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Proactive Personality

*The Advantages and Disadvantages of an
Entrepreneurial Disposition in the Financial Industry*

*Dedicated to the two social scientists that have inspired me from my early childhood:
Marie-Louise Hoogveld (mama) and Ligio E. Wawoe (papa).*

*Graph on cover: Evolution of the Amsterdam Exchange Index (AEX) in the year of the
banking crisis, 2008.*

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VRIJE UNIVERSITEIT

Proactive Personality
*The Advantages and Disadvantages of an
Entrepreneurial Disposition in the Financial Industry*

ACADEMISCH PROEFSCHRIFT

ter verkrijging van de graad Doctor aan
de Vrije Universiteit Amsterdam,
op gezag van de rector magnificus
prof.dr. L.M. Bouter,
in het openbaar te verdedigen
ten overstaan van de promotiecommissie
van de faculteit der Psychologie en Pedagogiek
op maandag 21 juni 2010 om 15.45 uur
in de aula van de universiteit,
De Boelelaan 1105

door

Kilian Werenfried Wawoe
geboren te Nijmegen

promotor: prof.dr. H. van der Flier
copromotor: dr. R.D. de Jong

Acknowledgment

In Organizational Psychology there is clearly a conflict between theory and daily practice: many popular Human Resources (HR) concepts are criticized by scholars, on the other hand HR professionals often criticize HR science. For a Human Resource Manager, analysing in the evening hours what he did during the day is pretty risky. He may find out that what he is actually doing is wrong according to science. This is what happened to me. The journey on which I embarked in 2002 did not only enhance my understanding of my profession, it brought me to a crossroads where I had to choose between the new insights of my study and the daily practice of my job. I choose to follow the path of finding the truth. It resulted in quitting my job in 2010.

Major decisions in life cannot be made without the full support of your loved ones. I asked my wife Cecile if she would support me if I wrote my thesis, which she has and kept doing so even when my absence and excessive hours were a great strain for our family. She also supported me when I left my job for an insecure future. Cecile I owe you a lot!

I have dedicated this book to two social scientists who have inspired me from my early childhood: my parents. One way or another, children seek support for the choices they make in life. I was blessed with the explicit support of my parents.

This project would never have started and never be completed if I had not met Rendel de Jong. Rendel is one of the few people I know who really understands our profession. This has inspired me along this journey. As a result, our conversations were numerous and gave me valuable insights. Rendel, without you this thesis would never have been written. Thanks!

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“He, who can modify his tactics in relation to his opponent and thereby succeed in winning, may be called a heaven-born captain.... Move not unless you see an advantage; use not your troops unless there is something to be gained. If it is to your advantage, make a forward move; if not, stay where you are...If you know the enemy and know yourself, you need not fear the result of a hundred battles.”

General Sun Tzu, the Art of War, 6th century BC

Preface

In this thesis we will examine the advantages and disadvantages of an entrepreneurial disposition in the financial industry. The data we used for our analyses stem from a study which had the objective to validate the selection processes of the recruitment department of a European financial institute. This study took place between 2002 and 2007. For the validation, we made a list of expected pre-drivers of Performance, together with the Organizational Psychology department of the University of Utrecht (the Netherlands). We choose to include multiple indicators: the Appraisal of the employee (which gives right to a certain amount of Bonus), the opinion of the manager (information which was not shared with the employee and obtained for this research alone), and the Self-Opinion of the employee (the scores of the employee on the same questions as the Manager's Opinion); in one sample we also included the discretionary Bonus received by the employee.

In 2004 the study was expanded across the company in order to find the common global pre-drivers of Performance. In order to obtain a representative sample, it was desirable to involve the three "home markets" where 75% of the 110,000 employees worldwide were working, namely the Netherlands, Brazil, and the United States. It was equally important to involve upcoming markets, as the dynamics in these locations could be different due to rapid growth. Hence, India and Romania were involved in this project. Also, the company wanted to have a significant representation of the various Business Units (BU's) within the organization. All BU's (Retail, Wholesale, Private Clients and Services) were represented as a second dimension to the geographical spread in this research. In total 1487 employees participated and in 1174 cases their managers responded to our request to give an opinion on their employee(s). The data were obtained in eight different samples in five countries: the Netherlands, India, USA, Romania and Brazil. Although we were satisfied with the response from different units across the globe, we were conscious that research in different countries and cultures can lead to different types of bias (Van de Vijver & Tanzer, 2004). Where possible we tried to mitigate the risks of intercultural bias which will be elaborated upon in chapter 1. However, we have to note that even after mitigating the risk of bias due to culture, there are significant other differences across the samples, e.g. age and tenure distribution, type of work, etc. Hence, we have to be cautious with the interpretation of different outcomes.

In all countries local HR managers were requested to assign departments that could participate in the study. High-level managers were asked how to find the best way to consult teams / employees. After meeting with different floor managers and team-leaders, the employees were asked to participate on a voluntarily basis; participation was never refused in any instance. Unless stated differently, participants filled in a paper version of the questionnaire. Participants voluntarily completed a survey during work time. They also received an extra questionnaire for their managers, which they could choose to pass on; that questionnaire would then be collected by the team, and not by the employee to guarantee the confidentiality of the responses of the managers. To ensure that the right employee was matched to the manager's questionnaire, both had the same respondent number. This 'manager's questionnaire' was sent to the researchers without sharing the information with the employee, to obtain an as honest opinion as possible on the employee. As promised during the explanation sessions to the employees, participants received a "token of appreciation" in the form of a gadget after filling in the questionnaire. As not all countries wanted their employees to devote a lot of time to this project, different concepts have been tested in different countries. Also different instruments

have been used across the countries, predominantly due to time constraints. As a result not all questionnaires in the various countries had the same content.

One specific personality trait which we had included in the model was Proactive Personality, which is defined as "a dispositional construct that identifies differences among people in the extent to which they take action to influence their environments" (Bateman & Crant, 1993). Proactive employees are self-starters, they have ideas which they put into action (Crant, 2000). Moreover, they are entrepreneurs (Crant, 1996). The latter was of interest to the organization, as entrepreneurship was one of the key elements of the general strategy: in order to grow the organization needed entrepreneurs who explored new revenue generators. But there was also debate whether or not entrepreneurship of an employee could be in conflict with the goals of the financial institute. Could it be that this entrepreneurial posture leads employees to manage their environment such that they only receive higher rewards? For example, short term sales, is not the same as building a sustainable relationship. We theorized on the discrepancy between the impacts of Proactive Personality on the official Appraisal and the opinion which was given by the same manager almost at the same time.

In 2007 the financial industry started to change rapidly. First, the organization where this study was carried out became the center of a bidding war of several other banks, and where entrepreneurship used to be dominant, self preservation became more important. The interest of the company in the pre-drivers of Performance faded away alongside with the credit crisis. It was during this period, that the decision was made to use the data for scientific study.

Although the data for this study originally were obtained to understand the pre-drivers of Performance, gradually the question became more eminent: where did it all go wrong in the financial industry? Proactive employees had proven to receive higher Bonuses, however, the Bonus culture was often seen as one of the causes of the credit crisis. The performance management system in the financial industry became subject of fierce public debate. Is a banker that sells many products a better one than one who is less aggressive in his approach? The general public expressed their discontent about the policy of (predominantly American) banks that made huge profits, by taking too many risks. It was exactly the entrepreneurial type of banker who constantly was on the lookout for opportunities to make money, which turned out to be responsible for incredible losses. It is against this background that this study started. We wanted to understand the advantages and disadvantages of the proactive, entrepreneurial, disposition in the financial industry.

In this study we will examine the advantages and disadvantages of Proactive Personality in a global financial institute. First we will explore the concept of Proactive Personality in chapter 1, and examine its overlap with the Big Five personality dimensions.

In chapter 2 we will examine Proactive Personality in relation to different measures of Job Performance. We will not only look at the predicting power over and above the Big Five, we will give special attention to the different impacts on different Performance measures. We want to know if Proactive Personality is a good predictor for financial gain of the employee versus the truly held opinion of the manager.

Emotional reactions to work, such as Exhaustion and Positive Mood are of interest to the employer in any organization. First out of ethical reasons; employers prefer to have employees with low degrees of Exhaustion and high degrees of Positive Mood. Secondly, from a self-interest point of view for the employer; the negative consequences of Exhaustion, and the positive consequences of

Positive Mood both economic and social have been widely acknowledged (Lyubomirsky, King, & Diener, 2005; Shirom, 2005). In chapter 3 we want to get a better understanding of the relationship between Proactiveness and Exhaustion and Positive Mood.

Also, Organizational Citizenship Behavior (OCB), Work Satisfaction and low voluntary turnover are beneficial for organizations, and we want to know if higher levels of Proactiveness influence them. This will be the subject of chapter 4.

In chapter 5, we want to construct an integrative model in which we want to understand the direct and indirect effect of Proactive Personality on Performance. In this chapter we will partly replicate the findings of our previous chapters in three new samples. First we will again examine the relationship between Proactive Personality and OCB, Positive Mood, Exhaustion and Work Satisfaction. Second, we will examine to what extent the connection between Proactiveness on the one hand and different measures of Performance on the other, are direct and to what extent they are mediated by the above mentioned mediators. Third, we want to know if Proactive Personality has incremental validity over and above the mediators as well as Manager's Opinion in predicting the appraisal score.

Chapter 6 contains a summary of chapter 1 to 5. Subsequently we will indicate how our findings add to the present theory regarding Proactive Personality. Then we will summarize the advantages en disadvantages of an entrepreneurial disposition in de financial industry. Lastly, we will put our study in the context of the current financial crisis.

Chapter 1

Exploring the Proactive Personality Concept

Proactiveness¹ is defined as "a dispositional construct that identifies differences among people in the extent to which they take action to influence their environments" (Bateman & Crant, 1993, p.103). The concept is grounded in the interactionist approach, which incorporates a central characteristic: individuals can directly and intentionally influence their social and nonsocial environments (Bateman & Crant, 1993). The prototypic proactive employee actively identifies opportunities and demonstrates a strong drive towards action. Rather than being passive, proactive individuals energetically develop and implement strategies to effectively manage the environment.

Although Proactiveness and the Big Five personality questionnaire show significant overlap, in a few studies the incremental validity of Proactiveness in predicting work outcomes has been proven (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000). In one study (Major, Turner, & Fletcher, 2006) Proactiveness is regressed on the facets of the Big Five, describing the overlap between the two. It is important to know the overlap, as past research has shown that the Big Five also predicts many important work criteria, such as Performance (Barrick & Mount, 1991), Positive Affect (DeNeve & Cooper, 1998), Exhaustion (Deary, Watson, & Hogston, 2003), Organizational Citizenship Behavior (Van Scotter & Motowidlo, 1996) and Work Satisfaction (Judge, Heller, & Mount, 2002).

For those working in the day to day Human Resources field, it is important to know what Proactive Personality entails and to what extent it overlaps the Big Five in an international company. To date there is only one American study (Major et al., 2006) describing the overlap on a Big Five facets level, and no studies have been conducted on the relation between Proactiveness and the Big Five on an item level.

