

Submission Date: January 1, 2019

Nicole Caruana (NC): Tri Council Policy Statement (TCPS 2) Tutorial Date: November 25, 2018
DeeDee Ryan (DR): Tri Council Policy Statement (TCPS 2) Tutorial Date: November 13, 2018

Most recent review of REB FAQs Date: October 1, 2018

1. RESEARCH TEAM

1.1 Research Title

How Leader Authenticity and Humility Affect Follower Work Experiences

1.2 Applicant (Student Researcher)

Name: Nicole Caruana Phone: Email:

Preferred Pronoun: She/Her/Hers Program: Master of Arts - Organizational Psychology

Name: Deirdre (DeeDee) Ryan Phone: Email:

Preferred Pronoun: She/Her/Hers Program: Master of Arts - Organizational Psychology

1.3 Co-Principal Researcher(s) or Faculty Supervisor (Supervising Researcher)

Name: Dr. Lucy Jdanova Email:

1.4 Research Team Members (Investigators/Second Reader/Committee Members/Consultants)

Name: Dr. Sydney Scott Email: Affiliation: Adler University Professor

1.5 Research Team Experience

APPLICANT:

Nicole Caruana (NC): University of Guelph; BA Psychology

- Three statistics courses: Quantification in Psychology, Research Statistics, Psychological Measurement
- One research course: Introduction to Research Methods

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- Member of the Center for Worker’s Health and Well-Being (CWHW) lab, led by nationally recognized Dr. Son Hing, to assist Masters and Ph.D. students with ongoing research projects concerning workplace inequality, and employee health and well-being
- Research Assistant for Dr. Son Hing and Baylee Rubinoff in a study about how group inequality affects group processes and performance

DeeDee Ryan (DR): University of Toronto; H.BSc Psychology & Sociology

- One statistics course: Quantitative Methods
- One research course: Qualitative Methods
- Research Assistant for Lorne Tepperman, gained experience with data collection and analysis

NC & DR: Adler University

- Research Methods course: developed and administered a qualitative interview
- Social Psychology and Well-being course: found appropriate scales to measure social well-being, developed and administered an anonymous survey using SurveyMonkey, and analyzed the results.
- Statistics course: analyzed, reported, and presented multiple data sets using SPSS, including a large-scale Employee Engagement Survey.
- Psychometrics Lab: developed a survey to measure Organizational Politics, then distributed the survey and analyzed results to determine if it was valid and reliable.

RESEARCH TEAM:

Dr. Lucy Jdanova - Adler Core Faculty, PhD

- Professor of Research Methods in Organizational Psychology, Statistical Methods at Work, Social Psychology and Well-Being at Work, and Thesis Prep at Adler University

Dr. Sydney Scott - Adler Adjunct Faculty, Ed.D

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1.6 Research Support Members (if applicable)

N/A

1.7 Peer Review

N/A

2. SUMMARY OF STUDY

2.1 A. Overview of Research Study (Maximum 300 words)

Summarize the research proposal using the following headings 1) Purpose, 2) Research Question or Hypothesis, 3) Rationale, 4) Objectives

Purpose

To examine how followers' perceptions of authenticity and humility in their leader affect their own work experience and relationships between different aspects of those work experiences. The aspects of work experiences include: job autonomy, innovation, psychological capital (PsyCap), and trust.

Leaders in this study refer to the direct supervisors of participants. Leader authenticity is characterized by devotion to building honest relationships that value others' input, are ethical, and optimistic (Avolio et al., 2004). Leaders with humility are willing to: admit mistakes, show appreciation for others, and learn from others (Owens, Johnson, & Mitchell, 2013). Psychological capital (PsyCap) is a state of experiencing hope, optimism, belief in one's capabilities and ability to bounce back from hardships. Authenticity and humility are behavioural and only influence followers through their perceptions. Therefore, we will call the follower perceptions "leader authenticity" and "leader humility" for simplicity.

Hypotheses

H1: Leader authenticity is positively correlated with follower PsyCap.

H2: Leader humility is positively related to follower trust in their leader.

H3: Leader humility is positively related to follower innovation.

H4: Follower job autonomy moderates the relationship between leader humility and follower innovation. In particular, the positive relationship between leader humility and follower innovation will be weaker for followers with low autonomy than for those with high autonomy.

Rationale

Leaders have a significant impact on important follower organizational attitudes and organizational outcomes (Jensen & Luthans, 2006; Caza et al., 2010). This study will provide quantitative data to build on current knowledge of effective leadership. Understanding the factors involved in effective leadership, specifically leader authenticity and leader humility, can provide organizations with a competitive advantage (Luthans & Youssef, 2004; Stenmark, Shipman, & Mumford, 2011).

Objectives

To contribute to research on two leadership characteristics, authenticity and humility, by testing their impact on follower experiences in a North American context. To our knowledge, there are no studies to date that test these relationships.

2.1 B. Summary of Research Procedures (Maximum 500 words)

Describe in a step-by-step manner the research procedures. The description should include the research methodology (e.g., ethnography, action, narrative, survey), rationale for utilizing this methodology, population, sampling method (e.g. convenience, key informant, snowball), group assignment strategies (e.g., random, by education level, geographic location, age), type of research methodology (e.g., ethnography, action, narrative, survey), analytic strategies, dissemination strategies.

Research Methodology

This study involves a quantitative correlational study using data collected through an online survey hosted by SurveyMonkey (Appendix I). There are two student researchers who will together design the research and engage in recruitment strategies. They will then separately undertake two distinct analyses of the data. They will provide a joint summary of results for both the organizations and the participants involved. .

The survey package (Appendix I) consists of an information poster, screening questions, an Informed Consent and the validated instruments and demographic, employment and workplace questions. Respondents who do not meet study criteria will be directed to a debriefing page and offered an opportunity to request a summary of results.

