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Leaders mentoring others: the effects of implicit followership theory on leader integrity and mentoring

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ABSTRACT

How are leaders influenced by their assumptions about human nature? From a social cognitive perspective, this study examines the effects of a leader’s implicit followership theory (IFT) on the leader’s integrity, engagement, and effectiveness as a mentor. Multisource data collected from a diverse sample of CEOs and senior executives of large organizations (\(N = 331\)) and their direct reports (\(N = 1,517\)) suggest that leaders who hold optimistic IFTs are more likely to be relationally engaged with their direct reports and are more likely to be rated higher on integrity and mentoring effectiveness. Together, these results advance an ethical stewardship and relational mentoring perspective on human resource management.

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The active involvement of leaders as mentors is critical to organizational socialization, ethical stewardship, and human resource management (HRM; Allen et al., 2017; Caldwell & Peters, 2018; Chanland & Murphy, 2018; Scandura & Williams, 2004). Mentoring is especially relevant in HRM environments where constant change intensifies the need for relational forms of learning and development (Chandler et al., 2011; Higgins & Kram, 2001; Ragins, 2016). Consequently, organizational scholars have argued that mentoring should not be left to chance (Kram & Hall, 1996; Lankau & Scandura, 2002; Scandura & Schriesheim, 1994). Leaders must instead take proactive steps to mentor and develop their followers. Despite the importance of mentoring to HRM and leadership development, the research question persists—why do some leaders mentor more than others?

Although mentoring is highly valued in organizations, not all leaders mentor. The consequences of the lack of mentoring from organizational
leaders have been identified in several studies (McDonald & Westphal, 2013; Ragins & Cotton, 1991; Ragins & Scandura, 1999). However, mentoring research has focused primarily on the benefits of mentoring, with limited attention paid to understanding why some leaders mentor more than others. This lack of understanding represents a significant gap in HRM scholarship, especially in relation to the benefits of mentoring and the role that leaders play as mentors (Walker & Yip, 2018). Greater understanding of the cognitive, affective, and behavioral antecedents of mentoring can point HRM theory and practice toward more sustainable forms of relational learning and work development. Our paper addresses this issue while focusing on how leaders’ implicit assumptions about followers’ characteristics, known as implicit followership theories (IFTs; Carsten et al., 2010; McGregor, 1960; Sy, 2010), influence the engagement, integrity, and effectiveness of leaders as mentors.

McGregor (1960) was the first to theorize the role of implicit theories in HRM. Given the human tendency to make assumptions about human nature, McGregor argued that leaders and organizations were better served by optimistic assumptions of followership, an implicit theory he described as ‘Theory Y’, the belief that followers are motivated and capable (McGregor, 1960). Although Theory Y is commonly espoused in organizations, the reality differs from the ideal. McGregor’s (1960) arguments about Theory Y, while influential in surfacing the importance of implicit theories, stopped short at specifying mechanisms that explained the effects of those theories (Kopelman et al., 2012; Schein, 2011). Neither did he follow through in testing and examining the consequences of implicit theories with empirical research.

In this study, we examine how a leader’s IFT (i.e. Theory Y) is consequential to the HRM outcomes of leader integrity, engagement, and mentoring. To do so, we focus on senior executives as leaders having a significant influence on HRM strategy and outcomes (Arthur et al., 2016; Hambrick & Mason, 1984). Taking a social cognitive approach, we consider how implicit assumptions about followers influence an executive’s supervisory career mentoring to their direct reports. More specifically, the study examines how integrity and relational engagement mediate the relationship between a leader’s IFT and mentoring.

This study advances HRM literature three ways. First, we extend an ethical stewardship perspective of HRM (Caldwell et al., 2011), with a focus on conditions that enable leaders to be better mentors. The stewardship perspective is concerned with how members of an organization are motivated to act in the interests of others (Caldwell et al., 2008; Davis et al., 1997). Where prior research in HRM has focused on the ethical responsibilities of leaders as mentors (Hezlett & Gibson, 2005;
McDonald & Hite, 2005), this study examines how integrity is a central and linking mechanism of a leader’s IFT about mentoring. The mediating role of leader integrity, as we theorize in this paper, illuminates a virtuous social mechanism from a leader’s implicit theory to mentoring—leaders with optimistic IFTs are more likely to lead with integrity and as a result, more likely to be rated as effective mentors to others.

Second, the study extends relational mentoring theory (Fletcher & Ragins, 2007; Ragins, 2012; Ragins & Verbos, 2007) by answering the call of Ragins and Verbos (2007) for research on the role of positive schemas in mentoring relationships. More specifically, the study examines the effects of a leader’s IFT on distinctly relational outcomes (i.e. relational engagement and mentoring). By understanding the role of IFTs in mentoring, HRM practitioners can develop targeted training interventions to foster schemas that result in effective mentoring. Furthermore, this study extends the growing body of work on how social cognition in general and implicit theories in particular shape HRM practices (Gardner & Wright, 2009). This distal–proximal model of interpersonal cognition and affect can be extended to consider other relational outcomes, such as high-quality connections (Stephens et al., 2011), leader–member exchange (LMX; Gerstner & Day, 1997), and relational learning (Lankau & Scandura, 2002).

Third, to the best of our knowledge, this is the first study to examine the role of leader integrity as a predictor of mentoring effectiveness using a sample of senior executives. From an ethical stewardship perspective (Caldwell et al., 2011), this study establishes how IFTs are critical for executive stewardship. Senior executives play an outsized role in shaping the ethical climate of organizations (Pasricha et al., 2018). To the extent that leader integrity matters for mentoring, this work suggests that ethical standards and consistency should be valued in mentoring relationships. Our findings in this respect suggest further research is needed on the role of ethics and stewardship in executive mentoring.