We will describe the Proactive Personality construct and its relations with different work criteria. We will examine the amount of overlap between Proactiveness and the Big Five. The latter we will do on three different levels: a) dimension level, b) facet level (study 1), c) item level (study 2). The different studies will be done in one financial institute; however the respondents differ in cultural background, tenure and job content. With these studies we want to get a better understanding of the Proactive Personality concept and its overlap with the Big Five in a global context.

1.1 The Proactive Personality Construct

In the following section recent literature on Proactive Personality will be discussed. Rather than providing a comprehensive overview of all literature on the Proactive Personality, we want to better understand the construct by highlighting its main characteristics.

¹ Proactiveness and Proactive Personality will be used as synonyms throughout this paper.

1.1.1 The Origin of the Proactive Behavior Construct

The idea that behavior is a function of both personality and situational causes and that behavior in general has an interaction dimension is known for decades in social psychology (Lewin, 1938; White, 1959; Hirschman, 1970). Several authors describe how workers passively withdraw or actively try to change working conditions as they adapt to dissatisfying work environments. Later, Bandura (1986) stated that, "people create environments and set them in motion as well as rebut them" (p.22). Moreover, the relative influence of person, behavior, and environment varies not only across activities and circumstances, but also across people. Also, Buss (1987) stated that people are not passive recipients of environmental constraints on their behavior. On the contrary, they can intentionally and directly change their circumstances. He found strong differences in people's use of manipulation tactics across contexts, and considers the use of such tactics a type of individual difference.

Bateman and Crant (1993) introduced the proactive disposition as a construct that identifies differences among people in the extent to which they take action to influence their environments. They conceived the prototypic Proactive Personality, as "one who is relatively unconstrained by situational forces and who effects environmental change. Other people, who would not be so classified, are relatively passive - they react to, adapt to, and are shaped by their environments. Proactive people scan for opportunities, show initiative, take action, and persevere until they reach closure by bringing about change. They are pathfinders (Leavitt, 1988) who change their organization's mission or find and solve problems. They take it upon themselves to have an impact on the world around them. People who are not proactive exhibit the opposite patterns: they fail to identify, let alone seize, opportunities to change things. They show little initiative, and rely on others to be forces for change. They passively adapt to, and even endure, their circumstances." (p.105). Later Crant (2000) defined the Proactive Personality as: "Taking initiative in improving current circumstances or creating new ones; it involves challenging the status quo rather than passively adapting to present conditions." (p.436).

More anecdotally, Pitt, Ewing, and Berthon (2002) state that there are three types of people: "Those who make things happen, those who watch things happen, and those who wonder what happened" (p.639). The people that make things happen, we can classify as proactive.

1.1.2 Dispositional Construct

People are assumed to be different in the extent in which they behave proactively toward their situations. So far most empirical studies report no correlations between Proactiveness and age and length of services. Indeed, Erdohan and Bauer (2005) found no significant relation between Proactiveness, age and tenure. Kammeyer-Mueller and Wanberg (2003) did not find a relation between experience and Proactiveness. Also, Seibert, Crant, and Kraimer (1999) and Parker and Sprigg (1999) found no relation between age and the Proactive Personality. However, Parker (1998) did find a positive relationship between Proactiveness and age ($r = .13$, $p < .01$) and tenure ($r = .11$, $p < .01$) respectively. In the one study to date where Proactive Personality and General Mental Ability were included in one model (Crant, 1995) there was no correlation between the two ($r = -.07$, $p = ns$). All the above indicates that Proactiveness is not so much a quality that can be learned, but rather a distinct and stable disposition.

1.2 The Criterion Validity of Proactive Personality

Proactiveness has proved to be of incremental validity in predicting many different criteria, e.g. individual Job Performance (Crant, 1995; Thompson, 2005; Chan, 2006), entrepreneurial intentions (Crant, 1996), team performance (Kirkman & Rosen, 1999), career outcomes (Seibert et al., 1999; Seibert, Kraimer, & Crant, 2001), leadership (Crant & Bateman, 2000) and motivation to learn (Major et al., 2006). Crant (1995) explains the value of the Proactive Personality as follows: "Proactivity is expected to be related to Job Performance because it represents personal behaviors that are important elements for accomplishing work-related tasks (...). Accordingly, individuals can intentionally and directly influence their situation, thereby making successful Job Performance more likely. More proactive people can be expected to create situations and environments conducive to effective Performance." (p.532-533). Hence, proactive people are good at 'making things work for them'. An illustration of this is given by Seibert et al. (2001): Proactiveness was related to innovation, political knowledge, and career initiative, which in turn all predicted career progression; however, Proactiveness was not related to 'voice' which was negatively related to career progress, and can be described as non-required behavior that emphasizes expression of constructive challenge intended to improve rather than merely criticize. Voice is also a means through which individuals influence and shape their work environment, however the fact that Proactiveness does not predict voice, gives reason to believe that proactive employees do not seek for change if this can have a negative impact on their career.

1.2.1 Relation with the intention to be 'Entrepreneurial'

Previous studies have shown that Proactive Personality is positively related to 'entrepreneurial' behavior or 'taking the lead to get things done'. Crant (1996) presented data from 181 undergraduate and MBA students demonstrating a positive correlation between Proactive Personality and intentions to own one's own business ($r = .48, p < .01$). The Proactive Personality scale explained significantly more variance ($\Delta R^2 = .17, p < .01$) of the entrepreneurial intentions over and above gender, education and entrepreneurial parents (total $R^2 = .14, p < .01$). In a sample of 215 small company presidents, Becherer and Mauer (1999) found that the president's level of Proactiveness was positively and significantly related to entrepreneurial behavior. Company presidents' Proactive Personality scores were positively associated with positive changes in company sales ($r = .17; p < .01$) and with an aggressive entrepreneurial posture ($r = .33, p < .01$). Analysis of variance showed that Proactiveness was related to starting rather than buying or inheriting a business, and with the number of businesses started. Becherer and Mauer (1999) concluded that "this study indicates that a Proactive Personality disposition is related to entrepreneurship (...). Since Proactiveness reflects the individual's orientation towards the environment, a more proactive president creates an organization that scans for opportunities and a bold and aggressive approach towards the market. Second, the proactive disposition of the president exhibited a significant direct relation with change in sales. This suggests that proactive leaders are aggressively growing the firm as a strategic approach to the marketplace." (p.34).

1.3 Proactiveness in Different Cultural Contexts

Most studies on Proactiveness are done in the US and the UK. For example Brown, Cober, Kane, Levy, and Shalhoop (2006) showed in a sample of college graduates in the US that Proactive Personality significantly influenced the success of college graduates' job search; Parker, Williams, and Turner (2006) found in a sample of U.K. wire makers that Proactive Personality was

significantly associated with proactive work behavior via role breadth self-efficacy and flexible role orientation. However, there are also some studies conducted in other cultural contexts. For example Erdogan and Bauer (2005) found in a sample of teachers in Turkey and the US that Proactive Personality was positively related to job satisfaction; Crant and Bateman (2002) found in a Porto Rican financial services organization that self-reported Proactive Personality is positively associated with supervisors' independent ratings of charismatic leadership.

1.4 Proactive Personality and the Big Five

The most commonly used measure of personality in organizations is the Five Factor Model of Personality, commonly referred to as the "Big Five" (Digman, 1990; Hogan, Hogan, & Roberts, 1996). The Big Five has been proven to predict many work related criterions. Barrick and Mount (1991) found that Conscientiousness showed consistent relations with Job Performance for all occupational groups, Extraversion was a valid predictor of Performance for two occupations involving social interaction, managers and sales. DeNeve and Cooper (1998) studied different personality constructs as correlates of subjective well-being, and found that Neuroticism was the strongest predictor of life satisfaction, happiness, and negative affect. Positive Affect was predicted equally well by Extraversion and Agreeableness. According to Bakker, van der Zee, Lewig, and Dollard (2006) emotional Exhaustion is uniquely predicted by Neuroticism, however LePine and Van Dyne (2001) found that cooperative behavior was higher for those with high Conscientiousness, high Extraversion, high Agreeableness, or low Neuroticism (see also De Jong, 2000; Piedmont, 1993). In a meta-analysis, Judge et al. (2002) found that Work Satisfaction can partly be predicted by Conscientiousness, Extraversion, Neuroticism, and Agreeableness.

From previous studies we know that Proactive Personality has significant overlap with the Big Five categories, which is displayed in table 1.1. All studies to date show a significant correlation of Proactive Personality with Conscientiousness and Extraversion and in some studies with Neuroticism and Openness to Experience (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000; Major et al., 2006). No relation was found with Agreeableness.

Table 1.1
Correlations between Proactive Personality and the Big Five dimensions

	Conscientiousness	Extraversion	Agreeableness	Neuroticism	Openness
Bateman and Crant (1993)	.43**	.25**	-.09	-.16	.17
Crant (1995)	.26**	.35**	-.09	-.12	.18
Crant and Bateman (2000)	.29**	.37**	.05	-.24**	.24**
Major et al. (2006)	.15*	.20*	-.12	-.15*	.37*

** p < .01

* p < .05

Major et al. (2006) found in their study that by assessing at the facet level, using lenient criteria, Proactive Personality is in part a composite of nine facets, at least one from each of the Big Five factors, which can be found in table 1.2. The Big Five accounted for 26% of the variance in Proactive Personality (Major et al., 2006).

Table 1.2

Definitions of Big Five Facets Significantly Related to Proactive Personality (Major et al., 2006)

Big Five factor and facet	Definition	β
Conscientiousness		
Dutifulness	Strict adherence to one's ethical principles; fulfills moral obligations; dependable and reliable	-.24
Achievement striving	Hard working; high aspirations; diligent and purposeful; sense of direction in life	.43
Extraversion		
Assertiveness	Dominant, forceful; tendency to speak up; often leaders	.20
Activity	Sense of urgency; need to keep busy, maintains a rapid tempo	.19
Agreeableness		
Altruism	Concern for the welfare of others; tendency to show generosity and consideration and to provide help	.16
Neuroticism		
Vulnerability	Inability to cope with stress; dependent, hopeless, or panicked in difficult situations	-.23
Openness		
Actions	Willingness to try different activities; preference for novelty over the familiar or routine	.15
Ideas	Intellectual curiosity; willingness to consider unconventional ideas	.22
Values	Readiness to reexamine values (social, political, or religious)	.15
Proactiveness regressed on all significant facets $R = .51^{**}$, $R^2 = .26^{**}$		

1.5 Summary of Past Studies

The Proactive Personality concept fits in the social psychological tradition of interaction between personality and environment. It has been shown to predict many relevant work outcomes, such as Performance, Work Satisfaction, Organization Citizenship Behavior, Exhaustion and Positive Mood; a few of the studies on its criterion validity have been done beyond the Anglo-British cultural environment. Proactiveness shows significant overlap with (certain facets) of the Big Five, which are in turn also related to the work outcomes mentioned above.

1.6 The Present Study

In this study we want to assess Proactive Personality in relation to the Big Five.

Study 1

Given that the dimensions of the Big Five are inter-correlated we need to use a regression analysis in order to assess the overlap between Proactiveness and the Big Five. Moreover, we need to conduct an analysis on facet level to label the common variance. In study 1, we will replicate a part of the study of Major et al. (2006), by looking at the overlap between Proactive Personality and the underlying facets of the Big Five, and determine how much variance is shared.