Respondents who meet the screening criteria will complete the following instruments: **Authentic Leadership Questionnaire** (ALQ; Avolio et al., 2007), 16-items, 5-point Likert scale (0=Not at all to 4=Frequently, if not always); **Expressed Humility Scale** (Owens et al., 2013), 9-items, 5-point Likert scale (1=Strongly disagree (SD) to 5=Strongly agree (SA)); **Work Design Questionnaire - Autonomy** (WDQ; Morgeson & Humphrey, 2006), 9-items, 5-point Likert scale (1=SD to 5=SA); **Innovative Work Behaviour Scale** (IWB scale; Janssen, 2000), 9-items, 7-point Likert scale (1=Never to 7=Always); **Psychological Capital Questionnaire** (PCQ-24; Luthans, Avolio, & Avey, 2007), 24-items, 6-point Likert scale (1=SD to 6=SA); **Positive/Negative Affect Schedule** (PANAS; Watson, Clark, & Tellegen, 1988), 60-items, 5-point Likert scale (1=Very slightly or not at all to 5=Extremely); **Behavioural Trust Inventory** (BTI; Gillespie, 2003), 6-items, 7-point Likert scale (1=Not willing at all to 7=Completely willing).

Demographic, employment and workplace questions will be asked to describe the sample: gender, education, organizational tenure, managerial status, and organization size. This information will not be linked to individual participants' data in the summary of results.

Rationale for using this Method: All measures are valid and reliable for measuring the outcomes. An online survey is the most efficient way to collect data from this population.

Population:

English speaking adults working full-time in North America with the same direct supervisor for at least 6-months. Those who work remotely more than 15 hours/week or who work for family members will be excluded.

Sampling Method: Convenience and snowball sampling will be used to recruit approximately 300 participants. See recruitment section 4.3 for further details.

Group Assignment Strategies: N/A

Type of Research Methodology: Quantitative correlational study; data collected via online survey.

Analytic Strategies: Nicole will conduct hierarchical regression analysis. Control variables (demographics, trust, PANAS) will be entered as predictors of PsyCap. Then leader authenticity will be entered as a predictor. Significant regression coefficient for leader authenticity will support H1.

DeeDee will conduct hierarchical regression analysis for leader humility's effect on follower trust and innovation. Control variables will be entered as predictors of trust and innovation. Then leader humility will be entered as a predictor. Significant regression coefficients for leader humility will support H2 and H3.

DeeDee will use moderated regression analysis to test the influence of job autonomy on the relationship between leader humility and follower innovation. The predictor (humility) and moderator (autonomy) will be entered as predictors of innovation. Then, the interaction term between leader humility and autonomy will be entered as a predictor. A significant regression coefficient will support H4. Simple slope tests will be conducted and graphed to determine the direction and strength of the moderating effects.

Dissemination strategies:

Organizations and participants can request a joint summary of results.

2.1 C Research with Vulnerable Populations or Moderate Risk Research

N/A

2.2 Deception

Is deception being used in this research?

Yes ___ No ☒

2.3 References

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3. FUNDING INFORMATION & CONFLICT OF INTEREST

3.1 Source of Funding

N/A

3.2 Restrictions on Information Disclosures

N/A

3.3 Actual or Perceived Conflict of Interest

- Do any Research Team Members or their immediate family members have past or current affiliation with an agency, institution, community, or individual that will provide assistance with recruiting sources or participants, data collection sites, participant populations or follow-up assistance for this research? This includes workplaces, volunteer organizations, practicum sites, and community-based groups.

Yes ☒ No ☐

If yes, please explain the relationships between Research Team Members and the agency, institution, community, or individual in question and indicate how you plan to mitigate actual or perceived conflicts of interest or dual-relationships:

- The student researchers will be recruiting individuals from their professional and personal networks, via email, social media postings, and direct messages. These individuals may be from the student researchers' current or previous workplaces, and/or may be friends or family members.
- To mitigate any conflicts of interest, the Information Poster (Appendix C) and Informed Consent (Appendix H) will explicitly state that participation is voluntary and anonymous. The student researchers will not pressure anyone to participate in the study nor will they know who chooses to participate, unless those individuals disclose themselves to the student researchers or provide an email address that identifies them when they request a summary of results (Appendix K). Providing an email may disclose the individual's participation, but their responses will remain anonymous. There will be no way to link email addresses to responses.
- Do any Research Team Members or their immediate family members receive personal benefits (e.g. salary, overtime hours, consultant fees, or other financial gain) in connection with this research over and above the direct cost of conducting this study?

Yes ☐ No ☒

If yes, please explain and indicate how you plan to mitigate actual or perceived conflicts of interest:

4. RECRUITMENT

4.1 Inclusion Criteria

You are eligible to participate if you are:

- at least 19 years of age
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week)
- currently working in a North American organization
- working for the same direct supervisor for at least 6 months

Rationale:

- This study requires participants to be at least 19 years old so that participants can sign their own consent form and obtaining parent/guardian consent is not required.
- Two of the scales used are above a grade 8 reading level (Innovative Work Behaviour Scale and Behavioural Trust Inventory). They have been proven to be valid and reliable on samples from working populations of various education levels. Changing these scales would compromise their validity and reliability. Thus the recruitment and consent forms are also at a higher reading level.
- This study is, in part, interested in the effect of leader humility on follower innovation. Spending large amounts of time outside of the workplaces (e.g., part-time employment) increases the likelihood that additional factors may influence innovation.
- The studies are seeking to replicate and/or expand on previous research that was conducted in organizations outside of North America with different cultural tendencies. Cultural difference may contribute to differences in how leader authenticity and leader humility impact followers. Conducting research with employees working in North America may help control for these cultural differences.
- 6 months allows followers to develop perceptions of their leader's authenticity or humility.

4.2 Exclusion Criteria

You are not eligible to participate if you are:

- working for an immediate family member
- working more than 15 hours/week remotely

Rationale:

- Individuals who work for an immediate family member may have more opportunities to interact with their leader outside of the workplace. These interactions may influence perceptions of authenticity, humility, and willingness to trust.
- Followers' will be rating their perceptions of their leader's characteristics. Many of these characteristics are behavioural and can only be understood through in-person observation. If the participant works remotely, they are less likely to have an understanding of their leader's behaviours related to authenticity and humility.

