis of the literature. The authors uncovered a number of deficiencies, for example, a primarily leader-centric focus. They also offered explicit recommendations for advancing authentic leadership theory by taking into the account the individual, team, and organizational levels in research design and results (Gardner et al., 2011).

Despite their best efforts, these authors’ concerns have largely been ignored or gone unnoticed. Researchers have used different designs and methodologies to research authentic leadership, which has resulted in misalignment or at a minimum some confusion, on the definition of authentic leadership. The lack of scholarly alignment has stalled the advancement of authentic leadership as a strategy or practice to be used among effective leaders. These problems are exacerbated by the fact that there is not a large sample size of empirical research. The lack of existing research makes it challenging to substantiate the validity and reliability of the impact

that authenticity might have (Gardner et al., 2011). However, the increase in academic exploration and publishing on authentic leadership gives hope that some of the existing confusion in the field will be clarified.

Problem Statement

As evidenced by the increasing amount of research and publications centered on authenticity, there appears to be more practical interest in leaders' ability to deliberately express authentic behavior (Gardner et al., 2011). Although there is growing interest in demonstrating authenticity as a situational style, or even an inherent trait, there is limited research on what leadership strategies or practices are most effective for authentic leaders. Many leaders demonstrate what can be perceived as expressions of authenticity, but they may or may not be deliberate in doing so. There are also situations where absolute authenticity can be counterproductive. Despite a leader's best intentions, there are times when leaders exhibit authenticity, or vulnerability as a display of authenticity, that actually erodes confidence and trust from their followers.

There is existing research on the importance of authenticity in leadership (see Table A5 in Appendix A; Gardner et al., 2011). Most existing research identifies authenticity as a trait that successful leaders demonstrate, and the research emphasizes the criticality of being an authentic as a leader. However, there is a lack of existing research on how authentic leaders are successful. In order to identify, commonalities among successful *authentic leaders*, the first step is to identify individual who meet a common set of requirements that would allow them to be labeled *authentic leaders*. Drawing upon the definitions of authentic leaders that have been introduced in previous research (see Table A2 in Appendix A; Gardner et al., 2011), it is possible to generate a list of leadership traits that could be used as an inclusion criteria to identify *authentic*

leaders. In addition, assessment results that provide an analog for authenticity can be used to help identify authentic leaders. The problem is that little to no research has examined common expressions and practices among a set of authentic leaders. Although many of the publications referenced by Gardner (see Figure A1 in Appendix A) include examples of authentic leadership and the impact it can have on engagement, the application of authenticity centers more on figurative or illustrative examples. Thus, there is little practical guidance or training available to leaders, or aspiring leaders, on how to best use authenticity based on different situations and groups of followers.

Purpose of the Study

Accordingly, the purpose of the study was to determine the best practices employed, and challenges faced, by authentic senior business leaders to build engagement among followers. In addition, the study also determined how authentic leaders measure success, and what recommendations they would have for future leaders. The purpose of the study was explored through four related Research Questions.

Research Questions

The following research questions guided this study:

- What common leadership strategies and practices do authentic leaders employ?
- What challenges do authentic leaders face in their leadership journey?
- How do authentic leaders measure leadership success?
- What recommendations would authentic leaders make for future leaders?

Significance of the Study

The findings of this study provide exemplary best practices for leaders in business and other fields. Over 250,000 titles at popular online bookstore Barnes & Noble have the word

Leadership in the title. There are countless leadership theories, many of which address the root question *Are people born leaders?* Regardless of how one responds to this question, there are always aspects of leadership that can be improved upon or refined. A comprehensive literature review shows a surge in *authenticity* as a key characteristic of effective leaders. Leadership training and books, such as *True North* by Bill George and Peter Sims (2007), are centered on authenticity as critical to building trust, and trust as foundational to building engagement among followers. However, as with any leadership trait, there is a threat that it can be counterproductive if overused, or inappropriately applied. Many followers have experienced an expression of authenticity that accomplished the opposite of the leader's intent. Examples of leaders being overly authentic, or inappropriately authentic, are when a leader shares an element of his or her personal life that is for to the follower, a displays an emotion that is perceived as a lack of control, or expresses a feeling of newness or uncertainty that can lead to a lack of confidence.

Given the need for situational awareness of authentic leaders, this study sought to build upon and advance existing literature on leadership agility. Leaders need to exhibit agility and adaptability dependent on the specific followers and situation at a given point of time. Given the impact that authenticity can have in building followership and engagement, this study will help those seeking to improve their leadership. Commonalities in practices and strategies by successful leaders can later be considered and deployed by future leaders to improve their leadership impact.

The study was intended to be instructive on how authentic leaders are most successful. Yet, the recommendations do not follow the traditional methods of Instructional Systems Design (ISD). ISD models are rooted in a systems approach. The output from one part of the ISD

process provides the input to the next model (Piskurich, 2008). However, traditional ISD does not account for a lot of variability in a learning environment ecosystem, including time, money, availability culture, etc. Currently, a number of scholars and practitioners have challenged the traditional ISD. The main criticism comes from advocates of different methods of instruction design, such as: experiential learning, action based learning, self-directed learning, etc.(Gordon & Zemke, 2000). Based on the work of Gordon and Zemke (2000), the findings of this research will focus on self-actualizations and experience rather than theory.

Resulting from a series of studies focused on team effectiveness, Robert Quinn and John Rohrbaugh presented the Competing Values Framework (CFW) in 1983. The CFW was based on research of key indicators of organizational effectiveness. As part of this research, Quinn and Rohrbaugh (1983) introduced the leadership roles and competencies associated with effective organizations (see Figure A3). On the left side of their model are the internal factors that are critical to leadership effectiveness. The research presented in this dissertation, which sought to determine common leadership strategies and practices for authentic senior leaders, aspires to be significant in providing meaningful information on how leaders can understand self and others, communicate effectively, build teams, manage conflict, and manage performance.

Assumptions of the Study

1. It was assumed that authentic senior leaders employ leadership strategies and practices. These strategies and practices do not necessarily need to intend to build engagement among followers, but that may be the outcome. It was also assumed that participants would be able to describe and explain the strategies or practices they utilize.

2. The identification of authentic senior leaders for this study relied upon assessments that were conducted by Korn Ferry/PDI Ninth House for Healthcare, Inc. (pseudonym). The selection criteria centered on the truthfulness of the senior leaders' Global Personality Inventory, and the senior leaders' score on the assessment's leadership dimension *Earn Unwavering Trust*. The assumption is that these assessment measures provide a meaningful way to classify senior leaders as authentic.

Limitations of the Study: Phenomenology

This research is a descriptive study that used a qualitative approach. The qualitative methodology applied was phenomenology and the research was conducted via interviews. The definition of a *phenomenological study* is one where participants describe how they perceive a phenomenon based on their personal history and experiences (Creswell, 2013). Certain limitations are inherent to phenomenology studies, including that the data gathered assumes that personal memories of senior leaders are accurate (Rudestam & Newton, 2007). The study also assumed that participants were able to demonstrate an element of self-reflection and self-assessment. When asked questions, it is assumed that they were able to consider previous leadership interventions and discuss best practices or challenges they have faced. The capacity for self-reflection was required in order to be able to recall past behavior. It is assumed that respondents are skilled at articulating their memories, and that respondents are willing to disclose the full essence of their memories. Other identified limitations of the study include:

1. This study was designed to find common leadership strategies and practices among authentic senior leaders in a large healthcare company. The first limitation of this study was the determination as to whether a leader is authentic, and to what degree.

Assessment information was used to help identify which senior leaders are most authentic, but this was a limitation and risk to the validity of this study.

2. Multiple variables in leadership are constantly changing, namely the leader, the follower(s), and the situation. In order to be able to gather and analyze data that can be useful to practicing leaders, one of these items needs to be constant. For this study, the participant as an authentic leader was held constant. The situation and followership were variables, as evidenced by the different practices and strategies that will be discussed subsequently. According to the Hersey-Blanchard (1977) Situational Leadership Model, leadership is based on a basic notion: that a given task must be considered in conjunction with an individual, or groups, maturity level (see Figure 2). Effective leadership is contingent on the work to be done, and the best leaders are the ones who have the ability to adapt their style of leadership based on situation, or the audience they are engaging. Another limitation is that a certain situation may dictate that the participant leads in a style that is not his or her natural style. In this case, the participant may have used a leadership practice or strategy that was effective, but might not be the norm of an authentic leader.
3. As referenced earlier, the selection criteria for inclusion in the study were reliant on a third party assessment of the senior leaders within Healthcare, Inc. A limitation of this study was the fact that the inclusion criteria did not take into account feedback from the followers of these leaders pursuant to their ability to inspire, motivate, and engage.
4. The final study limitation is that it focused on business, and the participants came from the same company within the healthcare industry. Collecting data from other

industries and fields would most likely have added credibility to the study (i.e., politics, military, athletics, etc.).

Definition of Key Terms

The study focused on senior leaders in a large healthcare company, and therefore used a variety of terms in related fields. Specifically, this study relied on terms related to titles, positions, elements in the general workplace, elements in the healthcare industry, and corporate leadership. The following key terms were used periodically throughout the study:

Healthcare, Inc.: Pseudonym for the large, broadly based healthcare company that will serve as the site for this research, and source of the sample.

Senior Leader: An individual who is one of the 1,100 executives at Healthcare, Inc. This group represents less than 1% of Healthcare, Inc.'s total employee population. The Senior Leaders have supervisory accountability for the company's performance.

Authenticity: "The quality of being authentic. Not false or copied; genuine; real" ("Authenticity," n.d., para. 1).

Authentic Leader: "Authentic leaders are genuine people who are true to themselves and their beliefs. They lead with purpose, meaning, and values" (George & Sims, 2007, p. xxxi). Followers define authentic leadership based on the leader's willingness to accept collective and individual accountability for actions and outcomes and perceive authentic leaders "to demonstrate acceptance of organizational and personal responsibility for actions and outcomes" (Henderson & Hoy, 1983, p. 44). Followers also "perceive authentic leaders as being purpose driven, honest, and ethical" (p. 44).

Authentic Senior Leader: An authentic leader who is a member of the executive population at Healthcare, Inc.

Follower: A member of the organization that reports to a given authentic senior leader. In instances where the follower is a direct report of the authentic senior leader, he/she will be labeled as such (Dvir, Eden, Avolio, & Shamir, 2002).

Emotional Control: “A facet of emotion regulation, but refers primarily to attempts by an individual to manage the generation, experience, or expression of emotion, and/or one’s emotional responses” (Gross & Kientz, 1999, p. 31).

Engagement: The act of being engaged, inspired, and dedicated. Engagement is an emotion that is generated from the follower toward the leader (Schaufeli, Salanova, González-Romá, & Bakker, 2002).

Organization of the Study

This study is organized into five chapters. Chapter 1 introduced the subject matter, the problem statement and the purpose of the study, identified the research questions, reviewed the significance of the study, discussed assumptions and limitations, and defined key terms. Chapter 2 will review relevant literature regarding this study, including a historical examination of leadership. The literature review is important because it adds richness and context to how authenticity has risen to prominence within empirical and theoretical research. Most importantly, a thorough review of authenticity and emotional control will be shared. Chapter 3 comprises a restatement of the research questions, the research design and approach, a description of the population, data gathering procedures, plans for IRB, and the data analysis process. Chapter 4 will consist of the findings from the study. Chapter 5 will summarize the study based on the findings, which will include recommendations on next steps of how to use the data for practical implementation. Implications of the study will be discussed, and suggestions will be made for additional research. The chapter closes with final thoughts from the researcher.

Summary of Chapter 1

From the early 2000s onwards, the topic of authenticity of leadership has increased in popularity in empirical and theoretical publications. However, the foundations for this surge in authentic leadership research began in earnest in the late 1980s when the likes of Starratt, Kouzes, and Posner surveyed both leaders and followers on the most important attributes of leaders. The most common responses were believability, trustworthiness, ethics, and morality (Kouzes & Posner, 1987). Ethics and morality build credibility. Credibility builds trust, and trust builds engagement. Perhaps the reason for the tremendous focus on these attributes can be linked to some of the public and impactful displays of unethical behavior among leaders from 2000 to 2010.

While there is growing interest in demonstrating authenticity as a situational style or even an inherent trait, there is limited research on what leadership strategies or practices are most effective for authentic leaders. The problem to solve, or the opportunity that exists, is to apply a common definition, or set of criteria, to identify leaders that are authentic. Once this group of authentic leaders has been identified, research can be conducted to understand common characteristics, traits, styles, practices, and strategies. Conversely, the opportunity exists to understand what common challenges authentic leaders face to determine mitigation strategies. The findings of this study will provide exemplary best practices for leaders in business and other fields. A critical assumption of this research is that authentic senior leaders are able to describe the leadership practices they have demonstrated. Being able to recall what actions they have taken in the past may require an element of self-reflection and/or self-awareness on which this study relied in order to be successful. Additionally, limitations exist in this research design, starting with the premise that the participants are authentic leaders. Criteria for inclusion will be

shared in Chapter 3, but there is no failsafe way to ensure all participants adhered to the definition of an authentic senior leader. Another key limitation is due to the fact that this research investigated only senior leaders from a large healthcare company. It is plausible that results may vary if the sample included leaders below the executive level, or in another industry. Future research could include expanding the population and sample size beyond business and healthcare.

Chapter 2: Review of Literature

Authentic leadership needs to be examined within the construct of the entire spectrum of the development of leadership theory. The historical examination of leadership is important as it adds richness and context to how authenticity has risen to prominence within empirical and theoretical research. The earliest mechanisms of knowledge transfer and management come in the form of stories. One of the most consistent thematic elements of the stories of early humanity involved leadership. The stories involve great leadership and poor leadership, leadership attributes, and leaders' responsibilities and rights. The study of leadership is as old as some of the earliest forms of civilization (Wren, 1995). In fact, "the Egyptian hieroglyphics for leadership (*seshemet*), leader (*seshemu*), and the follower (*shemsu*) were written 5,000 years ago" (Wren, 1995, p. 2). Beyond the reference to and importance of leadership in stories, however, the formal study of leadership would not emerge for some time.

Roughly 1,500 years ago, Sun Tzu said, "A leader leads by example, not force" (O'Toole, 1995, p. 79). Was this the beginning of leadership studies? Sun Tzu may have been talking about pedagogical leadership versus autocratic leadership long before such terms were defined. Scholars can argue that leadership theory was first introduced by some of the earliest figures who are recognized to have written on leadership. These early leaders include Sun Tzu, Plato, and Machiavelli, whose leadership writings were some of the first to be captured, preserved, and shared. Yet, in earnest, the academically-oriented, theoretical study of leadership only began in the 1930s.

The historical examination of leadership can be organized and segmented in countless fashions. In the interest of simplicity, this literature review is divided by some of the major advancements in leadership. The advancements are the Trait Approach (Stogdill, 1948), the

Behavioral Approach (Likert, 1961) and the Contingency or Situational Approach (Fiedler, 1967; Hersey & Blanchard, 1977; Vroom & Yetton, 1973). Following these four approaches, a number of alternative leadership frameworks have been shared. These alternative theoretical frameworks include the Leader Member Exchange (LMX) theory, first presented by Dansereau, Graen, and Haga (1975), Graen (1976), and Graen and Cashman (1975); House's (1971) Theory of Charismatic Leadership; Bass and associates' Transformational Leadership Theory (Bass, Avolio, Jung, & Berson, 2003); Conger and Kanungo's (1998) Charismatic Leadership Theory; Kerr and Jermier's (1978) Substitutes for Leadership Theory; and the philosophical Servant Leadership Theory (Greenleaf, 1977).

Another popular advancement in leadership studies is the emergence of authentic leadership. It might appear that authenticity most naturally fits into the Trait Approach, which emerged in the 1930s and 40s. However, the emergence of authenticity only entered mainstream leadership study in the late 1990s. Prior to 2000, only five theoretical, empirical, and practitioner publications had focused on the importance of authenticity in leadership. From 2001 to 2010, 85 publications focused on authenticity in leadership (Gardner et al., 2011), and the number has continued to grow since 2010. It can be argued that no other leadership attribute has been more widely studied from 1990 to 2010 than authenticity. The main contributors to this theory are Bill George and William Gardner, as evidenced by the number of publications and citations attributed to them. In fact, these two authors and their associated advocates have been so successful that authenticity may now be viewed as a top trait or characteristic of successful leaders. The popularity of authenticity has even reached the point where individuals are pretending to be authentic to garner followership. An example would be the politician who is overly emotional while apologizing publicly for his/her wrongdoings. In such a situation the

politician may be faking the emotion to try to create a perception of authenticity. With this overwhelming surge in the publications that focus on authenticity in leadership, there must be critical empirical research to challenge and test the importance of authenticity in leadership (Gardner et al., 2011). Through focused consideration on the display of authenticity and emotional control, leaders may have a heightened awareness of how they are perceived by their own followers. To conduct research that contributes to the impact of authenticity and emotional control on leadership, a thorough literature review must be conducted to understand the historical and current theoretical and methodological context.

Trait Approach

In the late 1800s, the study of leadership was firmly established with the great man theory, also known as the trait approach. Foundationally, the trait approach to leadership asserts that effective leaders are born, and not made. Based on this premise, the trait approach is referred to interchangeably with the *great man* theory (Barnett, 2010). Thomas Carlyle (1897/2003) first published his great man theory of leadership in the late 1800s. Carlyle's study is predicated on the fact that great transformations occur due to exceptional leaders and their leadership. His assertion was that the ability to lead was inherent in people and based on their genetic makeup. Carlyle strongly asserted that leadership is not something that can be developed, but rather it is a trait that someone either has or does not have. Carlyle was a pioneer in the study of leadership, which post his research, focused almost completely on genetic traits. The main construct of trait theory is that specific traits will result in specific, predictive patterns of behavior. The patterns of behavior will remain consistent regardless of the situation or followership. According to Carlyle, leadership traits are genetic and predisposed. Shriberg and Shriberg (2011) explained that "The trait theory of leadership, generally considered the first

modern theory of leadership, became popular during the second half of the twentieth century and, despite scholarly criticism, has continued to be popular” (p. 21).

In the decades to follow, many researchers focused on the basis of the trait approach in search of commonalities among strong leaders. The leadership traits that were researched most prominently were physiological, intellectual, and social characteristics. Generally this research explored connections between a person’s traits and the impact of his/her leadership (Barnett, 2010). Physiological attributes such a person’s size, intellectual attributes such as IQ, and social attributes such as a person’s personality were primary variables in this early research.

Early findings from the study of leader traits found inconsistencies in the traits that distinguished effective leaders from non-effective leaders, or anyone else. Then, in 1948, Ralph Stogdill published an article titled, “Personal Factors Associated with Leadership.” Through his research, Stogdill (as cited in Barnett, 2010) asserted that the research to date did not substantively give any credence to the great man theory. Stogdill found that traits cannot predict who will be an effective leader. Several issues were identified and addressed that may help explain some of the deficiencies in the existing research. First, the assessment of physical, mental, and emotional traits could not be reliably measured (Barnett, 2010). Consequently, multiple studies likely used different measures while trying to assess the same construct. The incongruence in the selection of the psychometric properties called into question the reliability of a study. Additionally, a large number of initial trait theory research used less tenured managers and young adults as participants, which also inhibited reliability. Finally, Stogdill suggested that leadership is more dependent on a leader’s behavior than any specific trait. Due to the lack of validity in the early trait theory research, the study of the great man theory was largely halted by the middle of the 20th century.

However, this is not to say that the trait approach should be discounted. In 2014, in the Schumpeter column, *The Economist* published an article titled “The Look of a Leader.” In terms of common physical traits of leaders, *The Economist* found at least three commonalities. First, leaders are tall. In support of this claim Malcolm Gladwell (2007) found that “30% of CEOs of *Fortune* 500 companies are 6 feet 2 inches tall or taller” (p. 190). This height is statistically taller than 96% of American males (Gladwell, 2007). Secondly:

People who *sound right* also have a marked advantage in the race for the top. Quantified Communications, a Texas-based company, asked people to evaluate speeches delivered by 120 executives they found that voice quality accounted for 23% of listeners’ evaluations and the content of the speech only accounted for 11%. Academics from the business schools of the University of California, San Diego and Duke University listened to 792 male CEOs giving presentations to investors and found that those with the deepest voices earned \$187,000 a year more than the average. (“The Look of a Leader,” 2014, p. 60)

Finally, physiology seems to matter as well. According to a study by Peter Limbach (as cited in “The Look of a Leader,” 2014), American companies “whose CEOs had finished a marathon were worth 5% more, on average, than those whose CEOs had not” (p. 61).

Behavioral Approach

Perhaps as a result of Stogdill’s (1948) challenge, in the 1950s, the research began to shift focus from the trait approach to the behavioral approach. The basic presupposition of the behavioral approach is that the behavioral actions demonstrated by leaders are far more crucial than any inherent trait. This presupposition was validated by two important studies that were administered at the University of Michigan and Ohio State University in the late 1940s and

1950s (Barnett, 2010). The resulting research was influential and foundational for the creation of hundreds of publications on leadership in the decades to follow.

Under the direction of Carroll Shartle, the Personnel Research Board developed the Leader Behavior Description Questionnaire (LBDQ) at Ohio State University in 1957. As part of a series of landmark studies conducted from Ohio State, the LBDQ was administered (Halpin, 1957) to a variety of populations spanning industry, academia, and the military. Responses to the survey were coded and studied in search of commonalities in leadership across all of the participants. The outcome was that two discrete characteristics consistently described how leaders behave most frequently. The two characteristics were *consideration* and *initiating structure*. Initiating structure is the same as task orientation, and involves arranging, planning, arranging, and measuring any number of tasks. Consideration is defined as exhibiting care for followers through reward, recognition, and showing genuine concern for a follower both personally and professionally (Barnett, 2010).

Another major advancement in leadership derived from research conducted at the University of Michigan, beginning in 1950. Led by researcher Rensis Likert, the Michigan leadership studies also concluded with a grouping of common characteristics among leaders. Two of the common characteristics that were found were similar to those identified by the Ohio State studies: task orientation (i.e., initiating structure) and care for people (i.e., consideration). However, building on the Ohio State results, the Michigan studies also focused on the leadership of groups, rather than just individuals (Likert, 1961).

Task-oriented behavior. One of the most important behaviors that strong leaders demonstrate is being able to set clear objectives. The best managers are able to identify the work

to be done and possess the ability to schedule and plan the work into tasks and subtasks. These managers are also able to set goals that are challenging, yet realistic (Likert, 1961).

Relationship-oriented behavior. Another common characteristic of strong leaders is that they are focused on not only the results that need to be delivered, but also the relationships they have with followers. Because they value and want to preserve the relationship, they are more thoughtful, supportive, and concerned with a follower's well-being. The leader's care for his/her followers extends beyond the professional environment and into their personal lives as well. Leaders successfully use both reward and recognition, and show appreciation for both effort and results. Generally, strong leaders empower their followers, and do not micromanage unless the situation absolutely warrants such. Although they set clear objectives and priorities, they allow their followers leeway in terms of how the objectives are met (Likert, 1961).

Participative leadership. Strong leaders are effective at using a participative style. They have the ability to lead groups as well as individuals. An example of this would be a leader's ability to engage and direct followers using public forums, like team meetings. They also tend to be inclusive in visioning for the group and conflict resolution. In doing so, strong leaders role model behaviors and norms they would want their team members to replicate. The leader tends to be more of a facilitator than an authoritarian. This should not be interpreted as the leader abdicating responsibility, but quite the opposite. These leaders are clear on roles and responsibilities and assume ultimate accountability for the team. An effective leader uses participative leadership to create a highly engaged team that works interdependently versus independent individual contributors (Likert, 1961). With data from the Michigan Studies, Likert introduced his Four Systems of Management in 1967 (See Table 1).

Table 1

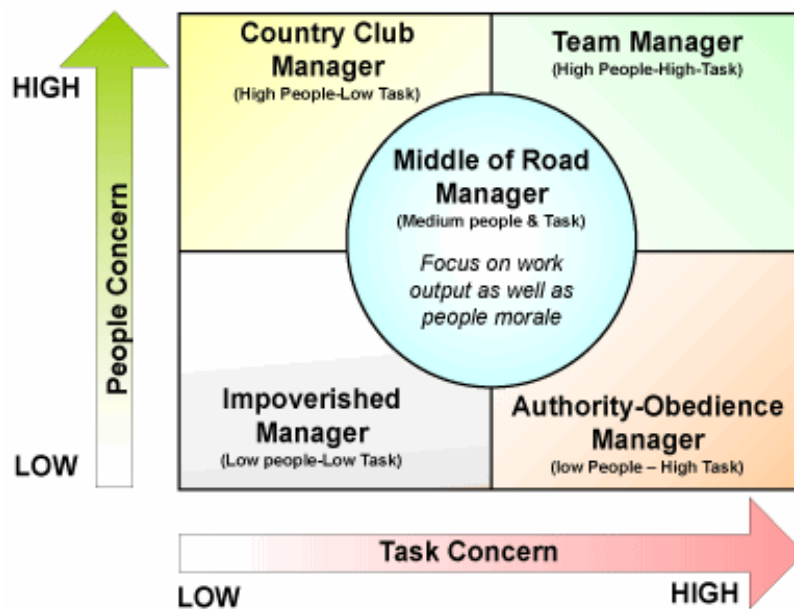
Likert's System of Management Leadership

Leadership Variable	System 1 (Exploitative Autocratic)	System 2 (Benevolent Autocratic)	System 3 (Participative)	System 4 (Democratic)
Confidence and trust in subordinates	Has no confidence and trust in subordinates	Has condescending confidence and trust, such as master to servant	Substantial but not complete confidence and trust: still wishes to keep control of decisions	Complete confidence and trust in all matters
Subordinates' feeling of freedom	Subordinates do not feel at all free to discuss things about the job with their superior	Subordinates do not feel very free to discuss things about the job with their superior	Subordinates feel rather free to discuss things about the job with their superior	Subordinates feel completely free to discuss the job with their superior
Superiors seeking involvement with subordinates	Seldom gets ideas and opinions of subordinates in solving job problems	Sometimes gets ideas and opinions of subordinates in solving job problems	Usually gets ideas and opinions and usually tries to make constructive use of them	Always asks subordinates for ideas and opinions and always tries to make constructive use of them

Note. Adapted from *The Human Organization: Its Management and Value* (p. 113), by R. Likert, 1967, New York, NY: McGraw-Hill. Copyright 1967 by the author.

Likert's (1967) main assertion was that participative behaviors yielded the highest engagement and motivation of followers. One of the iterative advancements of Likert's works was the Leadership Grid, authored by Robert Blake and Jane Mouton (Blake, Mouton, & Bidwell, 1962; See Figure 1). The grid considers the relationship between *people concern* and *task concern* and includes five styles of behavioral leadership. A leader who demonstrates low care for followers and low concern for task is known as an *impoverished manager*. A leader with high concern for people and low concern for task is labeled a *country club manager*. A leader who has high concern for the task, but low concern for people, is known as an *authority-obedience manager*. The fourth quadrant in the grid is for the leader who has a high value of people and a high value for task. These leaders are known as *team managers*. Finally, a leader who attempts to balance concern for task and people is known as a *middle of the road manager*. The archetypal leader, according to Blake and Mouton (1962), is the *team manager*. The Blake

and Mouton Leadership Grid was an important advancement in the study of leadership theory. To date, reliability and validity have not been recognized to distinguish between task-centric or people-centric leaders and leadership effectiveness. Just like the inconsistencies that diminish the trait approach, the Blake and Mouton Leadership Grid does not take into account the ever adapting situation and how the situation can change the leader and followers' needs. Given this deficiency, the validity of the Blake and Mouton Leadership Grid is suspect. However, the contribution that Blake and Mouton have provided to the study of leadership remains noteworthy.



Blake & Mouton's Leadership Grid

Figure 1. Blake and Mouton's leadership grid. Reprinted from "Managerial Grid," by R. R. Blake, J. S. Mouton, and A. C. Bidwell, 1962, *Advanced Management-Office Executive*, 1(9), p. 13. Copyright 1962 by the authors. Reprinted with permission.