Study 2

Subsequently, we will study one level deeper by assessing the Proactive Personality construct in relation to the items of a short version of the Big Five personality questionnaire as past research that researching on an item level can give additional information (de Jong, van Eck, & van der Bos, 1994). On the basis of this study we want to be able to make a semantic description of the overlap.

Research question 1: To what extent does the Big Five predict the variance in Proactive Personality?

Research question 2: Which facets and items of the Big Five overlap Proactive Personality?

1.7 Method

1.7.1 Samples

In total this study involves 8 samples, obtained between 2002 and 2007. In this chapter we will use 7 of the 8 samples. One sample, India 3, is only used in chapter 5. The initial purpose of the questionnaire was to identify common predictors of Performance. Hence, different concepts have been tested in different countries, also different instruments have been used. As a result not all questionnaires in the various countries had the same content. Consequently, we will only make use of those samples where all relevant concepts were available.

Sample 1 (the Netherlands 1)

At the beginning of the year 2004 all 708 employees of the Private Banking unit in the Netherlands were invited to participate in an Assessment Centre. All employees were supposed to use the input for their personal development plans. All employees were approached, however: 2 refused to participate, 11 were on maternity/parental leave, 1 was too short before retirement, 3 were not invited due to illness, and 2 left the department / company before they could participate. All the participants of the Assessment Centre (N = 689) were approached two years (26 months) later to fill in an online questionnaire (all information of the other samples was gathered via 'paper and pencil'). Of this group 86 emails bounced back, 12 due to "disk quota exceeded", 42 had an "incorrect email address", 30 had left the company.

In total 309 employees (response rate 45%) filled in the questionnaire (60% male, 40% female), the average length of service was 21.38 years, the standard deviation was 10.44 years, of which 138 employees forwarded a link to their managers to give an opinion on the employee, of this group 100 managers submitted their questionnaire.

Sample 2 (the Netherlands 2)

Every year the bank in the Netherlands recruits around 150 trainees for its future management. As the organization is an employer of choice, the pool from which it can choose is both big and talented. A random group of 120 employees in a wide array of functions (back-office, head-office, commercial, etc.) were approached by telephone in April 2006 and asked to participate in the project, of which 190 participated (response rate 91%), and 155 of their managers. The average work experience was 4.5 years with a standard deviation of 2.1 years; 61% was male, 39% female.

Sample 3 (India 1)

In India two locations were included, one in Mumbai (Bombay) and one in Chennai (Madras), both belonging to the same service organization of the financial institution. The data were obtained in August and October 2005 successively. The primary process of the organization is to provide "back-office services" to other parts of the network in North-America, Asia-Pacific and Europe. In Chennai 180 people received a questionnaire of which 151 returned it. 58% were male, 42% female. Of the group that filled in their questionnaire 144 managers filled in their "manager's questionnaire". In Mumbai the response was 169 out of 180; 53% male, 47% female, with 147 manager's questionnaires. On an aggregated level the average length of service was 1.83 years (standard deviation was 1.64 years).

All Indian participants filled in their questionnaire in English. For many Indians English is one of their primary languages and the educational system is in English, however we have to note that there might be exceptions to this rule.

Sample 4 (India 2)

In July 2006 a study was done in Mumbai to obtain data in the same back-office operation as where the other Indian sample was gathered. However, the participants do not overlap the other sample. Information gathering was done in paper and pencil form. A total of 120 employees were asked to participate, of which 116 complied (response rate 97%), and 89 of their managers. The average length of service was 1.83 years (standard deviation was 1.64 years); 54% was male, 46% female.

Sample 5² (India 3)

In July 2007 a study was conducted in a call centre of the Bank in Mumbai. Although the call centre was part of the same back-office facility as the other Indian samples, the population did not overlap with in the other samples. Moreover, where the rest of the back-office was servicing clients all over the world, the clients of the call centre were all Indian branches of the Bank. A total of 180 employees were asked to participate, of which 177 complied (response rate 98%) and 175 of their managers. The average tenure was 2.01 years, with a standard deviation of 1.30 years; 38% was male, 62% female.

Sample 6 (The United States of America)

Data were obtained in Jacksonville, Florida, in a back-office of the Chicago based branch head-office of the local subsidiary of the bank in August 2006. The back office in Jacksonville was chosen on the basis of a number of criteria. The management was enthusiastic about the project and the branch had a large and easily accessible workforce, to mention a few. Within a week we managed to approach some 150 employees of which 6 did not want to participate, hence, 144 employees (response rate 96%) and 135 of their managers. The average length of service was 5.37 years with a standard deviation of 4.50 years; 22% were male, 78% female.

Sample 7 (Romania)

A study was done in Bucharest (Romania) at the head office of the subsidiary of the bank in June 2006. All participants were working in head-office like functions: Sales-Management, Human Resources, General Management, etc. A group of 130 employees were approached of which 89 participated (response rate 68%) and 87 of their managers. The response rate was relatively low, due to a restructuring project which took place at that time. The average length of service was 1.41 years, with a standard deviation of 1.54 years; 25% was male, 75% was female.

Of all samples this is the only one where without a doubt the employees did not fill in the questionnaire and the Big Five in a primary language, as all information was gathered in English!

Sample 8 (Brazil)

Brazil was together with the United States and the Netherlands one of the home markets for this Bank, hence in order to complement the information on the global staff we incorporate information from the Brazilian headquarters in February 2006. The team traveled to São Paulo in search of employees who wanted to participate, by approaching 150 employees who work in a wide array of head-office functions. In total 144 employees participated (response rate 96%) of which all 144 managers participated, with an average length of service of 5.32 years and a standard deviation of 5.31 years ; 37% were male, 63% were female.

² This sample will not be used in this chapter, but only in chapter 5.

Table 1.3
Summary of the samples

Sample nr	Sample name	Chapter	Job type	No. Empl	Male/ Female %	Length of service (σ)	No. Managers
1	Netherlands 1	1,2,3,4	Commercial staff	309	60 / 40%	21.38 (10.44)	100
2	Netherlands 2	1 and 5	Miscellaneous trainees	190	61 / 39%	4.50 (2.11)	155
3	India 1	1,2,3,4,5	Business process outsourcing	320	55 / 45%	1.83 (1.04)	291
4	India 2	1	Business process outsourcing	116	54 / 46%	1.83 (1.64)	89
5	India 3	5	Call centre	177	38 / 62%	2.01 (1.30)	175
6	USA	1	Back-office	144	22 / 78%	5.37 (4.50)	135
7	Romania	1	Commercial staff	89	25 / 75%	1.41 (1.54)	87
8	Brazil	1 and 5	Local head-office	144	37 / 63%	5.32 (5.31)	142
Total				1487			1174

1.7.2 Measures

Big Five personality Questionnaire, the Netherlands (study 1)

The Big Five that was conducted in the Netherlands is the GITP Big Five, which is based on the NEO-PI-R. It is a personality questionnaire in Dutch without time limit consisting of 186 short sentences. The respondent has to indicate on a 5-point scale to what degree he or she thinks the sentence applies to him/her.

Reliability of the scales: Conscientiousness $\alpha = .93$; Extraversion $\alpha = .92$; Agreeableness $\alpha = .82$; Neuroticism $\alpha = .91$, Openness $\alpha = .88$.

Big Five Personality Questionnaire, India (study 1)

The NEO PI-R (Costa & McCrae, 1992) is a measure of the five major domains of personality as well as the six facets that define each domain, and consists of 240 questions. The respondent can answer on a 5-point scale from "completely disagree" to "completely agree". Taken together, the five domain scales and thirty facet scales of the NEO PI-R facilitate a comprehensive and detailed assessment of normal adult personality.

The factors are considered universal, having been recovered in different languages and cultures (John, Angleitner, & Ostendorf, 1988; McCrae & Costa, 1997).

Reliability of the scales: Conscientiousness $\alpha = .90$; Extraversion $\alpha = .90$; Agreeableness $\alpha = .87$; Neuroticism $\alpha = .92$, Openness $\alpha = .86$.

Big Five Personality Questionnaire (study 2)

We used the Big Five made by Saucier (1994) who made a shorter version of the Big Five adjectives of Goldman, with eight items per dimension culminating in a personality questionnaire of 40 items. The employees had to describe themselves as accurately as possible on how they saw themselves at the present time, and how they were generally, as compared with other persons they knew of the same sex and of roughly the same age. They had to write a number indicating how accurately that item described them, using a 9-point rating scale: 1 = extremely inaccurate to 9 = extremely accurate.

The original version is in American English, which was used for India, the US and Romania. For the Romanian participants this meant that they did not complete the questionnaire in their primary

language. Most Indians are multilingual, meaning that besides one or two local languages, English was one of their primary languages; hence the risk of language problems was less eminent in this sample. The Dutch version was translated by two scholars, and back again into English by two others. Differences were minimal and discussed in order to come to a final version. The Brazilian Portuguese version was constructed by letting a professional translator translate the original English version, and another translate it back. It turned out that some words were difficult to translate into Portuguese; even between the translators there remained dispute about the exact meaning of the word 'sympathetic' and 'unsympathetic'. Ultimately they agreed that , 'solidário' and 'não solidário' respectively did capture the items best, however we believe that due to the language difference the results for this item should be interpreted with caution.

Proactive Personality

Proactive Personality, defined as "the relatively stable tendency to effect environmental change", was assessed by means of the highest loading items in Bateman and Crant's (1993) scale. Similar to Parker and Sprigg (1999) we used four items on a seven point Likert-scale. In the choice of the items we took into consideration that some items were more adequate for use in different cultural contexts (see Claes, Beheydt, & Lemmens, 2005). Responses ranged from (1 = fully disagree to 7 = fully agree). The items were: "I excel at identifying opportunities; I can spot a good opportunity long before others do; No matter what the odds, if I believe in something, I will make it happen; I enjoy facing and overcoming obstacles to my ideas". Regarding the translation the same procedure was followed as for the previously mentioned Big Five in study 2. This did not lead to discussion on the translation of one of the questions.

Cronbach's alpha for this scale was: India 1, .79; India 2, .75; India 3, .79 the Netherlands 1, .82; the Netherlands 2, .81; Brazil, .78; Romania, .73, USA, .72.

1.7.3 Intercultural Comparison

In this study we will make use of different samples in different cultural contexts. Byrne, Oakland, Leong, Van de Vijver, Hambleton, and Cheung (2009) have argued that when assessing employees in a multinational company the key question is "when does the impact of culture on the tests score matter?" (p.101). We have to note that in our study the relation among the variables will be studied within the samples, the difference in scores among the samples will not be the prime focus of this study. However in interpreting our data we need to minimize the risk of a culture related bias. Van de Vijver and Tanzer (2004) distinguish three main types of test bias:

Construct bias: Occurs when in a cross-cultural comparison not the same psychological concept is measured.

Method bias: Arising from methodological aspects of a study, e.g. differential familiarity with stimulus materials, different physical research conditions, communication problems.

Item bias: Item-specific problems in cross-cultural comparisons, such as item ambiguity due to poor translations.