**Theory and hypotheses**

Mentoring is a relational practice in which a more-experienced person helps a less-experienced person develop and advance at work (Eby & Robertson, 2020; Kram, 1985). Scholars have established that most organizational mentoring occurs informally between supervisors and their direct reports (Kram, 1985; Ragins & McFarlin, 1990). This form of mentoring, known as supervisory career mentoring (i.e. supervisory mentoring), is a relational process in which a formal supervisor helps a less-experienced subordinate advance their career goals (Ragins & McFarlin,
Supervisory career mentoring involves a range of career-mentoring functions. This includes coaching, exposure, and visibility while offering challenging assignments and providing sponsorship (Kram, 1985; Scandura & Schriesheim, 1994). Supervisory mentors may serve as a sponsor or engage in coaching, but they differ from traditional mentoring relationships because the goals of the organization may supersede their goals for their protégé.

Supervisory career mentoring serves a critical function in organizations. It is associated with positive outcomes, such as knowledge transfer (Swap et al., 2001), higher performance ratings of the leader (Gentry et al., 2008), employee job satisfaction (Scandura & Williams, 2004), and organizational commitment (Fagenson-Eland et al., 1997). Furthermore, Scandura and Williams (2004) found that supervisory mentoring predicts employee outcomes over and above transformational leadership.

Despite its benefits, research on the antecedents of supervisory mentoring has been limited to personality traits (Allen, 2003). This study addresses this gap by examining the cognitive and affective antecedents of supervisory mentoring. Figure 1 presents a summary of the conceptual model.

**Implicit followership theories**

One of the key elements of social cognition is the propensity of people to categorize and classify other people (Fiske & Taylor, 1991). Generally, people process information from their environment in a limited capacity (Simon, 1991); they rely on implicit theories as bases to make sense of new situations and knowledge. Implicit theories are stable belief systems developed as a natural consequence of the way humans categorize their
environments. They comprise assumptions and mental models that influence how people understand the world and take action (Chiu et al., 1997; Dweck, 1999; Engle & Lord, 1997; Junker & van Dick, 2014; Shondrick & Lord, 2010). Implicit theories have been described in other writings as lay theories (Heider, 1958; Kelly, 1955), theories-in-use (Argyris & Schön, 1978), cognitive scripts (Abelson, 1976), and logics of action (Bacharach et al., 2000). More importantly, researchers have established that implicit theories are consequential to HRM and leadership (Gardner & Wright, 2009).

Douglas McGregor (1960) was one of the earliest proponents of the effects of IFT, even before it became an established theoretical body of knowledge. McGregor (1960) believed that a manager’s behavior was powerfully influenced by assumptions about human nature. According to McGregor, the failure of managers to bring the best out of their employees is a result of cynical assumptions that undermine their motivations and capabilities. Conversely, he argued that managers having optimistic assumptions of others would be more likely to create attractive work environments for all subordinates, environments characterized by trust, autonomy, and support.

In this study, we situate and extend McGregor’s assertions through theories of social cognition and, more specifically, research on IFTs. IFTs, as defined by Sy (2010), are the stable beliefs about followers’ personal attributes and characteristics. More specifically, Sy (2010) argued that people have cognitive prototypes of followers in the same manner that they hold implicit theories of leadership. In a construct validation study, Sy (2010) found that leaders had positive prototypes of followers along dimensions of industry, enthusiasm, and being a good citizen. They had negative prototypes characterized by conformity, insubordination, and incompetence. Most early IFT research took place in laboratory settings. However, field-based organizational research suggests that IFTs are instrumental in shaping leader–follower relationships and quality/LMX (Lord et al., 2020). Although research on IFTs is relatively nascent, positive assumptions about followers have been linked more closely to transformational leadership (Goodwin et al., 2000) and follower performance (Whiteley et al., 2012). Some emerging research has suggested that the origin of IFTs traces back to early childhood relationships with caregivers (Thompson et al., 2018).

Similar to the self-fulfilling prophecy known as the Pygmalion effect (Eden, 1992), IFTs operate via the social cognitive linkage between perceptions and behaviors (Epitropaki et al., 2013). When certain beliefs (i.e. IFTs) become activated, attributes associated with categories are more readily accessible to trigger cognition-consistent behaviors (Bargh
In response to favorable or unfavorable treatment, the target recipient of these behaviors often responds in kind, further reinforcing the initial actor’s beliefs (Chen & Bargh, 1997). For example, if a leader believes that followers are incompetent and unmotivated, the leader may closely scrutinize followers’ work and harshly punish mistakes, engendering follower resentment. In turn, this harsh supervision might reduce follower motivation, leading to minimal follower effort and reinforcement of the leader’s cynical beliefs.

Consistent with McGregor’s (1960) theory, research suggests that managers’ leadership styles remain consistent with their pre-existing beliefs, regardless of follower performance (Goodwin et al., 2000). This suggests IFTs are relatively stable belief systems. Indeed, Sy (2010) found that IFTs remained consistent over a 4-week timeframe. Thus, based on their accumulated experiences with specific followers, leaders develop certain stable beliefs about followers in general (i.e., IFTs) that may impact how leaders behave toward subordinates. More importantly, research has shown that a leader’s IFT is distinct from the perception of specific followers and that a leader’s IFT accounts for leader behaviors over and above perceptions of specific followers (Goswami et al., 2020).

**Mediating role of leader integrity**

Although prior research has established the benefits of a leader’s optimistic IFT on leader–follower relationships (Lord et al., 2020; Whiteley et al., 2012), the ethical consequences of a leader’s IFT have yet to be established. In this study, we include a focus on leader integrity (as a mediating mechanism) to test a moral reciprocity hypothesis. More specifically, we propose that a leader’s optimistic IFT (a belief that followers are good citizens) engenders a moral response on the part of the leader (integrity) and that moral response is associated with follower perceptions of the leader as an effective mentor. In other words, a leader’s optimistic IFT can result in the leader demonstrating greater integrity and followers perceiving the leader as a more effective mentor. This mechanism highlights how integrity is a linking mechanism between a leader’s belief and perceptions of the leader as a mentor.

Given multiple definitions of integrity (Palanski & Yammarino, 2009), we focus on leader integrity as ‘the perception that a leader holds moral values and professes and enacts those values with an exceedingly high degrees of consistency’ (Moorman et al., 2013, p. 19). This definition acknowledges both the moral and behavioral dimension of integrity: two dimensions that have been salient in integrity research (Simons et al.,
Craig and Gustafson (1998) similarly identified these dimensions in their early research on the observable behaviors of leader integrity.