Contingency Approach

The contingency approach to leadership suggests that the situation, or dynamic circumstance, should lend itself to which leadership style will be most effective (Northouse, 2008). Three of the major contributors to contingency approach will be reviewed as part of this

literature review: Fiedler's (1967) contingency theory, the Vroom-Yetton-Jago (Vroom & Yetton, 1973) model for decision making, and the Hersey-Blanchard (1977) model on situational leadership. As referenced earlier, the contingency approach to leadership involves matching the best leadership style to a given situation. In this context, leadership effectiveness is highly correlated to the ever-changing variables of task, situation, and followership (Northouse, 2008). In the contingency theory, the style that a leader chooses to demonstrate can be motivated by the work to be done, or by people. Task oriented leaders are typically motivated by the need to deliver results, whereas relationship oriented leaders are motivated more in preserving relationships and maintaining personal communications with people (Northouse, 2008).

Fielder's contingency theory. Fred Fielder was a social scientist who studied the personality and characteristics of leaders. In 1967, Fiedler introduced his contingency theory, which states that there is not one leadership style that is best; instead, leadership style needs to adapt to a situation. This was the first such theory to focus on the triangulation of leadership style, followership needs, and situational factors that all contribute to leadership effectiveness. However, Fielder's theory does not propose that leaders change their style based on distinctive situations. Rather, leaders should position themselves in situations where their leadership style is most impactful (Barnett, 2010).

Central to Fielder's (1967) theory is the variable of the *favorability* of the circumstance, which dictates the task versus relationship behavior required of the leader. Favorability is defined by:

- **Leader-Member Relationship:** the level of trust and respect a follower has for their leader;

- Task Structure: to what extent a follower's activities can be made quantifiable and measurable; and
- Leader's Position Power: a leader's ability to reward and recognize a follower.

The situational favorability is highest when followers trust and respect their leaders; the followers' performance objectives are highly controllable, structured, and can be clearly measured; and the leader has direct control over reward and recognition of the followers. Fiedler's (1967) research found that leaders with high task orientation were equally successful in favorable or unfavorable situations, but people centric leaders tended to be more successful in circumstances that were not views as extremely positive or negative.

Vroom-Yetton-Jago decision-making model. The Vroom-Yetton-Jago decision-making model of leadership provides a practical approach to help leaders make decisions. The decision-making criteria are quality, commitment of the group or organization members, and time restrictions (Vroom & Yetton, 1973). According to Vroom and Yetton (1973), a number of leadership styles are appropriate based on the situation. They range from authoritarian to highly participatory (see Table 2). Complementary to the model, Vroom and Jago introduced a mathematical system in 1988 to serve as a decision-making device for leaders (Vroom & Yetton, 1973). Table 2 illustrates what leadership style is most appropriate, based on a leader's authority and based on situation.

According to Vroom and Yetton (1973), the types of decision making styles can be categorized in five types, labeled A1, A2, C1, C2, and G2. The spectrum of styles range from strongly autocratic (A1), to strongly democratic (G2), or participative. According to Vroom and Yetton, the best leadership style is decided based on responses to a short survey. The questions explored how important it is for participants to be correct, the information that is available to

help in the decision, and how important follower commitment will be following the decision (Barnett, 2010). Some have criticized the Vroom-Yetton model because it is somewhat complex, and not well suited for making decisions in a *just in time* manner. One of the key assumptions of the study has also been criticized. That assumption is that the leader is ethical, moral, and acts with the organization's best interest in mind.

Table 2

Vroom-Yetton Decision Making Table

Type	Situation	Example
Autocratic I (A1)	The leader makes the decision.	In a hiring situation, the leader simply interviews the candidate and makes a decision about who to hire.
Autocratic II (A2)	Information is requested from the team, but the leader makes the decision. The team might not know why the leader is requesting such information.	Input is requested from the team on what type of person to hire for the open position, but ultimately, the leader still makes the decision.
Consultative I (C1)	The leader explains the situation to individuals on the team and gets input. A group discussion may occur to determine input and while the leader makes the ultimate decision, the group input weighs heavily on the leader's decision.	The leader may have members of the team interview the candidate and provide recommendations on the strengths of each candidate, but the leader still makes the ultimate decision about who to hire.
Consultative II (C2)	A group discussion occurs to determine input. The leader makes the ultimate decision.	The group may get together to determine who is the best candidate, but the leader gets the final say in who to hire.
Group II (G2, also called participative)	The leader presents the situation and the group as a whole makes the decision.	The group makes a team decision about who to hire, with minimal input from the leader.

Note. Adapted from *Leadership and Decision Making*, p. 178 by V. H. Vroom and P. W. Yetton, 1973, Pittsburgh, PA: University of Pittsburgh Press. Copyright 1973 by the authors.

Hersey and Blanchard's situational leadership theory. Initially introduced in 1969, Hersey and Blanchard's situational leadership theory in was further refined and updated in 1977. The basic premise of situational leadership is that no singular leadership approach is superior to others. The Hersey-Blanchard (1977) Situational Leadership Model has two variables: relationship behavior and task behavior, and the best leadership style is advised based on the assessment of these two fields (see Figure 2). Effective leadership must be juxtaposed with the work to be done, and the most effective leaders have the ability to adapt their approach style

depending on the task and the amount of direction needed by their followers. Hersey and Blanchard defined the amount of direction needed as *team maturity*. The level of maturity is described by how well followers respond to challenging objectives, their ability to take ownership for the delivery of the work, their skills, competencies, capabilities, and their experiences. The leadership styles are *telling*, *selling*, *participating*, and *delegating*. These styles can be adapted based on maturity levels, which are labeled “very capable and confident, capable but unwilling, unable but willing, and unable and insecure” (p. 200). The quadrants of the model are described in the following sections.

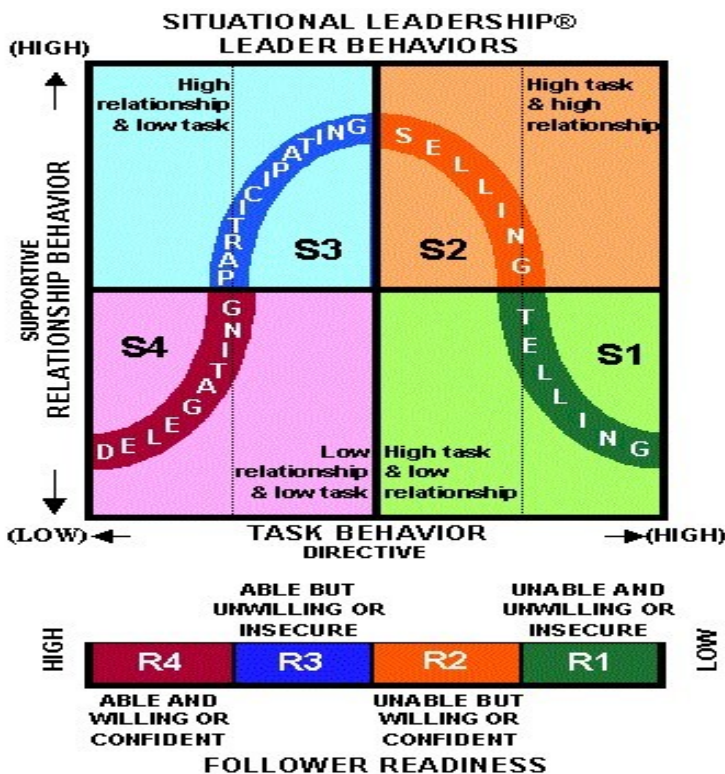


Figure 2. Hersey-Blanchard situational leadership model. Reprinted from *Management of Organizational Behavior* (3rd ed.), p. 200, by P. Hersey and K. H. Blanchard, 1977, Upper Saddle River, NJ: Prentice Hall. Copyright 1977 by the authors. Reprinted with permission.

S1: Telling/directing. This leader behavior is high task and low relationship focus. In this quadrant, the leader distinctly prescribes follower roles. The leader gives a high degree of direction and prescribed specificity on all of the details required to complete a given task. A

central description of the S1 leadership style is that the communication is delivered as an order, with little opportunity for challenge on behalf of followers (Fernandez & Vecchio, 1997).

S2: *Selling/coaching style.* This leader behavior is high task and high relationship focus. In this quadrant, the leader gives highly directive and specific information and guidance, but allows for follower interactions such as questions or challenges. As the title implies, with this style, the leader is trying to sell his/her ideas with the hope of gaining follower commitment. Part of the leader's message often describes how a work task connects with the greater value to the organization, or members of the organization (Fernandez & Vecchio, 1997).

S3: *Participating style.* The leadership style in this quadrant is high relationship and low task focus. In the participative style, the leader focuses more on involving followers to gain their engagement and commitment. The concern of the leader is directed towards the follower and less on the task. As the followers possess the appropriate and applicable knowledge, they feel empowered to make several decisions. This style is dependent on the leader/follower relationship, and trust between the two is extremely important (Fernandez & Vecchio, 1997).

S4: *Delegating style.* This leadership style is low relationship and low-task focus. The leader behavior in this quadrant is demonstrated when the leader looks to have followers manager more transactional work so, the leader can focus on higher-level commitments. Responsibility of tasks is passed on to the followers. The leader still keeps track and monitors the progress of his/her followers, but provides them the autonomy to take over more responsibility normally reserved for the leader (Fernandez & Vecchio, 1997).

Alternative Theory Approach

The trait approach, the behavioral approach, and the contingency approach have all helped advance the study of leadership. Yet, there are still unanswered questions regarding and

criticisms about these approaches. Since the 1970s, several alternative theoretical frameworks have been proposed. Some of the most impactful of these frameworks in terms of advancing leadership theory are the “leader-member exchange theory, transformational leadership theory, the substitutes for leadership approach, and the philosophy of servant leadership” (Barnett, 2010, para. 34).

Leader-member exchange theory. The leader-member exchange (LMX) theory was first presented by Dansereau et al. in 1975. Subsequently, Graen (1976) and Graen and Cashman (1975) continued to refine and revise the original theory to its modern iteration (see Figure 3). LMX theory centers on the constantly changing leader/follower relationships, as opposed to followers’ traits, styles and/or behaviors (Barnett, 2010). “According to LMX, the quality of the relationship that develops between a leader and a follower is predictive of outcomes at the individual, group, and organizational levels of analysis” (Gerstner & Day, 1997, p. 827). LMX theory challenges other theories with the premise that leadership must be viewed as an iterative process, dimensionalized through the interfaces between leaders and their followers. The theory states that one of the issues with other leadership theories is the assumption that a leader deals with followers as a collective, instead of an assembly of individuals. Additionally, LMX centers on the dissimilarities between leaders and followers, as opposed to the similarities (Graen & Uhl-Bien, 1995). Graen and Uhl-Bien (1995) discovered two consistent connection points between leaders and followers. The first connection is when the relationship is based on trust and general care for each other. The second linkage is when the leader and follower relationship is formally defined through a contract or job description (Graen & Cashman, 1975).

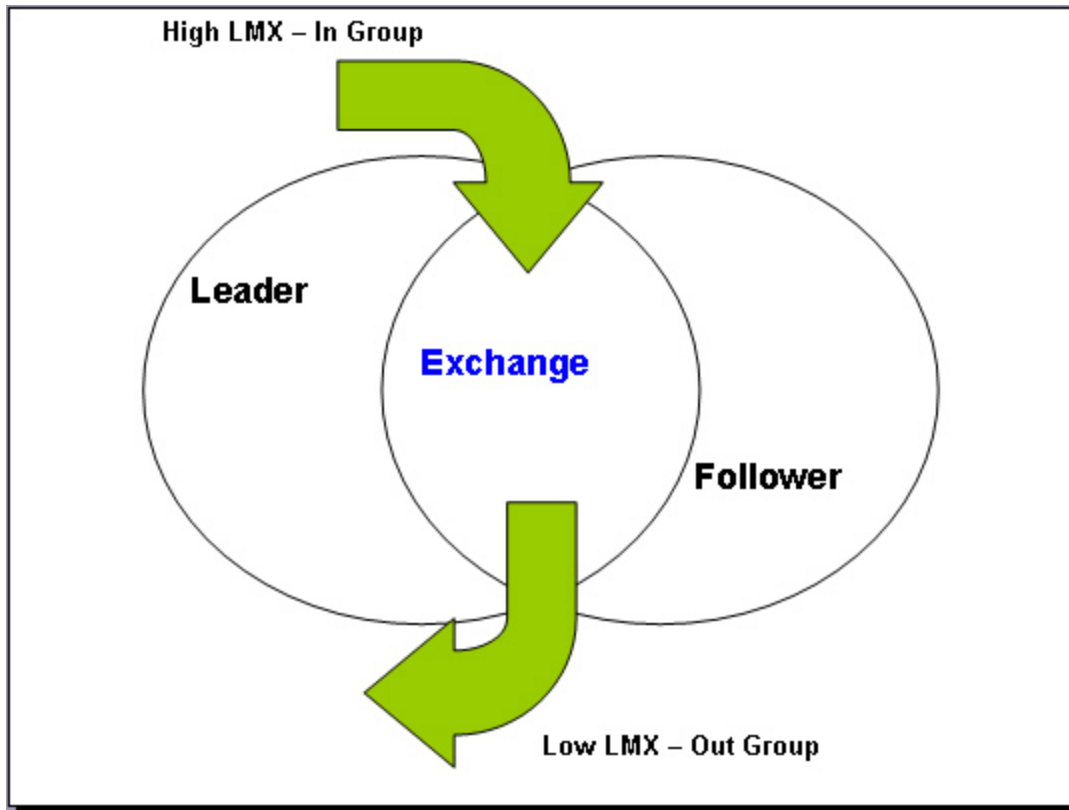


Figure 3. Leader-member exchange theory. Reprinted from “Relationship-Based Approach to Leadership,” by G. B. Graen and M. Uhl-Bien, 1995, *The Leadership Quarterly*, 6(2), p. 221. Copyright 1995 by the authors. Reprinted with permission.

When examining the history of LMX research, the first studies focused on the contrast between the in-group and the out-group. This was followed by studies that looked into the correlation between LMX theory and team effectiveness. Finally the research explored the impact of leader/follower exchange on organizational, team, and individual results (Graen & Uhl-Bien, 1995). In terms of leader development, Graen and Uhl-Bien (1995) suggested that a leader cultivate strong rapport with all of his/her followers and not differentiate when it comes to investment in time or emotion in one follower over another. In summary, LMX claims that the quality of the leader/follower relationship is directly correlated to multi-dimensional outcomes.

Transformational leadership theory. Transformational leadership theory is predicated on a leader’s aptitude to energize and engage followers based on being able to provide a compelling vision that creates engagement. The main contributors to this theory include House’s

(1971) Theory of Charismatic Leadership, Bass and associates' Transformational Leadership Theory (Bass et al., 2003), and Conger and Kanungo's (1998) Charismatic Leadership Theory. There are several consistencies in these theories. They all focus on how the best leaders overcome significantly challenging situations, and emphasize the importance of leaders being able to inspire and motivate followers to unwavering commitment and engagement. As with change management theory, this is done through creating a compelling and emotionally charged vision (Barnett, 2010).

Transformational leadership theory clearly distinguishes the differences between a transformational leader and a transactional leader. Transactional leaders focus on the work to be done, and are extremely task-oriented. A prerequisite to effective transactional leadership is a clear linkage between work and reward. Transformational leadership is executed by creating, conserving, and channeling the energy of followers. It builds trust and engagement, and the reward is largely intrinsic (Barnett, 2010). According to Duane and Sydney Schultz (2010), a transformational leader is not directed or limited by his or her follower's perceptions. The main focus of a transformational leader is to try to define a follower's needs and direct his/her activity. Leaders whose style is transformational inspire and motivate followers through a clear and compelling sense of purpose and value. Schultz and Schultz offered three defining characteristics of transformational leaders: (a) transformational leaders are charismatic, (b) they are thoughtful of followers down to the individual level, and (c) the situational assessment and variability is cerebrally challenging. Bass (as cited in Northouse, 2008) argued that "transformational leadership motivates followers to do more than expected by...getting followers to transcend their own self-interest for the sake of the team or organization and moving followers to address higher-level needs" (p. 190). The transformational leadership model provides the strongest

opportunity to transform an organization because it builds a strong engagement regarding why a change needs to occur, and creates a personal communication to followers.

Substitutes for leadership theory. In 1978, Kerr and Jermier published “Substitutes for Leadership: Their Meaning and Measurement.” In essence, their theory asserts that different situations can enhance, diminish, or neutralize leader behaviors. The substitutes for leadership theory renders leadership behaviors referenced in earlier models, including such as task-oriented, relationship-oriented, and the spectrum of Vroom-Yetton behaviors (1973) irrelevant. Certain inherent attributes of organizations may serve as leadership substitutes, including acute definitions of roles and responsibilities, team effectiveness, mandatory rules (can be especially prevalent in regulated organizations), and rewards and recognition not administered by the leader. Characteristics of a given task can supersede the leadership behaviors. Some examples include when a task is highly repetitive, or tasks that are satisfying and do not require leadership direction. Similarly, the characteristics of followers may also be substituted for leadership ability. If the follower has strong experience, training, knowledge, and/or skills, the leadership style can be rendered unimportant. The substitutes for leadership theory has gained some popularity because it offers an intuitive and common sense rationale for why some leader behaviors impact followers differently, and have no impact in certain cases. Yet, it should also be noted that the substitutes for leadership theory has received quite a bit of criticism as an academic theory, since there is little empirical research to support it (Barnett, 2010).

Servant leadership. The theory of servant leadership may be as old as time itself, but Robert Greenleaf coined the term *servant leader* in article he wrote in 1970.

The servant-leader is servant first... It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is

sharply different from one who is leader first; perhaps because of the need to assuage an unusual power drive or to acquire material possessions... The leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature. (Greenleaf, 1977, p. 6)

As Greenleaf (1977) stated, servant leadership is predicated on the fact that leaders must place their followers' needs ahead of their own. Servant leaders often have the common attributes of care, concern, empathy, and a deep sense of obligation towards helping followers meet their professional and personal goals. Servant leadership is more of a philosophy since it has not undergone significant or substantive testing. However, as a philosophy, servant leadership has grown in popularity since its introduction in the early 1970s (Barnett, 2010).

Styles of Leadership

Kurt Lewin is often credited as being one of the world's foremost experts in social psychology. He has contributed to, and even helped create, the modern studies of organizational development and organizational dynamics. Building on the work of Vroom and Yetton (1973), Lewin (1939) identified three styles of leadership that have had a major impact on leadership theory (Victor, 2010):

- An *authoritarian* leader takes sole accountability and responsibility for decision making. He/she will make decisions regardless of input from followers. The *authoritarian* does not feel a responsibility to give followers context or situational awareness. This type of leader is extremely direct and will often criticize or praise in public settings. These leaders tend not to engage with the group unless it is to provide direction. As an example, a military leader, especially in times of conflict, is best served by demonstrating autocratic leadership.

- A *democratic* leader is inclusive in gathering inputs and opinions from followers to make decisions. This type of leader typically engages their team in dialogue, shares situational context, and facilitates a conversation to weigh options. The democratic leader seeks consensus, and is typically balanced in offering praise and criticism. They will be a part of team activities, but not be overbearing. Lewin (1939) concluded in his research that a democratic leadership style is generally the most effective of the three styles.
- A *laissez-faire* leader is detached from making decisions on behalf of the group, but instead permits the team to make a decision without leader input. The *laissez-faire* leader will typically only engage with the team when asked. He/she does not join in team activities or gatherings. Critical observations or praise are only delivered when asked.

The research of Kurt Lewin (1939) has proven to be foundational for future research and theoretical frameworks on leadership and organizational effectiveness, practically and theoretically. When examined in conjunction with various situations, each leadership style can be suitable dependent on the circumstance, audience, and goals that the group is undertaking. Leaders can use Lewin's leadership styles to adjust their own style of leadership based on the situation (Victor, 2010).

An authoritarian style of leadership is highly appropriate when firm direction is required, or a fast decision needs to be made. Followers who prefer receiving detailed direction, who lack initiative, or require rules and regulations to perform may appreciate this style. They are reverent to positions of authority, and follow orders respectfully. Examples of the appropriate situation and followership to necessitate an authoritarian style include a military setting, or a

situation that involves extreme duress and urgency. Democratic leaders value team input and include followers in co-authoring, and thus co-owning, decisions. However, a democratic leader always maintains ultimate accountability and responsibility for a decision. A democratic leader is especially adept at identifying followers' skills and experiences that can be leveraged across a team, and seeks to maximize the contributions of each follower. It is sometimes difficult for a democratic leader to identify when a situation necessitates a shift in leadership style. Not all tasks or decisions can afford the luxury of gathering input from the followers. If a leader has a talented and results-oriented followership, laissez-faire leadership can be most effective. Laissez-faire leadership empowers skilled followers to use their talents to deliver results on behalf of the leader and team in an unencumbered manner. Typically, this style of leadership is highly energizing and engaging to followers since they are entrusted to perform with little input and direction from the leader (Victor, 2010).

Bases of Power

An important consideration in terms of how to lead, inspire, and motivate is based on the power base that leaders hold over followers. A concept that works in tandem with power is authority, which is the organizational permission for a person to exert control. In 1959, French and Raven published some transformative work on the topic of power and authority, where they identified five forms of power. A group of scholars contend that power should consider multiple variants including culture, relationships, or the needs of different involved parties (Hofstede, 1984). One such dimension is that of multiple cultural influences on positions of leadership authority. Examples of cultures that can impact power and authority are geographic culture (i.e., Asian culture, western European culture, and specific country's culture), company cultures, and culture as it relates to ethnic groups. One of the preeminent theories that regard the power and

authority matrix as being culturally based was developed by Geert Hofstede in 1984. Through a survey instrument, Hofstede designated values that relate to different countries' cultures.

Hofstede found significant differences in what he labeled "power distance" (p. 349). According to Hofstede, "The power distance is the degree to which members of a culture feel comfortable with inequalities in power within an organization; that is, the extent to which one's boss is seen as having greater power than oneself" (p. 351). In essence, this means that one's culture is ultimately what shapes one's notion of authority. Since the power distance alters dramatically within each culture, leadership power also differs to the same degree (Victor, 2010). An example of this is that followers in China have a much higher power distance than those in Western countries, and thus have a higher respect for position and authority. The power distance in China prescribes a society where a leader's direction is typically followed, and challenging a leader in public is not typical (Hofstede, 1984).

The implication for Hofstede's (1984) ground-breaking research is that there cannot be an absolute definition of authority and power for multicultural organizations. In addition, relationships between team members and leaders/followers are variable and multifaceted. Situations also dictate and require different views on power and authority. The leadership approaches used to engage and direct followers vary based on the personality type of the leader, the attributes, traits, and experiences of the followership group, the organizational dynamics at any given time, and the current situation. Just as there are multiple styles of leadership, there bases of power are highly correlated to situation and audience. The bases of power can change, and the most effective leaders will acknowledge what their power and authority are for a given situation and will adapt (Victor, 2010).

Authenticity

Definitions of authenticity. Before a review can be conducted on the existing theories and frameworks related to authenticity, a thorough review must be conducted of the definition of authenticity. In 2011, William Gardner and his associates did an extensive review of definitions of authenticity, the number of publications by year, and the number of foundational citations that exist. This serves as a wonderful foundation and introduction to the advancements in the study of authenticity and its role in effective leadership. Gardner and associates start with the definitions for the term. Foundationally, authentic leadership needs to be segmented into a number of discernable elements, which are then described and put together to form a definition. Previously, researchers have used different segmentations, descriptions, and definitions of authentic leadership without recognizing the key differentiations between them. The problem with this lack of consistency is that the research could not be built upon collectively to advance the study, nor could the research be compared and contrasted (Gardner et al., 2011). Further, to be most efficient in the advancement of research, where one researcher can build on the next to substantiate and improve upon the previous iterations, scholars and practitioners need to create a common definition, as well as a common and recognized set of measurement tools. Gardner and associates (2011) have cataloged a number of definitions of some of the most frequently cited research in this field (see Table A1 in Appendix A).

Although popular efforts to study authenticity in leadership have only spiked since the early 1990s, there are some commonalities among the most active researchers in the field. The first publication to focus on authenticity as a key driver of leadership was published by Rome and Rome in 1967. Additionally, Rome and Rome were some of the first to link an organization's identity, or authenticity, to a manifestation of its leaders. According to the

authors, an enterprise can only be defined as *authentic* when its leadership owns decisions and ambiguity. The collection of individuals who make up an organization need to understand their authority, be accountable for mistakes, be adaptable and agile in their approach to opportunities, create processes and procedures, and be positive contributors to the community in which they reside.

Interestingly, this definition focuses on accountability and responsibility, but does not refer to being true to oneself or a similar derivative. In 1983, Henderson and Hoy offered this definition of authentic leaders:

Leadership authenticity is therefore defined as the extent to which subordinates perceive their leader to demonstrate the acceptance of organizational and personal responsibility for actions, outcomes, and mistakes; to be non-manipulating of subordinates; and to exhibit salience of self over role. Leadership inauthenticity is defined as the extent to which subordinates perceive their leader to be “passing the buck” and blaming others and circumstances for errors and outcomes; to be manipulative of subordinates; and to be demonstrating a salience of role over self. (pp. 67-68)

In this definition, the notion of followers’ perceptions is first introduced. There is also an emphasis on the leader putting the job ahead of personal interests. This might be viewed as a bit counter to the current definitions of authentic leaders, but the point that Henderson and Hoy make is that their version of the authentic leader needs to possess selflessness and degree of servant leadership.

It appears that the first earnest reference to the individual demonstrating authenticity as a leader was made in 1997 by Bhindi and Duignan. These authors argue that leaders can be deemed authentic only by those who have sincere relationships with them. Then, in the early

2000s, a wave of modern day leadership theorists—Bill George, William Gardner, Bruce Avolio, Fred Luthans, Bernard M. Bass and Paul Steidlmeier—took the study and importance of authenticity in leadership to a whole new level.

With a successful career as a business leader, Bill George (2003) brings a practical element to the evolution of the authentic leader definition. He asserted,

Authentic leaders use their natural abilities, but they also recognize their shortcomings, and work hard to overcome them. They lead with purpose, meaning, and values. They build enduring relationships with people. Others follow them because they know where they stand. They are consistent and self-disciplined. When their principles are tested, they refuse to compromise. Authentic leaders are dedicated to developing themselves because they know that becoming a leader takes a lifetime of personal growth. (p. 12)

George described a leader who is self-aware, uncompromising (perhaps a reference to previous definitions and the importance of personal accountability), unwilling to compromise, and focused on self-development. It is inferred that the *purpose, meaning, and values* belong to the leader himself/herself, but the most successful leaders' value systems align with the values that are important to the organizations in which they serve.

Bruce Avolio and his associates offered a definition of authentic leadership that appears to hold many of the characteristics common in all of the definitions. Avolio and colleagues described authentic leaders as being extremely self-aware. Authentic leaders understand how they operate, and how their verbal and nonverbal expressions are received by others. They also have a well-defined sense of self, purpose, and morality. Authentic leaders are attuned to the environment and situational context. They are generally self-assured, positive, persistent, and highly ethical (Avolio, Gardner, Walumbwa, Luthans, & May, 2004).

By the mid-2000s, the definitions of authentic leadership begin to be dimensionalized. This evolution in the study of authenticity in leadership is critical, because dimensions must exist to create a foundation for measurement. According to Avolio, Luthans, and Walumbwa (2004), some of the early analyses into authentic leadership definitions varied widely. The variations occurred largely because the different dimensions spanned “diverse domains—traits, states, behaviors, contexts, and attributions” (p. 7). To further complicate the analysis, situation and followership are variable, which leads to different optics and perceptions of leadership based on the vantage point. Lastly, observations and findings of authentic leadership can be changed based on the level at which the impact is being observed. For example, the analysis can be quite different if the researcher is evaluating individual impact versus organizational impact (Avolio, Luthans, et al., 2004).