Construct bias:

Proactive Personality has been tested for unidimensionality beyond the US / UK environment, showing that indeed Proactiveness was measuring one similar factor in Belgium, Finland, and Spain, depending on the items chosen from a long list (Claes et al., 2005). In our choice for a short version of the Proactiveness scale we included the results of this study, when choosing the items for our Proactiveness measure. Subsequently we calculated the goodness-of-fit indices which have been shown to be less susceptible to the effects of sample size than other measures (see e.g. Te Nijenhuis & van der Flier, 1997). We used LISREL 8.71 (Joreskog & Sorbom, 2004) to conduct a multi-group Confirmatory Factor Analysis (CFA; see table 1.4) which revealed that for all practical purposes there is sufficient equality of measurement, loadings and factor variance. We did not find sufficient equality of error variance, however, we consider this as a minor point as it does not hinder us in the analyses that we want to conduct.

Table 1.4
CFA on Proactive Personality in all 8 samples

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
1) Equality of measurement model	62.37**	3.90	.12	.94	.98
2) 1 + Equality of loadings	112.51**	3.04	.10	.96	.97
3) 2 + Equality of factor variance	124.99**	2.84	.10	.96	.97
4) 3+ Equality of error variances	363.08**	5.04	.15	.92	.88

*p < .05, ** p < .01

The reliability and validity of the Big Five has been widely acknowledged (John et al., 1988; McCrae & Costa, 1985). However, we wanted to do an extra check on the NEO-PI-R which we conducted in India. As this Big Five was not the same as the Big Five in the Dutch sample, we received from the test provider, data of 535 employees working in a similar international financial institute, based in the Netherlands. The descriptions and inter-correlations of the Dutch 'reference sample' are displayed in table 1.5.

Table 1.5
Descriptions and inter-correlations of the NEO-PI-R Big Five conducted in the Netherlands

Variable	M	SD	1	2	3	4	5
1. Conscientiousness	27.25	2.88	-				
2. Extraversion	28.29	2.76	.41**	-			
3. Agreeableness	25.73	3.10	.27**	.06	-		
4. Neuroticism	24.70	2.72	-.62**	-.24**	-.24**	-	
5. Openness	25.36	2.86	.09*	.37**	.12**	-.07	-

Note. N = 535.

*p < .05, ** p < .01

We used LISREL 8.71 (Joreskog & Sorbom, 2004) to compare the inter-correlations of our Indian sample (sample 3) with the Dutch reference sample. The results (see table 1.6) revealed that for all practical purposes there is sufficient equality between the correlations of our India group and a Dutch reference group.

Table 1.6
Comparison of the correlations matrices of the Neo-PI-R Big Five in India with a Dutch reference group

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
Equality of measurement model	48.47**	4.85	.07	.93	.97

*p < .05, ** p < .01

In order to assess the equality of the structure of the 40-item Big Five adjectives of Goldman (Saucier, 1994), across samples we conducted a multi-group CFA (see table 1.7). The first model revealed that there is a poor fit, however, this is found in all samples. The latter is illustrated by the fact that in the second, third and fourth model, the fit does not decrease substantially when we take differences among the samples into account (in the fifth model we do find substantial differences among the samples, however, we see this as a minor issue). The poor fit of the first model could mean that the instrument is inadequate, or that the loadings of the items on the latent factor is different due to sample (e.g. cultural) differences.

A closer analysis of the λ - values revealed that some items across all samples had a very low loading on the latent factor. Hence, the shortcomings of the instrument are to be found in all the samples, as some items in this Big Five do not adequately reflect the respective latent factors. Hence, interpretation of the correlations between the Big Five dimensions and the Proactive Personality should be done with caution.

Table 1.7
CFA on the Big Five in 5 samples

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
1) Equality of measurement model	7747.0**	2.12	.10	.63	.76
2) 1 + Equality of loadings	8442.7**	2.23	.11	.60	.73
3) 2 + Equality of covariances	8625.0**	2.25	.12	.59	.72
4) 3 + Equality of factor variance	8971.6**	2.33	.12	.57	.70
5) 4 + Equality of error variances	11236.9**	2.80	.13	.47	.58

** p < .01

Method bias

This risk was mitigated by assuring that all employees filled in their survey in similar conditions and by using a standard instruction. All participants were working for the same company and where familiar with this kind of study, for instance by participating in an annual Employee Engagement Survey.

Item bias

This is indeed a risk in this study especially for the translation of the short version of the Big Five. To mitigate the risk we translated the questionnaire and then translated it back to the original language. In some cases the translators had different views on the outcomes; which are reported. These cases should be interpreted with caution. In Romania, we used a Big Five which was not in the first language of the employees, which increases the risk of item bias in that specific sample. However, we did not delete certain items from the list to make comparison among the variables possible as well as comparison with previous studies. Moreover, previous studies has shown that the impact on this type of bias is rather limited (see e.g. Te Nijenhuis & van der Flier, 1997).

1.8 Results Study 1

1.8.1 The Netherlands Sample

Descriptive statistics for Proactive Personality and the Big Five factors are presented in table 1.8. Proactive Personality was significantly ($p < .01$) correlated with three Big Five factors, including Extraversion ($r = .41$), Neuroticism ($r = -.32$) and Openness to Experience ($r = .48$).

Table 1.8
Correlation matrix of Proactive Personality with the Big Five (the Netherlands, sample 1)

Variable	M	SD	1	2	3	4	5	6
1. Conscientiousness	106.63	9.74	-					
2. Extraversion	115.69	14.96	.06	-				
3. Agreeableness	63.55	5.54	.32**	.05	-			
4. Neuroticism	90.96	9.10	-.19*	-.42**	-.15*	-		
5. Openness	94.29	9.24	.09	.62**	-.19**	-.49**	-	
6. Proactive Personality	5.23	.90	.10	.41**	-.07	-.32**	.48**	-

Note. $N = 302$.

* $p < .05$, ** $p < .01$

The GTP Big Five is reported in raw scores.

To examine how Proactive Personality relates to the facets of the Big Five, we conducted five separate regression analyses for the six facets of each factor of the Big Five. The results are presented in table 1.9.

The overall regression analysis for Conscientiousness was significant (adjusted $R = .37$, $p < .01$), of which 'Goal Focused' ($\beta = .33$, $p < .01$) was the only separate positive predictor. For Extraversion (adjusted $R = .38$, $p < .01$), only 'Self-Presentation' ($\beta = .16$, $p < .05$) was a significant positive predictor of Proactive Personality. Of Agreeableness (adjusted $R = .24$, $p < .01$) 'Trust' ($\beta = .17$, $p < .01$) and 'Hostile' ($\beta = -.18$, $p < .01$) were significant predictors. As a trait Neuroticism was significantly related to Proactive Personality (adjusted $R = .47$, $p < .01$) and 'Self-Confidence' ($\beta = .23$, $p < .01$) and 'Dominant' ($\beta = .31$, $p < .01$) predicted Proactiveness on a facet level. The Openness to Experience dimension was positively related to Proactiveness (adjusted $R = .42$, $p < .01$) with the facets, 'Change' ($\beta = .32$, $p < .01$) and 'Autonomy' ($\beta = .17$, $p < .01$), having a positive relation.

Table 1.9

Proactive Personality Regressed on the Facets of Each of the Five Factors of Personality (The Netherlands, sample 1)

Big Five factor	facet	β	t	Adj R	R ²
Conscientiousness	Discipline	-.05	-.73		
	Determined	.10	1.37		
	Order	-.04	-.57		
	Planfull	.09	1.18		
	Sloppy	-.02	-.32		
	Goal Focused	.33**	5.00		
	Effort	-.06	-.76		
				.37**	.14**
Extraversion	Sociable	.04	.44		
	Easy going	.10	1.30		
	Self-presentation	.16*	2.30		
	Modest	-.12	-1.70		
	Energy	.10	1.55		
	Cooperation	.00	-.11		
				.38**	.15**
Agreeableness	Altruism	.00	-.09		
	Trust	.17**	2.70		
	Hostile	-.18**	3.13		
				.24**	.06**
Neuroticism	Self-confidence	.23**	2.96		
	Handling stress	-.07	-1.12		
	Dominant	.31**	4.66		
	Vulnerable	-.07	-1.05		
	Instable	.08	1.07		
	Annoyed	-.08	-1.14		
				.47**	.22**
Openness	Change	.32**	5.07		
	Autonomy	.17**	2.79		
	Imagination	.10	1.51		
	Intellect	-.06	-.81		
				.42**	.18**
Proactiveness regressed on of all 7 significant facets				.57**	.32**

Note. N = 305.

Proactive Personality was regressed on each set of facets, one factor at a time.

Table 1.10

Proactive Personality regressed on the Big Five dimensions (the Netherlands, sample 1)

	β
1. Conscientiousness	.06
2. Extraversion	.18**
3. Agreeableness	-.05
4. Neuroticism	.09
5. Openness	.31**
R	.51**
ΔR^2	.26**
Adj R ²	.25**

Note. N = 291.

*p < .05, ** p < .01

In table 1.10 Proactive Personality is regressed on the Big Five dimensions. In total 25% of the variance in Proactive Personality could be accounted for by the dimensions of the Big Five, of which Extraversion ($\beta = .18$, $p < .01$) and Openness ($\beta = .31$, $p < .01$) had a significant contribution.

1.8.2 India Sample

Descriptive statistics for Proactive Personality and the Big Five factors are presented in table 1.11. The intercorrelations between the dimensions of the Big Five were rather high³. Proactive Personality was significantly ($p < .01$) correlated with three of the Big Five factors, including Conscientiousness ($r = .36$), Extraversion ($r = .28$) and Neuroticism ($r = -.36$).

Table 1.11
Correlation matrix of Proactive Personality and the Big Five (sample 3, India)

Variable	M	SD	1	2	3	4	5	6
1. Conscientiousness	29.53	3.01	-					
2. Extraversion	27.86	2.75	.59**	-				
3. Agreeableness	26.92	2.33	.47**	.37**	-			
4. Neuroticism	21.51	2.87	-.65**	-.49**	-.33**	-		
5. Openness	26.33	2.20	.41**	.59**	.40**	-.34**	-	
6. Proactive Personality	5.33	.93	.36**	.28**	.03	-.36**	.10	-

Note. N ranged between 292 and 302.

* $p < .05$, ** $p < .01$

The Neo-PI-R Big Five is reported in raw scores (scoring is different from the GITP Big Five in the Netherlands).

To examine the relationship between Proactive Personality and the facets of the Big Five, we conducted five separate regression analyses for the six facets of each factor of the Big Five. Results are presented in table 1.12.

³ See method section

Table 1.12

Proactive Personality Regressed on the Facets of Each of the Five Factors of Personality (sample 3, India)

Big Five factor	Facet	β	t	Adj R	R ²
Conscientiousness	Competence	.31**	4.40		
	Order	.02	.33		
	Dutifulness	-.06	-.70		
	Achievement striving	.07	.94		
	Self-discipline	.10	1.09		
	Deliberation	.04	.53		
				.42**	.18**
Extraversion	Warmth	-.05	-.65		
	Gregariousness	.08	1.02		
	Assertiveness	.33**	5.08		
	Activity	.02	.33		
	Excitement seeking	.06	1.00		
	Positive emotions	.00	.10		
				.38**	.14**
Agreeableness	Trust	.03	.52		
	Straightforwardness	-.04	-.58		
	Altruism	.18**	2.78		
	Compliance	-.01	-.20		
	Modesty	-.25**	-4.10		
	Tender-mindedness	.10	1.67		
				.34**	.11**
Neuroticism	Anxiety	-.16*	-2.13		
	Angry hostility	.01	.16		
	Depression	-.07	-.88		
	Self-consciousness	-.06	-.84		
	Impulsiveness	.07	1.05		
	Vulnerability	-.23**	-3.62		
				.41**	.17**
Openness	Fantasy	.02	.24		
	Aesthetics	-.10	-1.38		
	Feelings	-.07	1.05		
	Actions	.06	.86		
	Ideas	.16*	2.15		
	Values	.10	1.61		
				.23*	.05*
Proactiveness regressed on of all 7 significant facets				.50**	.25**

Note. N = 298.

