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SELF-MONITORING, SELF-APPRAISAL AND TRANSFORMATIONAL  
LEADERSHIP; A MODEL TO TEST THE RELATIONSHIP BETWEEN  
IMPRESSION MANAGEMENT, PERFORMANCE APPRAISAL AND  
LEADERSHIP STYLE

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LORI ANN HIEBERT

To the Graduate Council:

I am submitting herewith a thesis written by Lori Hiebert entitled "Self-monitoring, Self-appraisal, and Transformational Leadership: A Model of the Relationship Between Impression Management, Performance Appraisal and Leadership Style." I have examined the final copy of the thesis for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Master of Arts, with a major in Industrial/Organizational Psychology.

  
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**A Thesis  
Presented in Partial  
Fulfillment for the  
Master of Arts  
Degree  
Austin Peay State University**

**Lori Ann Hiebert**

**June 1998**



## DEDICATION

This thesis is dedicated to my family for all the support and encouragement they have rendered throughout this endeavor. First, to my husband Tim, with whom I have had the wonderful experience of sharing two years of company command. Your leadership ability, compassion and dedication to your soldiers provided the inspiration for this study and the purest form of transformational leadership that I could ever hope to learn from. Thank you for all the love, understanding and patience you have shown me throughout our years together, and thank you for believing in me even when I could no longer believe in myself. To my daughters, Lindsey and Aubrey, may this provide inspiration for you to accomplish much in your life just as you provide daily inspiration to me and make it all worthwhile. And finally, to my father, George Smar, whose constant encouragement and support provided the foundation for my pursuit of higher education.

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## ABSTRACT

Effective leadership and 360-degree feedback are currently topics of interest within most organizations. Both are concerned with employee development and use self-appraisal as one tool to promote this, demanding that the variables that underlie the accuracy of such appraisal be understood. The personality construct of self-monitoring was examined as it predicts overestimation of self-appraisal as well as an individual's leadership style. The impact of leadership style on self-appraisal was also investigated. A group of military leaders completed measures of self-monitoring, self-appraisal and transformational leadership. A path analysis was employed to explore the relationship between these three constructs. The model received partial support with two of the three paths significant in the predicted direction. Results indicated that high self-monitors were more likely to rate their performance highly and were less likely to exhibit transformational leadership behaviors. The path from transformational leadership to self-appraisal was significant but in a direction opposite to that which had been predicted. This finding is addressed in the discussion section. The primary implication of the study is that high self-monitors may be overly concerned with impression management, limiting their ability to assess their own performance. Thus, the consistency of attitudes inherent in low self-monitors is important for developing self-awareness necessary to accurately assess performance. Additionally, the values of the low self-monitor are consistent with those of a transformational leader.

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## CHAPTER ONE

### INTRODUCTION

In order to remain competitive in today's thriving marketplace, organizations are finding that they must further invest in their human resources to increase productivity (Edwards & Ewen, 1996). This new awareness has led to a remarkable interest in employee development issues in the organizational management literature. More specifically, performance appraisal and leadership style, especially as they pertain to self and subordinate development, have both become an important focus of human resource professionals. Traditional performance appraisal, in which a supervisor rates a subordinate, is increasingly being replaced by a new, dynamic appraisal process known as 360-degree feedback. This form of appraisal highlights employee development and assesses performance from several vantage points: supervisor, subordinate, self and even client or customer in some cases (Edwards & Ewen, 1996). The self-appraisal component of 360-feedback programs in particular has been gaining acceptance for its role as a valuable development tool. This unique appraisal method requires employees to honestly assess their own work performance. While the potential for great insight exists with self-appraisal, there is also a valid concern that the inflated ratings associated with self-appraisals will negate any positive effects. This study will address the possible limitations of self-appraisal by focusing on what influences an individual's self-rating.

Leadership style has increasingly become known to positively influence employee development and productivity. In recent years, the model of transformational leadership has gained popularity as the model of choice for demonstrating how leaders optimize subordinate development and

performance within organizations. Transformational leadership builds upon the exchange of inducements for desired performance. This style of leadership develops, intellectually stimulates, and inspires followers to transcend their own self-interests for a greater collective purpose, vision or mission (Howell & Avolio, 1993). By developing followers, transformational leaders increase the performance of those followers by meeting their individual needs and ultimately benefit the organization. Transactional leaders merely gain compliance by clarifying expectations and exchanging promises of reward or threat for effort and performance. The unique characteristics of transformational leaders make them ideal candidates for the use of self-appraisal to promote self-development as well as the development of subordinates. Additionally, the characteristics of the transformational leader may themselves lend insight into the process of accurate self-appraisal.

While many factors have been identified as contributing to the self-appraisal process, this study will focus on the personality trait of self-monitoring. This individual difference characteristic indicates an individual's ability to monitor and control expressive behaviors (Snyder, 1974). High self-monitoring individuals look for cues of situational appropriateness to tailor their social behavior whereas low self-monitors rely on their internal values and beliefs to guide them and show less variability in self-presentation. Self-monitoring is likely to influence an individual's assessment of performance and leadership style since it defines their self-presentation skills.

This research is being conducted to determine if relationships exist among impression management, performance appraisal and leadership style. The study proposes a path model which will test the relationship between self-monitoring, self-appraisal and transformational leadership. It is

predicted that there will be a strong positive relationship found between self-monitoring and self-appraisal. A negative relationship is predicted between self-monitoring and transformational leadership as well as between transformational leadership and self-appraisal.



## CHAPTER TWO

### LITERATURE REVIEW

The literature on impression management, performance appraisal and leadership style is replete with examples of the applicability of each to a large variety of organizational management issues. The model proposed in this research examines the relationships between three specific constructs found within these subject areas- self-monitoring, self-appraisal and transformational leadership. To fully discern the relationships explored by the model, research pertaining to each construct will be reviewed.