4.3 Recruitment

Participants will be recruited using two methods:

First, convenience recruitment. The student researchers will send emails to individuals in their professional networks, explaining the research and asking for the contact information of an HR Manager/HR Director/Training and Development Manager in their organization (Appendix A). They will then send a Recruitment Email to the HR Manager/HR Director/Training and Development Manager (Appendix B).

The emails will outline the purpose of the research and ask if the contact person can forward the Information Poster (Appendix C) to their employees. The researchers will explain that forwarding the Information Poster to employees is voluntary, as is completion of the survey by employees. Organizations will be asked to not pressure employees into participating. Although organizations will be offered a summary of the overall results no organizational specific results will be offered. These statements should help alleviate any undue pressure organizations or individuals feel to participate in the study.

The contact person will be provided with two reminder email templates (Appendix D) and invited to send those reminders to employees in their organization. These reminders will again state that participation is voluntary and that employees should not be pressured to participate.

Second, snowball recruitment. Postings will be made on the student researchers' personal social media accounts such as, Facebook, LinkedIn, and Instagram to reach individuals in the researchers' personal networks. Those postings will contain a Recruitment Message Post (Appendix E & F) or Direct Message (Appendix G) that includes an invitation to participate in the study. They will also contain the inclusion and exclusion criteria, and a link to the Information Poster for more details. Participants will be encouraged to share the recruitment message and survey link within their networks to allow a snowball sampling effect to occur. To protect anonymity, individuals will be asked not to respond directly to, or comment on, the post. They will also be asked not to "tag" or publicly name others when sharing the study to protect their privacy too.

4.4 Access to Records for Recruitment

Are you accessing records to identify potential participants?

Yes ____ No ☒

4.5 External Approvals

Outline how you will contact and then obtain external approval from institutions or organizations, including Aboriginal communities or international sites. Although approvals do not need to be included with your Application, the REB has an obligation to conduct ongoing ethical review. You may be asked to produce copies of all external approvals during the period in which you are conducting research.

Organizations considered appropriate for the research will be contacted through an e-mail (Appendix B). The internal review and approval processes for each participating organization will be followed.

4.6 Number of Participants

How many participants do you anticipate recruiting for your Research?

Approximately 300 participants

If part of a larger study, how many participants will be recruited overall?

N/A

5. RISK and BENEFITS

5.1 Determining Level of Risk

Minimal ✓ Moderate High

Rationale: Participants are not expected to experience harm or discomfort that is greater than what they experience in their daily life. Question content does not go beyond what might be found in employee surveys regularly conducted in organizations.

5.2 Description and Management of Risks

Describe what is known about the risks (harm) of participating in the proposed research and any possible vulnerability that needs to be considered. Indicate how you will address these risks. Include literature related to the risks and the management of risks if relevant. Include any information about discomfort or incapacity that the participants are likely to experience as a result of the research.

Risks to participants:

Some questions ask participants to reflect on themselves and their experiences at work. Some of the questions require participants to recall difficult times at work and participants may experience discomfort when answering them. For example:

- “I can get through difficult times at work because I’ve experienced difficulty before”
- “When I have a setback at work, I have trouble recovering from it, moving on”
- “How willing are you to discuss honestly how you feel about your work, even negative feelings and frustration?”

Participants will also complete a scale related to their mood. They will be asked to rate how often in the past week they have felt various feelings, some of which are negative. For example, “scared,” “dissatisfied with self,” “angry,” “hostile,” “disgusted.”

Management of Risks:

Participants are not obligated or pressured in any way to answer questions. However, they will be informed that choosing to not answer even one question will mean none of their responses will be used

in the study. Participants are also encouraged to take breaks from the study if they have difficulty answering any questions; they are not under any time pressure to complete the survey and can exit it at any time for any reason.

5.3 Benefits

The benefits to participation include:

Participants may discover new things about themselves and their work environments. As well, their answers will contribute to current knowledge on effective leadership. By understanding the factors that foster PsyCap, trust, and innovation in followers, organizations may be better equipped to have a competitive advantage.

6. PARTICIPANT INFORMATION AND CONSENT PROCESS

6.1 Time Requested of Participants

How much time will each participant be asked to dedicate to the research study?

Participants will contribute approximately 30-45 minutes. It is a one-time commitment.

6.2 Reimbursements and Incentives for Participation

N/A

6.3 Assessment of Capacity

A. Initial assessment of capacity for the purposes of informed consent

Will every participant have the capacity to give fully informed consent on his/her own behalf?

Yes ✓ No ____

The participants will be adults engaged in full-time work for at least six consecutive months. Their employment status suggests that they have the capacity to make autonomous decisions.

B. Ongoing assessment of capacity

How will capacity be assessed throughout the research if the participants' involvement goes beyond a single interview or completion of a questionnaire?

N/A

6.4 Explanation of Consent Forms to Potential Participants

- How will the Informed Consent Form be reviewed?

When participants click the initial survey link, the first page will be the Information Poster (Appendix C). They will then answer screening questions based on inclusion/exclusion criteria. Respondents who do not meet study criteria will be directed to a debriefing page and then offered the opportunity to request a summary of results (Appendix K). Respondents who meet the study criteria will proceed to the Informed Consent Form (Appendix H). They will be required to read the form online, including a series of statements that explain what they are agreeing to. They will click “I agree” at the bottom of the page to proceed to the instruments. If they do not agree to the consent form, they will not be able to proceed.

- How much time will the participants have to review the Informed Consent Form?

Participants have no time limit to review to Informed Consent Form.

6.5 Assistance with Consent

N/A

6.6 Translation

Will any of your recruitment, consent or other documents be available in a language other than English?

Yes ___ No ✓

Will interactions with participants be taking place in any language other than English?

Yes ___ No ✓

If Yes to either or both questions, provide information regarding the translation process.

6.7 Withdrawal of Data

How will participants be informed of their right to request their data be withdrawn from the study and how will you remove the data?

Participants will be informed of their rights in the Informed Consent Form. Participants may exit the survey at any time. Once they submit their survey, it will not be possible to withdraw because the data is anonymous.

6.8 Summary of Results to Participants

How will you provide a summary of results to participants – including strategies for maintaining anonymity if that has been included in informed consent process?

A link will be provided at the end of the survey which will lead to a separate survey page where participants may request a summary of the research results by submitting their e-mail address (Appendix K).