Proactive Personality was regressed on each set of six facets, one factor at a time.

The overall regression analysis for Conscientiousness was significant (adjusted R = .42, $p < .01$), of which 'Competence' ($\beta = .31$, $p < .01$) was a positive predictor of Proactive Personality. From the significant overall analysis for Extraversion (adjusted R = .38, $p < .01$), only 'Assertiveness' ($\beta = .33$, $p < .01$) was a significant positive predictor of Proactive Personality. Of Agreeableness (adjusted R = .34, $p < .01$) 'Altruism' ($\beta = .18$, $p < .01$) was a positive predictor and 'Modesty' ($\beta = -.25$, $p < .01$) had a negative relation. As a dimension Neuroticism was significantly related to Proactive Personality (adjusted R = .41, $p < .01$), 'Anxiety' ($\beta = -.16$, $p < .05$) and 'Vulnerability' ($\beta = -.23$, $p < .01$) predicted Proactiveness on a facet level. The Openness to Experience dimension was positively related to Proactiveness (adjusted R = .23, $p < .05$) with one facet, 'Ideas' ($\beta = .16$, $p < .05$), having a positive relation.

In table 1.13 Proactive Personality is regressed on the Big Five dimensions (adjusted R = .43). In the Indian sample a total 17% of the variance in Proactive Personality could be accounted for by the dimensions of the Big Five.

Table 1.13
Proactive Personality regressed on the Big Five dimensions (sample 3, India)

	β
1. Conscientiousness	.24**
2. Extraversion	.17*
3. Agreeableness	-.19**
4. Neuroticism	-.21**
5. Openness	-.12
R	.43**
ΔR^2	.19**
Adj R ²	.17**

Note. N = 282.

*p < .05, ** p < .01

1.8.3 Summary and Conclusion Study 1

Past studies have shown that Proactive Personality overlaps the Big Five personality dimensions. Major et al. (2006) regressed Proactive Personality on the nine facets which individually were significantly related to Proactiveness and found a significant overlap ($R^2 = .26$). In study 1 we replicated this study in two samples which were taken from different cultural contexts and found similar results in the Netherlands (adjusted R = .57) and India (adjusted R = .50). Hence, we conclude that the Big Five in part predicts the variance in Proactive Personality (Research question 1). The naming of the facets in the samples was different, making a comparison per facet impossible. (see table 1.14).

Table 1.14

Correlations with Proactiveness per dimension and significant facets (naming of Big Five facets in the Netherlands and India differed)

	Major et al. (2006)	The Netherlands (Sample 1)	India (Sample 3)
Conscientiousness	.15	.10	.36**
	Dutifulness - Achievement striving +	Goal Focused +	Competence +
Extraversion	.20*	.41**	.28**
	Activity + Assertiveness +	Self- presentation +	Assertiveness +
Agreeableness	-.12	-.07	.03
	Altruism +	Trust + Hostile -	Modesty - Altruism +
Neuroticism	-.15	-.32**	-.36**
	Vulnerability -	Self-confidence + Dominant +	Anxiety - Vulnerability -
Openness	.37*	.48**	.10
	Actions + Ideas + Values +	Change + Autonomy +	Ideas +
Proactiveness regressed on significant facets (Multiple R)	adjusted R = .51**	adjusted R = .57**	adjusted R = .50**

*p < .05, ** p < .01

- is negative facet loading

+ is positive facet loading

1.9 Results Study 2

In this study we will analyze the relation between Proactive Personality and the items of a short version of the Big Five. Analyses per item were not possible with both Big Five personality questionnaires (the NEO-PI-R nor the GITP Big Five) as the data were not available due to copyright. However, we do want to conduct such an analysis, since Proactiveness in relation to items of the Big Five might give further information on the overlap between the two.

Although the samples differed much in terms of age distribution, type of function and cultural background, similarities of the samples are striking (see table 1.15). By far the most positive correlations were found at the Extraversion and Openness dimension. For Agreeableness and Neuroticism almost no positive items were found. The picture for Conscientiousness is more mixed, in the Netherlands, India, the USA and Romania we did find positive correlations, in Brazil we did not. Interesting was the fact that in all samples there was quite some inconsistency in the positive and negative version of the same item; for instance in Romania the correlation with 'Creative' was .31 (p < .01) whereas the correlation with 'Uncreative' was -.03 (p = ns). While interpreting these data we have to bear in mind that a confirmatory factor analysis has revealed that not all items are adequate predictors of the Big Five dimensions.

The highest loading items across the samples were 'Bold' and 'Energetic' (Extraversion), 'Imaginative', 'Intellectual', 'Complex' and 'Creative' (Openness to Experience). Although, as

mentioned previously, the differences with the negative poles are a bit awkward, in general the other items of Openness ('Deep' and 'Philosophical'), and all items of Extraversion also yielded high correlations with Proactiveness.

Table 1.15
Proactive Personality correlated with the items of a short version of the Big Five in 5 countries

<i>n</i>	<i>item</i>	<i>the Netherlands2</i>	<i>India2</i>	<i>USA</i>	<i>Romania</i>	<i>Brazil</i>	
		110	116	154	89	142	
<i>Conscientiousness</i>	+	Practical	.14	.14	.09	.22*	.25**
	+	Organized	-.08	.15	.11	.39**	.00
	+	Efficient	.07	.13	.13	.32**	.12
	+	Systematic	.01	.11	.20*	.23*	-.06
	-	Disorganized	-.10	-.14	-.21*	.07	-.01
	-	Sloppy	-.11	-.11	-.08	-.08	-.07
	-	Inefficient	-.03	-.16	-.04	-.17	.05
	-	Careless	-.04	.09	-.11	-.14	.09
Total Conscientiousness		-.08	.27**	.27**	.19*	.09	
<i>Extraversion</i>	+	Talkative	.30**	.05	.12	.20*	.19*
	+	Extraverted	.32**	.13	.14	.15	.21*
	+	Bold	.40**	.30**	.17*	.15	.29**
	+	Energetic	.25**	.27**	.18*	.20*	.16*
	-	Shy	-.30**	-.21*	.02	-.21*	.05
	-	Quit	-.24*	-.03	-.07	-.24**	-.20**
	-	Bashful	-.19*	.00	-.04	-.27**	-.24**
	-	Withdrawn	-.31**	-.17	-.06	-.21*	-.09
Total Extraversion		.43**	.30**	.30**	.33**	.28**	
<i>Agreeableness</i>	+	Cooperative	.02	.20*	.07	.09	.15
	+	Kind	.12	.18	.00	.14	.05
	+	Sympathetic	-.11	-.05	-.07	.23*	.00
	+	Warm	.20*	.09	.02	.08	.07
	-	Cold	.01	-.02	.03	.10	-.01
	-	Unsympathetic	.05	.03	-.02	.01	-.01
	-	Rude	-.21*	.05	-.04	.02	-.01
	-	Harsh	.05	-.08	.04	-.03	-.01
Total Agreeableness		-.04	.17	.17	.06	.03	
<i>Neuroticism</i>	+	Jealous	-.02	.01	-.08	-.10	.10
	+	Temperamental	.11	-.01	.03	.13	.08
	+	Moody	-.12	-.08	-.16	-.06	-.13
	+	Envious	-.05	.02	-.09	-.03	.05
	+	Fretful	.02	-.05	.02	.12	.04
	+	Touchy	.06	-.09	.05	-.03	.02
	-	Relaxed	-.14	-.22	-.15	.02	-.05
	-	Unenvious	.04	.03	-.16	-.08	-.01
Total Neuroticism		.00	.09	.09	-.01	-.10	
<i>Openness</i>	+	Deep	.27**	.06	.25**	.09	.10
	+	Imaginative	.23*	.28**	.20*	.12	.38**
	+	Intellectual	.19*	.25**	.25**	.20*	.18*
	+	Philosophical	.30**	.04	.13	.02	.20**
	+	Complex	.19*	.22**	.18*	.26**	-.09
	+	Creative	.28**	.26**	.24**	.31**	.42**
	-	Unintellectual	.01	-.22*	-.13	-.10	.06
	-	Uncreative	-.17	-.23*	-.18*	-.03	-.28**
Total Openness		.32**	.20*	.20*	.21*	.32**	

*p < .05, ** p < .01

- means that the item is negatively related to the dimension

+ means that the item is positively related to the dimension

1.10 Discussion

Past studies showed that Proactiveness is significantly related to dimensions of the Big Five, being Conscientiousness and Extraversion; Openness and Neuroticism were found in two studies, Agreeableness in none (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000; Major et al., 2006).

Based on Major et al. (2006) and our two samples we conclude that the overlap between Proactive Personality and the significant facets of the Big Five is between adjusted $R = .50$ and adjusted $R = .57$. If we combine the results of study 1 and 2 with other studies, we conclude that the clearest relation with the Big Five can be found with Extraversion. The relation between Proactiveness and Conscientiousness seems to be more complex. To a lesser extent proactive employees seem to be significantly more 'organized' and there is even some evidence that they are low on the facet 'Dutifulness'. The most important facet of Conscientiousness in relation to Proactiveness seems to be 'Achievement Focus'. Previous studies yielded a mixed picture of the relation between Proactiveness and Openness, however in both our studies we found clear evidence for overlap between the two. Proactive employees describe themselves more often as 'Creative', not so much 'Philosophical'. The result of past studies and ours, did not generate a clear relationship on a dimension level between Proactiveness and Neuroticism, however there is some evidence that proactive employees have higher degrees of self-confidence and are less 'Vulnerable'. Agreeableness was also not related to Proactiveness, however, the facet 'Altruism' was found twice as a predictor. We conclude that there is quite some consistency in the overlap across samples, which differed in average age, tenure, gender composition and cultural background.

Based on the correlations with the short version of the Big Five the common denominators seem quite positive for both the organization and the individual. Characteristics such as: Energetic, Imaginative, Intellectual, Complex, Creative, have no clear downside. This is different for the correlates with the facets of the Big Five, which we found in study 1: lack of 'Dutifulness', 'Vulnerability', combined with a high level of 'Self-Confidence', 'Dominance' and 'Assertiveness', gives room for the thought that proactive employees might not only have positive impact on an organization. The interpretation of the short version should, however, be done with caution and is a limitation of this study, as not all items proved to be adequate indicators of the respective Big Five dimension. Due to the size of our Big Five (40 items) the impact of inadequate items is relatively big. Future studies could replicate our findings with the full Goldman Big Five which incorporates a total of 100 items. A more extended version of a Big Five based on traits, would give the opportunity to remove inadequate items, whereas in our version with only 8 items per dimension this would have to much impact. Besides the overlap with the Big Five, there is still sufficient unique variance, which justifies including the Proactive Personality in a model over and above the Big Five.