#### *Self-Monitoring*

Self-monitoring has been defined as adjusting one's behavior so that it fits the situation (Snyder, 1974). It is a personality variable whose impact on numerous behaviors is becoming increasingly apparent. Individuals often control their behavior by adapting it to fit the social situation so that they are able to manage the impression they make on others and be the right person at the right time (Deluga, 1991). In addition to investigating other, numerous variables, a number of studies have suggested the use of self-monitoring as a personality trait to help predict the validity of self-appraisal and/or inherent leadership style (Yammarino & Atwater, 1997; Zaccaro, Foti & Kenny, 1991; Ellis, 1988).

According to the concept of self-monitoring, there are striking individual differences in the extent to which individuals have the ability to monitor their self-presentation, expressive behavior and nonverbal affective display (Snyder, 1974). Those high in the self-monitoring construct behave in ways that are highly sensitive to situational and interpersonal cues to behavioral appropriateness, thus, they seek to promote a desired public image

(Snyder, 1987). Snyder (1987, p.4) states, "These people exhibit striking gaps and contradictions between the public appearances and private realities of the self." Low self-monitors lack the ability or motivation to regulate their behavior so there is always a consistency between what they believe and what they do. True attitudes and dispositions are displayed in every situation (Snyder, 1987).

The growing body of research on self-monitoring has demonstrated its effect on numerous behaviors. It was found that low self-monitors did not perform as well in recruitment and/or selection interviews because of their lack of experience with impression management (Barber, Hollenbeck, Tower & Phillip, 1994). This is a situation where greater expertise is necessary since candidates need to focus attention on outward presentation. High self-monitors have an advantage because they have the natural ability and motivation to do so. The low self-monitor must expend more resources to present a favorable impression, which consequently impacts performance in the interviews (Barber et al, 1994). Relating this to self-appraisal, the high self-monitor should expend more resources trying to assess performance in light of the desire to create a favorable impression. Additionally, the strong desire for approval will cause the high self-monitor to channel resources into painting a picture of high performance. The low self-monitor, acting on internal values, should honestly assess performance without trying to create a desirable impression, thus obtaining a more truthful assessment.

Jenkins (1993) suggests that low self-monitors form relationships that foster commitment and longevity rather than those of the high self-monitor that are often based on immediate outcomes and satisfaction. He tested this assumption and found that the employment relationship was also subject to

these conditions. High self-monitors are likely to rate their performance based on their immediate level of satisfaction and self-presentation goals. Low self-monitors will be more likely to base their self-assessment on their commitment to the organization and long standing work performance.

Additionally, Jenkins' (1993) finding that low self-monitors seek relationships based on commitment and longevity supports the theory that transformational leaders are more likely to be low self-monitors.

Transformational leaders foster behaviors in their subordinates which encourage commitment to the leader and the organization, develop intrinsic work motivation and inspire a sense of purpose or mission that drives them to excel and maximize organizational performance (Howell & Avolio, 1993).

Prislin & Kovrlija (1992) used Azjen's theory of planned behavior to describe how the low-self monitor will form behavioral intentions from attitudes, which in turn will be converted to overt behavior. The high self-monitor will only translate behavior intentions into actual behavior if no serious obstacle is anticipated. Thus, high self-monitors may also assess their performance in this manner. They will tend to rate themselves favorably so that their self-impression is preserved and they will not have to confront their true weaknesses. Their leadership style tends to be more transactional because an exchange system will afford them the opportunity to set contracts depending on the situation at hand. They don't have to espouse a leadership philosophy based on internal values that requires consistency between these values and their overt behavior. Instead, they merely allocate a reward based on performance of a specified task that is driven by the situation at hand. A transformational style would force them to confront obstacles because they may often have to reconcile differences between their internal values and



situational demands. Low self-monitors are naturally able to work through such obstacles since their behaviors are consistent with their attitudes.

High self-monitors often selectively filter information that will justify their position; thereby, creating a positive self-image. They often hide their failures so that performance is not evaluated negatively (Caldwell & O'Reilly, 1982). Similarly, Fandt & Ferris (1990) found that high self-monitors manipulated information and used more positive and defensive information in high accountability situations. Self-appraisal used as part of a multi-source appraisal program may constitute a high accountability situation for the high self-monitor. Additionally, a transactional leadership style may be influenced by a predisposition to filter information and intentionally hide failures. A truly transformational leader does not withhold information or hide mistakes for personal gain. Information is generously shared to empower subordinates and mistakes are often used as examples to learn from.

An individual's propensity for self-monitoring is often related to their self-conception (Snyder, 1987). Individuals classified as high self-monitors are often described as having a pragmatic conception of self. Their sense of self is flexible and adaptive since they carefully select appropriate behavior for each situation. Low self-monitors are often referred to as principled in nature. (Snyder, 1987). The identity and subsequent behavior of the low self-monitor are guided by inner characteristics and personal attributes. Bass (1985) applies the pragmatic/principled distinction to leadership orientation. Pragmatism is associated with transactional leaders as they value conformity based on exchanges. Concrete results such as maintaining current standards are more important than the theoretical ideals of the transformational leader. Bass (1985) further equates the transactional/pragmatic leader to the typical

lower level manager supporting the contention that the transformational/transactional leadership paradigm has an augmentation effect with transformational leadership behaviors building upon transactional ones.

As the literature reveals, self-monitoring has been identified by many studies as an individual difference construct that influences many behaviors (Ellis, 1988; Chatterjee & Hunt, 1996; Hamid, 1989; Kilduff & Day, 1994). The present study will attempt to link self-monitoring to self-appraisal and transformational leadership. This approach will uniquely provide a trait and situational view of both processes (Zaccaro, Foti & Kenny, 1991).

### *Self-Appraisal*

Self-appraisal is being widely used in organizations to enhance the developmental and motivational impact of performance appraisal programs (Campbell & Lee, 1996). Impression management most likely influences an individual's self-appraisal response set because the ability and desire to control outward social behavior and presentation will be reflected in the individual's personal assessment of work performance. This is more likely to be true when self-appraisal is used for 360-feedback programs and developmental purposes since the appraisal will be seen by others. It is important to investigate self-monitoring and its impact on self-appraisal since it identifies whether an individual possesses the ability and motivation to manipulate responses.