Organizations who agree to send the survey information to employees will be offered a summary of the research results (see Appendix B). The results will be reported at an aggregate level making it impossible to identify individual respondents.

7. SECURITY OF INFORMATION AND DATA

7.1 Anonymity and Confidentiality of Participant's Data

- What, if any, limits to confidentiality exist in your research? What is your rationale for including them, and how will they be communicated to participants?

N/A for researchers using anonymous surveys for data collection.

- If you are collecting anonymous or anonymized data online, how are you ensuring the anonymity of participants?

Participants' data will be anonymous. No IP addresses, geographical location, or email addresses will be collected. The data will be password protected and encrypted while stored on a two password protected USBs (one USB for each student researcher).

- How will you ensure that participants cannot be identified or re-identified through demographic data and/or direct quotes and/or participant descriptions (e.g. job description) in any dissemination of your research (including thesis or dissertation)?

The survey is anonymous. There is no way to link data to an individual or to an organization.

7.2 Access to Information or Data

Will any information or raw data relating to your research study be accessible to persons outside of your research team?

Yes ___ No ☒

- Please describe who will have access to what kinds of information or data collected for the research study.

Only the student researchers and the research team members will have access to the data.

- How will you communicate who has access to information or data collected for the study to your participants?

The Informed Consent Form (Appendix H) explicitly states that only the student researchers and research supervisors have access to the data that participants provide.

7.3 Storage and Security of Data

- **During your research** (recruitment, consent, data collection, analysis), how will data be secured (original and back-ups) and transferred among researchers? Please include information on storage and deletion of participant's contact information (where applicable), as well as data collected.

Data will be stored on two password-protected and encrypted USBs (one for each student researcher). All data will be analyzed on SPSS and the results will be only be transferred between the student researchers and supervising researcher.

- **After research** (analysis and dissemination) has been completed, how will different forms of data (original and back-ups) be stored? For how long? If data will be kept on the Web, what precautions have been taken to keep it secure?

Only electronic data will be collected during this research. All data will be kept on two password-protected USBs (one for each student researcher) and will be encrypted during the research and for the five years after the research is complete. For five years after the research we will keep those USB sticks in a locked cabinet in the student researchers' homes. After 5 years the raw data and informed consent forms will be destroyed by erasing the data files from the USBs and emptying the trash on the computers the USBs were plugged into.

7.4 Future Use of Data (possible use of data in another research project)

No

8. APPENDICES

8.1 Appendices

Appendices must be included for all verbal or written communication with external institutions or agencies (including collaborators), key informants or other recruitment sources, potential participants and participants. They must be included in the chronological order they will be used during your research. **Please list all Appendices below. The labelling (Appendix A; Appendix B; and so on) must match the labelling in your Application. Please insert page breaks between each appendix.**



Appendix A: Personal Contact Recruitment Email
Appendix B: Organization Recruitment Email
Appendix C: Information Poster
Appendix D: Reminder Emails to Organization
Appendix E: Facebook and LinkedIn Recruitment Post
Appendix F: Instagram Recruitment Post
Appendix G: Facebook and LinkedIn Direct Message
Appendix H: Informed Consent Form
Appendix I: Survey Package



Appendix A: Personal Contact Recruitment Email

Hi _____.

How are you?

As you may be aware, I am currently working on my Masters of Arts degree in Organizational Psychology at Adler University (Vancouver Campus). As part of my degree, I am conducting research for my thesis under the supervision of Dr. Lucy Jdanova and in collaboration with another student researcher, _____.

We are studying leader authenticity and humility. We want to know how these traits affect followers' views of job freedom, innovation, PsyCap*, and trust. We will also study how those views relate to each other. A more in-depth description of our research is in the attached document called, "Information Poster". You can also find it online here [<http://information-poster-link>].

****PsyCap** is a positive mental state. It includes feelings of hope and optimism. It also includes a belief in one's skills and ability to bounce back.*

I'm hoping to get in touch with someone from your organization who can distribute my survey to employees, such as an HR Manager, HR Director, or Training and Development Manager. Could you send me their contact information? If you do not think the study is appropriate for your organization and employees, please do not feel obligated to forward that information. However, if you believe this study may be appropriate and you forward the contact information, when I do reach out, I would like to state that you connected me with them. Is this okay with you? If it's not, no problem - I will omit your name from the email.

Please do not hesitate to reach out with any questions about the research by email at [student researcher's email] or [student researcher's phone number]. Please do not let me know if you are interested in participating because I am committed to maintaining participant confidentiality!

Thank you kindly,



Appendix B: Organization Recruitment Email

Dear _____.

We are Nicole Caruana and DeeDee Ryan and we are doing research as part of our Masters' thesis in Organizational Psychology at Adler University (Vancouver Campus). [Name of contact at organization] sent me your contact information and suggested that you were the best person to reach out to regarding your organization's participation in our study.

We are studying leader authenticity and humility. We want to know how these traits affect followers' views of job freedom, innovation, PsyCap*, and trust. We will also study how those views relate to each other. A more in-depth description of our research is in the attached document called, "Information Poster". You can also find it online here [<http://information-poster-link>]. **We would greatly appreciate if you could forward the poster via email to employees of your organization.**

**PsyCap is a positive mental state. It includes feelings of hope and optimism. It also includes a belief in one's skills and ability to bounce back.*

If you do not think the study is appropriate for your organization and employees, please do not feel obligated to participate or to send out the survey. We appreciate your time and consideration.

If you are interested in forwarding the survey to your employees, please read the following:

Employees are able to participate if they are:

- at least 19 years of age.
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.

Employees are not able to participate if they are:

- working for an immediate family member.
- working more than 15 hours/week remotely.

Please let your employees know that participation is voluntary. Individuals should only participate if they feel comfortable doing so. Please do not pressure anyone to participate or offer rewards for participation.

In return for your organization's participation, we would be happy to provide you with a summary of the overall results when the research is complete. The results would include summaries and trends, and no individual or organizational level responses will be shared.

Please feel free to reach out to us at our contact information below if you would like to discuss this research further, or if you have any questions.