The consequence of a leader’s IFT on integrity can be understood through the moral norm of reciprocity (Gouldner, 1960) in which the perceptions of another’s positive intentions are reciprocated via prosocial behavior. The moral norm holds that reciprocity is a belief that one should not take more than they give (Uehara, 1995). In other words, if a leader believes that their follower is positively invested in their working relationship, the leader will reciprocate with the same level of investment, or more. This moral norm of reciprocity is thought to be universal (Gouldner, 1960) and has been established in a number of studies on prosocial behaviors in the workplace (Deckop et al., 2003; Hu & Jiang, 2018). For example, Simons et al. (2007) found a ‘trickle-down’ effect of leader integrity. That is, managers who worked with leaders of high integrity were similarly observed to have higher levels of integrity by their followers.

Additionally, implicit theories function as self-regulatory mechanisms that shape how leaders engage in ethical HRM practices. In a study of procedural justice in performance appraisals, Heslin and VandeWalle (2011) found that managers who held more optimistic implicit theories about subordinates gave more procedurally just performance appraisals. In turn, subordinates responded more favorably by engaging in higher levels of organizational citizenship behavior (Heslin & VandeWalle, 2011). The self-regulatory effect of an optimistic IFT stems from peoples’ desire for self-consistency (Blasi, 1983). People having an optimistic IFT are motivated to act in ways that are consistent with their understanding of what they expect from others. Doing otherwise would result in dissonance.

Hypothesis 1: A leader’s optimistic IFT is positively related to leader integrity.

Perceptions of a leader’s integrity can have a positive influence on the ability of the leader to mentor others. Research has shown that followers are more receptive and trusting of leaders having higher levels of integrity (Simons et al., 2015). Furthermore, perceived integrity is a critical component of trust (Mayer et al., 1995) and is associated with related outcomes, such as follower commitment and satisfaction with leaders (Leroy et al., 2012). These findings suggest that leader integrity is an important condition for an effective mentoring relationship.

In addition to trust, followers are likely to identify more strongly with leaders who demonstrate integrity. Among other character traits, integrity is one that is associated with effective mentoring (Bailey et al., 2016; Lyons & Perrewé, 2014). In a study of protégé perceptions of mentors,
Bailey et al. (2016) found that, in addition to the support provided by mentors, protégés associate the integrity of a mentor with the mentor’s effectiveness. Similarly, in a study of 100 mentor–protégé pairs, Lyons and Perrewé (2014) found a positive association between perceived mentor integrity and quality. Hence, when a follower observes that a leader has integrity, the follower will more likely identify with the leader as a mentor.

In summary, we propose that leader integrity mediates the positive relationship between a leader’s IFT and mentoring effectiveness. This relationship is explained by the moral norm of reciprocity (Gouldner, 1960). Both parties perceive that the other has their best interests in mind, and, therefore, both parties invest in the relationship. Leaders who hold an optimistic IFT are more likely to behave in a consistent manner with their followers while focusing on their development. In turn, followers are more likely to identify with their leaders while being receptive to mentoring from them. This represents a virtuous dynamic: a leader’s optimistic IFT engenders greater integrity, which enables more effective mentoring.

Hypothesis 2: Leader integrity is positively related to mentoring effectiveness.

Hypothesis 3: Leader integrity mediates the positive relationship between a leader’s optimistic IFT and mentoring effectiveness.

The mediating role of leader integrity represents an exchange-based pathway by which the positive perceptions of followers engender reciprocal behavior by the leader. However, this is not the only mechanism. Relational mentoring theory (Fletcher & Ragins, 2007; Ragins, 2012; Ragins & Verbos, 2007) suggests that mentoring relationships are shaped by positive emotions and communal norms of mutual engagement. Positive emotions, according to relational mentoring theory, are necessary for the development of mentoring relationships and mentoring effectiveness (Fullick-Jagiela et al., 2015). Accordingly, we propose that the effect of a leader’s IFT on mentoring is mediated by an additional affective pathway. We examine this through the role of relational engagement.

**Relational engagement and mentoring**

Engagement is an affective motivational state (Bledow et al., 2011; Macey & Schneider, 2008) first defined by Kahn (1990) as ‘the harnessing of organization members’ selves to their work roles’ (p. 694). Building on Kahn’s (1990) definition, Schaufeli and Bakker (2004) defined engagement in more specific terms as ‘a positive, fulfilling, work-related state of
mind that is characterized by vigor, dedication, and absorption’ (p. 295). Although Kahn’s (1990) original conceptualization of engagement included both task and relational aspects of engagement, subsequent studies have revealed limited operationalization of the construct to job- and task-specific engagement.

Building on Kahn (1990) and Bakker’s (2011) definition of engagement, we define relational engagement as a specific form of engagement characterized by the vigor, dedication, and absorption that a person feels toward their relationship with another person or group of people. By this definition, one can consider relational engagement at a dyadic level between a boss and subordinate or at a group level, by overall levels of engagement that a leader experiences toward employees. For this study, we focus on the latter.

Relational engagement is distinct from other positive relational constructs, such as interpersonal trust and LMX, in that it is characterized by high activated positive emotions and an emotional intensity that is stronger than mere perceptions of relationship quality (LMX) or the willingness to trust another person. This emotional intensity is role-specific and dynamic (Kahn, 1990; Rothbard, 2001). For example, in a study of 790 university employees, Rothbard (2001) found that an employee’s level of engagement in a work role varied by their engagement in their family role. That is, people experience varying levels of engagement across roles, and the engagement from one role can spillover to the other. Similarly, researchers have found that the levels of engagement differ within individuals across tasks and situations. For example, Tims et al. (2013) found differences between people’s levels of work engagement and their engagement in their roles as team members. Newton et al. (2020) found that engagement varied dynamically across different tasks within a job. Findings such as these indicate the intensity and role-based identity dynamics of engagement.

The relationship between a leader’s IFT and relational engagement can be understood through relational mentoring theory (Fletcher & Ragins, 2007; Ragins, 2012; Ragins & Verbos, 2007). This theory proposes that cognitive schemas (e.g. leader IFT) can influence the expectations and emotions that mentors experience toward others (Ragins & Verbos, 2007). Furthermore, Ragins and Verbos (2007) theorized that mentors who perceive the ideal selves of others were more likely engaged and invested in mentoring relationships. Extending this further, we propose that a leader’s optimistic IFT is associated with greater levels of relational engagement.