The Proactive Personality concept is rooted in an interactionist approach between personality and environment. Crant (2000) described the Proactive Personality as: "Taking initiative in improving current circumstances or creating new ones; it involves challenging the status quo rather than passively adapting to present conditions" (p.436). From previous studies it is known that Proactiveness is linked to innovation (Parker, 1998). Innovation goes beyond some relevant items found in study 2, such as being 'Imaginative' and 'Creative'. Having an idea is one, turning it into action is a step further. Similarly Becherer and Mauer (1999) describe proactive people as entrepreneurs who engage in 'Organizational Creation' and 'Innovation'. The tendency to put ideas into action is not necessarily beneficial for the organization. A significant difference between

entrepreneurs and employees is what Campbell (2000) calls the 'initiative paradox' for a company. In today's workplace job descriptions are unlikely to capture all work situations, hence the organization needs proactive employees who make their own judgment when something unplanned happens. At the same time, the organization desires predictable outcomes: they also expect the employees' diagnostics and actions to mirror their own. This leads to the 'initiative paradox': employees are expected to use independent judgment and initiative and simultaneously expected to think and act like their bosses. "... truly substantive problems associated with the initiative paradox really are not caused by the enterprising qualities, but by a misalignment of the organization's and the individual's goals and interests."(p.59). With proactive employees the risk of self-initiative which contradicts the implicit thinking of their managers, is higher than for their less proactive colleagues.

According to Seibert et al. (1999), individuals who exert control over their work situations are likely to understand the contingencies in their environments and anticipate changes. "They may alter their own work methods, procedures, and task assignments and even exert influence over decisions affecting their pay, promotions, and the distribution of other organizational rewards (Bell & Staw, 1989)" (p.417). This implies that more proactive employees might be too much focused on their own (financial) gain. As suggested in the quote of General Sun Tzu at the beginning, whose work on warfare has been applied in many management books, it is possible that proactive employees modify their tactics in relation to their opponent and thereby succeed in winning; they might not move unless they see an advantage, unless there is something to be gained. However, the question is for whom are they fighting, for the company they work for, or for themselves? That fact that Proactiveness was not related to 'voice', non-required behavior that emphasizes expression of constructive challenge intended to improve rather than merely criticize (Seibert et al., 2001), might indicate that proactive employees do not seek for change if this can have a negative impact on their career. Proactive Personality has a clear value in predicting relevant work outcomes over and above the Big Five, it also contains a risk. In the overlap with the Big Five we have found characteristics which may not necessarily be beneficial for the employer. The same applies for the entrepreneurial posture of proactive employees: do they only seek for change when it serves their needs? Do they search for opportunities or are they opportunistic?

Chapter 2

Proactive Personality and Different Measures of Performance

Proactive Personality was defined by Bateman and Crant (1993, p.103) as “a dispositional construct that identifies differences among people in the extent to which they take action to influence their environments”. It has been found to be related to different measures of Performance, e.g. objective Sales Performance of real estate agents (Crant, 1995), subjective ratings (Chan, 2006; Thompson, 2005) and also to salary and promotions (Seibert et al., 1999; Seibert et al., 2001). As we found in chapter 1, Proactiveness was related to the Big Five, especially Extraversion, Conscientiousness and Openness (see also Major et al., 2006), which are, in turn, related to Performance (Barrick & Mount, 1991; Schmidt & Hunter, 1998; Vinchur, Schippermann, Switzer, & Roth, 1998). As a result, the Proactive Personality – Performance connection might be explained by their mutual relationship with Extraversion and Conscientiousness. As far as we know, this possibility was examined in only one study, in which the Proactiveness of salespersons was found to predict an objective Performance measure, based on archival data e.g. the number of houses sold, beyond Extraversion and Conscientiousness (Crant, 1995).

The pattern of relationships among Proactive Personality and various measures of Performance is not yet clear. No study has been done on the relation between Proactiveness and the self-rating of the employee, neither on the Bonus or Appraisal by managers in relation to Proactiveness. Some Performance ratings like formal annual appraisals have direct material consequences, like salary increases and financial bonuses, while others, like the ratings given in the context of a research project, do not. The fact that highly proactive employees receive higher salaries and get more promotions than their less proactive colleagues could be attributed to their effective Work Performance, as actively changing the environment can be a positive contributor to Work Performance (Seibert et al., 1999; Seibert et al., 2001). However, it is possible that that same quality of changing the environment can be used in the self-interest of the employee. Proactive people are known to be able to influence their environment well (Thompson, 2005), in such a way that they are relatively good at ‘feathering their own nest’. As a consequence, proactive employees might be able to influence their manager’s decisions about financial benefits directly or indirectly, through reward-related, formal appraisal ratings. High levels of Proactiveness may have an upside if this drive to take action to influence the environment is used for company purposes; being proactive could have a down-side in the sense that proactive employees may be able to obtain more Performance-related benefits than is justified by their actual Performance, when they use their Proactiveness for their own well-being.

It was the purpose of the present study to examine the impact of Proactive Personality on reward related performance-ratings relative to ratings without material consequences. We examined the relationship between Proactiveness on the one hand and formal appraisal ratings by the direct manager and the level of financial bonus on the other, both obtained from personnel records and the Manager’s Opinion and Self-Opinion of the respondent’s Performance, as indicated by a rating given in the context of the research project.

The first research question was if Proactiveness would predict the various measures of Performance over and above the Big Five personality factors Extraversion and Conscientiousness. The second question was whether or not Proactiveness would predict formal appraisal ratings and level of Bonus over and above the Manager's Opinion of the employee's Performance. Respondents were professionals in India and the Netherlands, working in the highly competitive environment of an international financial organization.

2.1 Proactive Personality and Performance

According to Bateman and Crant (1993), people who are "proactive" are less constrained by situational issues and are more willing to change their direct environment. They identify opportunities, show initiative and demonstrate resilience in achieving targets. They will take the responsibility when encountering problems and will make an impact on the world around them.

After the introduction of the Proactive Personality by Bateman and Crant (1993), several authors have proven its value in predicting Performance in different areas. For example, Thompson (2005) reported a correlation of .19 ($p < .05$) of Proactive Personality with respect to subjective Performance measures which were obtained in the context of a research project, proving that not only quantitative output is influenced. Also, Chan (2006) found a significant correlation between Proactive Personality and supervisory rating ($r = .16$, $p < .05$), the latter was measured by asking participants' managers to rate their participating subordinates for a research project. Most importantly Crant (1995) showed the incremental value of Proactiveness over and above Extraversion and Conscientiousness: for real-estate agents Proactive Personality correlated ($r = .23$, $p < .01$) positively with objective criteria: number of houses sold, number of listings generated for the firm and commission income. Evidence of a positive or negative perception of proactive employees on their self-rating is at best circumstantial. Brown et al. (2006) found a correlation of .39 ($p < .001$) between Proactive Personality and self-esteem (the positivity of individual's global self-evaluation). Also Parker (1998) found a positive relationship between Proactiveness and self-esteem ($r = .31$; $p = .001$).

2.2 The Big Five in Relation to Job Performance and Proactive Personality

Conscientiousness is positively related to Job Performance ($r = .23$) across the majority of mainstream job types, for the other factors we can conclude that different jobs demand different personality profiles (Hogan et al., 1996). Extraversion was a valid predictor for jobs where *social interaction* was necessary ($r = .18$). The other three factors, Agreeableness, Openness to Experience and Neuroticism also predicted Performance for some job types, but the magnitude of these correlations was at less than .10, relatively small (Barrick & Mount, 1991).

The correlations between Proactive Personality and Conscientiousness have been found ranging from $r = .15$ to $r = .43$; while the correlations between Proactiveness and Extraversion were ranging between $r = .20$ and $r = .35$ (Bateman & Crant, 1993; Brown et al., 2006; Crant, 1995; Major et al., 2006). Major et al. (2006) regressed Proactive Personality on the Big Five facets and found a multiple correlation of adjusted $R = .51$, "suggesting that the Proactive Personality construct is something more than a combination of Big Five facets" (p.394).

2.3 The Present Study

We want to know if Proactive Personality predicts the various measures of Performance over and above the Big Five personality factors Extraversion and Conscientiousness. Although chapter 1 gives us reason to believe that also Openness is related to Proactiveness, we will not include this dimension in our model, as it is not expected to share significant variance with Performance. Given that Proactiveness only partly overlaps the Big Five (Major et al., 2006; Chapter 1) and that it has been found to predict Performance above the Big Five (Chan, 2006; Crant, 1995; Thompson, 2005), we predict that:

Hypothesis 1: Proactive Personality predicts Bonus, appraisal score, Manager's Opinion, and Self-Opinion over and above Conscientiousness and Extraversion.

Secondly, we want to examine if Proactive Personality is related to financial incentives such as appraisal ratings and Bonuses beyond the Manager's Opinion about actual Performance. Seibert et al. (1999) explain the correlation between Proactive Personality and salary, as follows: "[proactive employees]... may alter their own work methods, procedures, and task assignments and even exert influence over decisions affecting their pay, promotions, and the distribution of other organizational rewards" (p.417). Also Thompson (2005) alludes to this capacity to achieve self-oriented goals, when he states: "Proactive people are likely to seek ways to construct a social environment catering for their own success on the job." (p.1012). Therefore we assume that Proactive Personality plays an important role beyond the Manager's Opinion, such that those higher on Proactiveness will be more likely to receive higher Appraisals and Bonuses.

Hypothesis 2: Proactive Personality predicts Bonus, Appraisal score, and Self-Opinion over and above the Manager's Opinion.

2.4 Method

2.4.1 Samples

Given the restrictions we found in chapter 1 on the 40- item Big Five (Saucier, 1994) we will conduct the present study in two samples, the Netherlands 1 and India 3. Here we will only give a short description of the samples, for a more elaborate description please see the method section of chapter 1.

The Netherlands (Sample 1)

In total 309 employees filled in the questionnaire (60% male, 40% female). Of this group 100 managers returned their questionnaire. The average length of service was 21.15 years ($\sigma = 10.11$). Level ranged from scale 4 (EUR 14.691 to EUR 24.281 annual salary) to scale 15 (EUR 73.889 to EUR 105.550).

India (Sample 3)

This sample consisted of 320 employees, of which 55% were male; 45% female and the average length of service was 1.83 years ($\sigma = 1.04$). Of their respective managers a total of 291 filled in their "manager's questionnaire". There was hardly any difference in level among these employees.

2.4.2 Measures⁴

Big Five personality Questionnaire the Netherlands. In the Dutch sample, Extraversion and Conscientiousness were assessed by means of the GITP Big Five test, based on the NEO-PI-R. It is a personality questionnaire in Dutch consisting of 186 short sentences. The respondent has to indicate on a 5-point scale to what degree he or she thinks the sentence applies to him/her.

Reliability of the scales: Conscientiousness $\alpha = .93$; Extraversion $\alpha = .92$; Agreeableness $\alpha = .82$; Neuroticism $\alpha = .91$, Openness $\alpha = .88$.

Big Five personality Questionnaire India. The NEO PI-R (Costa & McCrae, 1992) is a measure of the five major domains of personality as well as the six facets that define each domain. The questionnaire consists of 240 questions on which the respondent can answer on a 5-point scale from “completely disagree” to “completely agree”. The NEO PI-R is recognized internationally as a good standard for personality assessment.