The latest research on authentic leaders includes dimensions, and it would be expected to see this trend continue as the definitions of authentic leadership evolve. Shamir and Eilam (2005) offered four dimensions of authentic leadership. This definition implies that leaders can be labeled as authentic versus unauthentic based on four delineating personal characteristics. The first dimension describes how closely aligned a leader’s personal value system is to the values of the institution. Secondly, a leader’s self-awareness can serve as a barometer for his/her expressions to be consistent with his/her true self. Third, authentic leaders will have objectives aligned to their purpose and self-assessed identity. Lastly, authentic leaders demonstrate consistency in who they are and how they act. This definition makes reference to the antithesis of authenticity, or being *inauthentic*. It also introduces the idea of different versions of the self. Those that are able to align their true self with the self that others perceive can be viewed as being authentic. Gordon Whitehead (2009), a Harvard professor, defined an authentic leader as a

person who has an acute understanding of his/her self, possesses humility, is determined to continually improve, is concerned for the well-being of followers, is able to embody trust among followers, and has a high need for results orientation consistent with an organization's value system. This practical definition offers attributes and dimensions of leadership that can then be measured. If the assumption is that authentic leadership is inherently good, then these latest definitions allow for measurement: a powerful data set that can be analyzed for leaders to be able to improve upon.

It is easy to see how the definitions of authentic leaders have built on each other from the mid-1960s to the current day. Early on, authenticity was connected to personal accountability and responsibility. Next, there was an evolution to values and how they associate with followers. Subsequently, the focus moved to the action of being authentic or true to oneself, and then finally to the dimensionalization and segmentation of attributes that make up an authentic leader.

Cecily Cooper and associates (2005) published extensively on the evolution and maturity of the study of authentic leadership as a body of work. Some of the assertions they make are true in research evolution of any focused area of research, and have applicability beyond the subject of authentic leadership. The evolution of theoretical study starts with a common definition, inclusive of attributes and/or dimensions. Once this is agreed upon, measurement tools and systems can be created and tested. Reliability and validity should lead to a common measurement tool. Once this is achieved, a concerted and efficient focus can be placed on the study of the data, which should lead to insights and actions.

It appears that significant progress has been made toward a common description and definition of an authentic leader. However, some scholars and practitioners advocate that there is still much work to be done, including Cecily Cooper and associates (2005). Cooper et al. stated,

“While starting with such a broad conceptualization may be acceptable for conducting initial research in this area, scholars will need to continue gathering knowledge about this construct and eventually narrow this definition” (p. 478). Perpetuating of the multiple definitions of authentic leadership would hinder the advancement of the field of research. In absence of a common definition, there cannot be consistent alignment on how authentic leadership is measured. In order to get alignment on a common definition, there needs to be an agreement on attributes, the variables to consider (e.g., situation, leader, follower, task), researcher biases, the types of research design, and the measurement strategy. Creating this alignment would reduce thematic misperceptions or uncertainty. Additionally, there would be much more practical guidance and direction on how use authenticity in leadership for those leaders who aspire to be more effective.

Cooper et al. (2005) recommended starting with some of the preeminent thought leaders on authentic leadership, stating, “Scholars might begin by conducting a number of case studies of leaders who meet the current broad criteria for authenticity” (p. 479). This would begin by assembling some of the leading scholars on authentic leadership, and agreeing on a common definition of authentic leaders, or at least common dimensions. Once these factors have been agreed upon, those elements can be applied to identify individuals to study. Cooper et al. suggested that “researchers conduct a deeper analysis of the specific behaviors of these individuals to develop further insights into authentic leadership” (p. 479). The analysis can look for commonalities among these leaders, and the research can focus on leaders who have been impactful from the global level to the local level.

The study of authenticity: Historical overview and trends. Although most of the formal research on authentic leadership began in the early 1990s, the reference to authenticity is present in the earliest of leadership theory. “Authenticity can be traced back to ancient Greek

philosophy and is reflected by the Greek aphorism ‘Know Thyself’ which was inscribed in the Temple of Apollo at Delphi” (Parke & Wormell, 1956, p. 3). Greek philosophers Aristotle and Socrates both wrote about the importance of self-awareness and self-examination as being critical elements of happiness and fulfillment. Socrates (as cited in Ricoeur, 1986) went so far as to advocate that “an unexamined life is not worth living” (p. 25). Aristotle took his mentor’s guidance one step further by explaining that true self-fulfillment comes by aligning when activity is aligned to purpose (Hutchison, Valentino, & Kirkner, 1998). As such, Aristotle was advocating for the alignment of values with the activities in which one chooses to participate well before Henderson and Hoy (1983).

In the study of leadership, the importance for leaders to display authenticity has gained amazing momentum since the early 1990s. Gardner and associates (2011) have completed an inventory of theoretical, empirical, and practitioner publications with a focus on authentic leadership and have grouped them by year (see Table A5 in Appendix A). As the root of the word would imply, theoretical relates to a “theory of a subject or area of study rather than its practical application” (“Theoretical,” n.d., para. 1). Empirical research is based on observation and experience (“Empirical,” n.d.). Practitioner publications are those that are based on practical experience. A practitioner is a “person who regularly does an activity that requires skill or practice” (“Practitioner,” n.d., para. 2). The research team (Gardner et al., 2011) found 91 articles that had authentic leadership as the main topic of exploration. Of the 91, only seven were published before 2003. Seventy-seven of the 91 publications were published between 2005 and 2010 (see Table A5 in Appendix A). What this means is that the study of authentic leadership is relatively new, and has launched into an area of study within organizational psychology and leadership development largely since the early 1990s.

An examination of the reasons for this sudden interest in authenticity was needed. Cooper et al. (2005) proposed a hypothesis. As referenced in Chapter 1, researchers asserted that some of the public and impactful displays of unethical behavior among leaders from 2000-2010 necessitated new thinking on effective leadership. In response to the mistrust of followers, advocates of authenticity encouraged intentional strategies and practices to cultivate authenticity among leaders. The continual interest in authentic leadership stems from the continued lack of faith in people. By the early 2000s, with the advent of the internet, the public had more access to information than at any point in history prior. The inevitable flow of information that derives from scandal is a popular means of entertainment. If a leader makes a mistake, it can become public instantaneously. The need for authentic leaders is needed more than ever. While the interest in authentic leadership remains high, Cooper et al. (2005) argued that the existing research is not adequate to provide practical guidance to leaders.

Interestingly, Cooper et al. (2005) declared that the study of authentic leadership was a response to negative behavior. Indeed, sometimes great innovation is spurred as a result of crisis. As the work on authenticity has progressed, there has been a shift from response to negative results to authenticity as a value driver for positive outcomes. Nathan Harter (as cited in Luthans & Avolio, 2003) described authenticity as “owning one’s personal experiences, including one’s thoughts, emotions, needs, desires, or beliefs. Hence, it involves being self-aware and acting in accord with one’s true self by expressing what one genuinely thinks and believes” (p. 241). Erickson (1995) warned that authenticity is not a binary characteristic, whereby people are either authentic or not. Erikson argued that there is no absolute authenticity or inauthenticity, but rather that people demonstrate authenticity in gradations. Therefore, it is more practical to view someone as more or less authentic, but not entirely one or the other. Erickson suggested

authenticity as being more appropriately measured in a range or spectrum, rather than according to absolutes. It sounds simple, but this shift represents a major advancement in how scholars thought about the subject.

It can be argued that the importance of authentic leadership began in the 1930s in the fields of psychology and philosophy (Erickson, 1995). As Kernis and Goldman (2006) noted, “contemporary psychological views of authenticity owe a great deal of debt to the works of philosophy” where “authenticity is loosely set within topics, such as *metaphysics* or *ontology*, firmly entrenched in particular movements, such as existentialism or *phenomenology*, and localized to specific authors like *Sartre* or *Heidegger*” (p. 284). Thus, the historical evolution of the study of authentic leadership transitioned from ancient philosophy to modern philosophy to psychology.

Predecessors of Gartner et al. (2011), Kernis and Goldman (2006) conducted an extensive examination of historical research on authentic leadership, concluding that there are “a range of mental and behavioral processes that explain how people discover and construct a core sense of self, and how this core self is maintained across situations and over time” (p. 207). Kernis and Goldman found in their literature analysis that the common themes are: a profound self-understanding, awareness of their strengths and weaknesses, demonstrated behaviors and actions, and relationship orientation. The establishment of categories and themes is a helpful advancement in the study of leadership and has helped provide a basis for analysis and inspiration for a number of the major contributors to this field of study.

Leading contributors to the study of authenticity. As referenced previously, a number of significant contributors have helped advance leadership theory with respect to authenticity (see Table A4). One way to quantify the impact of individual scholars was undertaken by Gardner

and associates (2011), who catalogued the number of foundational citations related to the theory and rank ordered the authors of those citations. Having reviewed the existing research and literature on the topic, two contributors have distinguished themselves amongst their peers in this area of study: Bill George and Bill Gardner (Cooper et al., 2005).

Bill George. While there are a number of contributors to the study of authentic leadership, much of the attention and notoriety on the topic can be attributed to Bill George. George enjoyed a successful career in both the public and private sectors. He has worked in government, in addition to holding a number of executive roles in business. His most highly recognized successes came at Honeywell, and as CEO of Medtronic, Inc. During his 10-year tenure as CEO, Medtronic doubled in market capitalization, and experienced high double-digit growth every year. George has been recognized by multiple associations as an exceptional leader. Currently, Bill George is Harvard Business School professor and serves on several boards of directors for multinational companies (“William W. George,” n.d.).

What distinguishes George is the attention he has brought to the notion of the importance of authenticity in leadership. His track record as both a business and academic leader is well known. He also emerged onto the scene at the right time; with a great deal of corporate scandal and ethical lapses in the 1990s, George navigated his company, Medtronic, to enormous success with a strong commitment to morals and values. An element of simplicity and sincerity comes across in his theory that is backed up by practical success. As George (2003) himself stated, “After years of studying leaders and their traits, I believe that leadership begins and ends with authenticity” (p. 11).

One of George’s major contributions to authentic leadership came with his 2007 publication of *True North*, in which he stated,

Just as compass points toward a magnetic field, your *True North* pulls you towards the purpose of your leadership. When you follow your internal compass, your leadership will be authentic, and people will naturally want to associate with you. Although others may guide or influence you, your truth is derived from your life story and only you can determine what it should be. (George & Sims, 2007, p. xxiii)

George asserted that if people follow their own internal compass or *True North* they will be authentic leaders. George defined an authentic leader in five dimensions: “Pursuing Purpose with Passion, Practicing Solid Values, Leading with the Heart, Establishing Enduring Relationships, and Demonstrating Self-Discipline” (George & Sims, 2007, p. xxiii). From this model George has developed an entire Leadership Development approach. Indeed, *True North* is not just a book, but rather a series of development tools and programs that leaders can experience.

With perhaps some credit to those that preceded him, George also emphasized that the authentic leader has an uncompromising nature.

Your “*true north*” cannot be redirected by external pressures. Once you start trying to satisfy one shareholder, you’ll have to deal with another shareholder with a different point of view. Same with board members and all your other constituencies. If you allow yourself to be pulled off course, you’re going to destroy your enterprise. (George & Sims, 2007, p. 67)

If peers or followers perceive a leader to capitulate on issues of ethics, the leader will lose credibility and ultimately the followers’ trust and engagement.

George also commented on the importance of value alignment. “The leader’s job today, in 21st-century terms, is not about gaining followership. Followership is an outmoded notion.

Leadership starts with gaining alignment with the mission and values of the organization: What are we about” (George & Sims, 2007, p. 243)? It is probably not universally agreed upon that leadership is an *outmoded notion*. Leadership needs to work in tandem with followership and situations, with all three being ever changing variables. At the same time, when an individual can be his/her true self, he/she expends less energy and is generally happier. George, and many of his peers in this area of study, has referenced this value alignment.

It should be noted that one of the foremost experts on Organizational Leadership and Culture, Edgar Schein, might disagree. In 1985, Schein defines culture as a set of shared norms, values, and behaviors, adopted by an organization. The culture is defined, and adapts, over time. The norms are so well ingrained that existing team members train new team members on how to approach and solve problems aligned with and consistent to the culture (Schein, 1985). Perhaps most relevant to the study of authentic leadership is his assertion that “Culture is created, embedded, evolved and ultimately manipulated by leaders” (p. 3). Schein believes that leadership and culture are intertwined and leaders are the ones who allocate reward, recognition, and reinforcement. Leaders are the ones who create and sustain culture. While many of the authentic leadership scholars referenced the alignment that authentic leaders have with the core values of the organizations of which they are a part, Schein (1985) would advocate that these leaders are the ones that ultimately define, create, and sustain the cultures of the organizations: essentially, that leadership and culture are intertwined.

Finally, George and Sims (2007) wrote about the emotion and passion required to be an impactful leader. “Successful leaders lead with the heart, not just the head. They possess qualities like empathy, compassion and courage. They also have the ability to establish deep, long-term and genuine relationships where others trust them” (p. 18). George and Sims hit on a

key theme here: trust. Trust is foundational to follower engagement. Trust can be built through credibility and being true to one's word. Thus, an element of authenticity connects directly to trust, and a whole study of the importance of trust to team and leader effectiveness.

William Gardner and associates. William (Bill) Gardner, Doctorate of Business Administration and Masters of Business Administration, is currently a Professor at Texas Tech University. His areas of expertise are in "organizational behavior, leadership and ethics, research methods, group dynamics and management history, and his research focuses on leadership, business ethics and social influence processes within organizations" ("William L. Gardner, DBA," 2016, para. 1). Bill Gardner has worked most extensively with Bruce Avolio from the University of Nebraska, but also frequently collaborates with Fred Luthans, Doug May, and Fred Walumbwa. As seen in Table A4 (See Appendix A), many of these scholars co-publish and research together, so it would be unfair to discuss Gardner without acknowledging his cohort ("William L. Gardner, DBA," 2016).

While many of Gardner's contributions to the study of authentic leadership have been referenced thus far, interestingly, Gardner et al (2005) has a theory on the *authentic follower* as well. Gardner defined the authentic follower as a follower of an authentic leader who has high degrees of commitment, trust, and engagement. "Positive modeling is viewed as a primary means whereby leaders develop authentic followers. Posited outcomes of authentic leader-follower relationships include heightened levels of follower trust in the leader, engagement, workplace well-being and veritable, sustainable performance" (p. 16). Gardner introduced an additional dynamic; What if followers do not value authenticity or if authenticity is not replicated? This question reinforces the symbiotic and interdependent relationship between

leader, follower, and situation, suggesting that it may be impossible to study leadership within just one of these three elements without considering the others.

Theoretical and methodological advancements. Arménio Rego, Andreia Vitória, Ana Magalhães, Nueza Ribeiro, and Miguel Pina e Cunha (2013) advanced the study of authentic leadership by conducting a study that focused on the impact that authentic leaders have on teams. Fifty-one teams took part in the study. The study found that leadership authenticity is correlated to the commitment of followers and the greater purpose of the group, and that authentic leadership is broadly correlated to team success.

Perhaps another contributor to the wave of interest in authenticity is a response to the apparent lack of authenticity seen among leaders in the media. There is a current environment of mistrust towards leadership across a spectrum of industries and governments. One of the major drivers of this mistrust is a sense that leaders are not being entirely authentic in their dealings (Duignan & Bhindi, 1997). This manifests in the crying politician who has been caught in a lie, the athlete who claims his/her injury is not as bad as it is, and the business leader defending his/her company in court.

Duignan and Bhindi (1997) presented a theoretical construct for leadership. The construct necessitates that individuals self-actualize their true self with respect to their own values and purpose. The true self must be presented consistently when working with people, and that authentic relationships are what lead to team results. Organizations must provide a culture and acceptance, for leaders to be their authentic selves, and not feel as if they must be untrue to their values and purpose to successful authentic learning. Duignan and Bhindi (1997) have proposed a model that connects theoretical and practical leadership approaches to address the growing apprehension regarding leadership integrity. Duignan and Bhindi's model seeks to

counteract the issues of mistrust by emphasizing the importance of transparency, honesty, and vulnerability in leadership (Duignan & Bhindi, 1997).

The complexities of 21st century organizations require evolving leadership requirements. With the advent of technology and how readily available information is, any breach in trust from a leader is shared at an almost instantaneous rate. Because of the public scrutiny that is now so prevalent, leaders need to be extra vigilant in regard to ethics and morality. In addition, leaders will be judged less on short term results and rather on the legacy they leave and the impact they have on their followers. In summation, Duignan and Bhindi (1997) build a compelling case for the need for authenticity in leadership, proposing a model that encompasses multiple approaches for aspiring leaders to be purposefully authentic..

Emotional control. In order to fully review the available literature related to authenticity in leadership, it is important to consider the antithesis of authenticity: emotional control. Emotional control can be considered the counter to authenticity, but nonetheless it is an expression that leaders can demonstrate, and it is often required depending upon the situation. There can be a conscious or unconscious demonstration of emotional control, depending on individual's personality type.

Definitions of emotional control. While there is clearly an ample amount of research of authenticity, there has not been a heavy focus on the counter-balance of authentic expressions. Again, if it is to be believed that demonstration of authenticity is not an absolute but a range, there needs to be an opposite end of the spectrum. For the purposes of this review, the opposite of authenticity will be defined as emotional control. This is intended to describe when a leader intentionally and consciously opts to express authenticity, vulnerability, or constraint to attempt to manage his/her followers' perceptions (Gross & Kientz, 1999).

Bill George (2003) discussed about the contradiction towards authenticity as a *shadow side*. In essence this is George's way of explaining when someone is being unauthentic. Gross and Kientz (1999) defined "emotional control" as occurring when "an individual attempts to manage the generation, experience, or expression of emotion, and/or one's emotional responses" (p. 275). George (2003) spoke at length regarding the shadow side being an eroder of followership:

Being true to the person you were created to be means accepting your faults as well as using your strengths. Accepting your "shadow side" is an essential part of being authentic. The problem comes when people are so eager to win the approval of others that they try to cover their shortcomings and sacrifice their authenticity to gain the respect and admiration of their associates. (pp. 14-15)

The idea that authenticity may be too strongly conveyed in the study of leadership is also being explored in the research. In response to public concern regarding the integrity of leaders, advocates of authentic leadership argue that leaders should intentionally pursue factors that are critical to authenticity: transparency, honesty, and vulnerability, for example (Cooper et al., 2005). Cooper et al. (2005), however, do not feel like the field of research is ready for leaders to proactively and intentionally act authentically until researchers gain more alignment on the definition, key attributes, traits, and metrics that define authentic leadership. Cooper et al. shared this concern to highlight the fact that future work in authentic leadership needs to be non-theoretical and applicable. The idea of orchestrating authenticity is not only counterintuitive, but also counterproductive in demonstrating the importance of authenticity in leadership.

A counterpoint to authenticity comes from Ford and Harding (2011) who stated, "Authentic Leadership is increasingly influential, with its promise to eliminate, and thus surpass,

the weaknesses of previous models of leadership” (p. 463). However, Ford and Harding argued that the identification of one’s true self is unachievable. The pursuit of one’s true self prioritizes the self as defined by an organization, and does not take into account the deficiencies that a person possesses. An example of this would be if a person is authentically a bigot or racist. If this fictional person is authentic and demonstrates his/her true self, these characteristics will most certainly not build engagement among most followers.

Researchers are continuing to seek ways to validate the impact of authenticity in leadership. According to Cooper et al. (2005), one such approach would be to explore expression of authenticity from leaders and see what the impact is on followers. A test could be created similar to the Implicit Association Test (Greenwald, McGhee, & Schwartz, 1998), which records participants’ physical and mental responses to a word association. Since engagement is one of the proposed outcomes resulting from authentic leadership it is important to study authentic expressions of leadership in concert with how the expressions are received. The challenge behind this type of study is the number of variables involved. In attempting to measure the impact of authenticity, any number of situational aspects or personal traits or attributes could be the driver of impact beyond authenticity. For example, a leader might be demonstrating authenticity, but it is really her technical expertise that is driving the engagement. A leader’s self-assessment of his/her demonstration of authenticity can be different than how the demonstration is perceived by followers. An example would be if a leader felt he/she was being authentic by sharing some personal issue, but the follower may feel that the information shared was inappropriate or unprofessional (Cooper et al., 2005).

Summary of Chapter 2

Authentic leadership needs to be studied within the construct of the entire spectrum of the development of leadership theory. The historical examination of leadership is important as it adds richness and context to how authenticity has risen to prominence within empirical and theoretical research. The fascination with leadership is as old as human civilization (Wren, 1995). Thomas Carlyle (1897/2003) first published his great man theory of leadership in the late 1800s. His assertion was that the ability to lead was inherent in people and based on their genetic makeup. The main construct of trait theory is that specific traits will result in specific and predictable patterns of behavior. The patterns of behavior will remain consistent regardless of the situation or followership. With the trait approach as a foundation, leadership theory progressed to the behavioral approach. The basic presupposition of the behavioral approach is that the behavioral actions demonstrated by leaders are far more crucial than any inherent trait. This presupposition was validated by two important studies, administered at the University of Michigan and Ohio State University in the late 1940s and 1950s (Barnett, 2010). From these studies, the concepts of task oriented behavior, relationship oriented behavior, and participative leadership (Likert, 1961) evolved.

The next group of major advancements in leadership theory can be characterized as the contingency approach, which suggests that the situation, or dynamic circumstance, should lend itself to which leadership style will be most effective (Northouse, 2008). Three of the major contributors to the contingency approach were reviewed: Fiedler's (1967) contingency theory, the Vroom-Yetton-Jago decision-making model of leadership (Vroom & Yetton, 1973), and the Hersey-Blanchard (1977) situational leadership theory. Yet, scholars still had unanswered questions and criticisms of trait, behavioral, and contingency approaches. Since the 1970s,

several alternative theoretical frameworks have been introduced. The most prominent of these alternative theoretical frameworks are LMX theory (Dansereau et al., 1975; Graen, 1976; Graen & Cashman, 1975), transformational leadership theory (Bass et al., 2003; Conger & Kanungo, 1998; House, 1971), the substitutes for leadership approach (Kerr & Jermier, 1978), and servant leadership (Greenleaf, 1977).

After the review of leadership approaches, an examination of the styles of leadership (Lewin, 1939) and the bases of power (French & Raven, 1959) was presented, which led to an exploration of authentic leadership. The review began with definitions of authentic leadership and an examination of leading contributors to the study of authentic leadership, including Bill George (George & Sims, 2007) and William Gardner and associates (2005). Next, an overview of theoretical and methodological methods was presented. The final section of the literature review considered the antithesis of authenticity, emotional control, to flesh out the full spectrum of authentic expression.

Chapter 3: Research Methods

This study was intended to determine the best practices employed and challenges faced by authentic senior business leaders to build engagement among followers. Understanding these strategies and practices will contribute to the study of authentic leadership and serve as applied scholarship for tangible actions for current and aspiring leaders. Interpreting participants' experiences and best practices was best achieved by means of qualitative research. The qualitative methodology applied was phenomenology and the research was conducted via interviews (Creswell, 2003). Chapter 3 describes the qualitative research design methodology, the phenomenological approach, and why it was selected as the best fit for this research. The population and sampling methodology are reviewed, as well as the sample response rate. Considerations for human subjects are explored to ensure safety and privacy were guaranteed. The validity and reliability of the study are addressed, as well as thoughts on the researcher's biases. The data collection process and interview protocol are shared. Finally, the process for analyzing data and identifying findings from the research will be presented.

Given the need for situational awareness of authentic leaders, this study was intended to contribute to existing literature on leadership agility. Leaders need to exhibit agility and adaptability dependent on the specific followers and situation at a given point in time. Given the impact that authenticity can have in building followership and engagement, this study will help those seeking to improve their leadership. Commonalities in practices and strategies by successful leaders can later be considered and deployed by future leaders to improve their leadership impact. This chapter discusses the research methodologies that were employed to accomplish the study's purpose, and to answer the research questions that have been proposed.

Nature of the Study

It was determined that interpreting participants' experiences and best practices would be best achieved by using a qualitative research design with a phenomenological approach (Creswell, 2003). As such, this descriptive study employed a qualitative approach in addressing the research questions proposed. The research questions informed the open-ended interview questions to be asked of the 15 selected participants. This qualitative approach worked well for this study as it permitted a focus on the commonalities in strategies and practices used by authentic senior leaders. Specifically, conducting one-on-one interviews with participants allowed for deep understanding of best practices and challenges. The results of the interviews were consistent with Patton's (2002) advocacy of open-ended interviews, where the questions proposed were designed to prompt "in-depth responses about people's experiences, perceptions, opinions, feelings, and knowledge" (p. 23).

The study only employed semi-structured interviews during a one-on-one interviewing process. However, participants' social and behavioral interactions, inclusive of non-verbal communication, were observed during the interview process. Any changes in physical or emotional states were noted. The changes noted included facial expressions, crossing and uncrossing of arms, and shifts in seating position. The research framework and methodology helped to establish validity of the qualitative information. By using different qualitative interview techniques and assessments the results were hoped to be more robust.

This study focused on answering the Research Questions:

- What common leadership strategies and practices do authentic leaders employ?
- What challenges do authentic leaders face in their leadership journey?
- How do authentic leaders measure leadership success?

- What recommendations would authentic leaders make for future leaders?

Methodology

This research is best characterized as a descriptive study that used a qualitative approach. The intent was to describe the common best practices and leadership strategies that authentic leaders demonstrate. The qualitative methodology applied to this study was phenomenology and the research was conducted via interviews. The definition of a *phenomenological study* is one where participants describe how they perceive a phenomenon based on their personal history and experiences (Creswell, 2013). While there are different approaches to phenomenology, the design of this study was based on Moustakas's (1994) transcendental or psychological phenomenology. Critical to this approach is that the research is directed by the participant's interpretation of a phenomenon, and not based on the researcher's interpretations (Creswell 2013). For the study, senior leaders at a large healthcare company were interviewed.

The phenomenological data analysis steps were consistent with the methods referenced by Moustakas (1994) and Polkinghorne (1989). Based on the information gathered in relation to the research questions, investigators review the data. For this study, data were collected for review in the form of interview transcripts. The investigator then translated the data into statements or words that best capture the information that was shared. The coded words, or elements should provide a descriptive summary of how participants interpret a given phenomenon (Moustakas, 1994). According to Moustakas this process is known as *horizontalization*. Next, the investigator buckets the coded elements into themes (Creswell, 2013). It is also important for investigators to document the situations that influenced how “the participants experienced the phenomenon, called imaginative variation or structural description” (Creswell, 2013, p. 61).

From the structural and textural descriptions, descriptions are created that present “the ‘essence’ of the phenomenon, called the *essential, invariant structure (or essence)*” (Creswell, 2013, p. 27). This will help to codify the common, experience or experiences, shared by participants. The final intention is that the reader “comes away from the phenomenology with the feeling, ‘I understand better what it is like for someone to experience that’” (Polkinghorne, 1989, p. 46). The study results were shared with participants per the commitment made as part of the informed consent.

Research Design

Research data was obtained via semi-structured interviews with 15 participants who were selected through a purposive sampling approach. The data sources for this research were selected with consideration for the population as defined subsequently. Participants were selected by meeting a two-point characterization criteria, and then via purposive sampling within this subpopulation. Adherence to human subjects considerations was taken into account pursuant to standards established by Pepperdine University and the Institutional Review Board (IRB).

Sampling frame. The sample population was those individuals who met the inclusion criteria and were invited to be a part of the study. The inclusion criteria specify characteristics that are considered for participant selection (Richards & Morse, 2013). According to James Spradley (1979), the participants should be those who are clear on what data are being collected, know the information required, are prepared to share their perspectives on the phenomenon being studied, and are available to participate. There are 1,100 global senior leaders at Healthcare, Inc. Being an employee within this segment of Healthcare, Inc. was the first inclusion requirement to be a participant in the study, and these senior leaders served as the pool of available respondents.