We look forward to hearing from you.

Many thanks for your time and consideration,

Kind regards,
Nicole and DeeDee

Student Researchers: Nicole Caruana and DeeDee Ryan

Emails:

Supervising Researcher: Dr. Lucy Jdanova

Program: Master of Arts Organizational Psychology

Phone: 236-521-2500

Email:



Appendix C: Information Poster

How Leader Authenticity and Humility Affect Follower Work Experiences

Hi! Our names are Nicole Caruana and DeeDee Ryan. We are two Masters of Arts students studying Organizational Psychology at Adler University (Vancouver Campus). We are conducting a research study that focuses on leader authenticity and humility in the workplace. We want to know how these traits affect followers' views of job freedom, innovation, PsyCap*, and trust. We will also study how those views relate to each other.



**PsyCap is a positive mental state. It includes feelings of hope and optimism. It also includes a belief in one's skills and ability to bounce back.*

To participate, you must be:

- at least 19 years of age.
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.
- **not** working for an immediate family member.
- **not** working more than 15 hours/week remotely.

Our research involves an anonymous online survey that is completely voluntary. If you do not feel comfortable participating in this study, please do not feel obligated to participate. The survey takes approximately 30-45 minutes to complete.

You will answer **one** survey, but your responses will be used in two separate research analyses. One analysis will look at the relationship between leader authenticity and PsyCap. The other will look at the relationship between leader humility and job freedom, innovation, and trust. Your responses are anonymous – there will be no way to identify which answers are yours. You will have the option to quit the study at any time by exiting the survey.

If you meet the criteria above and are interested in participating in this study, you may click the link below:

<http://survey-link>

For more information, please contact:

Nicole Caruana (email) or DeeDee Ryan (email)

We encourage you to share this poster with others in your network who fit the above criteria - more responses mean more sound research!



Appendix D: Reminder Emails to Organization

Reminder Email #1

This is a reminder to those who have not yet completed the survey: “How Leader Authenticity and Humility Affect Follower Work Experiences.” You are still invited to complete this survey at any time in the next three more weeks. **Your participation is voluntary.** If you do not feel comfortable participating in the study, please do not feel obligated. The original invitation and link are below.

For more information or to start the survey, click the link below:

[insert link]

Reminder Email #2

This is a final reminder to those who have not completed the survey: “How Leader Authenticity and Humility Affect Follower Work Experiences.” You are still invited to complete this survey for one more week. Your participation is voluntary. If you do not feel comfortable participating in the study, please do not feel obligated. The original invitation and link are below.

For more information or to start the survey, click the link below:

[insert link]



Appendix E: Facebook, LinkedIn Recruitment Post

Hi everyone!

@_____ and I are looking for people to take a survey for our thesis research and would be grateful for your participation!

You are able to participate if you are:

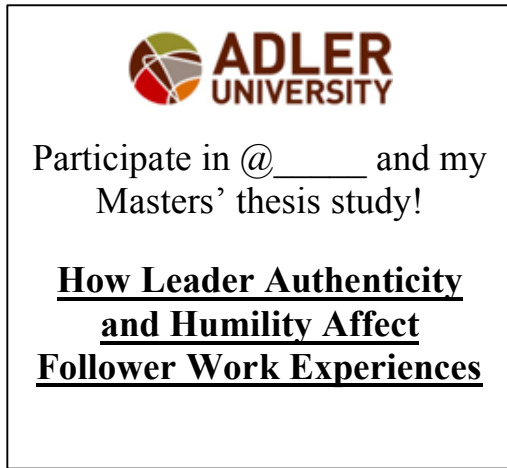
- at least 19 years of age.
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.
- **not** working for an immediate family member.
- **not** working more than 15 hours/week remotely.

Please visit the link in my bio [<http://information-poster-link>] for more information about the study and how to participate.

To protect your privacy, please do not respond directly to, or comment on, this post. We also encourage you to share this poster with others in your network who fit the above criteria - more responses mean more sound research! Please do not “tag” or publicly name them to protect their privacy too.



Appendix F: Instagram Recruitment Post



@_____ and I are looking for people to take a survey for our thesis research and would be grateful for your participation!

You are able to participate if you are:

- at least 19 years of age.
- comfortable reading English at a post-secondary level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.
- **not** working for an immediate family member.
- **not** working more than 15 hours/week remotely.

Please visit the link in my bio [<http://information-poster-link>] for more information about the study and how to participate.

To protect your privacy, please do not respond directly to, or comment on, this post. We also encourage you to share this poster others in your network who fit the above criteria - more responses mean more sound research! Please do not "tag" or publicly name them to protect their privacy too.



Appendix G: Facebook and LinkedIn Direct Message

Hi _____!

As you may know, I'm currently working on my thesis as part of my Masters of Arts degree in Organizational Psychology at Adler University (Vancouver Campus).

I am conducting research through a brief online survey with another student researcher, _____. We are studying leader authenticity and humility. We want to know how these traits affect followers' views of job freedom, innovation, PsyCap*, and trust. We will also study how those views relate to each other.

**PsyCap is a positive mental state. It includes feelings of hope and optimism. It also includes a belief in one's skills and ability to bounce back.*

We would be really grateful for your participation!

You are eligible to participate if you are:

- at least 19 years of age.
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.
- **not** working for an immediate family member.
- **not** working more than 15 hours/week remotely.

Here's the link for more information about the study and how to participate:

[<http://information-poster-link>]

Thank you for your time and consideration,



Appendix H: Informed Consent Form

INFORMED CONSENT FORM

HOW LEADER AUTHENTICITY AND HUMILITY AFFECT FOLLOWER WORK EXPERIENCES

The Researchers

Our names are Nicole Caruana and DeeDee Ryan. We are doing this research as part of our Masters of Arts in Organizational Psychology degree at Adler University (Vancouver Campus) .

If you have any questions about the research, you can contact one of us or our Advisor. Our contact information is below:

<u>Student Researcher:</u>	Nicole Caruana	email:
<u>Student Researcher:</u>	DeeDee Ryan	email:
<u>Research Advisor:</u>	Dr. Lucy Jdanova	Program: Organizational Psychology
	Phone #:	email:

The Adler University (Vancouver Campus) Research Ethics Board (REB) has approved this research.