Hypothesis 4: A leader’s optimistic IFT is positively related to relational engagement.
Mediating role of relational engagement

In this study, we examine a central proposition of relational mentoring (Ragins, 2012) in which relational schemas and affect are important predictors of mentoring quality (Ragins & Verbos, 2007). As Ragins and Verbos (2007) noted, ‘schemas influence members’ expectations and behaviors in the relationship, their satisfaction with the relationship, and their overall evaluation of the relationship’s quality and effectiveness’ (p.108). Relational mentoring theory moves beyond one-sided, exchange-based mentoring, and proposes that mentoring characterized by mutuality and communal norms offers high-quality, growth-filled relationships that fulfill both protégé and mentor needs. The link between positive expectations and emotions is central to relational mentoring.

Although relational mentoring theory suggests there are affective pathways to high-quality, mutually engaged mentoring relationships, these links have neither been examined nor fully explained. To address this gap, we propose that relational engagement provides a critical affective link between a leader’s cognition and mentoring provided toward their followers. Specifically, we propose that a leader’s optimistic IFTs can have an indirect effect on mentoring as a result of the positive emotions (relational engagement) generated through positive expectation of others. Furthermore, relational engagement experienced by leaders may have positive spillover effects that enhance the quality of the mentoring relationship. Prior research has uncovered similar dynamics. For example, optimistic IFTs have been found to positively impact the quality of relationships between leaders and followers (Goswami et al., 2020; Sy, 2010; Whiteley et al., 2012).

Similarly, prior research has established the importance of relational characteristics, such as interpersonal comfort (Allen et al., 2005), relationship quality (Ragins et al., 2000), and affect-based trust (Wang et al., 2010), on mentoring outcomes. Taken together, these results along with relational mentoring theory suggest that mentoring is an interpersonal process that is positively influenced by positive expectations and emotions. Accordingly, we propose that the positive relationship between a leader’s optimistic IFT and mentoring is likely to be transmitted by the leader’s relational engagement towards followers.

Hypothesis 5: Relational engagement is positively related to mentoring effectiveness.

Hypothesis 6: Relational engagement mediates the positive relationship between a leader’s optimistic IFT and mentoring effectiveness.
Method

Sample

The study sample consists of 331 top executives who participated in a senior leadership program at a global executive education organization based in the United States. The leadership development program specifically targeted top-level leaders. Participants included 334 top executives having more than 15 years of management experience, leadership responsibility for 500 or more people, and decision-making authority as members of senior-management teams. 33% of respondents were chief executives, 56% were one level below chief executive (e.g. vice presidents), and 11% were two levels below the CEO (e.g. directors of business units). 85% of the respondents were leaders in private-sector organizations, and 15% were in public-sector organizations. Respondents were predominantly male (85%), White (79%), and averaged 48 years of age. Direct-report ratings ($N=1,517$) of mentoring were collected for 331 of the 334 participating leaders (99%).

Data for this study was collected over 16 months, occurring monthly, involving all participants of the executive leadership program. As part of their involvement in the leadership program, participants agreed to respond to multiple psychological assessments and to involve their co-workers in confidential surveys on the respondent’s leadership behavior. Two independent data sources were used in this study to address the common-method bias. First, individual differences on IFT and relational engagement were collected through a self-report survey of senior executives. Second, observer data on behavioral integrity and mentoring behavior were collected through a multisource survey of the leader’s direct reports. Raters were informed that their identities would not be known to the respondents. Furthermore, the ratings, elicited for research and training, had no direct effect on the respondent, unlike actual performance reviews (Jawahar & Williams, 1997).

The 16-month sequence of data collection was not a time lagged design (all self and observer measures were collected at the same time). The enrolment size of the executive leadership program, with an average of 25 executives admitted to the program each month, required a cumulative data collection process to reach a diverse sample of more than 300 executives across a range of organizations. The self-report and observer surveys were administered concurrently to cohorts of participants admitted into the program. Responses were received before participants commenced their program and were not influenced by program characteristics. All participants were informed that their responses would be anonymous and confidential.
Measures

All constructs were assessed by validated multi-item measures. Unless otherwise indicated, all variables were measured on a seven-point Likert scale ranging from ‘strongly disagree’ to ‘strongly agree’. The measures are described below.

Measures of IFT and relational engagement were completed by the respondents. Measures of leader integrity and mentoring were completed by participants’ subordinates. Established studies suggest that a meaningful measure of leadership behavior can be derived from the perspective of direct reports (Atwater & Yammarino, 1992). Accordingly, we used direct-report ratings to assess the mentoring and integrity of leaders (average 4.5 raters per leader). The raters were nominated by the respondent based on the criteria that they had worked closely with the respondent and would be able to provide anonymous and confidential ratings of the respondent’s behavior.

IFT
A leader’s IFT was measured using the 10-item scale of Kopelman et al. (2012). This measure has been used in prior research as a measure of IFT (Sahin et al., 2017) and in other peer-reviewed studies on leadership (Haselhuhn et al., 2017; Lawter et al., 2015). Five negatively worded items (e.g. ‘Most people will try to do as little work as possible’) were reversed so that higher scores represented more optimistic implicit theories. The measure yielded acceptable reliability ($\alpha = 0.74$).

Relational engagement
Relational engagement was measured using nine items adapted from the Utrecht Work Engagement Scale (UWES) developed by Schaufeli et al. (2006). Respondents were asked to think about their relationship with their direct reports and to respond to statements about general feelings about them as a group. Items covered three dimensions of engagement: vigor (e.g. ‘When I am with my employees, I am full of energy’), dedication (e.g. ‘I am proud of the work I do with them’), and absorption (e.g. ‘I feel happy when I am working intensely with them’). This approach is consistent with the definition and use of the UWES (Schaufeli, 2017).