Permission to use Healthcare, Inc. and site permission was secured from a member of the Human Resources Executive Committee. In addition, permission to receive a listing of employees who met the inclusion/exclusion criteria was also secured, and is discussed in more detail subsequently.

Of the 1,100 senior leaders, further inclusion and exclusion criteria were needed to create the sample. The segmentation of the population was necessary since this study is predicated on interviewing *authentic senior leaders*. The criteria utilized as part of this study are data collected as part of an executive process done with a third party assessment consultant, Korn Ferry/PDI Ninth House. Almost all of Healthcare, Inc.'s senior leaders have gone through an assessment for selection or development. This assessment includes a personality inventory, interview, and business simulation (Schmit, Kihm, & Robie, 2000). Thus, a second selection criterion is that the senior leader must have completed the third party assessment. The assessment results became part of the selection criteria with two inclusion requirements:

1. As part of a Global Personality Inventory (GPI), there is a Response Distortion Index (RDI) score (Schmit et al., 2000). The RDI score measures the difference in responses an individual has to similar questions. In essence, this score measures how much a participant is trying to manipulate the outcome of the test. Numerous questions are all similar to be sure an accurate personality assessment is conducted. For inclusion into the subpopulation of this study, the senior leader needed an RDI score of less than 25%.
2. Several competencies are assessed through the Korn Ferry/PDI Ninth House assessment process. The closest analog to authenticity is *Earn Unwavering Trust*,

which includes the following dimensions, and on which senior leaders needed to score an 4+ out of 5 in order to be included in the sample:

- Protect the interests of others.
- Apply a clear, consistent set of values to guide actions and decisions.
- Show consistency among principles, values, and behavior.
- Does not distort the facts with one's own biases and agendas.
- Address ethical considerations inherent in business decisions.
- Confront actions that are, or border on, unethical.
- Act truthfully even when in conflict with own self-interests.
- Have a consistent track record of delivering on commitments made to others.
- Address situations honestly and with compassion.

In summary, there were four inclusion criteria: a senior leader (executive) at Healthcare, Inc., having completed a third party assessment conducted by Korn Ferry/PDI Ninth House Inc., having earned a RDI score of less than 25%, and having earned an Earn Unwavering Trust competency assessment of 4+. Conversely, the exclusion criteria ensured that only senior leaders who could be characterized as authentic be included as participants. All non-senior leaders were excluded, and those who did not meet the thresholds of the RDI score and Earn Unwavering Trust competency assessment were excluded. Based on these criteria, 67 senior leaders met the inclusion/exclusion criteria. Permission was secured from the Human Resources Executive Committee member to share the inclusion/exclusion criteria with a member of the Human Resources Organizational Analytics team. This team member redacted names from the list of 67 leaders, but included gender, tenure, function, and residential geography for each of the 67 potential participants. The profile criteria were applied to further narrow the list down to the

final list of participants. From the 67 leaders who qualified, 15 authentic senior leaders were ultimately selected to be a part of this research based on maximum variation of profiles.

Sample and response rate. The strategy for sampling in this study is consistent with Michael Quinn Patton's (1990) *Qualitative Evaluation and Research Methods*. Patton suggested that there are several different strategies to purposefully selecting participants. One of these strategies is homogenous sampling to describe some particular subgroup in depth. For this study, the sample was authentic senior leaders, a homogenous subset of the larger population of senior leaders. There is some debate as to the appropriate sample size in a phenomenological study, with the key determination factor being one of saturation. According to Glaser and Strauss (1967), the point when the collection of new data does not shed any further light on the issue under investigation is referred to as *saturation*. Guidance from Creswell (1998) for phenomenological sample size is 5 to 25. Richards and Morse (2013) suggested a sample size of at least six. The sample size of this study was set to be 15 participants. Prospective participants that did not respond to invitations to participate within 3 days were sent reminders, and the invitation response rate did not warrant expansion of the original invitees.

Human subjects considerations. This research was conducted in a manner consistent with Title 45, Part 46 of the U.S. Code of Federal Regulations, Pepperdine's IRB, and ethical principles of the Belmont Report. Data collection was done at multiple sites at a large healthcare company. Prior to beginning the study, written permission to conduct the study using Healthcare, Inc. employees as well as site permission was secured from a Human Resources Executive Committee member for Healthcare, Inc. (Appendix B). An individual consent form was shared with and signed by each participant in the study (Appendix C). A detailed application was submitted to the Pepperdine University Graduate and Professional School IRB,

including the IRB application Informed Consent Form (Appendix B) and Interview Protocol designed for the study.

Participation in the study was voluntary. Individual identifying information was removed from any retained transcripts. Participants' rights included:

(a) the right to be fully informed about the study's purpose and about the involvement and time required for participation, (b) the right to confidentiality and anonymity, (c) the right to ask questions to the investigator, (d) the right to refuse to participate without any negative ramifications, (e) the right to refuse to answer any questions, and (f) the right to withdraw from the study at any time. (Richards & Morse, 2013, p. 263)

Participants were ensured confidentiality and anonymity, verbally and in writing, and informed consents were secured. Beyond a written thank you and a copy of the completed research, no additional remuneration was given.

A number of different risks, benefits, and mitigations to participants were considered. The most significant benefit of participating in this study is that participants would obtain a copy of the findings, which would hopefully improve their performance in their current role or help prepare them for future roles. By sharing common best practices and challenges in leadership, participants will learn how other authentic leaders practice, and can compare and contrast their style, strategy, and practice. Subjects may fear that participation would have an impact on their standing at the company or their career trajectory. It needs to be stated explicitly that there will be no negative ramifications as a result of their participation; all of their data will be kept in confidence, and personally identifiable records will be kept anonymous. Once the study is complete, all data with personally identifiable information will be destroyed. Demographic data will be gathered, but it will be stripped of identifiable characteristics, and instead be reviewed in

aggregate. The lead researcher will be responsible for ensuring that these commitments to maintain confidentiality are upheld. The commitments are further outline in the site permission, request for employee participation, and Pepperdine’s IRB.

Interview Protocol

The following is a summation of the final interview protocol for the study, as reviewed by the preliminary review committee, and approved and finalized by the dissertation committee. Since the protocol was designed for a specific one-time use, traditional methods of establishing reliability of a data collection instrument were not applicable. Data were collected from participants over a 4-week period utilizing the qualitative methodology conducted via interviews. The data-gathering instrument was a set of 10 open-ended interview questions (see Table 3) that helped answer the four research questions. As opposed to leveraging an existing or previously used instrument, the data collection instrument was created independently by the researcher. Developing a new instrument was important because the questions that needed to be addressed in the data gathering process were specific to authentic senior leaders. The responses gathered helped to identify leadership strategies and practices related to successful, authentic leaders.

Table 3

Relationships among the Variable, Data Sources, and Respondents

Variable	Data Source	Participants
Current senior leaders that can be considered authentic leaders	Ten qualitative, open-ended interview questions	Senior Leaders at a large Healthcare Company

Note. This table shows the relationship of the variable to the data sources from which the variable will be studied. It lists the particular group that will participate in taking the quantitative survey, which are the authentic senior leaders.

The survey instrument was developed and refined based upon feedback from a preliminary review panel and the dissertation committee. Data collection focused on the

leadership effectiveness of authentic senior leaders at a large healthcare company. These data were used to determine best practices and challenges in leadership and offer advice for future leaders. The data source utilized to conduct this research was based on a single variable. For this research, interviews were conducted face-to-face, or through video conference as needed and as a contingency approach. The participants in the study came from various locations all over the world. Permission was granted from a member of the Human Resources Executive Committee of Healthcare, Inc. to allow the researcher to use Healthcare, Inc. employees as human subjects. Site permission was also secured for locations where were held. After receiving approvals from Healthcare, Inc.'s Human Resources Executive Committee member, site leaders, and Pepperdine's IRB, targeted human subjects received an invitation (Appendix D) explaining the study and inviting them to be part of it. During this initial contact of the final list members, the approved IRB recruitment script was followed.

A core, common, and consistent methodology was applied for each interview as part of this study. The interviews each began with general greetings and gratitude for the participants' time. Next, the specific interview protocol was reviewed, which included the selection criteria for participation in the study, an overview of the interview topic, an overview of how the actual interview would be conducted, and what would happen once the data were collected. It was also explained to the participants that the interview protocol was formulated by the researcher and reviewed by a preliminary review committee and the dissertation committee. At this point, participants were reminded of the informed consent, which was shared with them prior to the interview.

Before the interview began, participants received an overview of the mechanics of a qualitative, phenomenological study, executed as a semi-structured interview. Next, the

participant was asked if he or she would permit the interview to be audio recorded. Once permission was obtained, the interview began. For some of the interviews, additional prompting questions were required to get to the essence of the interview questions. Some examples of the additional probing included, *can you be more specific*, or *tell me more*. Consistent with most semi-structured interviews, specific follow-up questions were asked to expand upon responses or get more detail. Once the 10 questions (see Table 4) were all asked and answered, a request was made for the participant to make himself or herself available should there be a need for future clarification or follow-up questions. The participants were also offered a copy of their recorded transcript to ensure accuracy. The interview ended with an expression of appreciation for the participants' time and energy, and a reinforced commitment to share the results of the study once complete.

Table 4

Research Questions and Corresponding Interview Questions

Research Questions	Corresponding Interview Questions
RQ1: What common leadership strategies and practices do authentic leaders employ?	<i>Interview Question 1:</i> What does authentic leadership mean to you? <i>Interview Question 2:</i> How would you describe your leadership style? <i>Interview Question 3:</i> Can you share an example of when you demonstrated outstanding leadership? <i>Interview Question 4:</i> What are your strengths in leadership? <i>Interview Question 5:</i> Does your leadership style change based on different situations and followership? How so? <i>Interview Question 6:</i> What strategies do you use to incorporate your strengths in leadership?
RQ2: What challenges do authentic leaders face in their leadership journey?	<i>Interview Question 7:</i> What are your challenges (non-strengths) in leadership? <i>Interview Question 8:</i> What strategies do you use to overcome them in your leadership journey?
RQ3: How do authentic leaders measure leadership success?	<i>Interview Question 9:</i> How do you measure leadership success?
RQ4: What recommendations would authentic leaders make for future leaders?	<i>Interview Question 10:</i> What advice would you have for future leaders?

Validity and reliability of the study. An essential element of credible research is the assurance that the instrument in the interview protocol and instrument is both valid and reliable. Validity is related to the accuracy of a data set. Reliability is the consistency in which the data would be collected should the experiment be replicated. Both elements will be discussed in detail below.

Validity. Validity is a term often avoided in qualitative research because it is erroneously seen as an indicator of attitudes towards analysis or interpretation that do not fit with qualitative measures (Richards & Morse, 2013). In addition, Creswell and Miller (2000) argued that validity can be altered based how the researcher defines validity as part of the study design. Since the researcher has unconscious and conscious biases, it is important that the research design is based on sound data (Richards & Morse, 2013). According to the *Shorter Oxford English Dictionary* (as cited in Richards, 2005), *validity* is defined as “well founded and applicable; sound and to the point; against which no objection can fairly be brought” (p. 139). For the instrument, validity was established in following a four-step process:

Step 1: Prima facie validity. Prima facie is a legal term that broadly translated means *at first sight*. The first step of establishing instrument validity was Prima Facie validity.

The interview questions were designed based on the review of literature and the review of similar qualitative studies. The dissertation committee shared a number of interview questions with the researcher’s cohort of doctoral candidates as examples of reliable and valid questions. Using these research questions as a basis, the research questions for this study were drafted to be aligned and consistent in terms of question content and structure (see Table 4).

Step 2: Peer review validity. Next, a group of Pepperdine University doctoral students with significant business experience were asked to serve as peer reviewers. This group included four students, two of which had over 25 years of human resources in large, global companies. The peer reviewers were similarly conducting comparable research methodology in their own study areas. After a thorough review and discussion of research questions connected to this study, the peer group provided edits, questions, comments, and revisions to the interview questions.

Step 3: Pilot interviews. Based on the protocol completed in Step 2, a pilot interview was conducted of a senior leader in Healthcare, Inc. who could have met the criteria for participation. At the end of the interview, the interviewee provided input with regard to clarity, wording, and understandability of the interview questions. Feedback from the pilot interviewee was incorporated into the final instrument and interview protocol.

Step 4: Expert review. Following this peer review, the results were sent to a second group of reviewers: the dissertation committee. Over the course of 1 week, the dissertation committee reviewed, asked clarifying questions, and provided feedback on the interview questions. Additionally, the dissertation committee provided feedback as part of the preliminary defense. The feedback from the dissertation committee was incorporated into the finalized version of the interview questions.

According to Richards and Morse (2013), there are two general guidelines for research design validity: (a) the fit of the question, data, and method; and (b) ensuring the researcher can properly account for each step in the analysis. As such, the following strategies were employed to ensure the validity of the qualitative research:

1. Triangulating data;

2. Using multiple raters to check validity of results;
3. Using descriptive text to illustrate the phenomenon experienced by participants;
4. Stating researcher biases; and
5. Sharing information that runs counter to results (Creswell, 2003, p. 196)

According to Sandra Mathison (1988), triangulation has become a critical component of qualitative evaluation. Triangulation helps control bias and reduces the risk of tainted results. The data used for this research were triangulated by using different data sources. A comprehensive literature review was completed on leadership theory, with a particular focus on authenticity. Semi-structured interviews were conducted with 15 authentic senior leaders in a large healthcare company that met the population and sample requirements. Member-checking was used to help confirm the accuracy of the data by giving the interview participants a copy of the transcribed notes of their respective interviews for approval. The findings of the research were conveyed with rich, thick descriptions, including thematic findings with considerable detail. In addition, descriptive quotes and exact examples from the participants were used. Researcher bias was considered, identified, and described in the statement of personal bias in Chapter 3. Two doctoral student peers were enlisted to review the transcripts of the interviews and key thematic findings. A debrief session was scheduled to obtain feedback from the researcher's peers to add to the validity of the design. Finally, the researcher secured the assistance of two external auditors. Both of these auditors have PhDs in Organizational Psychology, and are well versed in research and research methodology. The auditors were asked to review the research design as well as the results.

Reliability. In short, reliability can be defined by a study that would yield the same results if it were repeated (Richards & Morse, 2013). A more detailed definition comes from Marion Joppe (2000):

The extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability, and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. (p. 1)

Reliability of a qualitative study is highly correlated to trustworthiness. To establish studies with high reliability and validity in qualitative research, Seale (1999) stated that the “trustworthiness of a research report lies at the heart of issues conventionally discussed as validity and reliability” (p. 266).

Not all scholars are aligned on the importance of reliability in qualitative research. One such objector is Stenbacka (2001), who argued that references to reliability are unnecessary in qualitative research since reliability infers measurements. Preceding Stenbacka (2001), Lincoln and Guba (1985) similarly stated that reliability in qualitative research is less relevant. “Since there can be no validity without reliability, a demonstration of the former [validity] is sufficient to establish the latter [reliability]” (p. 316). Additionally, Patton (2002) asserted that reliability is a direct result of validity in qualitative research.

Statement of Personal Bias

Acknowledgement of personal bias is an important process for any and all research (Creswell, 2003). From the researcher’s perspective, it seemed that a new article about the importance of authenticity was being published each week. However, there appeared to be little practical information on how authentic leaders are successful. Thus, the researcher decided to

pursue this project based upon personal experiences of individuals wanting to leverage the power of authenticity in leadership, but not necessarily knowing how. The researcher's professional experience in Human Resources and Talent Management, as well as the academic pursuit of the study of leadership, have shaped the researcher's perspective on what types of leadership are most impactful. This leads to the researcher's bias that authentic leadership is generally advantageous. It should be noted, however, that authenticity is not always the most effective way to garner support and trust. Certain situations and followers may require less than complete authenticity in a given context. The researcher's bias toward views of authenticity and the power of expressions of authenticity likely had an effect on the research design and methodology.

Bracketing. A phenomenological study is predicated upon a group or individual having comprehension of a given phenomenon. Phenomenology also requires a baseline understanding of assumptions and biases held by the researcher so as to refrain from impacting the validity a study. The strategy of bracketing was used to help comprehend the assumptions and inherent biases, and the underlying personal experiences. The bracketing allowed for those personal experiences and biases to be understood, to allow the focus to be solely on the experience of the participants in the study, and how they experienced the phenomenon (Creswell, 2013). For this study the researcher listed all conceivable pre-conceptions of authentic leadership, as well as significant experiences that have impacted the researcher's perception of authentic leadership. The assumptions and biases were bracketed into themes, and were considered comparatively with the thematic results of the study.

Data Analysis

The researcher analyzed and transcribed the interview data by utilizing notes, data entry and storage, and coding. Notes were written when ideas or insights emerged from personal

observations of the participants, as well as from interview responses that may have led to follow-up questions. Data gathered from the interview process, memos, and observational notes were transcribed. The transcribed data were then segmented into codes. Inductive coding was selected as the analysis approach. Inductive coding is used when the researcher does not bring a predetermined idea of what types of codes to use during the coding process. An inductive coding procedure was utilized that began with an interim analysis. Next the responses were coded, and bucketed into themes. Finally, these themes were examined to provide explanations of the problem of significance. The inductive approach is used frequently as part of qualitative data analysis within grounded theory (Strauss & Corbin, 1990). The reasons for utilizing an inductive approach are to

condense extensive and varied raw text data into a brief, summary format; establish clear links between the research objectives and the summary findings derived from the raw data; and develop of model or theory about the underlying structure of experiences or processes which are evident in the raw data. (Thomas, 2003, p. 5)

From this study's inductive analysis, themes emerged from participant responses. During the coding process, a master list was kept of all the commonalities, codes, and potential themes discovered during the coding process. The results of the coding helped answer the research questions succinctly and directly. The researcher utilized the coding process to create categories within the inductive analysis process. The labeling, description, text, links, and associated models helped to connect the categories to the research questions. After the initial coding, to establish interpreter reliability, a co-reviewer process was employed. Two external co-reviewers individually assessed the researcher's coding. These co-reviewers are experienced in both qualitative and quantitative research and have done extensive research in the study of leadership.

Upon completion of the co-reviewers' assessment, a discussion was held between the researcher and the reviewers, and clarifications and revisions were made. The results of the coding were transferred into themes correlated with the research questions and are presented in Chapters 4 and 5.

Inter-Rater Reliability/Validity

A three step process was used to ensure inter-rater reliability and validity.

Step 1: The principal researcher first coded the data individually by following procedures suggested by David Thomas (2003) for inductive analysis of qualitative data and described in the Data Analysis section of Chapter 3.

Step 2: Results of the individual coding process were reviewed by two peer reviewers with the goal of achieving consensus regarding the individual coding results. These reviewers were doctoral candidates in the Organizational Leadership program at Pepperdine University. The peer reviewers had previously completed two doctoral courses in qualitative methods and data analysis, and both were completing dissertation work using a similar coding procedure. The coding strategy (Thomas, 2003) and the coding results were presented to the evaluators for verification. Recommendations for revisions to the resulting codes and categories were discussed between the researcher and the two external reviewers. The coding results were accepted only when both reviewers and the researcher agreed on their validity.

Step 3: When discussion between the researcher and the reviewers did not result in unanimous agreement, the unresolved points were presented to the dissertation committee to make a determination on final coding results.

Summary of Chapter 3

The objective of this research was to provide business leaders practical examples of common leadership strategies and practices that are effective among authentic leaders. The research questions were restated and the research design was explained. This research was best characterized as a descriptive study that used a qualitative approach. The intent was to describe the common best practices and leadership strategies that authentic leaders demonstrate. The qualitative methodology applied to this study was phenomenology and the research was conducted via interviews. In essence, this study sought to understand phenomenological meaning with respect to the strategies and practices of several authentic leaders based on their lived experiences (Creswell, 2013).

The population was defined as senior leaders at a large healthcare company. Participants were designated based on purposeful sampling, which means the investigator selects participants because of their characteristics (Richards & Morse, 2013). The sample was those senior leaders who met the inclusion criteria (a) a RDI score of less than 25% on the Global Personality Inventory, and (b) 4+ out of 5 rating on the Earns Unwavering Trust competency assessment. In terms of human subjects consideration, this research was conducted in a manner consistent with Title 45, Part 46 of the U.S. Code of Federal Regulations, Pepperdine's IRB, and ethical principles of the Belmont Report.

Data were collected via comprehensive, face-to-face interviews. Prior to the interviews, the researcher reviewed the interview protocol with participants. In addition, participants were reminded of the researcher's commitment to keep all data confidential and anonymous. This assurance was given both verbally and in writing, and informed consent was shared. Ten interview questions correlated to the four research questions were presented. Validity and

reliability were presented, and a statement of researcher bias was shared. The data analysis of the structured interviews included transcribing the interview data and coding it in search of themes.

Chapter 4: Findings

This research was intended to determine the best practices employed, and challenges faced, by authentic senior business leaders to build engagement among followers. Interpreting participants' experiences and best practices was best achieved using a qualitative research design with a phenomenological approach. This study was designed to address: (a) common strategies and practices employed by authentic leaders, (b) challenges faced by authentic leaders in their leadership journeys, (c) how authentic leaders measure success, and (d) recommendations authentic leaders would make for future leaders. This chapter shares participant demographics and an analysis of the data collected via one-on-one, semi-structured interviews.

Participants

Data for this research was obtained through semi-structured interviews with 15 participants who were selected through a purposive sampling approach. The data sources for this research were selected with consideration for the population as defined subsequently.

Participants were selected by meeting four-point characterization criteria:

1. One of the approximately 1,100 actively employed senior leaders Healthcare, Inc.
2. Must have completed the third-party assessment from Korn Ferry/PDI Ninth House.
3. As part of the Korn Ferry/PDI Ninth House Assessment, there is a Global Personality Inventory, and a corresponding RDI score. The RDI score measures the difference in responses that a participant gave to similar questions. For inclusion into the sub-population of this study, the senior leader needed an RDI score of less than 25%.
4. As part of the competency assessment from the Korn Ferry/PDI Ninth House assessment process, senior leaders needed to score a 4+ out of 5 on the competency Earn Unwavering Trust.

The inclusion/exclusion criteria were applied by a member of the HR Organizational Analytics team, and 67 candidates were identified. This team member redacted names from the list of 67 leaders, but included gender, tenure, function, and residential geography for each of the 67 potential participants. Guidance from Creswell (1998) for phenomenological sample size is 5 to 25. Richards and Morse (2013) suggested a sample size of at least six. The sample size of this study was set to be 15 participants. From the 67 leaders who qualified, 15 authentic senior leaders were ultimately selected to participate in the study based on maximum variation of profiles. The initial invitation response rate was 87% (13 of 15). An additional two candidates were then invited, accepted, and included, for a total of 15 participants. Of the 15 participants, eight were female and seven were male. The participants had a combined total work experience of 446 years, with an average of 29.7 years. The participants' average tenure at Healthcare, Inc. was 19.1 years. In order to protect the identity of the respondents and their companies, pseudonyms are used throughout the study.

Data Collection Process

Data collection adhered to the final interview protocol, as reviewed by the preliminary review committee, approved and finalized by the dissertation committee, and approved by Pepperdine University's IRB. The study was limited to 15 participants and data were collected over a 4-week period from February 22, 2016 to March 24, 2016. The data collected utilized a qualitative methodology conducted via one-on-one semi-structured interviews. All interviews were performed exclusively by the principal researcher and lasted from 40 minutes to no more than 60 minutes. Eleven of the interviews were conducted in-person at the participant's onsite working location. The other four participants lived in a geography where an in-person interview

was not possible due to the distance between their work locations and the primary researcher's work location. As a result, these four semi-structured interviews were conducted via telephone.

At each interview the specific interview protocol was reviewed, which included the selection criteria for participation in the study, an overview of the interview topic, an overview of how the actual interview would be conducted, and what would happen once the data were collected. Participants were reminded of the informed consent, which they reviewed prior to the interview. Next, the participant was asked if he or she would permit the interview to be audio recorded. Once permission was obtained, the interview began. Once the interview was complete, a request was made for the participant to make himself or herself available should there be a need for future clarification, or follow-up questions. The interview concluded with a commitment to share the results of the study once complete.

Data Analysis

The researcher analyzed and transcribed the interview data by utilizing notes, data entry and storage, and coding. Data gathered from the interview process, memos, and observational notes were transcribed. The transcribed data were then segmented into codes. An inductive coding procedure was employed used preliminary analysis, coding, the creation of themes, and decoding data to provide explanations of the problem of significance (Strauss & Corbin, 1990). From this study's inductive analysis, themes from participant responses emerged. The researcher utilized the coding process to create the themes within the inductive analysis process. After the initial coding, a co-reviewer process was employed to establish interpreter reliability. Two external co-reviewers individually assessed the researcher's coding. Upon completion of the co-reviewers' assessment, a discussion was held between the researcher and the reviewers, and clarifications and revisions were made. If a recommendation from the group did not yield a

unanimous agreement, the disputed points were presented to the dissertation committee for final review and resolution. Recommendations for revisions to the resulting codes and categories are presented subsequently.

For Interview Question 2, the major themes originally defined by the principal research were: (a) approach, (b) formal definition, (c) personality traits, (d) self image, (e) personal standards, (f) follower orientation, and (g) follower benefits. Upon external evaluator review, it was recommended by both evaluators to combine (f) follower orientation and (g) follower benefits into a single theme to be labeled *followership orientation*. The principal researcher agreed with the recommendation and made the change.

For Interview Question 3, the major themes originally defined by the principal research were: (a) vision, (b) plan, (c) means, (d) engagement, (e) social skills, (f) execution, and (g) outcomes. Upon external evaluator review, it was recommended to change the thematic approach significantly. The previous themes were disregarded and four new themes were created. The new thematic organization became: (a) creating the climate, (b) engaging and enabling the organization, (c) implementing and sustaining, and (d) mechanisms. The underlying coded words were all moved to support the new thematic design. The principal researcher agreed with the recommendation and made the change.

For Interview Question 4, the major themes originally defined by the principal research were: (a) goal orientation, (b) attributes, (c) talent management, (d) team effectiveness, (e) orientation, (f) connectivity, (g) simplification, and (h) responsibility. Upon external evaluator review, it was recommended by both evaluators to rename (a) goal orientation to *futurist*. It was recommended that (e) orientation be changed to *personal orientation*. It was also recommended that (h) responsibility be changed to *sense of responsibility*. One of the coded

elements, high standards, was recommended to be moved from (a) futurist to (b) attributes. It was also recommended that one of the coded elements under (f) connectivity, labeled *treating others as you would want to be treated*, be moved to (b) attributes. The principal researcher agreed with the recommendations and made the changes.

For Interview Question 7, the major themes originally defined by the principal research were: (a) need to be liked, (b) demanding, (c) reciprocity, (d) bias towards action, (e) people orientation, (f) non abstract, (g) behavioral approach, (h) personality type, and (i) technical skills. Upon external evaluator review, it was recommended that three of the coded elements be moved from (c) reciprocity to (b) demanding. Those elements are *overly emotional for the work*, *perfectionist*, and *hyper engaged*. It was also recommended to move the coded element of inflexible from the theme (d) bias towards action to (b) demanding. The principal researcher agreed with the recommendations and made the changes.

For Interview Question 10, the major themes originally defined by the principal research were: (a) purpose driven, (b) be yourself, (c) perspective, (d) team orientation, (e) adapt, (f) learn, (g) connect, (h) keep it simple, and (i) don'ts. Upon external evaluator review, it was recommended that theme (i) don'ts be integrated into (c) perspective. It was also recommended that themes (e) adapt and (f) learn be combined into a single theme of *learn and adapt*. The principal researcher agreed with the recommendations and made the changes.

Data Display

The following section presents the demographic information of each study participant.

The demographic data collected included:

- Gender
- Tenure

- Function
- Current residential geography

Gender. The study participants consisted of eight females (53%) and seven males (47%).