Self-appraisal can be extremely valuable to leaders since their performance impacts the behavior of their subordinates. Their leadership orientation will affect the utility of self-appraisal because leaders adhering to different philosophies will respond to self-appraisal in very different ways dependent on the same factors that cause them to adhere to their particular

leadership style. The transformational leadership model lends itself to this distinction since many of the factors that separate the transformational from the transactional leader (i.e. idealized behavior, intellectual stimulation) (Bycio, Hackett & Allen, 1995) will also be factors influencing the leader's self-appraisal assessment.

Meyer (1991) concludes that many companies are not satisfied with their traditional performance appraisal systems. He is a proponent of self-appraisal stating that, "an appraisal discussion designed to serve communication, motivation, and development purposes should be based on the subordinate's self-appraisal (p. 72)." His ideas resonate throughout organizations today as the emergence of 360-feedback programs continues to take hold. Self-appraisal is often overlooked in organizations as a valuable method for providing performance data despite the fact that the employee knows more about his own behavior than anyone else. There have been many studies done to identify problems with self-assessment but few have taken the approach of identifying the factors inherent in the process so that it can be improved to augment development activities (Arnold & Davey, 1992; Korsgaard, 1996 & Roberson, Torkel, Korsgaard, Klein, Diddams & Cayer, 1993).

Self-appraisal of job performance is beneficial because it brings a unique source of information to the performance appraisal process (Somers & Birnbaum, 1991). Many advantages of accurate self-appraisal have been cited. Self-respect and dignity is fostered in employees. The performance appraisal becomes a counseling session rather than a judgment day and the employee is more likely to set goals and engage in development activities. Self-motivation is usually increased and defensiveness is lessened. In some instances, the



employee performs an uncommon job and really is the best one to appraise performance (Somers & Birnbaum, 1991).

While many organizations have implemented self-appraisal into their performance appraisal process, there is still much skepticism of its value because of measurement problems that suggest it is often an inaccurate evaluation of true performance. Atwater, Roush & Fischthal (1995) identified three significant problems that inaccurate appraisal can pose for organizations. If employees do not recognize their shortcomings, they will not be able to change their behavior and improve performance. Secondly, the employees who provide inaccurate self-appraisal are usually the worst performers. Finally, successful feedback is dependent on accurate self-appraisal.

Leniency errors are prevalent with self-appraisal, more so than with any other appraisal method. A meta-analysis conducted by Harris and Schaubroeck (1988) established that in thirty-six correlational studies, self-appraisal scores were over one-half of a standard deviation higher than supervisor scores. The authors also found that the thirty-six studies produced an average correlation coefficient of .35 between supervisory and self-appraisals. Mabe & West (1982) conducted a similar meta-analysis that showed a low correlation coefficient of .29. Fahr & Werbel (1986) discovered that self-appraisals are more likely to show leniency errors when a reward is dependent on the outcome (i.e. administrative decisions) and when it is not believed that the self-appraisal will be verified with an additional result. Fox, Caspy & Resiler (1994) report that self-ego preservation, impression management and a self-protective orientation contribute to the leniency effect in self-appraisal. Their concepts are closely aligned with the definition of self-



monitoring used in this research to predict high performance ratings. Additionally, the absence of these traits in the transformational leader may account for the increased likelihood that more accurate self-appraisal may be gleaned from individuals internalizing this leadership style.

### *The Model of Transformational Leadership*

The relationship of self-monitoring and self-appraisal to leadership style warrants exploration because of the interdependence of the three concepts suggested by the respective literature in each area. The leadership philosophy of an individual is most likely influenced by many personality traits, one being impression management orientation. In return, leadership style is likely to influence the self-appraisal process since the factors that comprise an individual's leadership style should also moderate the evaluative processes of that individual as the following discussion suggests.

Leadership is a universal paradigm because a culture has yet to be found where it is absent. Many leadership models have been formulated over the past century as researchers try to discover what makes an ideal leader. Especially prevalent is the question of whether leaders are born or made. The study of leadership has focused on many different styles such as autocratic versus democratic, directive versus participative, and task versus relationship (Bass, 1996). While all models seem to explain some of the variance responsible for effective leadership, they still leave a lot unaccounted for.

In response to this, a new and dynamic model known as transformational leadership was offered by Burns (Burns, 1978) and later developed by Bass (Bass, 1985). Many of the fundamental principles of transformational leadership can be traced back to Weber's work on

charismatic leadership and Downton's work on rebel leadership (Yammarino & Bass, 1990). Burns based this model on the differentiation of transactional versus transformational leaders. Transactional leadership involves exchanges between leaders and followers. As such, it is a process of gaining compliance through implicit or explicit contracts. The role of the leader is to clarify expectations for the desired performance level, sometimes using promises of reward or disciplinary threat. The transactional leader is often compared to a manager and not even considered a leader (Covey, 1989). In contrast, transformational leadership inspires trust and respect, encouraging followers to develop their own interests for the good of the organization. The transformational leader motivates followers to perform at greater levels (Atwater & Yammarino, 1993). The transformational leader is often defined by using a comparison to the transactional leader.

The transactional leader bases relationships with followers on a mutual system of reinforcement. The leader demands performance by recognizing the basic needs of followers, those on the lower levels of Maslow's hierarchy of needs (i.e. a weekly paycheck to pay for food and housing). This is often referred to as the "carrot and the stick" approach to leadership. The transactional leader may often work from faulty assumptions such as to lead one must coerce, direct and threaten and that people prefer a directive leadership style. A successful transactional leader must recognize what subordinates need and want and clarify effort expenditures to satisfactorily meet needs (Yammarino, Spangler & Bass, 1993). Lower-order transactions involve the exchanges of tangibles such as salary, whereas a higher-order transaction involves the exchange of intangibles such as loyalty commitment and trust (Kuhnert & Lewis, 1987). While some transactional exchanges can

have positive effects on followers, transformational leadership achieves much greater effects.

Transactional leaders use both constructive and corrective exchanges with their followers. The constructive style is known as Contingent Reward and involves goal setting. Leaders clarify performance expectations and identify what will be attained for meeting performance expectations.

Depending on the developmental level of the follower, the process can either be participative or directive. At times, the leader and/or follower may not completely control all variables involved which is an important factor to the exchange.