This Research

This research focuses on leader authenticity and humility. We want to know how these traits affect followers' views of job freedom, innovation, PsyCap*, and trust. We will also study how those views relate to each other.

**PsyCap is a positive mental state. It includes feelings of hope and optimism. It also includes a belief in one's skills and ability to bounce back.*

We are asking you to participate because you are:

- at least 19 years of age.
- comfortable reading English at a high school level.
- currently working full-time in a paid position (30 or more hours/week).
- currently working in a North American organization.
- working for the same direct supervisor for at least 6 months.

You are not able to participate if:

- your direct supervisor is an immediate family member.
- you work more than 15 hours/week remotely.



We are asking you to do the following:

Complete an online survey that is voluntary and anonymous. You will begin by answering questions about your leader's style and your own experiences at work. The survey will end with demographic, employment, and workplace questions to further describe the group. **If you do not answer all of these questions, the rest of your data will not be used in the study.**

Some questions will ask you to reflect on yourself and your experiences at work. These may lead to feelings of discomfort. Examples of survey questions are:

- Use the following scale to indicate your level of agreement or disagreement with each statement:
 - "I can get through difficult times at work because I've experienced difficulty before"
 - "When I have a setback at work, I have trouble recovering from it, moving on"
- Indicate how willing you are about the following:
 - "To discuss honestly how you feel about your work, even negative feelings and frustration?"

We are also asking you some questions about yourself and your organization – for example,

- "What is your age?"
- "How long have you been working for your direct supervisor?"

We are asking for **30-45 minutes** of your time to complete the survey.

The Research is Voluntary

You can decide if you wish to participate in this research. You can choose whether or not you would like to answer the question. If you choose **not** to answer a question, we will not be able to use any of your responses in our research. You may exit the survey at any time for any reason.

The Research is Confidential

All information you provide in the survey is anonymous. Your name, IP address, email address, and geographic location will not be recorded at any time in the survey. None of the demographic, employment, or workplace information will be used to identify individual participants.

If you choose to disclose your email address to receive a copy of the results of this study, then your participation may no longer be anonymous, but your responses will still be anonymous. The researchers will not be able to link your email address to your responses. Every effort will be made to keep your participation confidential.

We take responsibility for ensuring that all survey responses will be kept on two password protected and encrypted USB sticks (one for each student researcher) during the research project. This USB sticks will be kept for five years after the research study in locked cabinets in the student researchers' homes. After 5 years, the raw data and informed consent forms will be destroyed by erasing the data files from the USBs and on the student researchers' computers that the USBs were connected to.



The servers that store your answers will be located in the United States of America, but IP addresses will not be collected. No one, other than the researchers and supervisors assisting with this research, will have access to your answers.

Your answers will be collected using SurveyMonkey. This website may collect extra information about you, which I am not responsible for protecting. However, SurveyMonkey does comply with the WCAG (2) to ensure your privacy is protected. If you have any questions about what this information is or how SurveyMonkey protects this information, please contact [surveymonkey.com](https://www.surveymonkey.com/mp/legal/privacy-policy) directly or view its privacy policy here: <https://www.surveymonkey.com/mp/legal/privacy-policy>. If you still have any concerns, you may choose not to participate in this research.

The Results of the Research

The student researchers will publish the results of the research in their theses. You will answer **one** survey, but your responses will be used in two separate research analyses. One analysis will be about leader authenticity and PsyCap. The other will be about leader humility, job freedom, innovation, and trust. The researchers may also write or speak about their research.

If you are interested in receiving a summary of our results, you can follow an external link at the end of the survey and leave your email address. Organizations who agree to send the survey to employees will also be offered a summary of the overall results. The results would include summaries and trends, and no individual or organizational level responses will be shared.

The Risks and Benefits

Some questions will ask you to reflect on yourself and your experiences at work which may lead to feelings of discomfort. If your feelings of discomfort become too strong you can take a break from answering questions or leave the survey at any time.

By participating, you may discover new things about yourself and your work environment. Your answers may also contribute to current knowledge on leadership.

If you have any questions or concerns about your treatment as a participant, you may contact the Chair of the Research Ethics Board. Her contact information is below:

REB Chair: Debbie Clelland, Ph.D. email: dclelland@adler.edu
phone: 236-521-2478

Consent for this Research

- I understand that I am taking part in this research voluntarily.
- I know I do not have to answer questions. However, if I choose not to answer even one question, I understand none of my responses will be used in the study
- I know I can leave the research at any time by exiting the survey before I submit it.
- I know that the information I provide is anonymous and will not be shared with anyone outside of the research team.
- I know that I have not given up any of my legal rights by taking part in this research, even though I have signed this form.



- I am giving my consent to participate in this study.

I have read this consent form. By clicking “I Agree” below, this indicates my consent to participate in this study.

I AGREE

I DO NOT AGREE

Thank you for taking the time to read this page. We hope you enjoy the survey.

Appendix I: Survey Package

[The survey Landing Page is the Information Poster (Appendix C). If participants choose to participate, they will begin by answering these screening questions:]

The following information is for screening purposes only. These questions will determine if you fit the study criteria..

1. I am comfortable reading English at a high school level.
 - ☐ Yes [go to next question]
 - ☐ No [skip to Screening Debrief]
2. What is your age?
 - ☐ Under 19 [skip to Screening Debrief]
 - ☐ Above 19 [go to next question]
3. Where is your primary place of work?
 - ☐ North America [go to next question]
 - ☐ Outside of North America [skip to Screening Debrief]
4. Are you employed full-time (more than 30 hours/week)?
 - ☐ Yes [go to next question]
 - ☐ No [skip to Screening Debrief]
5. On average, how many hours per week do you work remotely?
 - ☐ Less than 15 hours/week [go to next question]
 - ☐ More than 15[skip to Screening Debrief]
6. How long have you been working for your direct supervisor?
 - ☐ Less than 6 months [skip to Screening Debrief]
 - ☐ More than 6 months [go to next question]
7. Which of the following best describes your current work situation?
 - ☐ My direct supervisor is an immediate family member [skip to Screening Debrief]
 - ☐ My direct supervisor is not an immediate family member [Continue to Survey]

[Click Next]

If the participant does not meet screening requirements they will see:

Thank you for your interest in our survey. One or more of your answers do not match the study criteria so you are not eligible to complete the survey.