Figure 4 illustrates the demographic data by gender of the 15 expert authentic senior leaders that participated in this study.

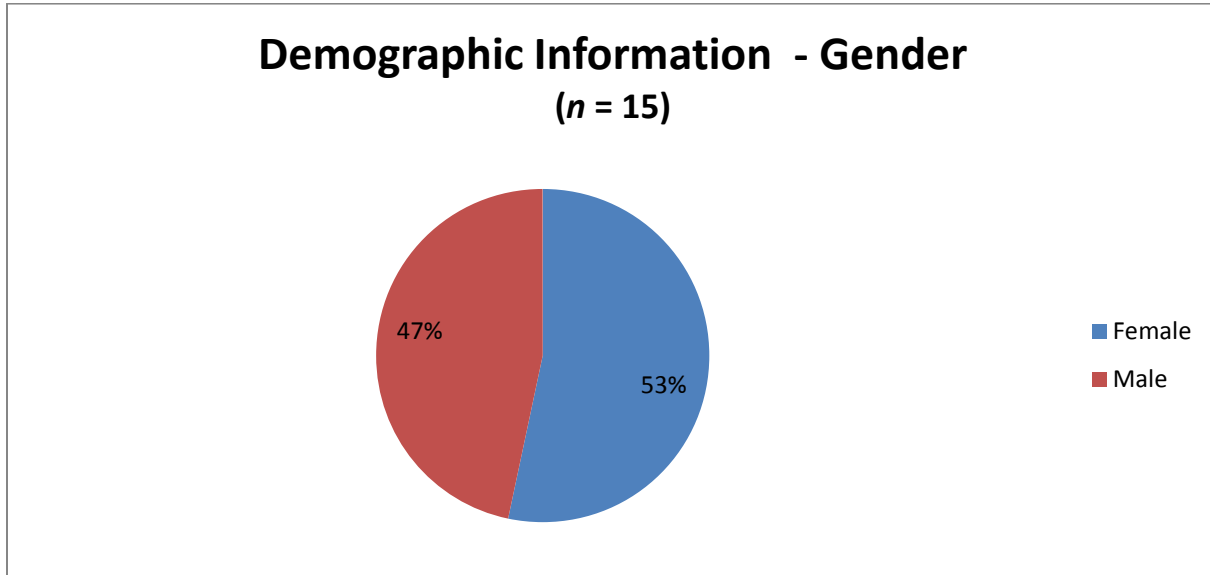


Figure 4. Participant demographics by gender.

Tenure. The tenure of those who participated in this study was examined in terms of total years of work experience and total years of work experience at Healthcare, Inc. Table 5 illustrates the mean, median, mode, and range of participants' work experience.

Table 5

Participants' Tenure Demographics

	Total Work Experience	Healthcare, Inc. Experience
Mean	29.7 years	19.1 years
Mode	30 years	23 years
Median	30 years	21 years
Range	21-36 years	1-31 years

Function. Final participant selection involved maximum variation of candidates who met the inclusion criteria. One variable that was part of the selection was to select participants who represented an array of functions at Healthcare, Inc. Figure 5 shows the representative functions of participants. Roughly 50% of the 1,110 executive positions at Healthcare, Inc. are commercial. This heavy representation of commercial leaders was reflected in the candidate pool of those who met the inclusion criteria, and ultimately the selected participants. Thirty-three percent of participants worked in commercial roles, whereas the other participants were fairly well dispersed among the other functions.

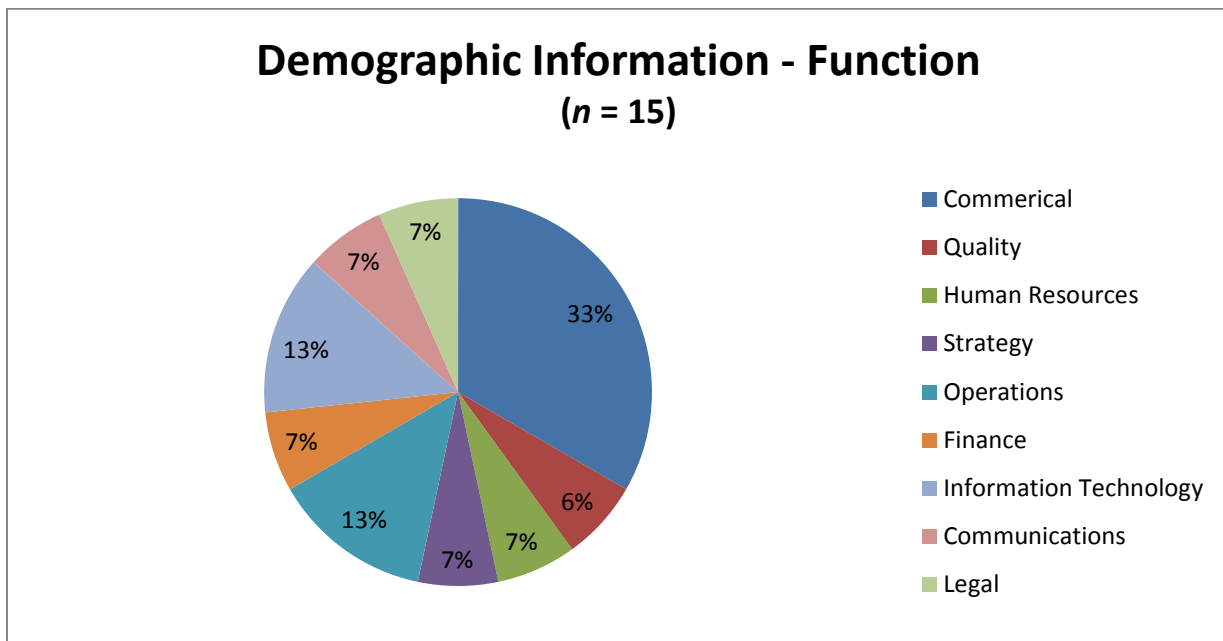


Figure 5. Functional representation of participants.

Current residential geography. Figure 6 shows the current residential geography representative of participants. Roughly 80% of the 1,110 executive positions at Healthcare, Inc. are based in North America. This heavy representation of North America leaders was reflected in the candidate pool of those who met the inclusion criteria, and ultimately the selected participants. Sixty-seven percent of participants resided in North America at the time of the research.

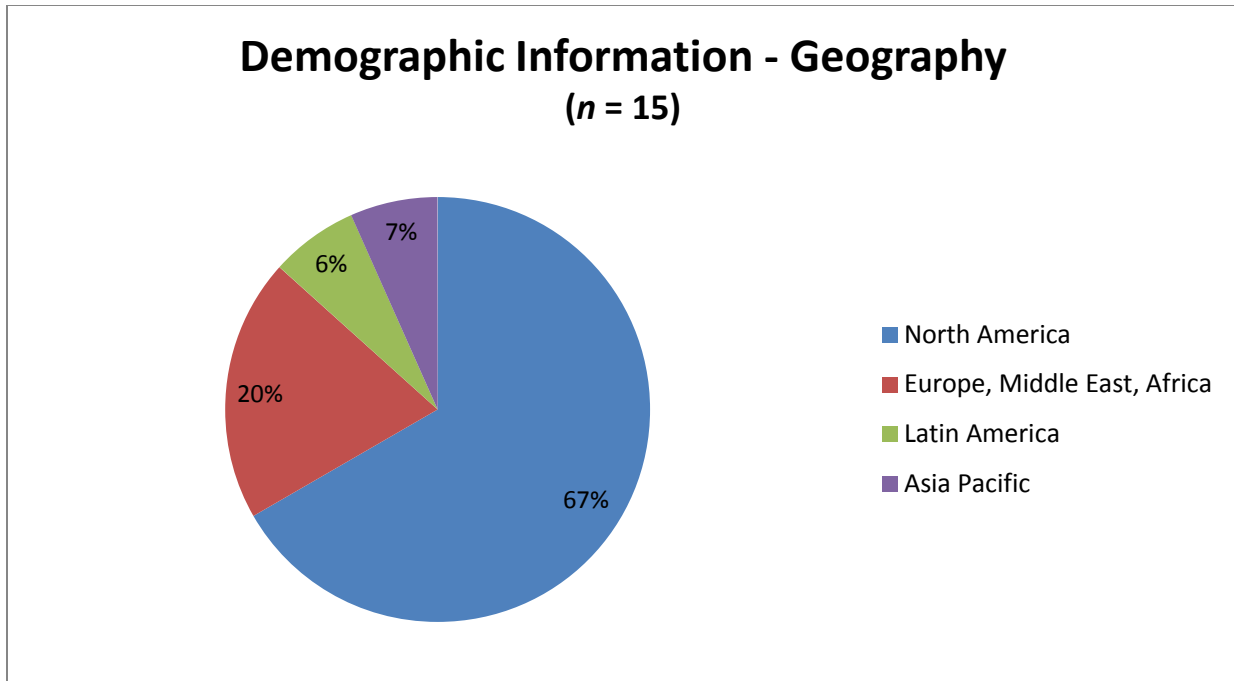


Figure 6. Geographic representation of participants.

Data Collection Results

The following common best practices employed and challenges faced were derived from the data collected during the one-on-one, semi-structured interviews that took place as part of this study. The best practices and challenges discussed were utilized by authentic senior leaders in order to build engagement among followers. The data collected was then coded, bucketed into thematic elements, and analyzed into key findings to answer the four research questions.

Research question one. Research question one asked: What common leadership strategies and practices do authentic leaders employ? In order to answer this question, participants were asked six different interview questions:

1. What does authentic leadership mean to you?
2. How would you describe your leadership style?
3. Can you share an example of when you demonstrated outstanding leadership?
4. What are your strengths in leadership?

5. Does your leadership style change based on different situations and followership?
How so?

6. What strategies do you use to incorporate your strengths in leadership?

Interview question one. The inclusion criterion for this study was that the senior leader participants could be labeled as authentic leaders. The definition of an authentic leader was predicated on the results of a third party assessment. When asked, What does authentic leadership means to you? the most common response was a *personal trait*. The results of this question can be seen in Figure 7.

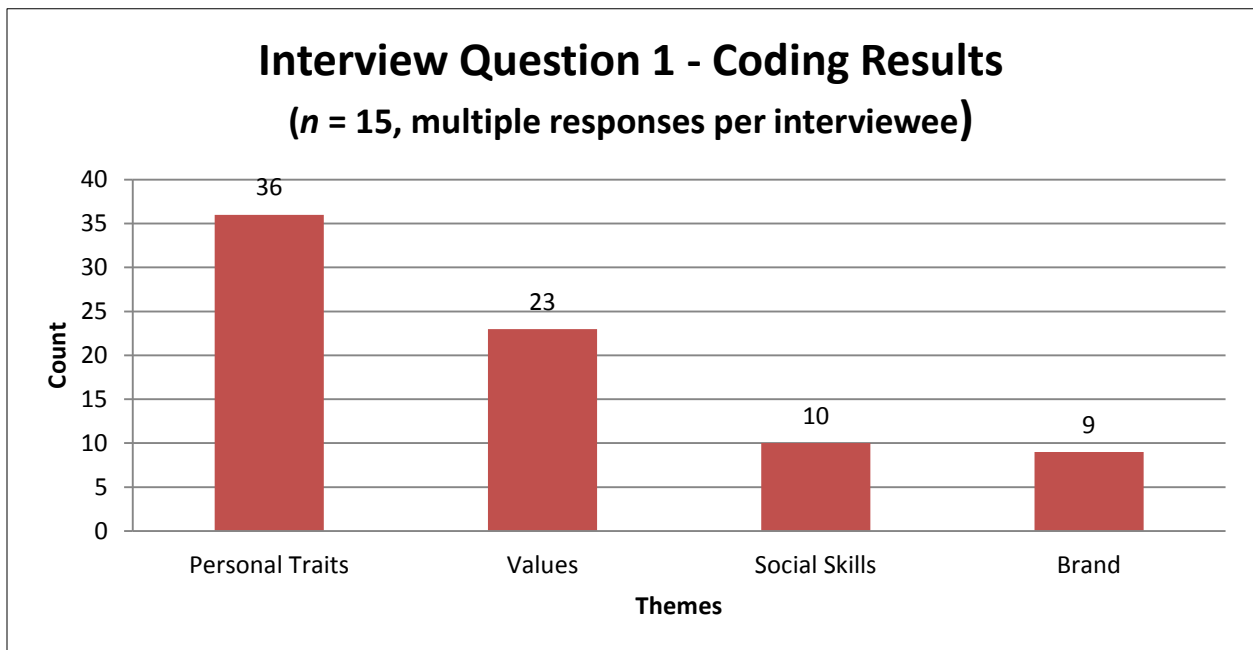


Figure 7. Common definitions of authentic leadership.

Personal traits. It be should be noted that none of the participants referenced physical traits, but instead focused on mental and social characteristics. These descriptors are consistent with the Trait Approach or theory, which looks for correlations between personal traits and indicators of leadership effectiveness (Barnett, 2010). The first interview question attempted to set a baseline to understand how participants define authentic leaders. Participants' responses

were coded and bucketed into themes with multiple responses being accounted for in the wide-ranging definitions that were shared. *Vulnerability* was referenced by seven of the 15 participants (47%), and *transparency* was shared by five of the 15 (33%) of the participants. Both of these items were coded as *personal traits*. Other elements included in this theme were *empathy*, *inspiration*, and *simple/non-corporate speak*. As Participant 13 (P13) stated, “Authentic leadership is all about being transparent and vulnerable” (personal communication, March 24, 2016).

Values. The second most common theme in the definition of authentic leadership was coded as *values*. Some of the most referenced elements that made up this theme were *being true to yourself*, *honest*, and *genuine*. Seven of the 15 participants (47%) said that “being true to yourself” was indicative of being an authentic leader. P2 stated, “It is not being afraid to allow your true self to come to work each and every day” (personal communication, February 23, 2016). Three of the 15 participants (20%) went on to explain that being true to yourself is predicated on self-examination: a clear understanding of who you are and what your personal mission, or purpose, is in life. Knowing and aspiring toward a personal purpose is an item that came up again in answering interview questions related to Research Question 4.

Social skills. Social skills was referenced ten times by participants in response to how to what authentic leadership means to them. Answers included *connecting*, *building trust*, and *communicating directly*. P10 shared, “Authentic leaders are not afraid to have the tough conversation. We owe people the truth. I have found that being direct, and not afraid to bring up the tough issues, builds trust” (personal communication, March 4, 2016). Participants who referenced social skills felt that communication and connecting are skills that are critical leadership skills.

Brand. Lastly, the theme of *brand* was referenced nine times by participants. Within this theme, the coded elements included *being respected by others, being credible, possessing a strong reputation, consistently viewed by others, and demonstrating transparent values.* All of these responses were shared with a lens on how others perceive the authentic leader. There is a strong correlation to thematic conclusion of *brand* as a description of an authentic leader, and IQ7, which asks about common challenges among authentic leaders. Some of the common themes to IQ7 was reciprocity and recognition. The results of IQ1 and IQ7 demonstrate that the opinion and perceptions of others have towards the are important to authentic leaders.

Interview question two. The second interview question sought to understand how participants described their own leadership style. As referenced in the key assumptions of this study in Chapter 1, it is assumed that participants are self-aware as to their leadership strategies and practices. The assumption also includes that participants have an opinion on their own leadership style. Multiple responses were captured and used as part of the analysis, meaning that a participant may have stated that he/she has multiple leadership styles.

Formal definition. The most common response was by way of a *formal definition* (See Figure 8). The formal definition theme was intended to reflect existing leadership definitions as recognized in academia, or in practice. Many of the styles coded in this theme are referenced in Chapter 2. Within the formal definition theme, the most common response given by seven of the 15 participants (47%) was a *transformational leader*. This was followed by five of 15 participants (33%) calling themselves *servant leaders*, and five of 15 participants (33%) labeling themselves as *participative leaders*. Since participants referenced multiple leadership styles, the conclusion of the thematic analysis is that the majority of these respondents are in fact *situational leaders*.

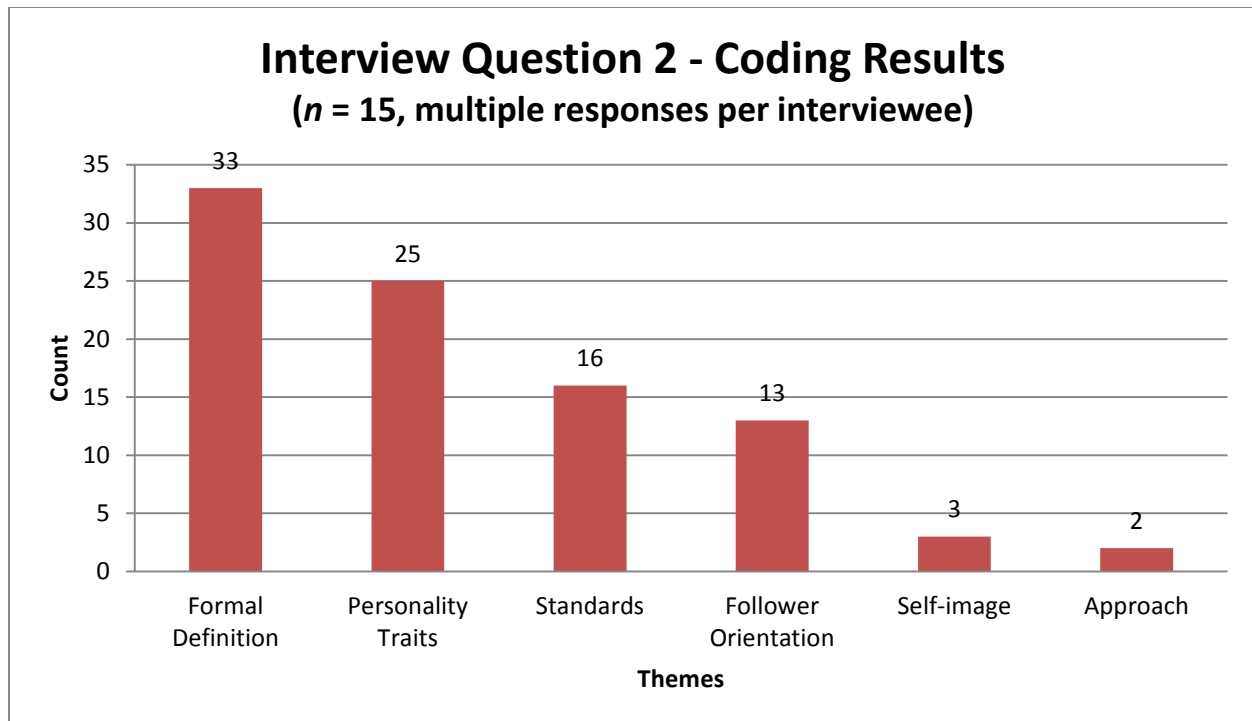


Figure 8. Commonality of participants’ descriptions of personal leadership style.

According to the Hersey-Blanchard (1977) Situational Leadership Model, leadership rests on a basic notion: that a given task must be considered in conjunction with an individual’s, or group’s, maturity level (see Figure 2). Effective leadership is contingent on the work to be done, and the best leaders are the ones who are able to alter their leadership style based on the audience they are engaging. Since participants made references to the oscillation between *participative* and *transformational leadership*, the most common leadership style can be labeled *situational*.

P5 shared,

My leadership style has evolved over the years. If you go back 20 years, I was the best command and control leader in the whole world. Since then I have learned to adapt based on situation. I can move to visionary, authoritative, or transformational, based on what will suit the situation best. (personal communication, February 25, 2016)

Four of the 15 participants (27%) explicitly defined *situational leadership* as their style. In summary, the most common leadership style was situational with a heavy default towards *transformational leadership*.

Personality traits. There were 25 references of *personality traits* when participants were asked to describe their own leadership style. The most common coded element within this theme was *empathetic* with six of the 15 participants (40%) using this trait to describe their leadership style. P4 said, “I treat people like I want to be treated. I care for people on a personal level” (personal connection, February 24, 2016). Additional coded elements under *personality traits* included *charismatic*, *honest*, and *direct*.

Standards. Participants referenced *standards* as a thematic response to IQ2 16 times. The most common coded element under the theme of standards was results orientation with six references. As it relates to standards, P9 said, “I have high standards for my team, but not as high as the standards I have for myself” (personal connection, March 4, 2016).

Follower orientation. The fourth theme for IQ4 was *follower orientation*. The coded elements under this theme were *engaging*, *able to connect to the individual level*, and the *ability to simplify*. There was consistency in the thematic results between IQ1 and IQ2, specifically in an authentic leader’s ability to communicate and connect.

Interview question three. Participants were asked to share an example of when they demonstrated outstanding leadership. The coding for responses to this question was broken up into two parts:

1. Were there commonalities in the situation?
2. What were the commonalities of leadership within those situations?

In reference to the first part, the most common response was a *big transformation/turnaround* (nine references). Participants also referenced situations where they had to *deliver a tough message*, there was a *lack of trust* (one reference), a *team intervention was required* (one reference), and a *time of uncertainty* (one reference; see Figure 9).

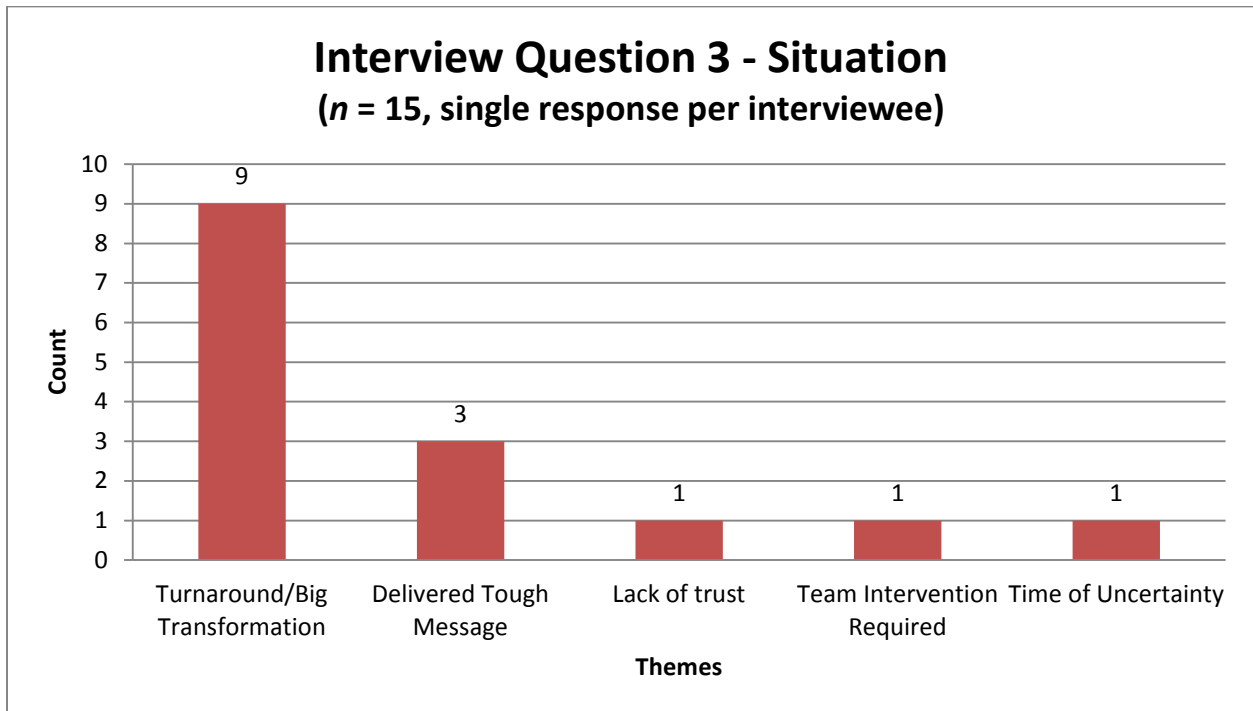


Figure 9. Common situations where participants demonstrated outstanding leadership.

Examples of a *turnaround/big transformation* were a sector wide remediation (P1), a function-wide reorganization (P8), and a business divestiture (P9). P2, P4, and P5 shared a situation where they had to deliver a tough message to a team or individual. Each situation shared had an element of change management that was required to improve an existing organizational condition.

The second part of this question sought commonalities in the leadership approach to address the situations referenced in Figure 10. Multiple responses were considered because participants referenced multiple leadership examples in managing each situation (see Figure 10).

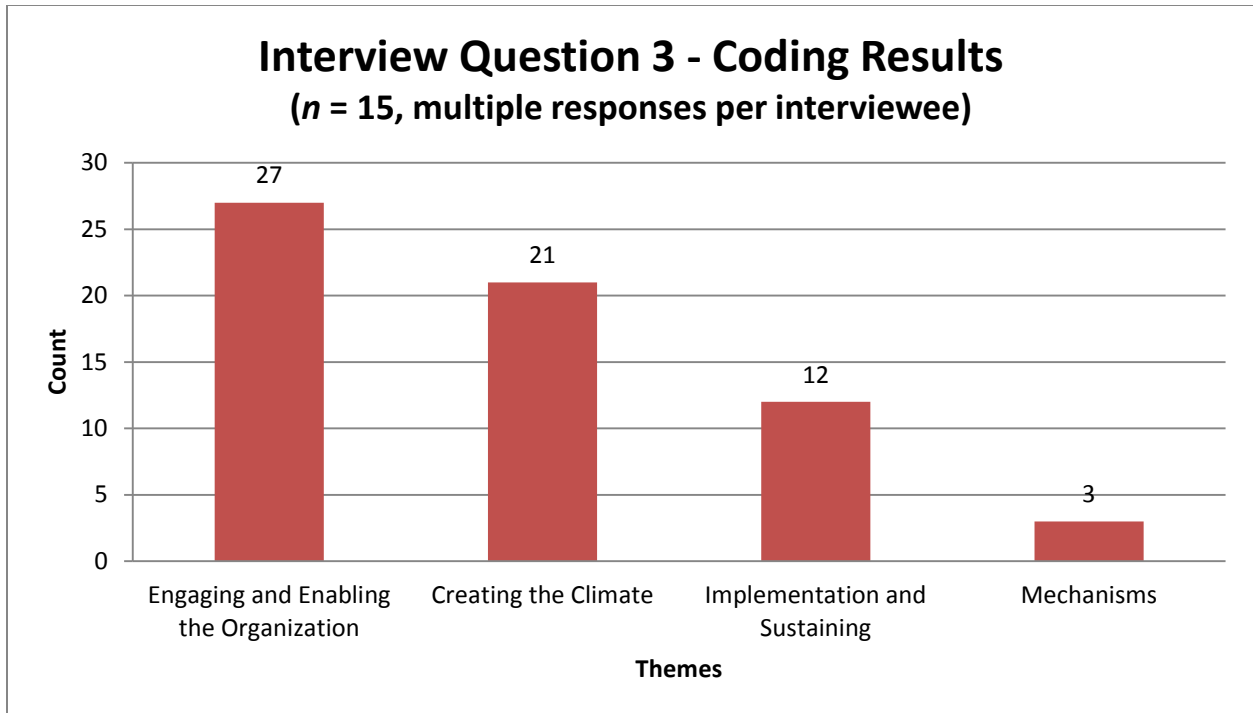


Figure 10. Commonalities in outstanding leadership.

The four themes displayed in Figure 10 were generated with influence from John Kotter’s (1996) Eight-Step Model for creating a successful change program. In the model, Kotter uses Creating the Climate for change as the thematic grouping of his first three steps, Engaging and Enabling the Organization is the grouping of steps 4 through 6, and Implementing and Sustaining compose steps 7 and 8 (see Figure 11). The coding for this question allowed multiple responses to be captured.



Figure 11. Kotter change model. Reprinted from *Leading Change* by John Kotter, 1996, p. 23. Reprinted with permission.