There are less involved forms of transactional leadership known as active and passive management-by-exception (MBE). Active MBE involves correcting others. Transactional leaders who adhere to this approach focus on mistakes and deviations from standards. They focus their attention on this aspect of performance and take immediate steps to initiate corrective action. Followers of this leadership style are not innovative because they are afraid to take risks for fear of potential consequences. This often prevents them from performing at high levels (Bass, 1985).

Leaders who only take action when something goes awry characterize passive MBE. They adhere to the doctrine "if it ain't broke, don't fix it." Problems must become chronic before they will become involved. Obviously, this type of leadership does not hold the potential to motivate or really even lead. At best, individuals that subscribe to this method are ineffective managers.

Non-Transactional Leadership, *laissez-faire*, is often included in the transformational leadership model. It is often referred to as the negation of



leadership (Bass, 1985). Laissez-faire leaders take an avoidance approach to everything. They don't clarify expectations, avoid conflict and problems, and almost always have a negative effect on the organization.

Transformational leadership is often referred to as the superior leadership style. While it is true that transformational leaders are continually being recognized for their unique ability to serve as change agents within all types of organizations, the importance of positive transactional leadership should not be ignored. Originally, it was believed that transactional-transformational leadership could be illustrated on a continuum (Bass, 1995). It has now been demonstrated that transactional leadership provides a base level for performance expectations and transformational leadership provides an augmenting effect, building on the base and resulting in performance beyond expectations (Yammarino, Spangler, & Bass, 1993). Often the level of leadership dictates what style of leadership is necessary. The military provides one of the best examples of the transactional-transformational leadership relationship. At the level of platoon leader, a leader can be effective using positive transactional behaviors. However, at the level of company commander and then battalion commander, the augmenting effects of transformational leadership become vital (Tremble, 1996).

When leaders expand the interests of their subordinates, generate awareness and acceptance of the mission of the group and motivate subordinates to go beyond their own self-interests for the good of the organization, they are said to be transformational (Yammarino, Spangler & Bass, 1993). Transformational leaders are proactive as they optimize development as well as performance. There are five characteristics of transformational leaders as measured by the latest version of the Multifactor



Officer Questionnaire- idealized attributes, idealized behaviors, inspirational motivation, intellectual stimulation, and individualized consideration (Bass & Avolio, 1995). Idealized attributes and idealized behaviors are often categorized together as the charisma component although they require different behaviors (Bass, 1997). John F. Kennedy and Martin Luther King were both charismatic leaders who aroused great vision and mission amongst their followers (Bass, 1985). Leaders demonstrating inspirational motivation also challenge their subordinates with a vision of the future. Intellectually stimulating leaders question old assumptions and stimulate creative new assumptions. Developing subordinates and considering their individual needs are behaviors associated with the individual consideration component. The transformational components are all highly correlated and will be treated as one scale for purposes of this study (Bass, 1997).

Organizations today are realizing that transformational leaders not only develop their leaders, but promote organizational growth as well. Cascio (1995) postulates that the traditional job, whether it be in the trades or a service industry, has changed its focus dramatically. Whereby the traditional job used to be characterized by repetitive tasks performed by individual workers, now the focus is on diverse knowledge, skills, abilities, team work and advancement. The transactional leader used to be sufficient to manage the performance for reward contract associated with most jobs of the past. That is not the case for the jobs present in organizations today.

The complexity of the job market now requires leadership that is more empowering and goes beyond the transactional reward (Bass, 1997). This is just one of the many reasons for which this leadership style has become the

focus of intense study as investigators try to unravel the factors that are associated with the transformational leader.

### *Rationale for the present study*

Based on the review of the literature, a path-analysis will be used to examine the predicted relationships between self-monitoring, self-appraisal and transformational leadership. Figure 1 presents the proposed path-analytic model to be tested. A positive relationship is expected between high self-monitors and high self-appraisal ratings. Negative relationships are expected between low self-monitors and transformational leadership behaviors as well

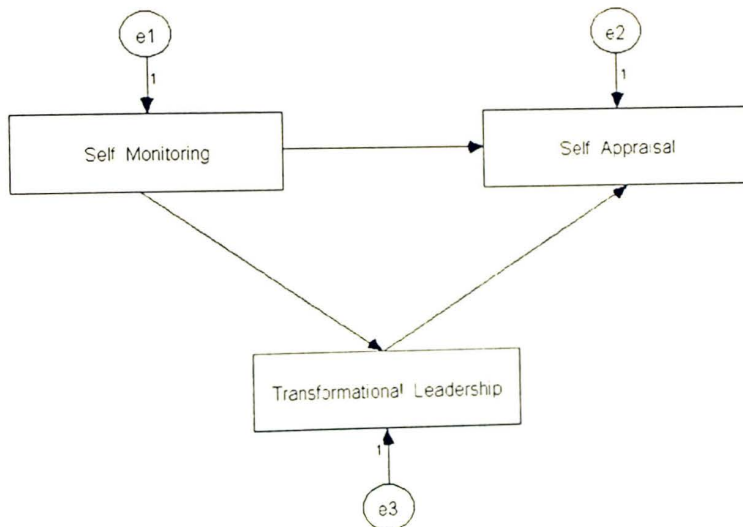


Figure 1. Path Model of the Relationship Between Self-Monitoring, Transformational Leadership, and Self-Appraisal

as between transformational leadership behaviors and self-appraisal ratings. The model is supported by the following research implications. The literature review indicates that high self-monitors ultimately desire to create a favorable impression by actively monitoring and controlling their expressive behavior.

Studies have shown that high self-monitors will often manipulate their behavior, selectively filter information, and use defense mechanisms to create a positive self-presentation, especially in high accountability situations. Weaknesses are often hidden so that performance is not evaluated negatively (Caldwell & O'Reilly, 1982; Fandt & Ferris, 1990). Given the above analysis and numerous studies that reveal self-appraisal in general is subject to leniency errors (Harris & Schaubroeck, 1988; Fahr & Werbel, 1986; Mabe & West, 1982; Fox, Caspy, & Reisler, 1994), the model will be supported if a positive relationship between self-monitoring and self-appraisal is found such that high self-monitors rate their performance higher than low self-monitors.