Reliability of the scales: Conscientiousness $\alpha = .90$; Extraversion $\alpha = .90$; Agreeableness $\alpha = .87$; Neuroticism $\alpha = .92$, Openness $\alpha = .86$.

Proactive Personality. This concept, defined as “the relatively stable tendency to effect environmental change”, was assessed using the highest loading items in Bateman and Crant’s (1993) scale. Like Parker and Sprigg (1999) we used 4 items on a seven point Likert-scale. Responses ranged from (1 = fully disagree to 7 = fully agree). An example item: “I excel at identifying opportunities”.

Cronbach’s alpha for this scale was .88 in the Netherlands and .82 in India.

In our study we will make use of three different Performance measures, all given by the same manager more or less in the same timeframe (maximal 3 months apart), regarding the same Performance period (mostly one calendar year). The Manager’s Opinion was the only confidential one, and collected especially for this study; it had no financial impact. The Appraisal and Bonus were given by the same manager on the Performance of the employee, and did have a financial impact.

Manager’s Opinion. Job Performance was assessed by asking participants’ managers to rate their participating subordinates on a three-item measure (e.g., “The employee does a lot of work in terms of output”) developed for this study, but similar to the supervisory rating of Chan (2006). We used a five-point Likert-type rating scale (1 = fully disagree to 5 = fully agree).

Cronbach’s alpha for this scale was .88 both in India and in the Netherlands.

Self-Opinion. The same questions on Job Performance for the manager (Manager’s Opinion) were also included in a self-rating for the employee. On the same three-item measure (e.g., “in my job I function effectively”) developed for this study. We used a five-point Likert-type rating scale (1 = fully disagree to 5 = fully agree).

Cronbach’s alpha for this scale was .82 in the Netherlands and .66 in India.

Appraisal. An appraisal score is based on the achievement of goals which were set at the beginning of the year. Scores ranging from 1 = not at all meeting requirements, to 5 = exceeding requirements, implies a standard financial incentive. The amounts differ per country, business unit and level in the organization, but the principle is the same across the globe and functions. For instance in the

⁴ See chapter 1 for a comparison on Cronbach level of the Big Five, and a CFA on Proactive Personality

Netherlands: a '1' appraisal leads to 0% of the gross salary extra pay, a '2' = 4%, a '3' = 7%, a '4' = 11% and a '5' = 15%. The outcome is shared with the employee in an appraisal interview.

Bonus. Unlike the Appraisal, the Bonus is discretionary to the manager, meaning the employee has no rights to claim a Bonus. On the other hand in theory Bonuses are, unlike the Appraisal, an unlimited amount. The manager is not bound to certain rules regarding the amount. He has to submit the proposals to his managers and the Human Resources department who can decide to adjust the amount (discretionary Bonuses did not exist in India).

Level. The Indian sample consisted of only (young) employees, who hardly differed in level, hence no level information was available for this group. In de Dutch sample, level is an indication of the position in the organization and consequently someone's annual salary. Level varied from 4 (lowest) to 14.

Length of service. Number of years working for the bank.

Gender. Gender has been coded as, male = 1, female = 2.

2.5 Results

2.5.1 Independent Variables

In tables 2.1 and 2.2 means, standard deviations and correlations among the independent variables are presented.

In the Dutch sample, Proactiveness was not related to Conscientiousness, however it was related to Extraversion. Proactive Personality was negatively related to gender ($r = -.22$, $p < .01$) and positively to level ($r = .32$, $p < .01$). Level was related to gender, being women held lower level jobs than men.

In India (sample 3) Proactive Personality was positively correlated with Conscientiousness and Extraversion in line with previous studies (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000; Major et al., 2006) and chapter 1.

Table 2.1
Descriptives and Intercorrelations (the Netherlands)

Variable	M	SD	1	2	3	4	5	6
1. Conscientiousness	106.63	9.72	-					
2. Extraversion	115.78	15.00	.05	-				
3. Proactive Personality	5.20	.99	.10	.41**	-			
4. Length of service	21.15	10.11	.18**	-.16**	-.05	-		
5. Gender	1.40	.49	.11*	-.23**	-.22**	.14*	-	
6. Level	9.13	2.70	-.19**	.29**	.32**	.00	-.55**	-

Note. $N = 305$.

* $p < .05$, ** $p < .01$

The Big Five was the GITP G5 personality questionnaire and is reported in raw scores.

Gender has been coded, 1 = male, 2 = female.

Table 2.2
Descriptives and Intercorrelations (India)

Variable	Mean	SD	1	2	3	4	5
1. Conscientiousness	29.53	3.01	-				
2. Extraversion	27.86	2.75	.59**	-			
3. Proactive Personality	5.33	.92	.36**	.28**	-		
4. Length of service	1.83	1.04	.14	.05	.02	-	
5. Gender	1.44	.50	.02	-.04	-.09	.02	-

Note. $N = 282$.

* $p < .05$, ** $p < .01$

The Neo-PI-R Big Five is reported in raw scores (scoring was different for the GITP G5 in the Netherlands).

Gender has been coded, 1 = male, 2 = female.

2.5.2 Dependent Variables

Tables 2.3 and 2.4 present the means, standard deviations and correlations of the dependent variables. In the Dutch sample (table 2.3), the standard deviation was bigger than the average Bonus due to the big differences in Bonus levels; Bonus was the only Performance measure which was not standardized, as a Bonus is an amount in Euro whereas the Appraisal, the Manager's- and Self-Opinion are measures of Performance compared to employees of the same level. Although the means of the Manager's Opinion ($M = 4.08$) and the Self-Opinion ($M = 4.17$) did not differ much, the correlation on the same set of questions regarding the Performance of the employee, was rather low ($r = .29$, $p < .01$).

In the Indian group, no discretionary Bonuses were given to employees. Similar to the Dutch group the means between the Manager's Opinion ($M = 4.08$) and the Self-Opinion ($M = 4.17$) differed slightly in favor of the Self-Opinion, and also the correlation was quite low ($r = .24$, $p < .01$).

Table 2.3
Descriptives and Intercorrelations of the dependent variables (the Netherlands)

Variable	M	SD	1	2	3	4
1. Bonus	6,769	9,994	-			
2. Appraisal	3.50	.63	.32**	-		
3. Manager's Opinion	4.08	.67	.26**	.48**	-	
4. Self-Opinion	4.17	.55	.24**	.26**	.29**	-

Note. $N = 302$. Only for Manager's Opinion $N = 99$.

* $p < .05$, ** $p < .01$

Bonus is reported in Euro.

Table 2.4
Descriptives and Intercorrelations of the dependent variables (India)

Variable	M	SD	1	2	3
1. Appraisal	3.72	.79	-		
2. Manager's Opinion	4.05	.66	.64**	-	
3. Self-Opinion	4.34	.59	.31**	.24**	-

Note. $N = 282$. Only for Appraisal score $N = 136$.

* $p < .05$, ** $p < .01$

In tables 2.5 and 2.6 the correlations between the dependent and the independent variables as well as the demographic (control) variables are reported. In the Dutch sample Proactive Personality correlated positively with Bonus, Appraisal and Self-Opinion however it was not positively correlated with the Manager's Opinion; unexpectedly, none of the variables had a significant correlation with the Manager's Opinion.

In the Indian sample Proactive Personality correlated with all measures of Performance. Length of service had a positive correlation with the appraisal score. In line with other studies (Barrick & Mount, 1991), the Appraisal, Manager's Opinion and Self-Opinion were correlated to

Conscientiousness and Extraversion. Women receive significantly lower appraisals than men in the Indian sample; also Manager's Opinion was significantly lower.

Table 2.5
Correlations between dependent variables and independent variables (the Netherlands)

Variable	Bonus	Appraisal	Manager's Opinion	Self-Opinion
1. Conscientiousness	-.13*	.00	.09	.11
2. Extraversion	.20**	.14*	.00	.13*
3. Proactive Personality	.32**	.29**	-.02	.41**
4. Length of service	.08	.08	.09	-.03
5. Gender	-.33**	-.10	.09	-.12*
6. Level	.55**	.17**	-.01	.20**

Note. $N = 302$. Only for Manager's Opinion $N = 99$.

* $p < .05$, ** $p < .01$

The presented correlations with Conscientiousness, Extraversion and Proactive Personality were tested 1-tailed.

Table 2.6
Correlations between dependent and independent variables (India)

Variable	Appraisal	Manager's Opinion	Self-Opinion
1. Conscientiousness	.18**	.19**	.33**
2. Extraversion	.20**	.21**	.14*
3. Proactive Personality	.25**	.10*	.31**
4. Length of service	.28**	.13†	.11
5. Gender	-.21**	-.23**	-.05

Note. $N = 285$. Only for Manager's Opinion $N = 274$.

* $p < .05$, ** $p < .01$

The presented correlations with Conscientiousness, Extraversion and Proactive Personality were tested 1-tailed.

2.5.3 Hypothesis Testing

The Netherlands

We found partial support for Hypothesis 1, stating that Proactive Personality has incremental validity over Conscientiousness and Extraversion in predicting different measures of Performance. As can be found in table 2.7, Proactiveness predicted significantly more variance of the Bonus, Appraisal and the Self-Opinion, however not of the Manager's Opinion. Given that the number of participants who received a Manager's Opinion was quite lower ($N = 99$) than the total sample, we wanted to exclude the possibility of distortion due to sample size. We calculated all regressions twice listwise, once with the full sample, than with a sub sample with those who had a Manager's Opinion; We found no significant value differences. Hypothesis 2 that Proactive Personality has incremental validity over Manager's Opinion in predicting the Bonus, Appraisal score and Self-Opinion was accepted as Proactiveness explained (significantly more) variance over and above the Manager's Opinion for all measures of Performance (see table 2.8).

Table 2.7
Different Performance measures regressed on Conscientiousness, Extraversion, Level, Gender, and Length of Service and Proactive Personality (the Netherlands)

	Criteria			
	Bonus	Appraisal	Manager's Opinion	Self-Opinion
<i>Step 1:</i>				
Conscientiousness	-.09	.00	.08	.16*
Extraversion	.08	.13	.00	.06
Level	.52**	.15	.11	.17*
Gender	-.01	.04	.15	-.04
Length of service	.10	.11	.09	-.05
ΔR^2	.32**	.05†	.03	.06*
Adj R ²	.30**	.03†	-.03	.04*
<i>Step 2:</i>				
Conscientiousness	-.11†	-.02	.09	.09
Extraversion	.04	.06	.03	-.06
Level	.47**	.09	.13	.07
Gender	.02	.05	.15	-.04
Length of service	.11†	.13†	.09	-.04
Proactive Personality	.17** ⁵	.24** ⁶	-.07	.38**
ΔR^2	.02**	.04**	.00	.12**
Adj R ²	.34**	.09**	-.04	.17**

Note. Bonus $N = 191$. Appraisal $N = 193$. Manager's Opinion $N = 92$. Self-Opinion $N = 252$.
 † $p < .10$, * $p < .05$, ** $p < .01$

Table 2.8
Different Performance measures regressed on Manager's Opinion and Proactive Personality (the Netherlands)

	Criteria		
	Bonus	Appraisal	Self-Opinion
Manager's Opinion	.26**	.48**	.29**
Proactive Personality	.31** ⁷	.26** ⁸	.40**
ΔR^2	.16**	.30**	.16**
Adj R ²	.14**	.28**	.23**

Note. Bonus $N = 80$. Appraisal $N = 80$. Self-Opinion $N = 98$.
 * $p < .05$, ** $p < .01$

India

The results of the multiple regression analyses are displayed in table 2.9.