Engaging and enabling the organization. The most common response was one of *engaging and enabling the organization*. Under this theme there were six references to *building alignment*, five references to *engaging stakeholders*, five references to *constant communication*, and five references to *storytelling*. P1 shared:

Most transformations fail. How do you get people out of the dark and into the light, when everyone is motivated differently? Pain can be a motivator. Psychology is part of it. I led by setting up the team as the underdog, and asking them to imagine what it would be like at the end if we are successful. I did this through telling stories, and encouraged the team to think about their story...a story to tell their grandchildren. We can save jobs. We can save a company. (personal communication, February 22, 2016)

Creating the climate. The second most common theme was *creating the climate*.

Overwhelmingly, the most common coded element under the theme of *creating the climate* was to *create a compelling vision*, cited by 12 of 15 participants (80%). This response helps to validate that the most common leadership style shared among participants was *transformational leadership* (Hersey-Blanchard, 1977). P5 used a practical and effective vision to maintain employment through the transformation, stating, “Everyone will stay gainfully employed. We all

have jobs to do, and if we them well, we will continue gainful employment” (personal communication, February 25, 2016).

Implementing and sustaining. The third most common theme was *implementing and sustaining*. The most common coded elements within this theme were *execution excellence*, *reward and recognition*, and *simplifying/clarifying*. *Execution excellence*, which can be equated to *results orientation*, and *simplifying/clarifying* were both themes that were surfaced in participant’s definitions of authentic leadership, and in their descriptions of their own leadership styles.

Interview question four. Participants were asked to describe their strengths in leadership. Multiple responses were accounted for since all participants shared more than one strength. Multiple strengths were referenced and accounted for in eight themes (see Figure 12).

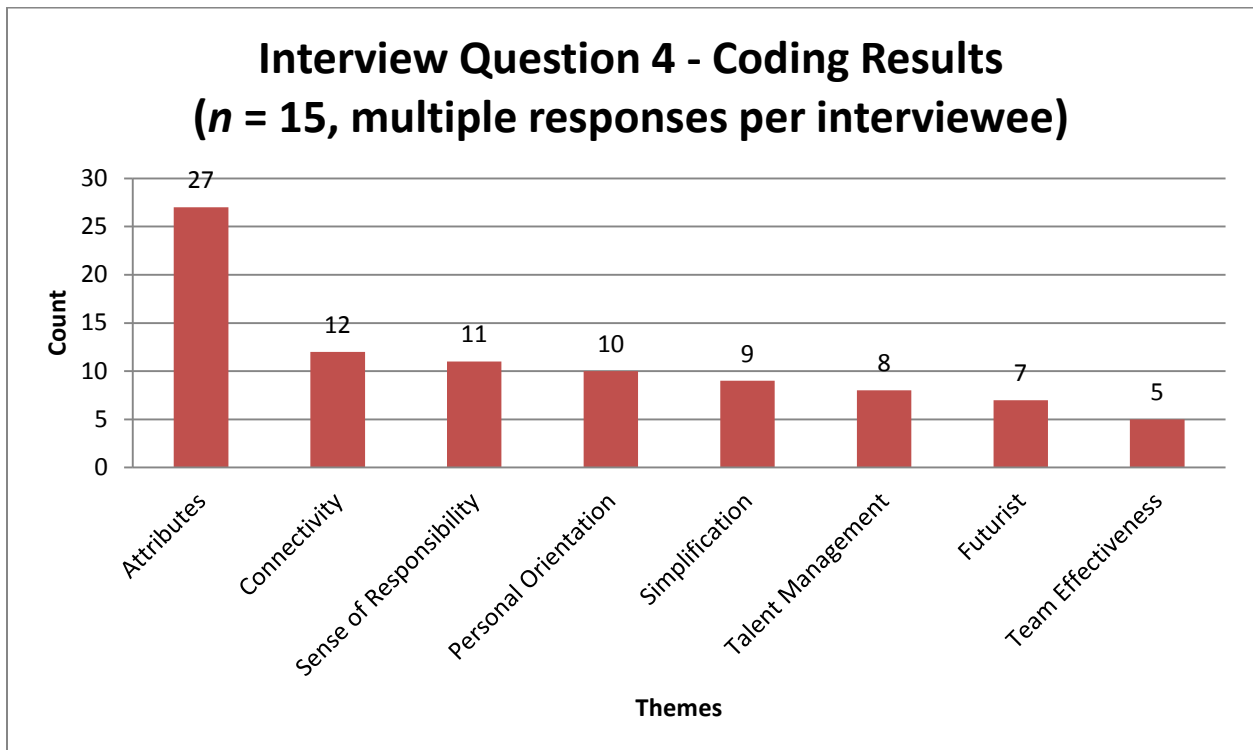


Figure 12. Common strengths in leadership.

Attributes. The most common responses given were *attributes*, which were referenced 27 times by multiple participants. For the purposes of this study *attributes* are defined as “a quality or feature regarded as a characteristic or inherent part of someone” (“Attributes,” n.d., para. 1). Within this theme of *attributes*, *listening and learning* was the most frequently shared element (four references), followed by *perseverance* (three references), and *charisma* (three references). In the rank order of the themes, participants talked more about their *attributes* than any other theme. P6 shared, “My greatest strength in leadership is taking the time to assess a situation, and learn as much as I can about it, so I can help” (personal communication, February 26, 2016). The response to this question showed consistency with the responses to interview question 10. In interview question 10 respondents were asked what advice they would have for future leaders. The most common response was to learn and adapt. This is not surprising given participants shared learning as the most common strength.

Connectivity. Following the theme of *attributes*, the second most common theme was *connectivity*. *Connectivity* refers to the participant’s ability to connect and engage. Three of the 15 participants (20%) said that story telling was a key strength. Given the results of interview question 2, which asked what participants felt were their strengths, storytelling aligns well with the transformational leadership style that most participants shared.

Sense of responsibility. The next most common theme was *sense of responsibility*. Coded elements under this theme included *role models effort*, and *empowers*. Two of the 15 participants (13%) felt that demonstration of work ethic and dedication is a powerful tool to engage people. P13 said, “if people see me working hard, they are subconsciously guilted to work hard as well” (personal connection, March 24, 2016).

Interview question five. Interview question 5 asked, Does your leadership style change based on different situations and followership? How so? The coding for responses to this question were broken up into two parts: (a) Does your leadership style change and (b) if so, how? In reference to the first part, eight participants said that their style *does change*, five said it *does not*, and two said that it *does not change, but not enough* (see Figure 13). Despite these responses, when examining the results, it showed that eight of the 15 participants (53%) did not change their approach to leadership. Five of the 15 participants (33%) said that their style does not change based on the situation. For example, P2 shared that she does not flex her style regardless of situation. She said, “What you see is what you get. I use the same style and directness whether I am talking to the CEO or someone on the shop floor” (personal communication, February 23, 2016). The remaining two participants (13%) said that their style does not change, but recognized it could be beneficial if it did.

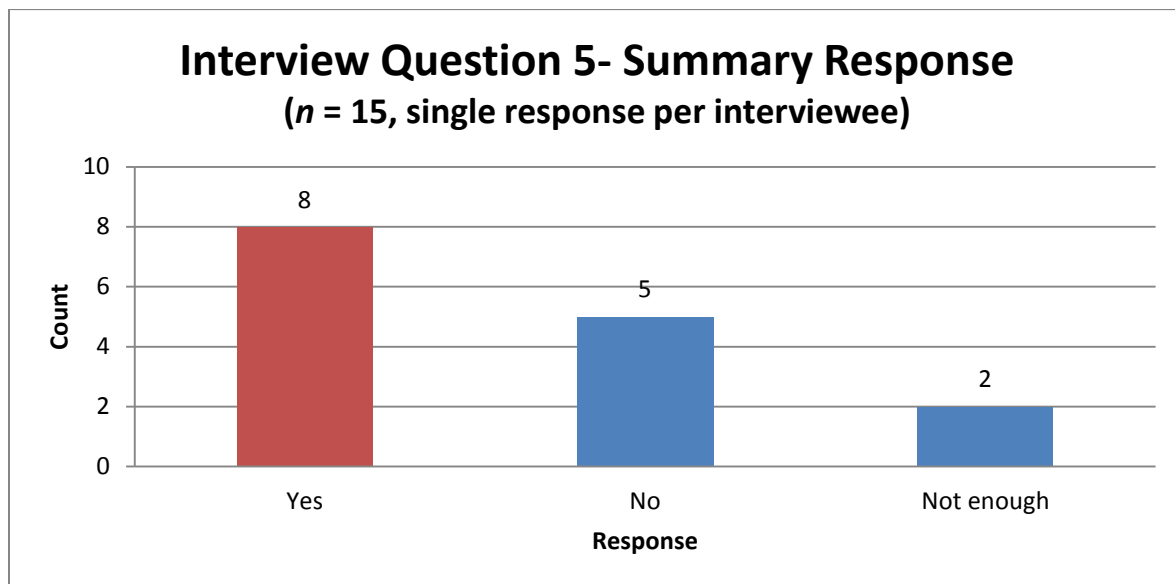


Figure 13. Binary response to whether leadership style changes based on situation.

Flexibility in style. For the second part of the coding, how participants' leadership styles might change based on situation was examined (see Figure 14). There were 12 instances where participants said that they *do flex their styles*. Coded elements that made up this theme were that

they exert a degree of emotional control based on situation and audience. This means that they intentionally temper the degree to which they are direct and transparent, but they remain honest. The responses here are consistent with the responses to interview question 2, where situational leadership was described as the most common style. P10 shared:

Yes, my style changes. It shifts based on different dimensions. How directive I am adjusts to the situation. Under stress, I am more directive. At times this can be destabilizing. It also shifts as a function of the level of maturity in the organization I am working with. To start, I am more directive. Over time, I am less direct because the team can operate without the direction. Once I set the strategy, and I do not need to offer as much correction, there is less of a need for the intervention. (personal communication, March 4, 2016)

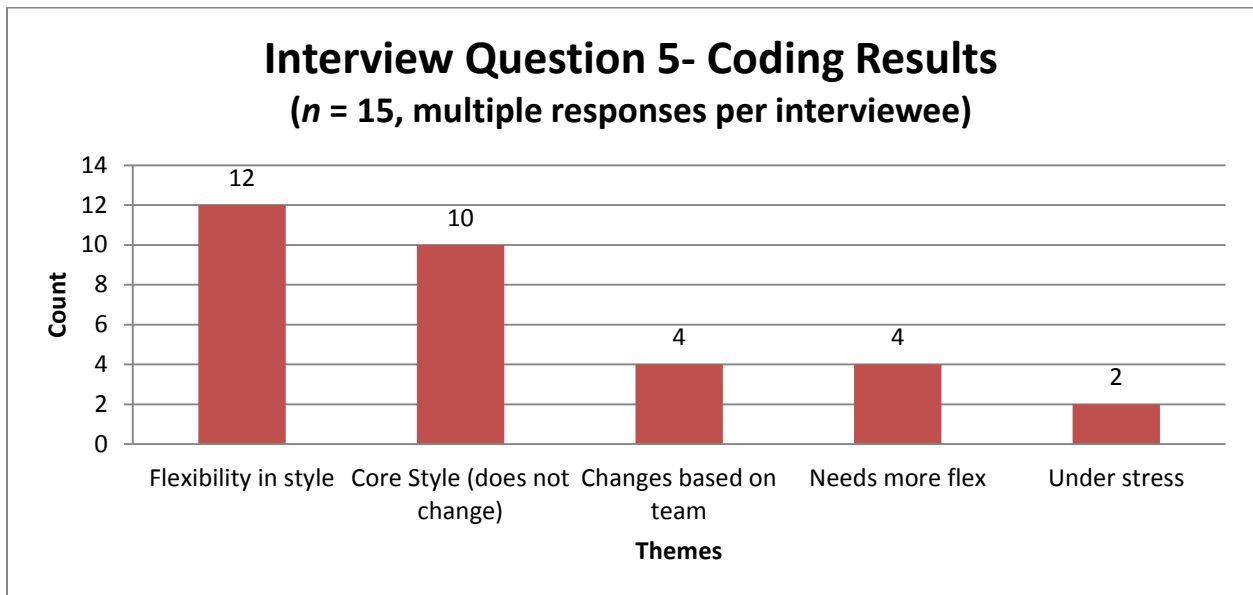


Figure 14. Common ways leadership styles change based on situation.

Core style. The next most common theme was that their *style does not change*. There were four instances where a participant shared that he/she is always authentic, and three instances where a participant said that he/she asserts the same degree of directness, regardless of

the situation. The third most common response was a tie between two themes. The first was that their leadership *style does change based on the team*, and the second was that the leader needs to *demonstrate more flexibility based on situation*.

Interview question six. Participants were also asked what strategies they use to incorporate their strengths in leadership. The coding for responses to this question were broken up into two parts: (a) are you intentional in applying your strengths in leadership, and (b) if so, how? Ten of the 15 participants (67%) stated that they are intentional in applying their strengths in leadership (see Figure 15).

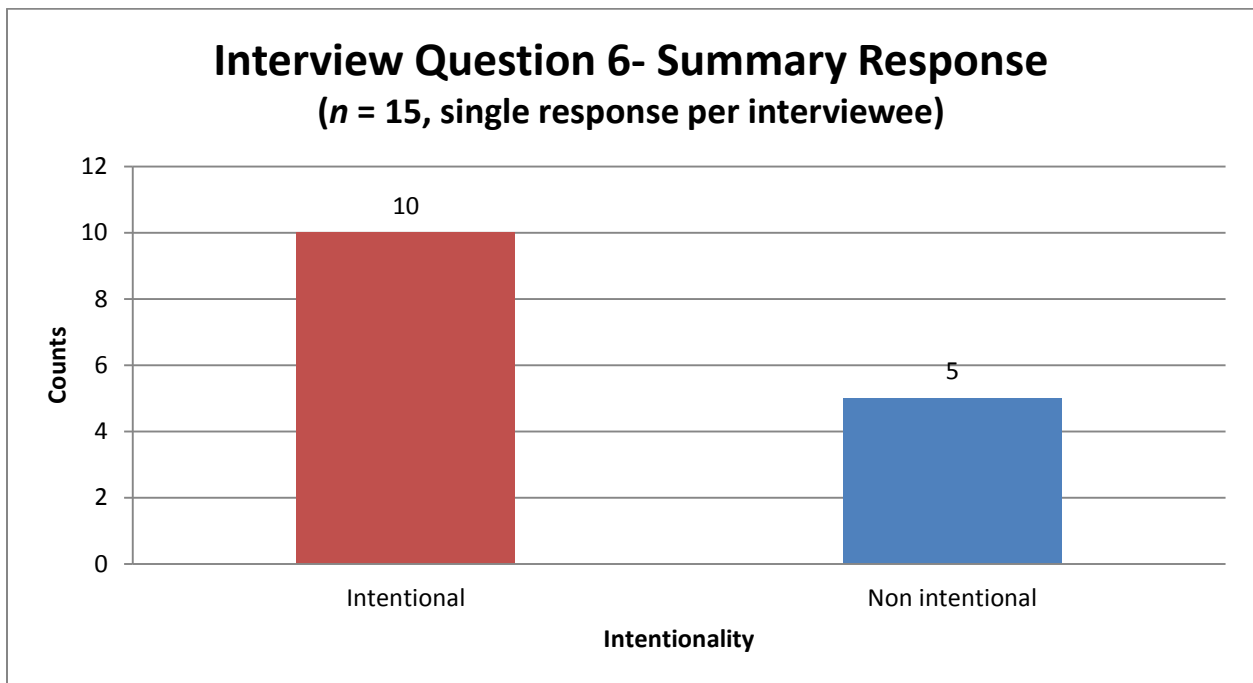


Figure 15. Binary response to intentionality of applying strengths in leadership.

Of the 10 participants who said that they are intentional in applying strengths in leadership, the responses were fairly evenly dispersed among the three coded themes (see Figure 16). Multiple responses by each participant were captured. Participants reported incorporating their strengths by *emotional variation* (eight references), *preparation* (eight references), and *reminders* (eight references).

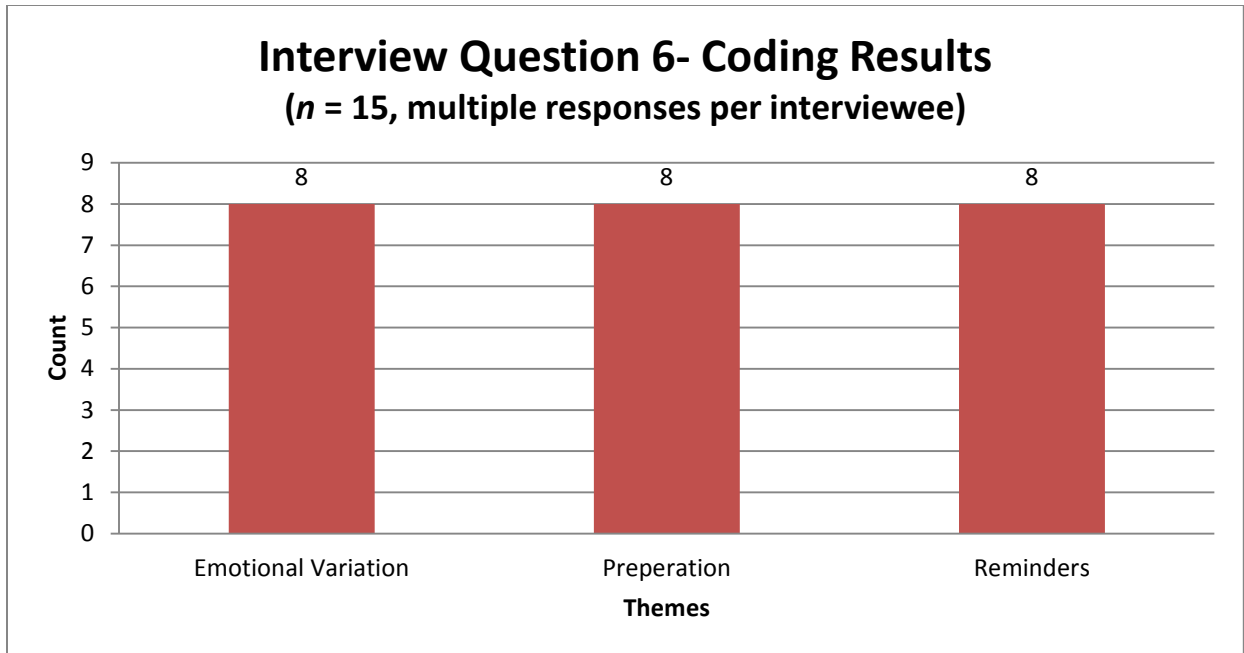


Figure 16. Common strategies used to incorporate strengths in leadership.

Emotional Variation. Coded elements that made up the *emotional variation* were the *exertion of emotional control*, the *intentionality around directness of message*, and *how much vulnerability a participant would express*. One participant (P10) displayed her own irritation intentionally as means of motivating followers.

Preparation. Five of the 15 participants (33%) *prepare* as to how they want to use their strengths in leadership. Coded elements that made up this theme were *preparing for tough conversations*, and *ensuring the intended outcome of a situation was clear to them*. P15 shared, “Before a big meeting I write down what I want to accomplish, and the best approach to get there” (Personal connection, March 25, 2016).

Reminders. Finally, five of the 15 participants (33%) use *reminders* as a means to incorporate their strengths. The reminders included *ensuring they were listening*, *making sure they are slowing down*, and *being selective in sharing their opinions*. This last item was referenced as a challenge since authentic leaders appear to be quick to share how they are feeling.

Research question one summary. Research question one asked what common leadership strategies and practices do authentic leaders employ? Six interview questions were designed to answer the research question. The first question helped set a baseline on how participants define authentic leadership. Participants shared that *authentic leadership is defined by personal traits*, and that *vulnerability and transparency* were the most common traits they embraced. The most common leadership style of authentic senior leaders is *situational leadership* (Hersey & Blanchard, 1977). Within the context of *situational leadership*, the most common style that participants shared was *transformational leadership*.

In terms of commonalities of strengths in leadership, participants were asked about a time they demonstrated outstanding leadership, and what they self-assess as their own strengths leadership. The most common situation referenced was a *big transformation turnaround*. Where participants felt they demonstrated outstanding leadership was in *enabling and energizing the organization through creating a compelling vision*. In terms of self-identified strengths, the most common response was the attribute of *listening and learning*. The majority of respondents shared that their *leadership style does change based on situation*. However, their core leadership of being authentic does not change. The directness and degree of vulnerability they share do change. Thus, *they exert an amount of emotional control dependent of situation and audience*. Lastly, *most of the participants are intentional in applying their strengths in leadership*. The application was split among *emotional variation, preparation, and reminders*.

Research question two. Research question two asked: What challenges do authentic leaders face in their leadership journey? In order to answer this question, participants were asked two different interview questions:

1. What are your challenges (non-strengths) in leadership?

2. What strategies do you use to overcome them in your leadership journey?

Interview question seven. Participants had multiple responses to the question in terms of identifying their challenges (see Figure 17). The most common thematic response was that there is a *high need for reciprocity*. Overall, there was wide ranging responses to interview question seven, which ranged from behavioral to technical challenges.

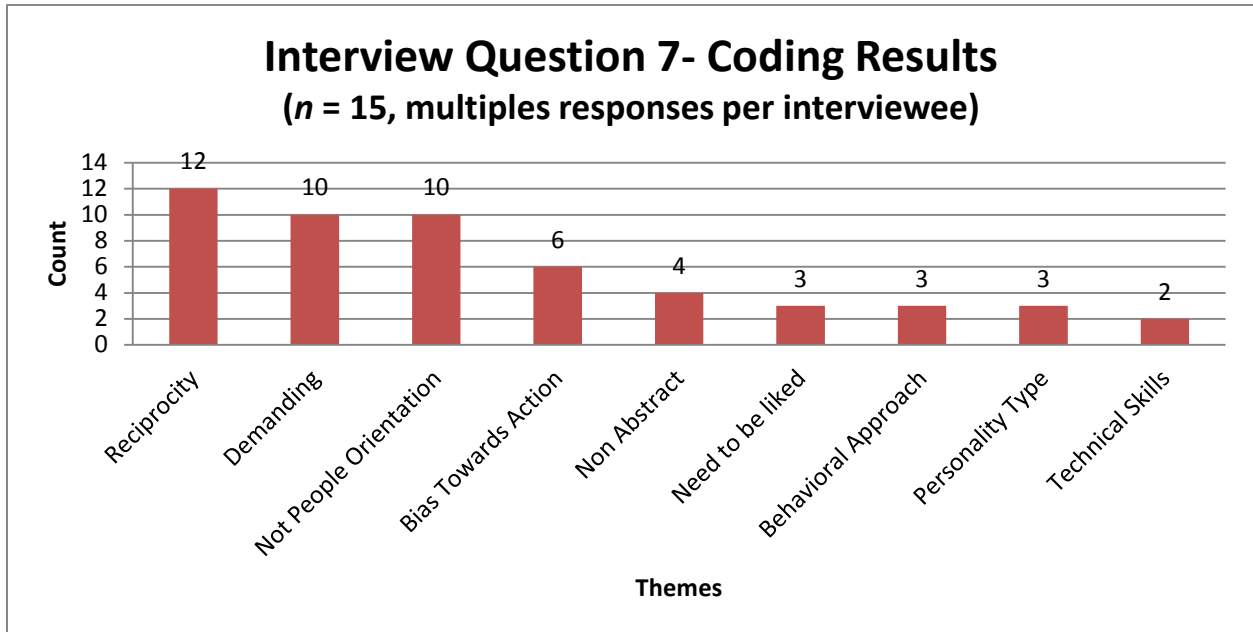


Figure 17. Common challenges (non strengths) among authentic senior leadership.

Twelve of the 15 participants (80%) said that they objected to those who are inauthentic. The emotional response to inauthenticity ranges from frustration to anger to sadness. Participants feel that they are transparent, honest, and vulnerable, and if those qualities are not returned it can be highly draining. P13 shared,

My biggest challenge is dealing with people who are not showing their cards, or telling me how they really feel. I have no patience for these individuals. I have not yet figured out how to deal with them, so I try to shut them out completely. (personal communication, March 24, 2016)

P7 said, “I can’t stand brown nosers. I have a hair trigger about hypocrisy. It bothers me a lot. I tend to rebel in situations when this happens” (personal communication, February 29, 2016).

The second most common themes were that a participant is *too demanding* and *not people oriented*. Examples of coded elements that make up *too demanding* are *impatient* and *idealistic*. Under the theme *not people oriented*, the most common elements were *overly direct* and *need to listen more or better*.

Interview question eight. Once principal challenges were shared, participants were asked what strategies they use to overcome them. For this question, multiple responses were coded for each participant (see Figure 18). The most common theme was *position for success*. Participants are thoughtful and deliberate in overcoming challenges. Five of the 15 participants (33%) shared that their challenges are exaggerated under stress. Within this theme, some of the elements were *managing stress*, *tracking triggers of stress*, *staying calm*, and *accepting that not everyone has the same standards*. P10 shared, “I need to track and manage triggers. One of the triggers is when people are guarded. It is frustrating and irritating. Once I sense this from someone I need to actively try to decompress” (personal communication, March 4, 2016).

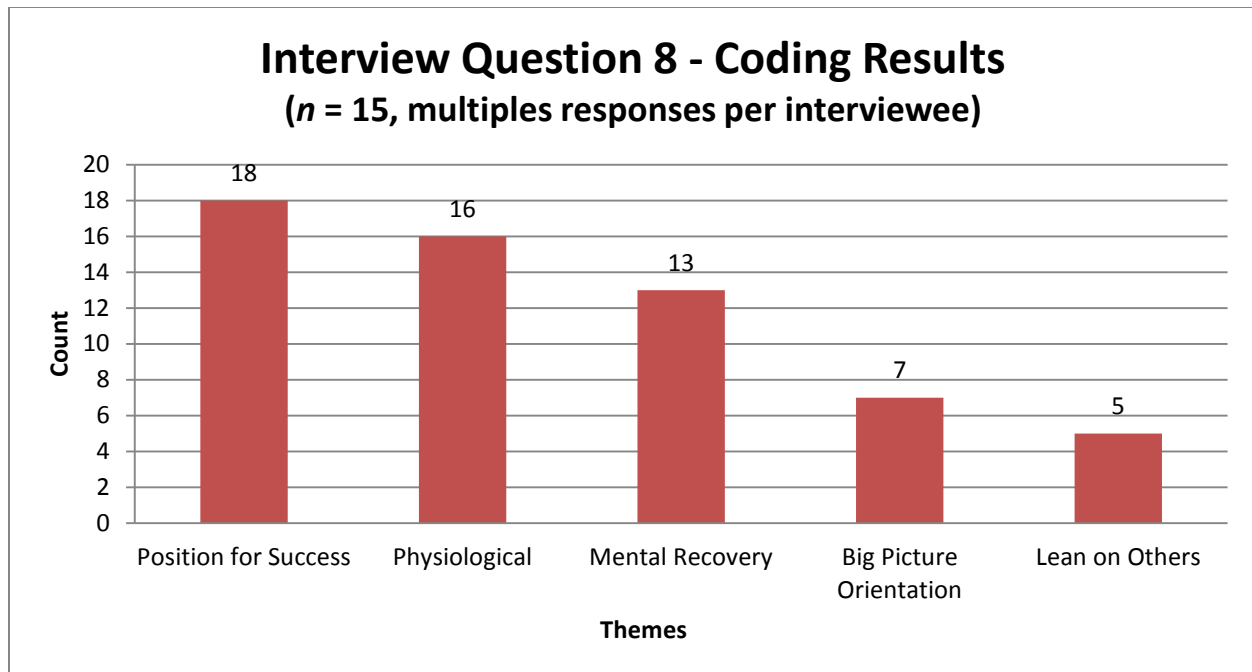


Figure 18. Common strategies used by authentic senior leaders to overcome challenges.

Participants also overcome challenges by in a *physiological* way. Examples of this include *management of diet, exercise, and sleep*. Six of the 15 participants (40%) also shared a theme of *mental recovery*. Coded elements under this theme included *time to think, a mental break, or “turning off my brain”* (P3, personal communication, February 23, 2016).