The model will also explore the relationship between self-monitoring and transformational leadership. Impression management has become prevalent in all avenues of our society (Bass, 1996). Given this fact and that in the traditional sense, self-monitoring is the ability to effectively control expressive behavior and apply it effectively to each situation for the purpose of self preservation (Snyder, 1987), it seems logical that this personality variable will influence individual leadership style. Since an important component of transformational leadership is idealized behavior which promotes values, trust, and ethical consequences of decisions, individuals that espouse these characteristics are more likely to display transformational leadership behaviors. Low self-monitors lack the motivation or the ability to regulate their behavior, so there is always consistency between what they value and their outward behavior. Given that the values of the low self-monitor appear consistent with those of the transformational leader, the following hypothesis will support the relationship between self-monitoring and leadership style. The model proposes that there will be a significant



relationship between self-monitoring and transformational leadership such that low self-monitors will exhibit more transformational leadership behaviors than will high self-monitors.

The third path of the model will explore the relationship between transformational leadership behavior and self-appraisal. Transformational leaders hold deep values that are used to influence and inspire followers (Yammarino, Spangler & Bass, 1993). These values are not only inherent in the individual's ability to lead but also permeate all aspects of the leader's behavior, including their own self-awareness. A truly transformational leader must be at or near the high end of Maslow's hierarchy of needs, that is, they must internalize the values which they represent (Bass, 1985). Greater self-awareness expands an individual's ability to more insightfully rate their performance (Church, 1997). Thus, it is expected that those leaders exhibiting transformational leadership behaviors will not rate themselves exceptionally high on self-appraisal instruments. Transformational leaders will use introspection and hold themselves to a higher standard more frequently than other leaders. Additionally, it has been predicted by the model that low self-monitors are more likely to exhibit transformational leadership behaviors and are more likely to have lower self-appraisal ratings. Given this, the model also predicts that there is a negative relationship between transformational leadership and self-appraisal. The model will be supported if individuals exhibiting transformational leadership behaviors rate their performance lower than those who do not exhibit transformational leadership behaviors.



## CHAPTER THREE

### METHOD

#### *Participants*

Subjects were 132 United States Army Officers and Non-Commissioned Officers who are currently in or have held leadership positions. All subjects were volunteers with no incentives being offered for participation. Subjects ranged in age from 21 years to 46 years with the average age being 30. All subjects were male.

#### *Instruments and Measures*

**Self-Monitoring.** The 25-item Self-Monitoring Scale (Snyder, 1987) is the most often used instrument to measure the psychological construct of self-monitoring. Internal consistency was computed by Cronbach's alpha at .75 (See Appendix A).

**Demographic Information.** Information was requested regarding the leader's rank, gender, leadership position and age. (See Appendix B).

**Self-Appraisal.** A 25-item self-assessment form to rate performance was designed by the investigator. The instrument was based on core competencies used to measure the performance of military leaders (Campbell, McHenry & Wise, 1990; Campbell, Ford, Rumsey, Pulakos, Borman, Felker, DeVera & Riegelhaupt, 1990). Competencies measured by items in the instrument included core technical proficiency (i.e. training, maintenance), physical fitness, effort and leadership and personal discipline. Additionally, the investigator consulted with a subject matter expert, a Company Commander of an Infantry Battalion Headquarters Company, to ensure the instrument was a representative performance measure for the population

being tested. Internal consistency was computed by Cronbach's alpha at .93 (See Appendix C).

**Transformational Leadership.** The Multifactor Leadership Questionnaire Rater Form 5X (Bass & Avolio, 1995) was developed to address criticisms of the previous version, MLQ 5R. Such criticisms include high correlations between the transformational scales and the combination of behaviors, impact and outcomes within a single leadership scale. The instrument contains five transformational leadership style scales, three transactional leadership scales and one scale of laissez-faire leadership as well as the three scales of performance measurement. For the purposes of this study, only the transformational scales will be considered. Transactional leadership forms the basis for transformational leadership, thus the effective transformational leader encompasses transactional behaviors as well. The augmenting effect of transformational leadership as identified by Bass (1985) indicates that transformational leaders are expected to have already mastered transactional leadership behaviors before they incorporate transformational behaviors into their leadership style. Further analysis of the transactional leadership scales is unlikely to provide significant information (Atwater & Yammarino, 1992). It is for this reason that the transformational scales will only be used to discern the transformational leader for purposes of this study. An overall transformational leadership score will be computed by averaging responses to the twenty items comprising the five transformational subscales. Internal consistency for the transformational subscales was computed by Cronbach's alpha at .91 (See Appendix D).

### *Procedure*

Subjects were given a testing packet consisting of an informed consent form, Self-Monitoring Scale, Multifactor Leadership Questionnaire, Leadership Performance Appraisal and Demographic Information form. After completion of all instruments, approximately 10-15 minutes, materials were returned to the investigator.

### *Data Analysis*

Descriptive statistics and internal consistency were computed for the Self-Monitoring Scale, Leadership Performance Appraisal and Multifactor Leadership Questionnaire. A path analysis was employed to examine the significance of the relationships hypothesized in the model. The analysis involved computing a series of regression analyses for the purpose of deriving path coefficients for the model. The path coefficients were derived using structural equation modeling software (AMOS) in this study.

## CHAPTER FOUR

### RESULTS

The descriptive statistics and variable intercorrelations are presented in Table 1. Self-monitoring had a significant correlation with Self-appraisal. Additionally, transformational leadership correlated negatively with Self-monitoring. Note that a Bonferroni adjustment to the significance levels of the correlations was applied to create an experiment-wise alpha rate of .05.

Path analysis was employed to test the model which was found significant ( $p < .01$ ) for all paths (See Figure 2). Standardized path coefficients provide an index of the direct relationship between two variables. As predicted, there is a significant positive relationship between self-monitoring and self-appraisal. Also found was a significant negative relationship between self-monitoring and transformational leadership behaviors. The third path of the model hypothesizing a relationship between transformational leadership behaviors and self-appraisal was also found to be

Table 1.  
Correlation matrix and descriptive data

	M	SD	AGE	TL	SM	SA
AGE	30.182	5.124		1.000		
TL	3.066	0.498	0.001	1.000		
SM	10.159	4.396	-0.314*	-0.240*	1.000	
SA	4.060	0.528	-0.054	0.162	0.353*	1.000

Note: TL= Transformational Leadership, SM = Self-Monitoring, and  
SA= Self-Appraisal

\* $p < .05$  using a Bonferroni adjustment.