If you would like to receive a summary of the research results, please click the link below. The link will take you to a separate page where you can enter your email address. Once the study is finished, we will email you a summary of the overall results..



<https://summary-results-email-page.com>

If the participant meets screening requirements the Informed Consent Form will go here.

After the Informed Consent Form, participants will be taken to:

The following survey items refer to your leader's style, as you perceive it. **Judge how frequently each statement fits their leadership style using the following scale:**

Not at all	Once in a while	Sometimes	Fairly often	Frequently, if not always
0	1	2	3	4

1. My leader says exactly what they mean.
2. My leader admits mistakes when they are made.
3. My leader encourages everyone to speak their mind.
4. My leader tells you the hard truth.
5. My leader displays emotions exactly in line with feelings.
6. My leader demonstrates beliefs that are consistent with actions.
7. My leader makes decisions based on their core values.
8. My leader asks you to take positions that support your core values.
9. My leader makes difficult decisions based on high standards of ethical conduct.
10. My leader solicits views that challenge their deeply held positions.
11. My leader analyzes relevant data before coming to a decision.
12. My leader listens carefully to different points of view before coming to conclusions.
13. My leader seeks feedback to improve interactions with others.
14. My leader accurately describes how others view their capabilities.
15. My leader knows when it is time to reevaluate their position on important issues.
16. My leader shows they understand how specific actions impact others.

[2007 by Bruce J. Avolio, William L. Gardner, and Fred O. Walumbwa.]

[Click Next]

The follow survey items refer to your leader's behaviour, as you perceive it. Please consider your direct supervisor as your leader when responding. If you report directly to two supervisors, please consider only the supervisor you interact with most frequently.

Please indicate the extent to which you agree or disagree with the following statements.

Strongly
Disagree

Disagree

Neither Agree
nor Disagree

Agree

Strongly Agree

1

2

3

4

5

1. My leader actively seeks feedback even if it is critical.
2. My leader admits it when they don't know how to do something.
3. My leader acknowledges when others have more knowledge and skills than him/herself.
4. My leader takes notice of others' strengths.
5. My leader often compliments others on their strengths.
6. My leader shows appreciation for the unique contributions of others.
7. My leader is willing to learn from others.
8. My leader is open to the ideas of others.
9. My leader is open to the advice of others.

[Owens, B.P., Johnson, M.D., & Mitchell, T.R. (2013). Expressed humility in organizations: implications for performance, teams, and leadership. *Organization Science*, 24(5), 1517-1538. doi: 10.1287/orsc.1120.0795.]

[Click Next]

The following questions will ask you about your current job. Please indicate, on average, the extent to which you agree or disagree with the following statements:

Strongly
Disagree

Disagree

Neither Agree
nor Disagree

Agree

Strongly Agree

1

2

3

4

5

1. The job allows me to make my own decisions about how to schedule my work.
2. The job allows me to decide on the order in which things are done on the job.
3. The job allows me to plan how I do my work.
4. The job gives me a chance to use my personal initiative or judgment in carrying out the work.
5. The job allows me to make a lot of decisions on my own.
6. The job provides me with significant autonomy in making decisions.

7. The job allows me to make decisions about what methods I use to complete my work.
8. The job gives me considerable opportunity for independence and freedom in how I do the work.
9. The job allows me to decide on my own how to go about doing my work.

[Morgeson, F.P., & Humphrey, S.E. (2006). The work design questionnaire (WDQ): Developing and validating a comprehensive measure for assessing job design and the nature of work. *Journal of Applied Psychology*, 91(6), 1321-1339. doi: 10.1037/0021-9010.91.6.1321.]

[Click Next]

The following statements refer to your own actions at work. Please indicate, on average, how often you do the following behaviours at work.

Never	Very Rarely	Rarely	Sometimes	Often	Very Often	Always
1	2	3	4	5	6	7

1. Creating new ideas for difficult issues.
2. Searching out new working methods, techniques, or instruments.
3. Generating original solutions for problems.
4. Mobilizing support for innovative ideas.
5. Acquiring approval for innovative ideas.
6. Making important organizational members enthusiastic for innovative ideas.
7. Transforming innovative ideas into useful applications.
8. Introducing innovative ideas into the work environment in a systematic way.
9. Evaluating the utility of innovative ideas.

[Janssen, O. (2000). Job demands, perceptions of effort-reward fairness and innovative work behaviour. *Journal of Occupational and Organizational Psychology*, 73(3), 287-302.]

[Click Next]

Below are statements that describe how you may think about yourself **right now**. Use the following scale to indicate your level of agreement or disagreement with each statement.

Strongly Disagree	Disagree	Somewhat Disagree	Somewhat Agree	Agree	Strongly Agree
1	2	3	4	5	6

1. I feel confident analyzing a long-term problem to find a solution.
2. I feel confident in representing my work area in meetings with management.
3. I feel confident contributing to discussions about the organization's strategy.
4. I feel confident helping to set targets/goals in my work area.
5. I feel confident contacting people outside the organization (e.g. suppliers, customers) to discuss problems.
6. I feel confident presenting information to a group of colleagues.
7. If I should find myself in a jam at work, I could think of many ways to get out of it.
8. At the present time, I am energetically pursuing my work goals.
9. There are lots of ways around any problem.
10. Right now, I see myself as being pretty successful at work.
11. I can think of many ways to reach my current work goals.
12. At this time, I am meeting the work goals that I have set for myself.
13. When I have a setback at work, I have trouble recovering from it, moving on.
14. I usually manage difficulties one way or another at work.
15. I can be "on my own," so to speak, at work.
16. I usually take stressful things at work in stride.
17. I can get through difficult times at work because I've experienced difficulty before.
18. I feel I can handle many things at a time in this job.
19. When things are uncertain for me at work, I usually expect the best.
20. If something can go wrong for me work-wise, it will.
21. I always look on the bright side of things regarding my job.
22. I'm optimistic about what will happen to me in the future as it pertains to work.
23. In this job, things never work out the way I want them to.
24. I approach this job as if "every cloud has a silver lining."