Research question two summary. In response to interview question seven, participants most consistently shared *reciprocity, being too demanding, and not people oriented* as their major challenges in leadership. The reciprocity theme was heavily shaped by participants’ visceral reaction to working with people who are inauthentic or emotionally controlled. Lack of reciprocity created stress and a need for participants to overcome this challenge. The most common ways participants overcome challenges was to ensure they *position themselves for success* and *ensure time for physiological solutions and mental recovery*.

Research question three. Research question three asked: How do authentic leaders measure leadership success? In order to answer this question, the lead researcher had only one

interview question (*interview question nine*); how do you measure leadership success? There were two main themes that the majority of participants said were important: *business outcomes* and *talent development*. Eleven out of 15 participants (73%) talked about *business outcomes* as being a key measure of leadership success. Some of the coded elements that made up this theme are *business results*, *creating value*, and *leaving the business in a better place*. Ten out of the 15 participants (67%) said that *talent development* was another key measurement. Figure 19 illustrates the most common measurements of leadership success as shared by the participants.

An important result of this question was also the number of references to the theme of *recognition*. Ten of the 15 participants (67%) said that they measure leadership success by *recognition*. The responses that made up this theme were *that people want to work with you*, *people remember you*, *people are appreciative*, and *you are well liked*. P11 said, “Leadership is measured in feeling. It is not a title, or a bigger job. It’s did you make a difference? Do people appreciate you? Everybody wants to be liked, and I guess I am no exception” (personal communication, March 7, 2016). Although the proportion of respondents was not as high as the previously discussed themes, six of the 15 participants (40%) said that a measure of leadership success is whether a *follower achieved his/her personal mission*.

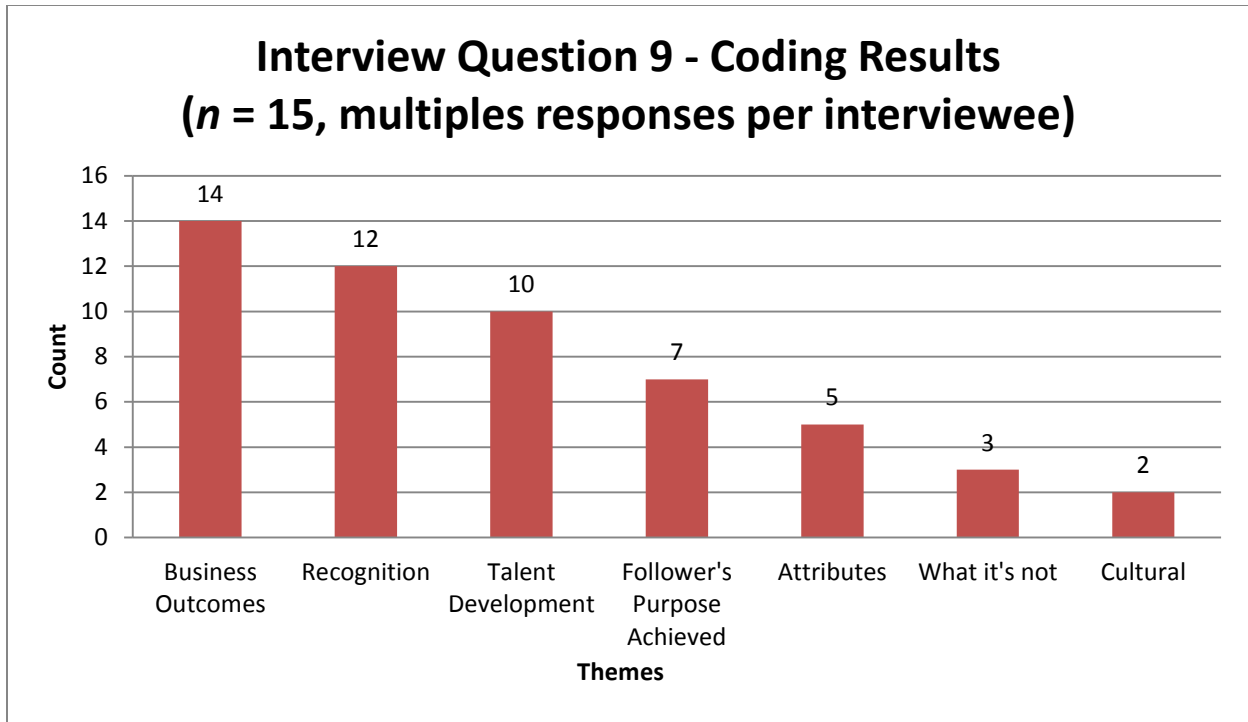


Figure 19. Common measurements of leadership success among senior leaders.

Research question three summary. The most common responses to research question three were that leadership success is measured in terms of *business outcomes*, *recognition*, *talent development*, and whether an *individual achieved his/her purpose*. *Results orientation* was referenced by six of 15 participants (40%) as part of their leadership style, and was frequently referenced by those participants who said that *business outcomes* was a key measure of success. *Developing talent* and helping others *achieve their personal mission* also lines up with the leadership styles noted in the results of interview question two. The need for recognition was a result that will be explored further in Chapter 5.

Research question four. Research question four asked: What recommendations would authentic leaders make for future leaders? The response that was shared by the greatest number of participants was *be yourself*. Ten of the 15 participants (67%) referred to this theme. The most common coded element within this theme was to “*know your own purpose*” (P1, personal

communication, February 26, 2016). The recommendation for leaders to be purpose driven was explained in detail by P7:

Understand and define your purpose. Don't chase a title. Don't chase the compensation. If you are a great actor, it might work for a while, but they'll come a day when you get into a place where you are not equipped to lead, because you faked your way there, and you will negatively impact thousands of employees. If your purpose is sound than the right organizations will see that, and put you in roles to be successful. Stay true to your purpose and you will have a fulfilling, rewarding career. You'll have a whole life. If you don't know what your purpose is, authentically, and understand it in your gut, then you need to do some work. If you know your purpose it is highly likely you are going to be happy. (personal communication, February 29, 2016)

The results of this question showed *being yourself* as a common theme. Participants in this study were selected based on the inclusion criteria that they were authentic leaders. Thus, the results of this question were not unexpected, and help to reinforce that the correct inclusion criteria was used. Participants advise future leaders to *be yourself*, because that is an attribute that the participants value and demonstrate. P7 went on to say, "at the end of the day, just be yourself. Don't be a fake. This simple advice has worked for me, and I would suspect it would work for anyone" (personal communication, February 29, 2016).

Figure 20 shows that the most common response was to *continually learn and adapt*. Six of the 15 respondents (40%) referenced *continuous learning*. For example, P8 advised: "learn, adapt, deliver, and repeat" (personal communication, February 29, 2016). *Agility and adaptability* were noted as critical to leadership; *listening, learning from mistakes*, and *managing energy* accounted for the other responses that made up this theme. It should also be noted that

team orientation was a theme that also was referenced relatively consistently. There were nine references to *team orientation*, which relates to the earlier findings around *empathy* and care for others. Some of the coded elements included *gaining trust*, *helping others*, and *recognizing good work*.

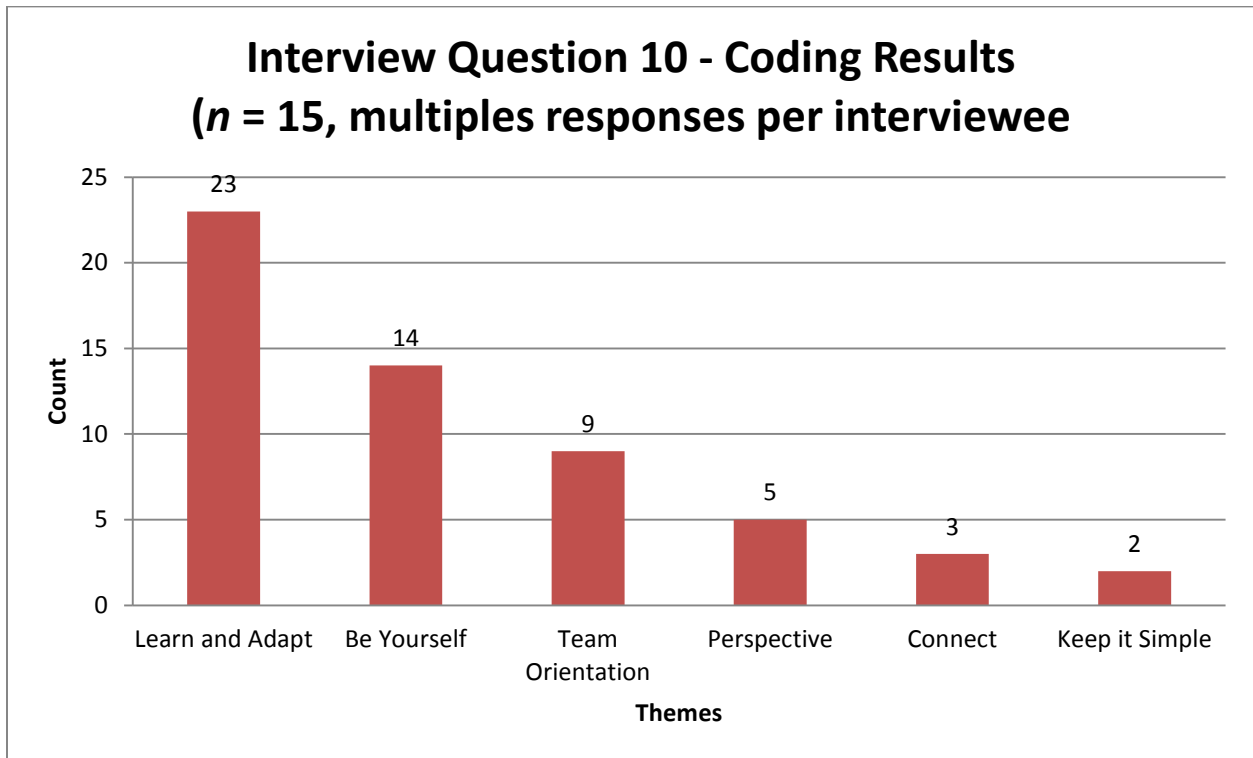


Figure 20. Common advice from authentic senior leaders to future leaders.

Research question four summary. In summary, three key themes emerged as common advice authentic senior leaders would have for emerging leaders. The first is to *be your authentic self*. “Do not pretend to someone you are not” (P2, personal communication, February 23, 2016). Part of being yourself is also understanding your personal mission and purpose. This theme of *being yourself and understanding your purpose* was the most common advice participants shared. The second most common advice was the guidance to *be adaptive and to be a continual learner*. The finally key theme was around *team orientation*. This theme centered on gaining trust, acting as a servant leader, and recognizing others. All of this guidance is

consistent with some of the themes that have emerged as part of the first three research questions.

Summary of Chapter 4

This research used a qualitative research design with a phenomenological approach. Though one-on-one, semi structured interviews, data for the study were collected via interviews with 15 participants who were selected through a purposive sampling approach. Participants were selected by meeting four characterization criteria. Data were collected to address the four research questions originally introduced in Chapter 1. The researcher analyzed and transcribed the interview data by utilizing notes, data entry and storage, and coding. From this study's inductive analysis, themes from participant responses emerged. After the initial coding, to establish interpreter reliability, a co-reviewer process was employed.

Research question one asked: What common leadership strategies and practices do authentic leaders employ? Participants shared that authentic leadership is defined by *personal traits* such as demonstrating *vulnerability*, *empathy* and using *direct communication*. The most common leadership style of authentic senior leaders was found to be *situational leadership* (Hersey & Blanchard, 1977). However, most participants were most comfortable in situations that require transformations, and they could lead through using a compelling vision of the future.

In terms of self-identified strengths, the most common response was the attribute of *listening and learning*. The majority of respondents shared that their leadership style does change based on the situation. However their core leadership of being authentic does not change. The directness and degree of vulnerability they share does change. Thus, they exert an amount of emotional control depending on the situation and audience.

Lastly, most of the participants are intentional in applying their strengths in leadership. The application was split among *emotional variation, preparation, and reminders*.

Research question two asked: What challenges do authentic leaders face in their leadership journey? In response to interview question seven, participants most consistently said that a high need for *reciprocity, being too demanding, and not people oriented* were their major challenges in leadership. The most common ways participants overcome challenges was to ensure they *position themselves for success and ensure time for physiological solutions and mental recovery*. Research question three asked: How do authentic leaders measure leadership success? The most common responses to research question three were that leadership success is measured in terms of *business outcomes, recognition, talent development, and whether an individual achieved his/her purpose*. Research question four asked: What recommendations would authentic leaders make for future leaders? Three key themes emerged as common advice authentic senior leaders would have for emerging leaders. The first is to be your *authentic self*. Part of being yourself is also *understanding your personal mission and purpose*. This theme of being yourself and understanding your purpose was the most common advice participants shared. The second most common advice was the guidance to be *adaptive and to be a continual learner*. The finally key theme was *around team orientation*.

Chapter 5 will summarize the results and key findings of this study, and recommendations for future research will be shared. The principal research will include commentary on critical observations, and give general conclusions related to this phenomenological study. Implications of this study to the field of leadership theory will be discussed, and the study will close with the principal researcher's final thoughts and reflections.

Chapter 5: Conclusions and Recommendations

Much of the existing research on the importance of authenticity in leadership (see Table A5 in Appendix A; Gardner et al., 2011) identifies authenticity as a trait that is expressed by successful leaders, or advocates the importance of authenticity in leadership. Yet, there is a lack of existing research on how authentic leaders are successful. This starts with identifying leaders who meet a common set of requirements that allows them to be labeled *authentic leaders*. Using assessment results that provide an analog for authenticity, it is possible to identify authentic leaders. Once identified, this research seeks to examine common expressions and practices among a set of authentic leaders. Upon the analysis of this research, practical guidance or training can be made available to leaders, or aspiring leaders, on how to best use authenticity based on different situations and groups of followers.

Summary of the Study

This research showed that common leadership strategies and practices among authentic leaders are the ability to connect and engage through honest and transparent storytelling. Authentic leaders are vulnerable and transparent, and they enable and engage people and organizations through sharing a compelling vision. Their core leadership approach of honesty and transparency does not change, but they will flex how direct they are based on the situation and audience. In terms of challenges, authentic senior leaders have a high desire for their authentic approach to be reciprocated, and they can be too demanding. In order to overcome these challenges, they try to manage stress and use physiological and mental means to manage energy. Authentic senior leaders measure success in terms of business results, talent development, and being recognized. The advice they have for future leader is to be your authentic self and to understand your personal mission and purpose.

Results and Discussion of Findings

This study investigated the common strategies and practices, as well as challenges faced, by authentic leaders. Participants were selected from a pool of 1,100 employees at Healthcare, Inc. Based on a four point inclusion/exclusion criteria, the list of potential participants dwindled to 67. Maximum variation of demographic elements was applied to select and invite the 15 employees who ultimately became participants. Of the 15 participants, eight were female and seven were male. The participants had a combined total work experience of 446 years, with an average of 29.7 years. The participants' average tenure at Healthcare, Inc. was 19.1 years. The following research questions were investigated as part of this study.

- What common leadership strategies and practices do authentic leaders employ?
- What challenges do authentic leaders face in their leadership journey?
- How do authentic leaders measure leadership success?
- What recommendations would authentic leaders make for future leaders?

Common leadership strategies and practices among authentic leaders. To help establish interpretability of results, it was important to determine a baseline definition of authenticity according to participants. Participants shared that *authentic leadership is defined by personal traits*, and that *vulnerability and transparency* were the most common traits. The most common leadership style of authentic senior leaders is situational leadership (Hersey & Blanchard, 1977). Within the context of *situational leadership*, the most common style that participants shared was *transformational leadership*.

This study found several common strategies and practices that existed among authentic senior leaders. The 15 participants in this study described the following as the 18 common best practices that have allowed them to be successful in their leadership journeys:

Authentic senior leaders are at their best during business transformations. Authentic senior leaders feel that their strengths in leadership are best demonstrated in situations of transformation, or a turnaround.

Authentic senior leaders' strength in leadership comes through enabling and energizing. Authentic senior leaders enable and energize an organization through sharing a compelling vision. They use the vision to help build alignment and engage stakeholders through the art of storytelling and constant communication.

Authentic senior leaders are always honest and transparent, but their directness and vulnerability do flex. The majority of respondents shared that their leadership style does change based on situation. However, their core leadership of being honest and transparent does not change. The directness and degree of vulnerability they exhibit do change.

Authentic senior leaders exert levels of emotional control depending on the situation and audience. Authentic senior leaders will censor some of their feelings, thoughts, and expressions depending on the situation and audience. This does not mean that they will be dishonest, but will be less visceral in verbal and nonverbal expressions.

Authentic senior leaders are intentional in applying their strengths in leadership. The application of their strengths was evenly split between varying their emotion, preparation, and reminders.

Common challenges authentic leaders face in their leadership journey. There are a number of commonalities in the challenges that authentic senior leaders face, and how they mitigate those challenges:

Authentic senior leaders have a need for others to reciprocate expressions of authenticity. It is important to authentic senior leaders that the people with whom they work are equally honest, transparent, and vulnerable in their dealings together.

Authentic senior leaders can be too demanding. Authentic senior leaders can be impatient and too idealistic. They have a high need for control, and can be inflexible. This is highly correlated to their leadership attributes, which show a high results orientation.

Authentic senior leaders need to be more people centric. The research shows that authentic senior leaders must be sure they are not overly direct. There is an emotional intelligence element within this theme, that authentic senior leaders must be sure their open and direct style is not overly direct, which can have a demotivating effect on people.

Authentic senior leaders must position themselves for success. Authentic senior leaders recognize that their challenges in leadership are more prominent in times of duress. In order to overcome this challenge, they should try to track triggers of stress, slow down, architect ideas before sharing them, and gauge the emotional state of their audience.

Authentic senior leaders need time for physiological solutions and mental recovery to de-stress. When authentic senior leaders get stressed, they lean on diet, exercise and mental breaks to re-energize. These solutions include, drinking tea, prioritizing a good night's sleep, running, cooking, and thinking about something else.

How authentic leaders measure leadership success. Authentic senior leaders measure success in a number of ways. The most common approaches are:

Business Outcomes. The most common measure of leadership success among authentic senior leaders is business outcomes. Business outcomes include a track record of

outstanding business results, creating value, leaving the business in a better place, making a difference from the perspective of customers, and being externally competitive.

According to Avolio and Gardner (2005), authenticity helps create greater trust and engagement in followers, and the higher engagement leads to better business results.

Authentic leaders see business outcomes as the tangible results that the emotional vulnerability they display can bring (Avolio & Gardner, 2005).

Recognition. Authentic senior leaders yearn to be recognized for their leadership. They want to be recognized by others and to be well liked. In addition they want to be remembered and leave a legacy.

Talent Development. It is important to authentic senior leaders to develop talent both at the team and individual level. Measures of leadership success include how well they are able to advance team effectiveness, as well as technical and behavioral development of their people.

Team member achieves his or her purpose. The idea of purpose, or personal mission, is important to authentic senior leaders. Helping followers to search for and achieve their own purposes is a success measurement for authentic senior leaders.

Recommendations authentic leaders would make for future leaders. Authentic senior leaders had numerous recommendations for future leaders. These recommendations were based on lessons learned in their own leadership journeys. The most common recommendations were:

Be your authentic self. Not surprisingly, authentic senior leaders recommended that future leaders be their authentic selves. Being your authentic self means that there is a consistency in how one is viewed by others. The advice was to be transparent and open, and not to pretend you are someone you are not.

Understand your purpose. The guidance from authentic senior leaders to future leaders is to be self-aware, take the time to reflect on what makes you happy, and be aware of what creates, conserves, and channels energy for yourself. Understanding these factors will help lead to an understanding of what one's purpose is, and this will in turn serve as a guidepost to being authentic.

Be adaptive and a continuous learner. Authentic senior leaders suggest that being adaptive is important. They also advise that continual learning helps one adapt and is crucial for leadership success.

Be a team player. The recommendation of being a team player focuses on gaining trust, acting as a servant leader, and recognizing others.

Key Findings

The key findings from this study adequately address the four research questions that were posed. It could be argued that the common leadership strategies and practices identified may be relevant to all leaders, and not just authentic leaders. However, the consistency in the most common responses demonstrates there are common themes, and these themes are specific to authentic leaders. For example, authentic senior leaders have a strong need to be open, transparent, and vulnerable. This is not the case for all leaders. Participants labeled these elements as personal traits, suggesting that they are attributes that are core to the individual's personality, and have been cultivated based on personal history and experience. Although these are traits, participants also suggested that the degree to which they are transparent and direct in communication varies based on situation and audience.

The leadership strength to enable and engage an organization is another key finding. This finding makes sense given the majority of participants who self-identified as situational

leaders with a propensity towards transformational leadership. According to Duane and Sydney Schultz (2010), a transformational leader is not restrained by his or her follower's conceptions of a certain situation. The primary objective of a transformational leader is to try to define a follower's needs and direct his/her activity. Leaders whose style is transformational inspire and motivate followers through a clear and compelling sense of purpose and value. Schultz and Schultz's definition of transformational leadership is entirely consistent with the findings of this study, where a majority of participants cited their strength in leadership as the ability to inspire through a compelling vision. The finding that authentic senior leaders recommend future leaders to be adaptive makes sense given that most participants are situational leaders. For situational leaders, adaptability is a core requirement.

Another key finding in this research was that authentic senior leaders have a high need for others to reciprocate their expressions of authenticity. It can be frustrating or emotionally draining for authentic senior leaders to interact with others who are emotionally guarded. It was shared that authentic senior leaders will have a range of reactions to those they feel who are acting inauthentically. The reactions can range from dismissive to disappointed to angry. Under these circumstances authentic senior leaders can act disengaged or irritated. Authentic senior leaders are self-aware that they are demonstrating vulnerability by being authentic. They feel that this extension should be recognized, and in measuring their own leadership success, recognition came across as a significant need. The need for recognition was also reinforced in how participants measured leadership success. Several of the participants commented that title and money were not as important as business outcomes, talent development, recognition from others, and helping others to achieve their purpose.

Finally, authentic senior leaders have a strong sense of purpose. This was evident in the definitions participants gave for authentic leadership and the advice that participants have for future leaders. It is important for authentic senior leaders to know only know who they are and who they are not, but also what their personal mission or purpose is. One's purpose is understood through an examination of what makes one happy and what creates energy. Authentic leaders suggest that identifying one's purpose and pursuing it is the most direct pathway for a happy and fulfilling life, both in and out of work.

In comparison to the literature review, authentic senior leaders' leadership style is consistent with the Hersey-Blanchard (1977) Situational Leadership Model (see Figure 3). Authentic senior leaders tend to gravitate towards high task and high relationship situations (Hersey & Blanchard, 1977). It is practical that this is the most common situation since it would be expected that senior leaders to deal with complex situations that are high in both of these categories. The most appropriate style for this situation is one of selling. Authentic senior leaders do their selling through transformational leadership. The description of transformational leadership is consistent with the definition offered by Schultz and Shultz (2010).

A major portion of the literature review focused on authentic leadership. As referenced earlier, the majority of research to date focuses on the definition and importance of authenticity in leadership. The findings of this research are consistent with many of the definitions of authentic leadership referenced in the literature review. For example,

Leadership authenticity is defined as the extent to which subordinates perceive their leader to demonstrate the acceptance of organizational and personal responsibility for actions, outcomes, and mistakes; to be non-manipulating of subordinates; and to exhibit salience of self over role. (Henderson & Hoy, 1983, pp. 67-68)

This reference connects directly with the practical information gathered in this study where participants referenced the importance of recognition, or perception, by others.

Similarly, the definitions shared by participants were consistent with Bill George's definition.

Authentic leaders lead with purpose, meaning, and values. Others follow them because they know where they stand. They are consistent and self-disciplined. When their principles are tested, they refuse to compromise. Authentic leaders are dedicated to developing themselves because they know that becoming a leader takes a lifetime of personal growth. (George & Sims, 2007, p. 12)

Several parallels can be drawn from this quote and the research: the idea of purpose, consistency, developing others, always being honest and direct, and continuous learning. One of the most striking comparisons is the issue of purpose. Many of the participants referenced the importance of understanding and pursuing one's purpose. This idea is entirely consistent with and supportive of Bill George and Peter Sims's 2007 book, *True North*. As referenced previously, the gap between existing research and the literature is a lack of practical applications of authenticity in leadership. This study was designed to extend the previous research to include commonalities in practical leadership strategies and application of authenticity.

Implications of Study

At the completion of this study, a number of significant implications resulted from the findings. These implications have broad applicability to the study of leadership, to aspiring leaders, and for those working with authentic leaders. The intent of this research was to provide exemplary best practices for leaders in business and other fields. The pertinent implications, as such, include the following.

Implications for the advancement of the study of leadership. From 2000 to 2010, the number of publications that focused on authentic leadership increased significantly (see Figure A1 in Appendix A; Gardner et al., 2011). A comprehensive literature review on the subject of authenticity in leadership shows that most references are on the importance of authenticity in effective leadership. The findings of this study showed that the definitions of authentic leaders, as given by the participants of this study are extremely consistent with the findings of Kouzes and Posner (1987). Beyond any specific leadership attribute or skill, Kouzes and Posner (1987), deemed integrity and trustworthiness to be the critical in leadership. The researchers concluded that these attributes, when combined, create credibility. Credibility builds trust, and trust leads to engagement (Kouzes & Posner, 1987). Participants in this study also shared that being value driven, honest, and transparent are key elements in the definition of an authentic leader (see Figure 7).

The definition of authentic leadership gathered in response to interview question 1, *what does authentic leadership mean to you?*, is also highly aligned to the definition offered by Bill George (2003). George shared that authentic leaders lead from a sense of “meaning, purpose, and values” (George, 2003, p. 12). Followers are engaged by authentic leaders “because they know where they stand” (George, 2003, p.12). Additionally, George states that authentic leaders are focused on continuous learning, because leadership requires perpetual growth (George, 2003). All of these descriptive elements were supported by the findings of this research. As part of interview question 4, participants were asked to share their strengths in leadership. Three of 15 respondents (20%) said that others *knew where they stand*. Also, when asked for advice for future leaders as part of interview question 10, *learn and adapt*, was the most frequent response with 23 references.

Overall, there was significant similarity in the definitions, and positive outcomes of authentic leadership, between the key findings of the common strategies and practices among authentic leaders and the work from George (2003), and Kouzes and Posner (1987). However, the purpose of the study on common strategies and practices among authentic was due to the lack of practical applications of authentic leadership, and how aspiring leaders can use authenticity as a strategy to be more impactful. This research differed, but built upon previous literature, by identifying authentic leaders and investigating whether there are commonalities in how they lead. To this end, the 18 practical strategies and practices shared in the Results and Discussion of Findings section of this study, can help in the study of leadership.

Implications for authentic senior leaders. One of the commitments made to participants of this research was to share a summary of results. It was clear from the key findings that authentic senior leaders consider continuous learning and adaptability as a critical enabler of success. P5 captured the sentiment of the majority of participants when he said,

Learn as early as you can. Do the work to understand what leadership principles are all about. Understand the psychology of leadership, and what it can do for you. The sooner you can recognize the value of learning, the faster you can figure out how to navigate a situation or organization. (personal communication, February 25, 2016)

In the spirit of continuous learning, it is likely that participants will be interested in the study's results.

The implications for the participants of this study include understanding common strengths and challenges. In addition, the advice that participants have for future leaders is applicable to all leaders, and not just emerging ones. Of the common strengths, it was determined that authentic senior leaders referenced transformational situations as when they lead

best. Transformational leadership is largely based on a leader's ability to energize and engage followers based on being able to provide a compelling vision that creates engagement (House, 1971). Having this information could help authentic senior leaders to intentionally place themselves in these situations that might enable greater success versus other situations.