Relational engagement-measure validity was assessed using a series of confirmatory factor analyses (CFA). First, we tested a second-order CFA with all items loading onto their corresponding factors (i.e. vigor, dedication, and absorption) and the three factors loading onto one higher-order factor for relational engagement. The resulting model yielded moderate fit ($\chi^2(25) = 114.68, p < 0.001; \chi^2/df = 4.59$; comparative fit
To improve the model fit, we tested several alternative models. We dropped one item from absorption (‘I get carried away when I’m working with my employees’), because it yielded the lowest factor loading of 0.46 (all other loadings were greater than 0.64). We also attempted to use two models without any absorption items, because some research has suggested that absorption may be an outcome rather than a core component of engagement (Costa et al., 2016). We selected a one-factor, six-item model without absorption as our final model, because it yielded the best fit to the data ($\chi^2(9) = 52.59, p < 0.001; \chi^2/df = 5.84; \text{CFI} = 0.95; \text{SRMR} = 0.034$). In our results below, we use a measure of relational engagement consisting of a single factor comprised of six items adapted from the UWES’ vigor and dedication. This scale demonstrated good reliability ($\alpha = 0.87$).

**Leader integrity**

Leader integrity was measured using eight items from an established scale validated by Sosik et al. (2012). This scale has been used in other empirical studies on leadership and integrity (Gentry et al., 2013; Palanski et al., 2015). The items in the scale represent both the moral (e.g. ‘Uses ethical considerations to guide decisions’) and behavioral dimensions of integrity (e.g. ‘Acts in accordance with his or her stated values’). Direct reports of each subject rated the leader on a five-point Likert-type scale (1 = ‘deficient’, 5 = ‘exceptional’).

Rater scores of integrity were aggregated for each item, and items were averaged to create a composite score ($\alpha = 0.93$), which is consistent with past research using this measure (Gentry et al., 2013; Sosik et al., 2012). To justify the aggregation of direct-report scores, we calculated ICC(1) and ICC(2) per Bliese (2000) as well as $r_{wg}$ per James et al. (1984) using Bieman et al.’s (2012) MS-Excel macros. ICC(1) indicates the amount of variance in ratings that can be accounted for by group membership, where raters are ‘grouped’ by leader. ICC(2) indicates the group mean reliability, and $r_{wg}$ estimates inter-rater agreement. In this study, ICC(1) was 0.20 ($F = 2.72, p < 0.001$) and ICC(2) was 0.63, which is in line with prior ICC calculations using the same integrity measure (Gentry et al., 2013; Sosik et al., 2012). Traditionally, 0.70 has been used as a cutoff for acceptable $r_{wg}$. However, revised standards look for ranges of inter-rater agreement and accept estimates as low as 0.51 as ‘moderate’ (Bieman et al., 2012; LeBreton & Senter, 2008). In this study, $r_{wg}$ was 0.91, 0.75, 0.82, and 0.68 under null distribution assumptions of ‘uniform’, ‘normal’, ‘slight skew’, and ‘moderate skew’, respectively. This range of $r_{wg}$
indicated good inter-rater agreement. Taken together, there was sufficient justification to aggregate direct-report ratings of integrity.

**Mentoring effectiveness**
 Mentoring effectiveness was measured using an established scale for supervisory mentoring (Walker & Yip, 2018). The six-item mentoring scale focuses on career-mentoring functions with items such as ‘Acts as a mentor, helping others to develop and advance their careers’. Observer ratings were collected for this measure from the direct reports of the leader. Rater scores were aggregated, and the composite score yielded strong reliability ($\alpha = 0.93$). We justified aggregating raters using identical procedures to those described above for integrity. ICC(1) was 0.22 ($F = 2.99, p < 0.001$) and ICC(2) was 0.67, which is consistent with past research that aggregated multisource data (Gentry et al., 2013; Sosik et al., 2012). Further justifying aggregation, $r_{wg}$ was 0.87, 0.63, 0.76, and 0.56 under null distribution assumptions of uniform, normal, slight skew, and moderate skew, respectively. This represents moderate-to-strong agreement among raters (LeBreton & Senter, 2008).

**Control variables**
 To provide a stronger test of the theoretical model, we controlled for demographic variables that had been established to influence mentoring behaviors and observer ratings of leaders. We controlled for leaders’ gender (coded 0 = Male, 1 = Female), because previous research suggested that gender predicts differences in mentoring behavior (Ragins & Cotton, 1993) and because gender may bias the ratings of managers (Lyness & Heilman, 2006). Furthermore, we controlled for organizational level, because it was significantly correlated with mentoring, such that higher-level leaders received lower mentoring ratings. This is consistent with meta-analytic research that found that mentors having more experience, skills, and education were less likely to mentor (Eby et al., 2013). Other demographic variables were not correlated with mentoring and were not controlled, owing to recent concerns about the use of impotent controls (Becker et al., 2016).

**Analysis**
 To test the study hypotheses, we employed bootstrapping parallel mediation techniques using Model Four of Hayes (2013) PROCESS Macro for SPSS Version 3.3.
Results

Table 1 presents the means, standard deviations, and correlation coefficients among the primary study variables. Data were screened and found to satisfy assumptions of normality.

Confirmatory factor analysis

Prior to testing the hypotheses, we conducted a CFA for all measure variables using Mplus Version 8.1 (Muthén & Muthén, 1998–2015). The CFA model contained four factors: IFT, relational engagement, leader integrity, and mentoring effectiveness. Model fit was adequate ($\chi^2(399) = 903.86, p < 0.001; \chi^2/df = 2.27; CFI = 0.91; SRMR = 0.055$). We compared our hypothesized four-factor model to three alternative models. First, we attempted a five-factor model with the relational engagement items broken into two distinct factors of vigor and dedication. The five-factor model did not demonstrate significantly better fit than did the hypothesized four-factor model ($\Delta \chi^2(4) = 9.35, p = 0.053; \chi^2(395) = 894.51, p < 0.001; \chi^2/df = 2.26; CFI = 0.91; SRMR = 0.06$). Second, we tested a three-factor model with IFT items loading onto factor one, relational engagement and leader integrity items loading onto factor two, and mentoring effectiveness items loading onto factor three. The hypothesized four-factor model fit significantly better than the three-factor model ($\Delta \chi^2(3) = 913.51, p < .001; \chi^2(402) = 1817.37, p < 0.001; \chi^2/df = 4.52; CFI = .75; SRMR = .12$). Third, we tested a two-factor model with self- and other-reporting items loading onto their respective factors (IFT plus relational engagement items together on one factor and leader integrity plus mentoring items on the other). The two-factor self versus other-reporting model demonstrated mediocre fit ($\chi^2(404) = 1,594.20, p < 0.001, \chi^2/df = 3.95, SRMR = 0.08, CFI = 0.79$), and the four-factor model fit significantly better than did the two-factor model.
Therefore, we retained the original four-factor model. Additionally, we tested for common-method variance using Harman’s one-factor test (Podsakoff et al., 2003). The items of all four factors were combined into a single factor and compared with that of the four-factor model. The single-factor model fit was poor ($\chi^2 (405) = 2,585.503$, $p < 0.001$, $\chi^2/df = 6.38$, SRMR = 0.133, CFI = 0.62), and the four-factor final CFA fit the data significantly better than did the one-factor model ($\Delta\chi^2 (6) = 1,681.64, p < 0.001$).