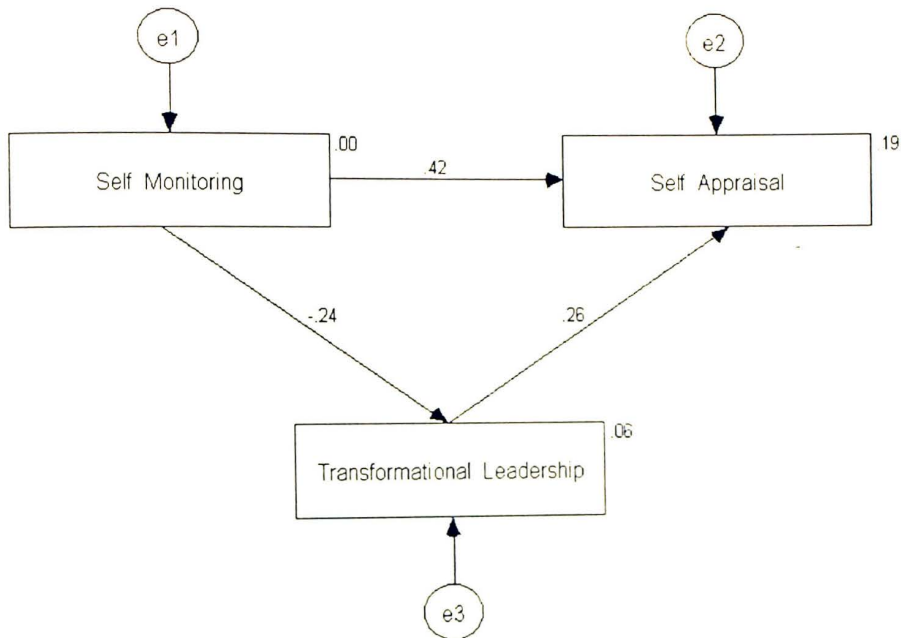


Figure 2. Path Model of the Relationship Between Self-Monitoring, Transformational Leadership, and Self-Appraisal

statistically significant in a positive direction as opposed to the negatively predicted one.

The path model also indicates that self-monitoring and transformational leadership behaviors together account for 19% of the variance in self-appraisal. Additionally, self-monitoring accounts for 6% of the variance in transformational leadership behaviors. All results were verified by multiple regression analysis.

## CHAPTER FIVE

### DISCUSSION

The results provide partial support of the model with two of the three paths significant in the predicted direction and the third path being significant in a direction opposite to that which had been predicted. As hypothesized, self-monitoring had a strong effect on self-appraisal such that high self-monitors rated themselves higher on a performance self-appraisal than did low self-monitors. This finding supports the self-monitoring literature that indicates high self-monitors are adept at creating a positive self-presentation despite what their true performance may be (Caldwell & Reilly, 1982; Fandt & Ferris, 1990). In this study subjects tended to report higher performance ratings when they scored higher on the self-monitoring scale indicating that their goal may have been presenting a favorable picture of their performance rather than an accurate one. Thus, impression management may heavily influence self-appraisal as high self-monitoring individuals strive to monitor and control their expressive behavior in yet another forum (Bass, 1996).

The model also provided support for the negative relationship between transformational leadership behaviors and self-monitoring. Subjects scoring lower on the self-monitoring scale reported more transformational leadership behaviors than their high self-monitoring counterparts. The model supports the contention that the values of the low self-monitor are consistent with those of the transformational leader. Transformational leaders develop, intellectually stimulate, and inspire followers to go beyond self-interest for a greater collective purpose, vision or mission (Howell & Avolio, 1993). Low self-monitors are often referred to as more principled, thus their inner values

and beliefs are consistent with those of the transformational leadership model and they will be more likely to ascribe to the transformational model of leadership as this research indicates. Additionally, the low self-monitor has a greater ability to develop transformational leadership behaviors because they do not adhere to the demands of impression management (Barber et al, 1994). They act on internal values which they use to impel followers through the characteristics of idealized behavior and attributes, inspirational motivation, intellectual stimulation and individualized consideration (Bass & Avolio, 1995).

While the third path of the model was found to be statistically significant, it was positively significant as opposed to the predicted negative direction. This suggests that there is a relationship between transformational leadership behaviors and self-appraisal such that those exhibiting transformational leadership behaviors rate themselves higher on performance appraisal measures. This finding may be attributed to a limitation of the study, using high self-appraisal ratings as a substitute for a measure of accuracy that is truly reflective of error in self-appraisal. Using high ratings only allows for an estimate of the prevalence of over-estimators (Yammarino & Atwater, 1997); however, accessibility of subjects prevented collection of the multiple sources of appraisals needed to compute accuracy. Since overestimation of self-appraisal is the most observed threat to accuracy (Lindeman, Sundvik & Rouhiainen, 1995), the use of high ratings was deemed a reasonable substitution. It is surmised by this investigator, that the transformational leader is more accurate in their self-appraisal because they are more likely to possess self-awareness (Church, 1997). In this study, the positive finding between transformational leaders and higher self-appraisal



may indicate that these leaders may be accurately assessing their performance if they are extremely high performers. A measure of accuracy is needed to determine this.

Another plausible explanation for the finding that transformational leadership is positively related to self-appraisal is the concept of the pseudotransformational leader. Bass (1996) describes the pseudotransformational leader as one who, "may also motivate and transform their followers but in doing so they arouse support for special interests at the expense of others rather than what's good for the collectivity." Some differences found in the pseudotransformational leader are that their values are not morally uplifting, they use power selfishly, they maintain dependence of followers and keep a personal distance from their followers. These leaders may subscribe to impression management but may be able to hide this side of them. It may appear they are acting for the good of all as they disguise their true motives. Bass (1996) identifies the individualized consideration component of the typical behaviors of transformational leaders as the one most often absent in pseudotransformational leader. In this study, perhaps many of the subjects who reported transformational leadership behaviors were actually pseudotransformational which could explain the higher self-appraisal ratings by these individuals.