[Copyright © 2007 Psychological Capital (PsyCap) Questionnaire (PCQ) Fred L. Luthans, Bruce J. Avolio & James B. Avey. All rights reserved in all medium.]

[Click Next]

This following consists of a number of words and phrases that describe different feelings and emotions. Read each item and then mark the appropriate answer in the space next to that word.

Indicate to what extent you have felt this way during the past week.

Very slightly or not at all	A little	Moderately	Quite a bit	Extremely
--------------------------------	----------	------------	-------------	-----------

1	2	3	4	5
---	---	---	---	---

- ☐ Cheerful
- ☐ Disgusted
- ☐ Attentive
- ☐ Bashful
- ☐ Sluggish
- ☐ Daring
- ☐ Surprised
- ☐ Strong
- ☐ Scornful
- ☐ Relaxed
- ☐ Irritable
- ☐ Delighted
- ☐ Inspired
- ☐ Fearless
- ☐ Disgusted with self
- ☐ Sad
- ☐ Calm
- ☐ Afraid
- ☐ Tired
- ☐ Amazed
- ☐ Shaky
- ☐ Happy
- ☐ Timid
- ☐ Alone
- ☐ Alert

- ☐ Active
- ☐ Guilty
- ☐ Joyful
- ☐ Nervous
- ☐ Lonely
- ☐ Sleepy
- ☐ Excited
- ☐ Hostile
- ☐ Proud
- ☐ Jittery
- ☐ Lively
- ☐ Ashamed
- ☐ At ease
- ☐ Scared
- ☐ Drowsy
- ☐ Angry at self
- ☐ Enthusiastic
- ☐ Downhearted
- ☐ Sheepish
- ☐ Distressed
- ☐ Blameworthy
- ☐ Determined
- ☐ Frightened
- ☐ Astonished
- ☐ Interested



- ☐ Upset
- ☐ Angry
- ☐ Bold
- ☐ Blue
- ☐ Shy

- ☐ Loathing
- ☐ Confident
- ☐ Energetic
- ☐ Concentrating
- ☐ Dissatisfied with self

[Watson, D., Clark, L. A., & Tellegen, A. (1988). Development and Validation of Brief Measures of Positive and Negative Affect: The PANAS Scales. *Journal of Personality and Social Psychology*, 54(6). 1063-1070.]

[Click Next]

The following questions are about you and your leader. Please think of your direct supervisor when responding. If you report to two supervisors, please consider the supervisor you interact with the most.

On average, how willing you are to...

Not Willing at All	Moderately Unwilling	Somewhat Unwilling	Neither Willing nor Unwilling	Somewhat Willing	Moderately Willing	Completely Willing
1	2	3	4	5	6	7

1. Rely on your leader's work-related judgements?
2. Rely on your leader's task-related skills and abilities?
3. Depend on your leader to handle an important issue on your behalf?
4. Rely on your leader to represent your work accurately to others?
5. Depend on your leader to back you up in difficult situations?
6. Share your personal feelings with your leader?
7. Confide in your leader about personal issues that are affecting your work?
8. Discuss honestly how you feel about your work, even negative feelings and frustration?
9. Discuss work-related problems or difficulties that could potentially be used to disadvantage you?
10. Share your personal beliefs with your leader?



[Gillespie, N. (2003). Measuring trust in work relationships: The Behavioral Trust Inventory
Paper presented at the annual meeting of the Academy of Management, Seattle.]

[Click Next]

The following information is for descriptive purposes only. You do not have to answer a question if you feel uncomfortable. **However, unanswered questions will mean the rest of your data is excluded from the study results.**

1. What is your gender?
 - ☐ Male
 - ☐ Female
 - ☐ Non-binary
 - ☐ Prefer not to say

1. What is your age?
 - ☐ Under 19
 - ☐ 19 to 29
 - ☐ 30 to 39
 - ☐ 40 to 49
 - ☐ 50 to 59
 - ☐ 60 to 69
 - ☐ Above 70

2. What is the highest degree or level of school you have completed? If currently enrolled, please answer the highest degree you have received.
 - ☐ Less than a high school diploma
 - ☐ High school diploma or equivalent
 - ☐ College diploma
 - ☐ Trade/technical/vocational training
 - ☐ Associate degree
 - ☐ Bachelor's degree
 - ☐ Master's degree
 - ☐ Professional degree
 - ☐ Doctorate degree

3. How long have you been working for your current organization?
 - ☐ Less than 3 months
 - ☐ 3 to 6 months
 - ☐ 6 to 12 months
 - ☐ 1 to 5 years
 - ☐ 5 to 10 years



**ADLER
UNIVERSITY**

☐ More than 10 years

4. Which of the following best describes your current position?

☐ Manager

☐ Non-manager

5. How long have you been working for your direct supervisor?

☐ Less than 3 months

☐ 3 to 6 months

☐ 6 to 12 months

☐ 1 to 5 years

☐ 5 to 10 years

☐ More than 10 years

6. Approximately how many people are employed at your current organization?

☐ Less than 10 employees

☐ 10 to 99 employees

☐ 100 to 499 employees

☐ More than 500 employees

Thanks again for your participation in this study! Click here to submit your answers. [Submit]

Thank you for participating in our survey! Your responses have been submitted.

If you would like to receive a summary of the research results, please click the link below. The link will take you to a separate page where you can enter your email address. Once the study is finished, we will email you a summary of the overall results. You will not receive your individual results.

By providing your email address, your participation in this study may no longer be anonymous. However, your email address will not be able to be linked to your survey answers. We will make every effort to keep your participation confidential.

<https://summary-results-email-page.com>



If participants click the summary results page they will see:

To receive a summary of the research results, please write your email below. Once the study is finished, we will email you a summary of the overall results. You will not receive your individual results.

By providing your email address, your participation in this study may no longer be anonymous. However, your email address will not be able to be linked to your survey answers. We will make every effort to keep your participation confidential.

Your Email: _____

[Submit button]