Lastly, we employed the CFA-marker technique of Williams et al. (2010) to test the potential biasing role of method effects. For our latent-marker variable, we used a five-item measure of global perspective (leader self-report) from a validated Executive Dimensions assessment (CCL, 2009; Nilsen & Hallam, 2000). As required by Williams et al.’s (2010) technique, our marker variable was orthogonal and did not correlate with other latent variables in the study. Data for this measure was collected at the same time as the other measures. The first step involves building a CFA model with all study variables plus the marker variable

| Table 2. Results of parallel mediation model. |
| Direct effects |
| Outcome: Relational engagement $R^2 = .13, F(3, 327) = 15.78^{***}$ |
| Predictors | $\beta$ | $B$ | SE | $t$ | $p$ | LLCI | ULCI |
| IFT | 0.33*** | 0.46 | 0.07 | 6.37 | $<0.0001$ | 0.3181 | 0.6020 |
| Organizational level | 0.01 | 0.01 | 0.06 | 0.18 | 0.85 | $-0.1085$ | 0.1309 |
| Gender | 0.10 | 0.20 | 0.11 | 1.93 | 0.06 | $-0.0044$ | 0.4115 |
| Outcome: Leader integrity $R^2 = 0.06, F(3, 327) = 6.55^{***}$ |
| Predictors | $\beta$ | $B$ | SE | $t$ | $p$ | LLCI | ULCI |
| IFT | 0.18*** | 0.16 | 0.05 | 3.41 | 0.001 | 0.0677 | 0.2531 |
| Organizational level | $-0.16^{**}$ | $-0.12$ | 0.04 | $-3.00$ | 0.003 | $-0.1973$ | $-0.0410$ |
| Gender | $-0.02$ | $-0.02$ | 0.07 | $-0.35$ | 0.73 | $-0.1600$ | 0.1115 |
| Outcome: Mentoring effectiveness $R^2 = .64, F(5, 325) = 116.81^{***}$ |
| Predictors | $\beta$ | $B$ | SE | $t$ | $p$ | LLCI | ULCI |
| Relational engagement | 0.08* | 0.06 | 0.03 | 2.24 | 0.03 | 0.0071 | 0.1099 |
| Leader integrity | 0.77*** | 0.89 | 0.04 | 22.27 | $<0.0001$ | 0.8130 | 0.9705 |
| IFT | $-0.005$ | $-0.005$ | 0.04 | $-0.13$ | 0.39 | $-0.0761$ | 0.0663 |
| Organizational level | $-0.09^{**}$ | $-0.07$ | 0.03 | $-2.56$ | 0.01 | $-0.1310$ | $-0.0172$ |
| Gender | 0.005 | 0.01 | 0.05 | 0.14 | 0.89 | $-0.0913$ | 0.1048 |

| Indirect effects |
| Outcome: Mentoring effectiveness |
| Mediator | $\beta$ | $B$ | SE | Bootstrapped SE | Bootstrapped LLCI | Bootstrapped ULCI |
| Relational engagement | 0.03* | 0.03 | 0.01 | 0.0019 | 0.0553 |
| Leader integrity | 0.14* | 0.14 | 0.05 | 0.0542 | 0.2317 |

Note. $N = 331$ executives. SE = Standard Error; CI = Confidence Interval; IFT = implicit followership theory. 5,000 bootstrapped samples.
* $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$. 

$\Delta\chi^2 (5) = 690.33, p < 0.001$. Therefore, we retained the original four-factor model.
Marker-variable factor loadings and error variances from this first CFA model were used in the subsequent steps. The second step involved building a baseline model that leaves the marker variable uncorrelated with study variables ($\chi^2 (564) = 1,174.91, p < 0.001, \text{RMSEA} = 0.06, \text{CFI} = 0.9$). The third step (i.e. Method-C Model) involves building a model having an uncorrelated marker variable and adds constrained/equal weight-factor loadings from the marker items to study items ($\chi^2 (563) = 1,161.62, p < 0.001, \text{RMSEA} = 0.06, \text{CFI} = 0.9$). The fourth step (i.e. Method-U Model) was identical to Method-C except with unconstrained/unequal weight-factor loadings from the marker items to study items ($\chi^2 (534) = 1,117.96, p < 0.001, \text{RMSEA} = 0.06, \text{CFI} = 0.91$).

Comparison of Method-C and -U models against the baseline suggests that there is evidence of congeneric (i.e. unequal) method effects, because the Method-U model (which was supported) demonstrated significantly better fit than did the baseline model ($\Delta\chi^2 (30) = 56.96, p = 0.002$). The last step is the most critical, because it tests the biasing effect of the marker variable. It involves building a model (i.e. Method-R Model) based on Method-U with factor correlations fixed to those of the Baseline ($\chi^2 (540) = 1,118.10, p < 0.001, \text{RMSEA} = 0.06, \text{CFI} = 0.91$). Comparing Method-U and -R models suggest that method effects do not significantly bias relationships among substantive variables in the study ($\Delta\chi^2 (6) = 0.14, p = 0.99$). In summary, results from the single-factor test, two-factor test, and CFA-marker test suggest that common-method bias is not a serious concern in the data.