### *Limitations*

In addition to the accuracy limitation discussed above, it should be mentioned that a military population was used. While this population has many advantages, including using subjects who are actually in leadership positions, the question of generalizability is an issue. The literature does support the generalizability of the Multifactor Leadership Questionnaire as

transformational leadership scores have been found to be comparable in military and business settings (Atwater & Yammarino, 1993). An all male subject pool was also used which may warrant further investigation into the differences females would bring to the findings of the path model.

All variables were measured using self-report techniques because of study limitations. Therefore, common method variance can not be ruled out as an explanation for the observed path coefficients.

### *Implications and Future Directions*

As mentioned above, the use of high ratings in this study to replace accuracy may be a limitation that future research can address. Future studies could examine whether using supervisor, subordinate and/or peer ratings as a measure of comparison to determine accuracy will build upon the findings in this study. This would allow for a more thorough examination of self-appraisal and the types of error it is subject to.

The results of the present study support the importance of identifying self-monitoring as a personality construct that influences both self-appraisal and leadership style. The approach is unique because it allows for both a trait and situational view of the processes (Zaccaro et al, 1991). Future research should address other personality constructs that have the ability to influence these processes. Additionally, mechanisms to identify and control for the self-monitoring construct warrant further investigation.

The study also provides further support for the model of transformational leadership. This dynamic paradigm is widely gaining acceptance in today's organizations as the model of choice for successful leadership. This path model identifies a personality construct that contributes to the presence of this leadership style and studies a process that may be

influenced by this form of leadership. Future research into this model is unlimited and can address issues such as contextual factors and outcomes.

In summary, the present research is important because it supports important relationships between self-monitoring, self-appraisal and transformational leadership. These relationships lend insight into both the performance appraisal process and effective leadership styles that are both vital concerns of organizations today. It is becoming increasingly apparent to organizations that they must invest in their human resources and encourage employee development if they are to remain competitive. The use of 360-degree feedback and the development of transformational leaders are two important processes which organizations can implement in their effort to develop their human resources. This study provides support of useful relationships that can be built upon when further research is undertaken in these areas.



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## APPENDICES

## APPENDIX A

### THE 25-ITEM MEASURE OF SELF-MONITORING

- |   |   |   |
|---|---|---|
| 1. I find it hard to imitate the behavior of other people.  | T | F |
| 2. My behavior is usually an expression of my true inner feelings, attitudes and beliefs.           | T | F |
| 3. At parties and social gatherings, I do not attempt to do or say things that others will like.    | T | F |
| 4. I can only argue for ideas which I already believe.  | T | F |
| 5. I can make impromptu speeches even on topics about which I have almost no information.           | T | F |
| 6. I guess I put on a show to impress or entertain others.  | T | F |
| 7. When I am uncertain how to act in a social situation, I look to the behavior of others for cues. | T | F |
| 8. I would probably make a good actor.  | T | F |
| 9. I rarely seek advice of my friends to choose movies, or music.                                   | T | F |
| 10. I sometimes appear to others to be experiencing deeper emotions than I actually am.             | T | F |
| 11. I laugh more when I watch a comedy than when I am alone.  | T | F |
| 12. In a group of people I am rarely the center of attention.                                       | T | F |
| 13. In different situations and with different people, I often act like very different persons.     | T | F |
| 14. I am not particularly good at making other people like me.                                      | T | F |



- |   |   |   |
|---|---|---|
| 15. Even if I'm not enjoying myself, I often pretend to be having a good time                               | T | F |
| 16. I'm not always the person I appear to be.   | T | F |
| 17. I would not change my opinions (or the way I do things) In order please someone or win their favor.     | T | F |
| 18. I have considered being an entertainer.   | T | F |
| 19. In order to get along and be liked, I tend to be what others expect me to be rather than anything else. | T | F |
| 20. I have never been good at games like charades or improvisational acting.                                | T | F |
| 21. I have trouble changing my behavior to suit different people and different situations.                  | T | F |
| 22. At a party I let others keep the jokes and stories going.   | T | F |
| 23. I feel a bit awkward in company and do not show up quite as well as I should.                           | T | F |
| 24. I can look anyone in the eye and tell a lie with a straight face (if for a right end).                  | T | F |
| 25. I may deceive people by being friendly when I really dislike them.                                      | T | F |

## APPENDIX B

## DEMOGRAPHIC INFORMATION

The demographic information is being collected for research purposes only. This information will not be used to identify subjects in any way. Thank you for your participation in this study!

Gender:    Male            Female

Age:

Occupation:    Military            Civilian

If Military, rank:

Leadership position (i.e. platoon leader, squad leader manager):

## APPENDIX C

*The following questions apply to your performance in your current or most recent leadership role. Honestly assess your performance as you answer each question. Please be reminded that the results of the survey are entirely confidential and will not be associated with your identity in any way.*

*1= I never do this.*

*2=I don't do this very often.*

*3=I satisfactorily meet this performance criteria.*

*4= I frequently do this.*

*5= Hoo-ah! I excel at this!*

- 
- |  |   |   |   |   |   |
|--|---|---|---|---|---|
| 1. I meet physical fitness standards.                                  | 1 | 2 | 3 | 4 | 5 |
| 2. I demand battle focused training from my subordinates.              | 1 | 2 | 3 | 4 | 5 |
| 3. I participate in the planning and preparation of training.          | 1 | 2 | 3 | 4 | 5 |
| 4. I consistently follow FM 25-101 Training Management.                | 1 | 2 | 3 | 4 | 5 |
| 5. I allow subordinates to plan and execute training.                  | 1 | 2 | 3 | 4 | 5 |
| 6. I conduct AAR's to improve training.                                | 1 | 2 | 3 | 4 | 5 |
| 7. I conduct effective risk assessments.                               | 1 | 2 | 3 | 4 | 5 |
| 8. I communicate effectively with my subordinates.                     | 1 | 2 | 3 | 4 | 5 |
| 9. I actively foster an environment that encourages team work.         | 1 | 2 | 3 | 4 | 5 |
| 10. I counsel subordinates effectively.                                | 1 | 2 | 3 | 4 | 5 |
| 11. I develop my subordinates.   | 1 | 2 | 3 | 4 | 5 |
| 12. I listen attentively to my soldiers' concerns.                     | 1 | 2 | 3 | 4 | 5 |
| 13. I consistently reward soldiers when they deserve it.               | 1 | 2 | 3 | 4 | 5 |
| 14. I give continual feedback to my subordinates on their performance. | 1 | 2 | 3 | 4 | 5 |
| 15. I give effective presentations and briefings.                      | 1 | 2 | 3 | 4 | 5 |