By examining common challenges, authentic senior leaders can seek to understand them, and perhaps prepare for them. For example, one of the common challenges uncovered was that authentic senior leaders have a need for others to reciprocate expressions of authenticity. By understanding this, authentic senior leaders may be able to try to avoid a situation proactively where this might happen. Given the directness that authentic senior leaders have, perhaps they can share with others this need they have, and ask directly for others to be open, honest, and transparent. Another example is that authentic senior leaders can be too demanding. Knowing that this is a challenge, authentic senior leaders can try to be more understanding and flexible. This might be an especially important piece of information under times of duress. Another result that could be impactful is the need for authentic senior leaders to have physiological solutions and mental recovery to de-stress. When authentic senior leaders get stressed, it is an effective countermeasure to focus on diet, exercise, and mental breaks to re-energize. For authentic senior leaders this can be a good reminder, or sound instruction. While the implications of this research may be instructional to some, at the least, it might serve as a reminder for how to leverage strengths and better mitigate challenges.

Implications for aspiring leaders. The implications for aspiring leaders are multifaceted. Leaders need to exhibit agility and adaptability dependent on the specific followers and situation at a given point of time. Given the impact that authenticity can have in building followership and engagement, this study will help those seeking to improve their

leadership. Through the study of common strategies and practices among authentic senior leaders, future leaders can look to replicate attributes and values that authentic leaders express. One of the prerequisites for this work to be impactful is for future leaders to believe that authenticity can be a powerful tool of engagement. There is significant research and data on the impact of authentic leadership on followership. Building on this research, this study is intended to provide practical direction on how to use authenticity in a practical way.

Future leaders can also use the direct advice that the authentic senior leaders in this study have for future leaders. Their advice was to:

- Be your authentic self
- Understand your purpose
- Be adaptive and a continuous learner
- Be a team player

The first two items may seem obvious. Superficially, it appears that authentic leaders' advice for future leaders is to be authentic. However, for aspiring leaders to be given the permission to feel that they do not have to conform to stereotype, or a preconceived expectation of a leader, is truly empowering. Since the participants of this study are authentic and they have risen to the executive ranks, their advice carries a degree of credibility. This type of permission is also energizing. Important in this journey is to find a work environment where they can bring their authentic self to work every day, and where the organizational purpose is aligned to their personal purpose. The second recommendation for future leaders is to *understand your purpose*. It would be interesting to learn how many people globally could share with others their personal purpose. This is an exercise that is an investment in energy for honest reflection. To answer the

question, Who are you? and What is your purpose? would position a future leader to be an effective authentic leader.

Implications for those working with authentic leaders. When this study was conceived, it was not anticipated that there would be implications for those working with authentic leaders. However several of the themes that emerged from the phenomenological study could be valuable. The first theme was that senior authentic leaders' value reciprocity of authenticity. An act of being guarded, overly politically correct, or inauthentic can be extremely frustrating and draining for authentic leaders. As a consequence, those working with others who are deemed to be authentic should look to replicate expressions of authenticity. This includes being direct, open, honest, and transparent.

Secondly, authentic senior leaders that participated in this study shared that they measure leadership success by recognition. Authentic senior leaders want to be recognized. They also want to be liked, remembered, and to leave a legacy. Given this information, those working with authentic leaders can energize them by appreciating their authenticity, and reinforcing how enjoyable it is to work with them. It may also be effective to position work in terms of ideal future states, compelling visions, and the legacies that will be left. This research suggests that this type of positioning will resonate with many authentic leaders. Authentic senior leaders yearn to be recognized for their leadership. They yearn to be recognized by others and to be well liked. In addition, they want to be remembered and to leave a legacy.

Recommendations for Future Research

This research has revealed commonalities among authentic senior leaders that have contributed to the study of authentic leadership. Additionally, this study creates opportunity for future research opportunities. For instance, there are opportunities related to authenticity,

leadership, and followership that have been organized on the following categories that could yield additional results.

- Enhanced inclusion/exclusion criteria to be deemed an authentic leader. This study was highly dependent on identifying authentic senior leaders. A four point set of inclusion criteria was applied. Improving or enhancing the inclusion criteria would help strengthen the reliability and validity of the results.
- Extend the study to other populations. For example:
 - Mid-level leaders, or individual leaders in a business context
 - Participants from different healthcare companies
 - Participants from different companies
 - Participants from different industries
 - Athletes
 - Politicians
- Conducting a baseline study that creates a comparative data set made up of leaders who are not identified as authentic.
- Conduct a study with followers as the participants to learn which common leadership strategies and practices that are most impactful to followers of authentic leaders.
- Create a complementary survey to quantify commonalities among authentic senior leaders.
- Eighteen best practices and strategies came from the authentic senior leaders as part of this research. It is recommended to take each of these items and investigate further to get more specific examples, or granular tactics of the items that were shared.

- The main intention of authentic leadership is to build strong trust and engagement among followers. To this end, conducting a study that focuses on the impact of how expressions of authenticity are perceived by followers.

Final Thoughts

Since the later 1990s and early 2000s, the landscape of leadership theory has been marred by public displays of mistrust and lack of faith towards contemporary leaders. As follower engagement waned, the interest in authentic leadership conversely rose. However, by the late 2000s, there appeared to be a counter movement against authenticity. It seemed possible that there was such a thing as being too authentic. Is it appropriate for a CEO to cry? Could a military officer show any indication of fear or uncertainty? What kind of impact would that have on his or her troops? It became clear that a degree of emotional control is required in certain situations, but the exploration of this balance is ultimately what sparked an interest in this topic. Cooper et al. (2005) suggested focusing on some of the current leaders in the study of authentic leadership, stating, “Scholars might begin by conducting a number of case studies of leaders who meet the current broad criteria for authenticity” (p. 479). Although the interest in authentic leadership remains high, Cooper et al. argued that the existing research is not adequate to provide practical guidance to leaders. Overall, it is the researcher’s belief that the research questions were answered adequately, and that the 18 common strategies and practices presented could add value to the existing research on leadership.

Authentic senior leaders share many of the same strategies and practices of all leaders. However, some key findings that emerged as part of this study appear to be specific to authentic leaders. The tension between complete authenticity and emotional control continues to be intriguing. For others that may have an interest in how to best leverage authenticity and what is

the right balance between authenticity and emotional control, it is the researcher's hope that this research is helpful.

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APPENDIX A

Additional Tables and Figures

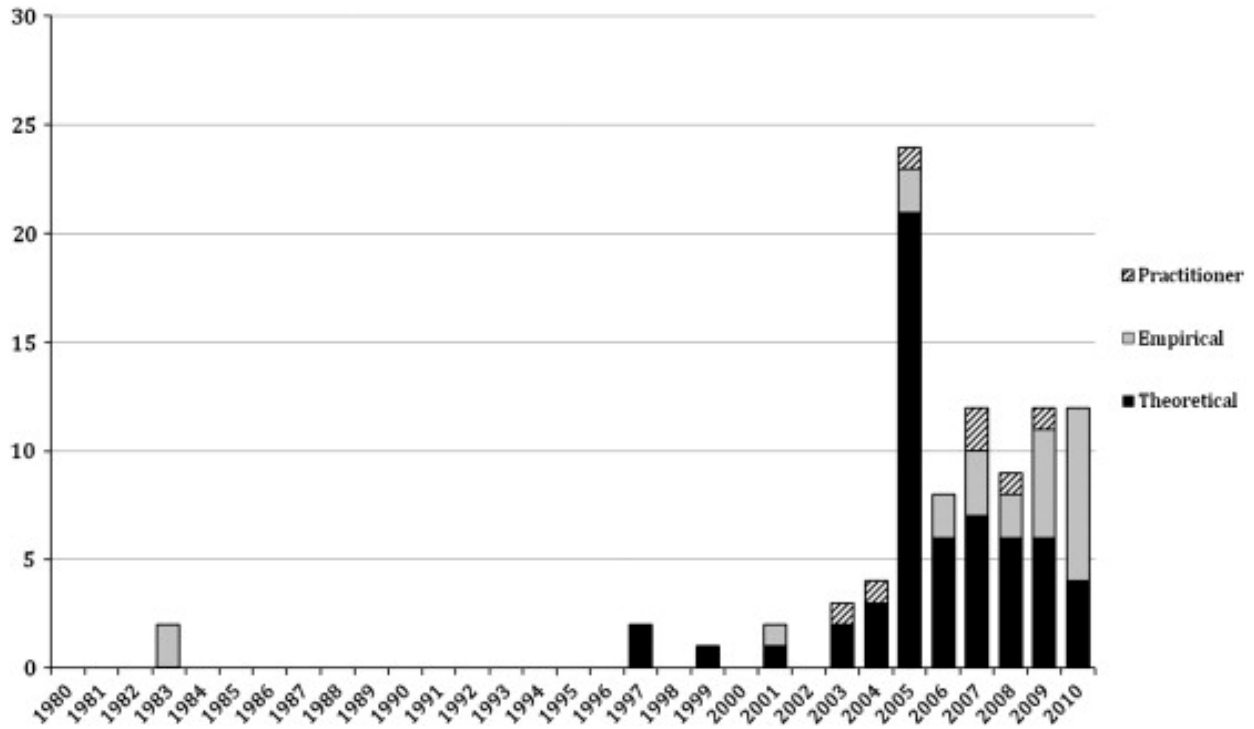


Figure A1. Number of authenticity theoretical, empirical, and practitioner publications by year. Reprinted from “Authentic Leadership: A Review of the Literature and Research Agenda,” by W. L. Gardner, C. C. Cogliser, K. M. Davis, and M. P. Dickens, 2011, *The Leadership Quarterly*, 22, p. 1125. Copyright 2011 by the authors.

Table A1

Definitions of Authentic Leaders and Authentic Leadership

Source	Definition
Rome and Rome (1967 p.185)	“A hierarchical organization, in short, like an individual person, is ‘authentic’ to the extent that, throughout its leadership, it accepts finitude, uncertainty, and contingency; realizes its capacity for responsibility and choice; acknowledges guilt and errors; fulfills its creative managerial potential for flexible planning, growth, and charter or policy formation; and responsibly participates in the wider community.”
Henderson and Hoy (1983, p. 67-68)	“Leadership authenticity is therefore defined as the extent to which subordinates perceive their leader to demonstrate the acceptance of organizational and personal responsibility for actions, outcomes, and mistakes; to be non-manipulating of subordinates; and to exhibit salience of self over role. Leadership inauthenticity is defined as the extent to which subordinates perceive their leader to be ‘passing the buck’ and blaming others and circumstances for errors and outcomes; to be manipulative of subordinates; and to be demonstrating a salience of role over self.”
Bhindi and Duignan (1997, p.119)	“In this article the authors argue for authentic leadership based on: authenticity, which entails the discovery of the authentic self through meaningful relationships within organizational structures and processes that support core, significant values; intentionality, which implies visionary leadership that takes its energy and direction from the good intentions of current organizational members who put their intellects, hearts and souls into shaping a vision for the future; a renewed commitment to spirituality, which calls for the rediscovery of the spirit within each person and celebration of the shared meaning, with purpose of relationship; a sensibility to the feelings, aspirations and needs of others, with special reference to the multicultural settings in which many leaders operate in the light of the increasing globalizing trends in life and work.”
Begley (2001, p.153)	“Authentic leadership may be thought of as a metaphor for professionally effective, ethically sound, and consciously reflective practices in educational administration. This is leadership that is knowledge based, values informed, and skillfully executed.”
George (2003, p.12)	“Authentic leaders use their natural abilities, but they also recognize their shortcomings, and work hard to overcome them. They lead with purpose, meaning, and values. They build enduring relationships with people. Others follow them because they know where they stand. They are consistent and self-disciplined. When their principles are tested, they refuse to compromise. Authentic leaders are dedicated to developing themselves because they know that becoming a leader takes a lifetime of personal growth.”
Luthans and Avolio (2003, p.243)	“[W]e define authentic leadership in organizations as a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development. The authentic leader is confident, hopeful, optimistic, resilient, transparent, moral/ethical future-oriented, and gives priority to developing associates into leaders themselves. The authentic leader does not try to coerce or even rationally persuade associates, but rather the leader’s authentic values, beliefs, and behaviors serve to model the development of associates.”
Avolio, Luthans, et al. (2004, p. 4)	Authentic leaders are “those individuals who know who they are, what they think and behave and are perceived by others as being aware of their own and others’ values/moral perspective, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, resilient, and of high moral character.”
Begley (2004, p. 5)	“Authentic leadership is a function of self-knowledge, sensitivity to the orientations of others, and a technical sophistication that leads to a synergy of leadership action.”
Ilies, Morgeson, and Nahrgang (2005, p. 374)	“Authentic leaders are deeply aware of their values and beliefs, they are self-confident, genuine, reliable and trustworthy, and they focus on building followers’ strengths, broadening their thinking and creating a positive and engaging organizational context.”
Shamir and Eilam (2005, p. 339)	“[O]ur definition of authentic leaders implies that authentic leaders can be distinguished from less authentic or inauthentic leaders by four self-related characteristics: (continued)

Source	Definition
	1) the degree of person role merger i.e. the salience of the leadership role in their self-concept, 2) the level of self-concept clarity and the extent to which this clarity centers around strongly held values and convictions, 3) the extent to which their goals are self-concordant, and 4) the degree to which their behavior is consistent with their self-concept.”
George and Sims (2007, p. xxxi)	“Authentic leaders are genuine people who are true to themselves and to what they believe in. They engender trust and develop genuine connections with others. Because people trust them, they are able to motivate others to high levels of performance. Rather than letting the expectations of other people guide them, they are prepared to be their own person and go their own way. As they develop as authentic leaders, they are more concerned about serving others than they are about their own success or recognition.”
Walumbwa, Avolio, Gardner, Wernsing, and Peterson (2008, p. 94)	“[W]e define authentic leadership as a pattern of leader behavior that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalized moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development.”
Whitehead (2009, p. 850)	“In this article, a definition of an authentic leader is adopted as one who: (1) is self-aware, humble, always seeking improvement, aware of those being led and looks out for the welfare of others; (2) fosters high degrees of trust by building an ethical and moral framework; and (3) is committed to organizational success within the construct of social values.”

Note. Reprinted from “Authentic Leadership: A Review of the Literature and Research Agenda,” by W. L. Gardner, C. C. Cogliser, K. M. Davis, and M. P. Dickens, 2011, *The Leadership Quarterly*, 22, p. 1121. Copyright 2011 by the authors

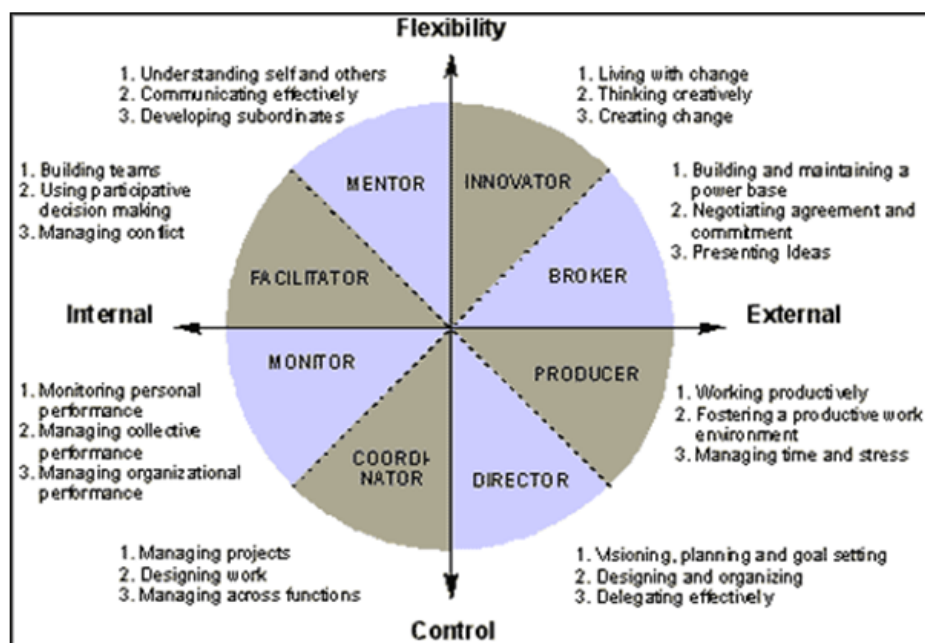


Figure A2. The competencies and the leadership roles in the competing values framework. Reprinted from “A Spatial Model of Effectiveness Criteria: Towards a Competing Values Approach to Organizational Analysis,” by R. E. Quinn and J. Rohrbaugh, *Management Science*, 29(3), p. 363 Copyright 1983 by the authors. Reprinted with permission.

Table A2

Publication Purpose, Authentic Leadership Centrality, and Theoretical Foundations by Publication Period

	Time period					Total
	Pre-2003	2003–2004	2005–2006	2007–2008	2009–2010	
Publication purpose						
Develop new theory	4	1	2	1	1	9
Extend/link theory	3	4	27	15	19	68
Contradict/critique theory	0	1	1	0	1	4
Review/summarize	0	1	2	4	3	10
Is AL central?						
Yes	5	4	24	15	18	66
No	2	3	8	6	6	25
Theoretical foundation						
Authentic leadership theory	0	4	31	20	23	78
Authenticity/self/identity	4	2	9	7	8	30
Affective processes	0	0	3	1	1	5
Attribution theory/social perception	0	0	3	1	0	4
Ethics/values/ethical leadership	3	5	6	3	1	18
Neo-charismatic leadership	1	2	2	0	3	8
Positive psychology/POB/POS ^a	0	2	4	2	5	13
Well-being/vital engagement	0	0	3	0	5	8
Other/not applicable	1	0	4	2	2	9

^a POB = Positive Organizational Behavior; POS = Positive Organizational Scholarship.

Note. Reprinted from “Authentic Leadership: A Review of the Literature and Research Agenda,” by W. L. Gardner, C. C. Cogliser, K. M. Davis, and M. P. Dickens, 2011, *The Leadership Quarterly*, 22, p. 1127. Copyright 2011 by the authors.

Table A3

Publication Type by Time Period for Authentic Leadership Publications

Publication type	Time period					Total
	Pre-2003	2003–2004	2005–2006	2007–2008	2009–2010	
Theoretical						
Journal articles	4	4	14	11	8	41
Book chapters	0	1	13	2	2	18
Total	4	5	27	13	10	59
Empirical						
Journal articles	3	0	2	5	13	23
Book chapters	0	0	2	0	0	2
Total	3	0	4	5	13	25
Practitioner						
Journal articles	0	2	1	1	1	5
Book chapters	0	0	0	2	0	2
Total	0	2	1	3	1	7
Grand total	7	7	32	21	24	91

Note. Adapted from “Authentic Leadership: A Review of the Literature and Research Agenda,” by W. L. Gardner, C. C. Coglisier, K. M. Davis, and M. P. Dickens, 2011, *The Leadership Quarterly*, 22, p. 1132. Copyright 2011 by the authors.

Table A4

Foundational Authentic Leadership Citations

Citation	Number of times identified as foundational
Gardner, Avolio, Luthans, May, and Walumbwa (2005)	44
Luthans and Avolio (2003)	43
Avolio and Gardner (2005)	33
Avolio, Gardner, Walumbwa, Luthans, and May (2004)	32
Bass and Steidlmeier (1999)	23
George (2003)	19
May et al. (2003)	19
Ilies, Morgeson, and Nahrgang (2005)	17
Harter (2002)	15
Shamir and Eilam (2005)	13
Kernis (2003)	11
Avolio, Luthans, and Walumbwa (2004)	10
Burns (1978)	9
Erickson (1995)	9
Luthans (2002a, 2002b)	9
Walumbwa, Avolio, Gardner, Wernsing, and Peterson (2008)	9
Avolio and Luthans (2006)	8
Deci and Ryan (1995)	6
Avolio (2005)	5
Bass (1985)	5
Markus and Wurf (1987)	5
87 additional articles	< 5

Note. Adapted from “Authentic Leadership: A Review of the Literature and Research Agenda,” by W. L. Gardner, C. C. Cogliser, K. M. Davis, and M. P. Dickens, 2011, *The Leadership Quarterly*, 22, p. 1128. Copyright 2011 by the authors.

APPENDIX B

Access to Employees and Site Management Consent

The following information is provided to help you decide whether you wish to allow us to have access xxxxxxxx employees, and for the permission to conduct qualitative research interviews on site in New Brunswick, New Jersey, and by phone/video conference.

The purpose of this study is to learn about best practices in strategies and practices among authentic senior leaders. This study will allow us, and those who read our research, to gain a better understanding of senior leadership. In order for me/us to use the data we gather from you today in our research and publications, Pepperdine University requires that I/we read to you the following statement and ask for your permission. I would like to ask you if you would agree with one of the following to arrangements:

_____ I agree to permit the researcher to have access to
(please initial) employees in xxxxxxxxxxxx.

_____ I agree to permit the researcher to conduct 15 qualitative interviews onsite or
(please initial) by video conference/phone.

_____ I agree to permit the researchers to refer to xxxxxxxxxxxxxxxx employees
(please initial) only by a pseudonym from "Healthcare, Inc." I understand my identity and the name of my organization will be kept confidential at all times and in all circumstances any research based on this interview is presented.

If you have any additional questions, please feel free to contact Michael Ehret, Principal Investigator at xxxxxxxxxxxxxxxx (xxxxxxxxxxxxxxxx), or Dr. Judy Ho, Chairperson of the Graduate & Professional Schools Institutional Review Board at Pepperdine University 6100 Center Drive Suite 500 Los Angeles, CA 90045, xxx-xxx-xxxx or xxxxxxxxxxxx.

At this point, I am required to ask you if you fully understood my statements and if so, to initial next to the category that applies to you and sign this form.

Signature

Date

APPENDIX C

Informed Consent Form

PEPPERDINE UNIVERSITY

Graduate School of Education and Psychology

INFORMED CONSENT FOR PARTICIPATION IN RESEARCH ACTIVITIES

Common Leadership Strategies and Practices among Authentic Senior Leaders

You are invited to participate in a research study conducted by Mr. Michael Ehret, a doctoral student at Pepperdine University. You have been carefully selected because of your classification as an authentic senior leader based on inclusion criteria. Your participation is voluntary. You should read the information below, and ask questions about anything that you do not understand, before deciding whether to participate. Please take as much time as you need to read the consent form. You may also decide to discuss participation with your family or friends. You will also be given a copy of this form for your records.

PURPOSE OF THE STUDY

The purpose of the study is to determine the best practices employed, and challenges faced, by authentic senior business leaders to build engagement among followers. In addition, the study will determine how authentic leaders measure success, and what recommendations they would have for future leaders.

STUDY PROCEDURES

If you volunteer to participate in this study, you will be asked to participate in an approximately 60 min interview.

The following interview protocol will be used:

Characteristics of Influential Leaders **Interview Protocol**

Ice breaker: Tell me a little about your career

1. What does authentic leadership mean to you?
2. How would you describe your leadership style?
3. Can you share an example of when you demonstrated outstanding leadership?
4. What are your strengths in leadership?
5. Does your leadership style change based on different situations and followership? How so?

6. What strategies do you use to incorporate your strengths in leadership?
7. What are your challenges (non-strengths) in leadership?
8. What strategies do you use to overcome them in your leadership journey?
9. How do you measure leadership success?
10. What advice would you have for future leaders?

POTENTIAL RISKS AND DISCOMFORTS

Potential risks may include the following: issues pertaining to one's professional reputation, boredom, fatigue, and poor self-image as a result of participation are also relevant.

POTENTIAL BENEFITS TO PARTICIPANTS AND/OR TO SOCIETY

While there are no direct benefits to the study participants, there are several anticipated benefits to society which include:

The compilation of results of the study will be beneficial to the learning and practitioner communities at large.

1. Findings of the study will shed light and inform scholars and practitioners on inclusion of underrepresented groups in leadership positions.

In addition, upon your request, a completed copy of this study will be provided to you.

CONFIDENTIALITY

I will keep your records for this study as far as permitted by law. However, if I am required to do so by law, I may be required to disclose information collected about you. Examples of the types of issues that would require me to break confidentiality are if you tell me about instances of child abuse and elder abuse. Pepperdine's University's Human Subjects Protection Program (HSPP) may also access the data collected. The HSPP occasionally reviews and monitors research studies to protect the rights and welfare of research subjects.

The data will be stored on a password protected computer in the principal investigators place of residence. The data will be stored for a minimum of three years. The data collected will be coded, de-identified, identifiable, transcribed etc...

Any identifiable information obtained in connection with this study will remain confidential. Your responses will be coded with a pseudonym and transcript data will be maintained separately. The audio-tapes will be destroyed once they have been transcribed.

PARTICIPATION AND WITHDRAWAL

Your participation is voluntary. Your refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled. You may withdraw your consent at any time and

discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study.

ALTERNATIVES TO FULL PARTICIPATION

The alternative to participation in the study is not participating or completing only the items which you feel comfortable. Should you chose this alternative, your relationship with your employer will not be affected whether you participate or not in this study.

EMERGENCY CARE AND COMPENSATION FOR INJURY

If you are injured as a direct result of research procedures you will receive medical treatment; however, you or your insurance will be responsible for the cost. Pepperdine University does not provide any monetary compensation for injury

INVESTIGATOR’S CONTACT INFORMATION

I understand that the investigator is willing to answer any inquiries I may have concerning the research herein described. I understand that I may contact Mr. Michael Ehret at xxxxxxxxxxxxxxxx if I have any other questions or concerns about this research. If you have questions about your rights as a research participant, contact Dr. Judy Ho, Chairperson of the Graduate & Professional School Institutional Review Board (GPS IRB) at Pepperdine University, via email at gpsirb@pepperdine.edu or at 310-568-5753.

RIGHTS OF RESEARCH PARTICIPANT – IRB CONTACT INFORMATION

If you have questions, concerns or complaints about your rights as a research participant or research in general please contact Dr. Judy Ho, Chairperson of the Graduate & Professional Schools Institutional Review Board at Pepperdine University 6100 Center Drive Suite 500 Los Angeles, CA 90045, 310-568-5753 or gpsirb@pepperdine.edu.

APPENDIX D

Sample Invitation

Dear (Participant name),

You have been invited to participate in a voluntary study in association with the Organizational Leadership program at Pepperdine University's Graduate School of Education and Psychology. This study is focused on best practices among senior level leaders.

Participation in the study is voluntary and confidentiality and anonymity are maintained to your satisfaction. Participation entails a no longer than 60 minutes interview. Questions asked in the interview and an informed consent form is attached. Please review this in advance of the interview. Your participation in this study will be extremely valuable to new and current and aspiring executives in business, as well as other scholars and practitioners in the field.

Please respond to this message if you are willing to be interviewed as part of this study.

APPENDIX E

IRB Approval Letter



Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263
TEL: 310-506-4000

NOTICE OF APPROVAL FOR HUMAN RESEARCH

Date: February 12, 2016

Protocol Investigator Name: Michael Ehret

Protocol #: 15-10-100

Project Title: COMMON LEADERSHIP STRATEGIES AND PRACTICES AMONG AUTHENTIC SENIOR LEADERS

School: Graduate School of Education and Psychology

Dear Michael Ehret:

Thank you for submitting your application for exempt review to Pepperdine University's Institutional Review Board (IRB). We appreciate the work you have done on your proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations 45 CFR 46.101 that govern the protections of human subjects.

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

A goal of the IRB is to prevent negative occurrences during any research study. However, despite the best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the IRB as soon as possible. We will ask for a complete written explanation of the event and your written response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the IRB and documenting the adverse event can be found in the *Pepperdine University Protection of Human Participants In Research: Policies and Procedures Manual* at community.pepperdine.edu/irb.

Please refer to the protocol number denoted above in all communication or correspondence related to your application and this approval. Should you have additional questions or require clarification of the contents of this letter, please contact the IRB Office. On behalf of the IRB, I wish you success in this scholarly pursuit.

Sincerely,

Judy Ho, Ph.D., IRB Chairperson

cc: Dr. Lee Katz, Vice Provost for Research and Strategic Initiatives