**Hypothesis testing**

Hypotheses were tested using parallel mediation model four in the SPSS PROCESS macro (Hayes, 2013) while controlling for leader gender and organizational level (Table 2). The macro generates 5,000 bias-corrected bootstrapped sampling distributions, estimating direct and indirect effects. Statistical significance of indirect effects was evaluated on the basis of 95% confidence intervals (CI). CIs that did not include zero were considered significant.

Hypothesis 1 stated that an optimistic IFT would positively relate to leader integrity. Results supported this hypothesis ($\beta (3,327) = 0.18, p = 0.001$). Hypothesis 2 stated that leader integrity would positively relate to mentoring effectiveness. The effect was positive and significant ($\beta (5,325) = .77, p < 0.001$), supporting Hypothesis 2.

Hypothesis 3 stated that leader integrity would mediate the relationship between a leader’s IFT and mentoring effectiveness. The indirect
effect of IFT on mentoring via leader integrity was significant ($\beta = 0.14$, LLCI = 0.0545, ULCI = 0.2289). Therefore, Hypothesis 3 was supported.

Hypothesis 4 stated that a leader’s optimistic IFT would positively relate to relational engagement. Results indicated that the effect of optimistic IFT on relational engagement was positive and significant ($\beta (3,327) = 0.33$, $p < 0.001$), supporting Hypothesis 4. Hypothesis 5 stated that relational engagement would positively relate to mentoring effectiveness. The effect was positive and significant ($\beta(5,325) = 0.08$, $p = 0.03$). Therefore, Hypothesis 5 was also supported.

Hypotheses 6 stated that relational engagement would mediate the relationship between a leader’s IFT and mentoring effectiveness. Results supported this hypothesis, because the indirect effect via relational engagement was significant ($\beta = 0.03$, LLCI = 0.0019, ULCI = 0.0553).

Although not hypothesized, the parallel mediation model also tests the direct effect of IFT on mentoring. Results indicate that the direct effect was not significant ($\beta (5,325) = 0.005$, $p = 0.89$). Implications of these findings are discussed below. Results support the proposed social cognitive theory of mentoring, where optimistic IFT of executives are positively related to relational engagement and leader integrity. These, in turn, are positively related to mentoring effectiveness as rated by the executive’s direct reports. In other words, there are significant links between how leaders think, feel, and behave as mentors to their followers.

**Discussion**

Research on leadership and mentoring has focused primarily on the consequences of mentoring and not its psychological antecedents. Furthermore, the effects of cognition and affect in mentoring relationships have received limited attention. To address this gap, this study examined the effects of IFT, leader integrity, and relational engagement on the mentoring provided by top executives. The mediating roles of leader integrity and relational engagement were critical in accounting for the indirect effects of IFT on mentoring behavior. This behavioral and affective pathway has not been examined in prior studies and is one of the key findings of this study. Implications are discussed below.

**Theoretical implications**

These findings contribute theoretical insights to leadership, mentoring, and HRM in four ways. First, this study advances HRM research by investigating the effects of IFT on core HRM concerns (i.e. leader integrity and mentoring). Research on implicit theories, leader integrity, and
mentoring are longstanding areas of inquiry in HRM. Yet, they have advanced independently of each other. This study integrates these perspectives. Where previous research has focused on the effects of IFT on task outcomes, such as job performance (Whiteley et al., 2012) or transactional exchanges between leaders and followers (van Gils et al., 2010), this study advances an understanding of the ethical and relational outcomes of IFTs.

Second, this study identifies two pathways from leader’s social cognition to mentoring. Whereas leader integrity represents an exchange-based pathway based on norms of reciprocity, relational engagement represents a communal affective pathway, based on a mutually fulfilling relationship. These two pathways represent alternative yet simultaneously important motivational drives for enabling prosocial behavior (e.g. mentoring). Together, these distinct pathways provide evidence that exchange-based and communal motives can work concurrently towards motivating mentoring behavior.

Third, this study introduces the critical role of relational engagement as a mediator between a leader’s implicit theory and mentoring behavior. Contrary to established perspectives (McGregor, 1960; Sy, 2010), our results reveal that a leader’s IFT does not exert a direct effect on behavior. Instead, the effect of IFT is distal and mediated by relational engagement. The direct effects of relational engagement on mentoring behavior in this study reveal that other-oriented emotions can be powerful drivers of mentoring behavior. As an affective state, the construct of relational engagement opens up the possibility to consider ‘within-person’ dynamics in mentoring relationships (Allen & Poteet, 2011; Weiss & Rupp, 2011), such as the variability of relational engagement across time and the types of interactions between relational partners. Theoretically, the construct of relational engagement has broader implications for mentoring and organizational research. It establishes a foundation for further research into when, why, and how people come to experience feelings of vigor and dedication in relationships with others at work.

Finally, this study examines the role of top executives as mentors: an influential group in organizations and yet under-examined in prior research of mentoring (for an exception see Walker & Yip, 2018). Although top executives’ roles as sponsors have been studied in prior research (e.g. Bono et al., 2017), mentoring is a broader and multifaceted relationship that includes sponsoring as one component (Hewlett et al., 2010). Given the role of executive mentoring in transmitting cultural values and alerting top management to challenges experienced at lower levels of organizational hierarchy (Wilson & Elman, 1990), executive mentoring is a critical HRM function. Executives are likely to
possess deep and varied experiences and insights that, when combined with the status of a top-management positions, can make them useful supervisory mentors. Moreover, the effective succession of newer senior managers to senior positions may depend upon the mentorship of executive leaders.

Managerial implications

The findings of this study offer several practical implications for HRM and leadership development. First, the results suggest that leaders and organizations should pay more attention to implicit assumptions about followership instead of focusing only on explicit leadership behaviors. Mentoring is widely relied upon in HRM for employee socialization and leader development. This study provides insights into how this practice can be strengthened through a focus on the IFT of leaders. Practically speaking, human resource executives can strengthen their mentoring initiatives by attending to the implicit theories that leaders have of followers.