- |   |   |   |   |   |   |
|---|---|---|---|---|---|
| 16. I prepare reports and written requirements in a timely manner.                                  | 1 | 2 | 3 | 4 | 5 |
| 17. I understand and communicate effective maintenance procedures.                                  | 1 | 2 | 3 | 4 | 5 |
| 18. I do my own equipment and vehicle maintenance.  | 1 | 2 | 3 | 4 | 5 |
| 19. I meet equipment accountability standards.  | 1 | 2 | 3 | 4 | 5 |
| 20. I use discipline measures consistently and fairly.  | 1 | 2 | 3 | 4 | 5 |
| 21. I provide clear and concise guidance to my subordinates on all issues.                          | 1 | 2 | 3 | 4 | 5 |
| 22. I communicate effectively with my superiors.  | 1 | 2 | 3 | 4 | 5 |
| 23. I work effectively with my peers.   | 1 | 2 | 3 | 4 | 5 |
| 24. I consistently meet the needs of the organization.<br>(i.e. battalion, company, platoon, squad) | 1 | 2 | 3 | 4 | 5 |
| 25. I lead a group that is prepared for combat.   | 1 | 2 | 3 | 4 | 5 |

# MLQ Multifactor Leadership Questionnaire

## Leader Form (5x-Short)

This questionnaire is to describe your leadership style as you perceive it. Please answer all items on this answer sheet. **If an item is irrelevant, or if you are unsure or do not know the answer, leave the answer blank.**

Forty-five descriptive statements are listed on the following pages. Judge how frequently each statement fits you. The word "others" may mean your peers, clients, direct reports, supervisors, and/or all of these individuals.

Use the following rating scale:

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

1. I provide others with assistance in exchange for their efforts.....0 1 2 3 4
2. I re-examine critical assumptions to question whether they are appropriate .....0 1 2 3 4
3. I fail to interfere until problems become serious .....0 1 2 3 4
4. I focus attention on irregularities, mistakes, exceptions, and deviations from standards.....0 1 2 3 4
5. I avoid getting involved when important issues arise .....0 1 2 3 4
6. I talk about my most important values and beliefs.....0 1 2 3 4
7. I am absent when needed .....0 1 2 3 4
8. I seek differing perspectives when solving problems .....0 1 2 3 4
9. I talk optimistically about the future .....0 1 2 3 4
10. I instill pride in others for being associated with me .....0 1 2 3 4
11. I discuss in specific terms who is responsible for achieving performance targets .....0 1 2 3 4
12. I wait for things to go wrong before taking action .....0 1 2 3 4
13. I talk enthusiastically about what needs to be accomplished .....0 1 2 3 4
14. I specify the importance of having a strong sense of purpose .....0 1 2 3 4
15. I spend time teaching and coaching .....0 1 2 3 4

Continued =>

Not at all		Once in a while		Sometimes		Fairly often		Frequently, if not always	
0		1		2		3		4	
16.	I make clear what one can expect to receive when performance goals are achieved .....	0	1	2	3	4			
17.	I show that I am a firm believer in "If it ain't broke, don't fix it." .....	0	1	2	3	4			
18.	I go beyond self-interest for the good of the group .....	0	1	2	3	4			
19.	I treat others as individuals rather than just as a member of a group .....	0	1	2	3	4			
20.	I demonstrate that problems must become chronic before I take action .....	0	1	2	3	4			
21.	I act in ways that build others' respect for me .....	0	1	2	3	4			
22.	I concentrate my full attention on dealing with mistakes, complaints, and failures .....	0	1	2	3	4			
23.	I consider the moral and ethical consequences of decisions .....	0	1	2	3	4			
24.	I keep track of all mistakes .....	0	1	2	3	4			
25.	I display a sense of power and confidence .....	0	1	2	3	4			
26.	I articulate a compelling vision of the future .....	0	1	2	3	4			
27.	I direct my attention toward failures to meet standards .....	0	1	2	3	4			
28.	I avoid making decisions .....	0	1	2	3	4			
29.	I consider an individual as having different needs, abilities, and aspirations from others .....	0	1	2	3	4			
30.	I get others to look at problems from many different angles .....	0	1	2	3	4			
31.	I help others to develop their strengths .....	0	1	2	3	4			
32.	I suggest new ways of looking at how to complete assignments .....	0	1	2	3	4			
33.	I delay responding to urgent questions .....	0	1	2	3	4			
34.	I emphasize the importance of having a collective sense of mission .....	0	1	2	3	4			
35.	I express satisfaction when others meet expectations .....	0	1	2	3	4			
36.	I express confidence that goals will be achieved .....	0	1	2	3	4			
37.	I am effective in meeting others' job-related needs .....	0	1	2	3	4			
38.	I use methods of leadership that are satisfying .....	0	1	2	3	4			
39.	I get others to do more than they expected to do .....	0	1	2	3	4			
40.	I am effective in representing others to higher authority .....	0	1	2	3	4			
41.	I work with others in a satisfactory way .....	0	1	2	3	4			
42.	I heighten others' desire to succeed .....	0	1	2	3	4			
43.	I am effective in meeting organizational requirements .....	0	1	2	3	4			
44.	I increase others' willingness to try harder .....	0	1	2	3	4			
45.	I lead a group that is effective .....	0	1	2	3	4			