Research suggests that leaders can be successfully trained to develop more optimistic assumptions of followership (Robinson & Fiset, 2019). Such training could be integrated within leadership and executive development programs. Paying attention to implicit beliefs in leadership development programs could spark self-reflection and potentially begin the process of transformation. For example, in addition to behavior-based feedback, coaching, and leadership development, organizations could include assessments and interventions that target a leader’s IFTs.

Although implicit theories are stable and difficult to disrupt, research has shown that a combination of interventions can result in shifts to a person’s implicit theory (Heslin et al., 2006). In one study, Heslin and colleagues (2006) established that the use of counter-attitudinal idea generation, combined with reflection, advocacy, and dissonance induction, could produce a shift in the implicit theories that managers have about the malleability of people’s abilities. In another study, Devine et al. (2012) found that the combined use of bias education and reduction could result in long-term reductions in implicit race bias. Both studies suggested that interventions must be multi-faceted to disrupt and modify stable implicit theories.

Second, the findings of this study suggest a path for executives to take to be better mentors and leaders. Although prior research has established the importance of mentoring, this study suggests specific ways of thinking, feeling, and acting in a developmental way. It suggests that leaders need to pay attention to the mindsets they have about followers, and, in particular, shift from a problem-focused mindset to one that is focused
on possibilities for growth and learning. Recognition of implicit theories and relational engagement in oneself and others provides useful information for leaders to improve themselves and others. Self-assessments, peer feedback, guided reflection, and action learning are examples of interventions that have been found to facilitate a shift in a leader’s conceptual understanding and practice (Yip & Raelin, 2012).

Finally, at the organizational level, leaders need to consider how implicit theories of followership are embedded in HRM practices. For example, practices such as forced rankings and ‘up-or-out’ contracts signal a contest mobility approach to employee advancement, which contrasts a more inclusive approach characterized by mentoring and employee development (Hall & Yip, 2014). Efforts made to align individual and organizational assumptions toward a positive theory of followership can be an important step in enhancing individual mentoring behaviors and an organization’s mentoring climate. As Schein (2011) noted, ‘we have pretty good measures of performance, but I am not aware that we have ever put much effort into studying the assumptions underlying managerial behavior’ (p. 163). This study addresses Schein’s (2011) concern.

Limitations and further research

This study has a number of limitations that highlight opportunities for future research. First, the study applied a cross-sectional design. Although the hypothesized direction of causality is based on research that establishes implicit theories as stable exogenous variables (Shondrick & Lord, 2010), the possibility of recursive relationships remains. For instance, a strong positive correlation between leader integrity and mentoring effectiveness suggests that the direction of effects could be reversed. A time-lagged study could establish whether mentoring behaviors, in turn, might predict greater levels of relational engagement and integrity.

Second, the effects of IFT on relational engagement and mentoring might be moderated by other implicit biases. For example, a leader might have an optimistic IFT but a negative stereotype toward members of a different ethnic group. This negative bias would likely attenuate the positive effects of the leader’s implicit theory on relational engagement and mentoring. Other possible moderators include demographic and personality variables identified as protégé attributes that influence the amount of mentoring provided (Allen & Eby, 2003; Bozionelos & Bozionelos, 2010; Kammeyer-Mueller & Judge, 2008). The current findings could be extended by including such variables for further research.
Third, caution is required when attempting to overgeneralize the findings of this research. The current study involved leaders participating in an executive education program representing a population of leaders that might be favorably disposed toward learning and development. The data, however, suggest significant variances in the focal constructs of the study, especially around mentoring behavior. The heterogeneity of leaders in the sample across different organizations and in different industries should increase the generalizability of findings compared with samples of leaders from a limited range of organizations.

For future research, it would be useful to distinguish mentoring by its sub-functions. Current research on supervisory mentoring has conceptualized and measured the construct as a single factor (Scandura & Williams, 2004; Walker & Yip, 2018). However, the construct of supervisory mentoring represents four distinct mentoring functions: challenging assignments, sponsorship, coaching, and protection (Eby & Robertson, 2020; Kram, 1985). As an extension of the current study, it would be useful to examine the effects of a leader’s IFT on these differentiated functions. Given the increasing relevance of sponsorship for career advancement (Chanland & Murphy, 2018; Hewlett et al., 2010; Thomas, 1990), research on sponsorship as a distinct function would further advance the understanding of sponsorship in relation to mentoring.

Additionally, the model examined in this study could be extended by looking at mentoring from a developmental network perspective (Cotton et al., 2011; Dobrow et al., 2012; Higgins & Kram, 2001) instead of hierarchical relationship between executives and their direct reports. The positive effects of a leader’s optimistic IFT could be examined through network variables of range, diversity, and multiplexity of the leader’s developmental network. The findings from this paper and subsequent research should help develop a more relational perspective for HRM.

Ultimately, this study establishes that IFT is consequential for executive behaviors and valued HRM outcomes of mentoring, leader integrity, and engagement. Our paper focused on social cognitive and behavioral outcomes. Future research could extend this line of inquiry to examine distal outcomes, such as those of organizational culture and climate. For example, we could determine whether the effects of an executive’s IFT extend to the mentoring and ethical climate of an organization. Upper-echelons theory suggests that executives have an outsized influence on implicit HRM theories (Gardner & Wright, 2009) of firms. Extending this line of reasoning, a promising direction for future research would be to examine how the IFT of executives shape strategic HRM cultures and practices.
Conclusion

Leaders and HRM systems are not immune to human attribution error and the tendency to be biased by implicit theories of human nature (Gardner & Wright, 2009). The focus of this study on a leader’s IFT and mentoring examined how implicit theories were consequential to valued HRM outcomes of mentoring, leader integrity, and engagement. Although HRM practices espouse optimistic theories of followership, our results revealed that executives varied in their implicit theories about followers. Furthermore, our results revealed that a leader’s IFT is related to a leader’s relational engagement toward followers and their perceptions of the leader’s integrity and effectiveness as a mentor. Together, our findings suggest that ethical and developmental leadership is rooted in the implicit theories that leaders have about followers. Further attention and research on implicit theories could help leaders and organizations strengthen the ethical and developmental practice of HRM.

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Data availability statement

The data that support the findings of this study are available from the corresponding author upon reasonable request.

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