We found only partial support for Hypothesis 1 as Proactiveness was negatively related to the Manager's Opinion over Conscientiousness, Extraversion, gender and length of service ($\beta = -.18$; $p < .05$), where we predicted a positive relationship. For the appraisal score ($\beta = .20$; $p < .05$) and for Self-Opinion ($\beta = .30$; $p < .01$). Proactiveness did have incremental validity. Hypothesis 2 that Proactive Personality has incremental validity over Manager's Opinion in predicting Performance was accepted as Proactiveness explained significantly more variance of the appraisal score over and

⁵ A separate analysis was done for the year before and after this research. Regarding the appraisal score the impact of Proactiveness was $\beta = .24^{**}$, $\Delta R^2 = .05^{**}$ (2005), $\beta = .27^{**}$, $\Delta R^2 = .06^{**}$ (2007), similar analysis for the bonus, $\beta = .12^\dagger$, $\Delta R^2 = .01^\dagger$ (2005), $\beta = .16^*$, $\Delta R^2 = .02^*$ (2007)

⁷ the impact of Proactiveness on bonus over and above Manager's Opinion in the year prior and after the research: $\beta = .38^{**}$, $\Delta R^2 = .19^{**}$ (2005), $\beta = .28^*$, $\Delta R^2 = .14^{**}$ (2007)

⁸ the impact of Proactiveness on appraisal over and above Manager's Opinion in the year prior and after the research: $\beta = .26^{**}$, $\Delta R^2 = .07^{**}$ (2005), $\beta = .06$, $\Delta R^2 = .00$ (2007)

above the Manager's Opinion ($\beta = .19, p < .01$), and Self-Opinion ($\beta = .29, p < .01$), as can be found in table 2.10.

Table 2.9
Different Performance measures regressed on Conscientiousness, Extraversion, Gender, Length of Service and Proactive Personality (India)

	Criteria		
	Appraisal	Manager's Opinion	Self-Opinion
<i>Step 1:</i>			
Conscientiousness	.00	-.07	.33**
Extraversion	.28**	.28**	-.08
Gender	-.16†	-.26**	-.09
Length of service	.27**	.14†	.07
Adj R ²	.16**	.13**	.07**
<i>Step2:</i>			
Conscientiousness	-.03	-.03	.26**
Extraversion	.23*	.32**	-.14
Gender	-.15	-.27**	-.08
Length of service	.29**	.14†	.10
Proactive Personality	.20*	-.18*	.30**
Δ R ²	.03*	.03*	.08**
Adj R ²	.15*	.15*	.15**

Note. Appraisal $N = 100$. Manager's Opinion $N = 134$. Self-Opinion $N = 137$.
† $p < .10$, * $p < .05$, ** $p < .01$

Table 2.10
Different Performance measures regressed on Manager's Opinion and Proactive Personality (India)

	Criterion	
	Appraisal	Self-Opinion
Manager's Opinion	.60**	.20**
Proactive Personality	.19**	.29**
Δ R ²	.04**	.14**
Adj R ²	.41**	.13**

Note. Appraisal $N = 200$. Self-Opinion $N = 277$.
* $p < .05$, ** $p < .01$

2.6 Discussion

Proactive Personality is a dispositional construct that identifies differences among people in the extent to which they take action to influence their environments. Previous studies had shown that it partly overlaps the Big Five, however that it has incremental validity over and above Conscientiousness and Extraversion. The results of our study indicate that indeed Proactiveness was related to Bonus, Appraisal and Self-Opinion even when we controlled for Extraversion and Conscientiousness. This finding is consistent with previous studies that found that Proactiveness had incremental validity over the same Big Five dimensions in predicting Performance (Chan, 2006; Crant, 1995; Thompson, 2005). The latter is a reason for HR manager's to include Proactive Personality in their selection model. No studies to date had been done on the Bonus, Appraisal and Self-Opinion of Performance, hence this study adds to current literature by giving insight in the upside for the employee for being proactive. This study also adds to previous studies by including two different cultural contexts: the Netherlands and India.

However, for Manager's Opinion Proactiveness had no incremental validity (in one case it was negatively related). Additionally, Proactive Personality had incremental validity in predicting Bonuses and Appraisals, after controlling for the opinion of the manager with respect to the employee's Performance as such. This gives room for the thought that proactive people are able to influence their personal situation such that they benefit even when the true opinion of the manager doesn't justify it.

In both samples Proactiveness was not related to length of service, however, it was related to the level in the organization. We also found that the effects of Proactiveness were almost similar for two different Performance years in sample 1 (see footnotes 5 to 7). This might be an indication that indeed as Bateman and Crant (1993) suggest Proactiveness is a disposition which is relatively stable over time. It also suggests, in line with Seibert et al. (1999) and Seibert et al. (2001) that indeed Proactiveness is beneficial for someone's career. Hence, Proactive Personality will take you to higher levels, and within your rank you will be better rewarded. As the correlations between opinion and incentive driven Performance measures suggest, there is room for impression management, which proactive employees seem to benefit from. This is a clear upside for the employee, the benefit for the organization is questionable.

Potential limitations should be noted. Only in the Dutch sample bonus information was available. Bonus information is highly sensitive to organizations, especially in the financial sector, and obtaining it is rather difficult. However, more research is needed with these kinds of Performance data, in order to get a better understanding of the impact of Proactiveness on Appraisals and Bonuses. Both samples were working in a competitive business environment, where much value was given to extrinsic rewards. More attention to this kind of possible situational moderators is desired in future studies, both for a better theoretical understanding of the Proactiveness – outcome relationships, as well as use in HR practices. Also, the fact that Proactive Personality is a disposition which helps employees to receive higher financial gains, leads to the question how they do it. According to Thompson (2005) proactive people are known to be able to influence their social environment. This could imply that they are better networkers, who have the quality to be liked. Or do they intimidate their managers? Alternatively, like in various recent scandals in the financial industry, do they abuse the Performance management systems of the bank: selling more products might be good for your bonus, however in the long run this might be counterproductive? Though a lot of questions about the relationship between Proactiveness and diverse outcome measures still have to be answered, we hope that our results, combining Manager's Opinion, Appraisals and Bonuses from personnel records, help to expand the understanding gained in previous studies.

Chapter 3

Proactive Personality in Relation to Exhaustion and Positive Mood

In this chapter we will study Proactive Personality in relation to different emotional reactions to work. So far many studies have been done on the relationship between Exhaustion and Positive Mood on the one hand, and the Big Five personality traits on the other (DeNeve & Cooper, 1998; Hart & Cooper, 2001; Steel, Schmidt, & Shultz, 2008). Besides the Big Five as an antecedent, some studies have been done on the relationship between Proactive Personality and negative emotions (Cunningham & De La Rosa, 2008; Harvey, Blouin, & Stout, 2006; Parker & Sprigg, 1999), which revealed that Autonomy in conjunction with Proactiveness has an important role to play in predicting strain. To our knowledge there are no studies to date linking Proactive Personality to Positive Mood.

Past studies yielded a moderate but consistently negative relation between Proactive Personality and negative emotions, such as strain due to time based family-to-work interference (Cunningham & De La Rosa, 2008), overall psychological functioning and well-being (Harvey et al., 2006) and job strain (Parker & Sprigg, 1999). The amount of Autonomy in the job seems to be important for the relationship between Proactive Personality and job related stress. This could be explained by a two-way interaction between Autonomy and Proactiveness: when stressors develop from more controllable origins highly proactive people may be protected from developing certain forms of strain (Cunningham & De La Rosa, 2008). In another study, the interaction between demands and control when predicting strain, only occurred for more proactive employees, implying a three-way interaction between demands, control and Proactiveness (Parker & Sprigg, 1999).

Some important questions on the relation between Proactiveness and Exhaustion and Positive Mood remain unanswered. First, no research to date has been done on the relation between Proactiveness and Positive Moods. Also, in previous studies Exhaustion has never been the dependent variable. Secondly we do not know if Proactiveness predicts negative and positive emotions over and above the Big Five. Third, the relationship between Proactiveness and Autonomy in predicting negative and positive emotions is not yet clear. Although there is some evidence that Autonomy might moderate the relation between Proactiveness and work related emotions, an alternative model is also possible in which Autonomy mediates the relationship between Proactive Personality and Exhaustion and Positive Mood. Mediation could occur when proactive employees create more Autonomy in their role, which gives them more opportunity to hold less negative or more positive emotions towards the workplace. The latter could be labeled as Proactive Coping, which has been found to be an effective strategy to evade stress (Aspinwall & Taylor, 1997). Fourth, the samples from previous studies consisted of junior college students (Harvey et al., 2006), production employees in a wire manufacturing company (Parker & Sprigg, 1999), and faculty members from universities across the United States (Cunningham & De La Rosa, 2008); we do not know if we can generalize these findings to a white collar commercial environment.

It was the purpose of the present study to examine the relationship between Proactiveness on the one hand, and work related emotions, being Exhaustion and Positive Mood, on the other. As

Proactiveness is related to the Big Five, we will examine the value of Proactive Personality over and above the Big Five personality traits. Moreover we want to examine two models on the Proactiveness – Exhaustion and Positive Mood relationship, a) the three-way interaction effect between Proactiveness, Work Pressure and Autonomy in predicting Exhaustion and Positive Mood, b) the mediating role of Autonomy between Proactiveness, Exhaustion and Positive Mood. This study will be done in a white collar working environment in the Netherlands and India, in a global financial institute.

3.1 Proactive Personality, Exhaustion and Positive Mood

Bateman and Crant (1993) introduced the proactive disposition as a construct that identifies differences among people in the extent to which they take action to influence their environments. Research suggests that more proactive individuals are more likely to take initiatives and act to change the environment and accomplish their goals. More proactive individuals should be more likely to make changes, act to solve problems, and actively pursue possibilities that could advance their interests and careers. Crant (2000) suggests that proactive people are less likely to passively adapt to undesirable conditions and are more likely to create new circumstances in response. This disposition has been found to be relatively stable over time, has been found in different countries, and has been proven to predict different criteria, which are clearly beneficial for employees across different functions.

Few studies have been done on the relationship between Proactiveness, Exhaustion and Positive Mood. To our knowledge, the following three studies are the only ones that deal with this relationship. Cunningham and De La Rosa (2008) found a zero-order correlation of $-.20$ ($p < .05$) between Proactive Personality and stress due to home-work interference, which they refer to as time-based family-to-work interference. Harvey et al. (2006) studied the relationship of Proactive Personality with interpersonal conflict and several work outcomes: psychological strain, emotional Exhaustion from work and emotional Exhaustion from school. The participants were 107 full-time junior college students aging 17–24 who reported part-time jobs besides their school. The main effect of Proactive Personality on psychological strain was significant ($\beta = -.22$, $p < .05$). Parker and Sprigg (1999) found that Proactive Personality was negatively correlated to job strain ($r = -.13$, $p < .05$); the latter was measured by a self-rating on how much of the time in the past month, the employee's job had made him feel tense, anxious, worried, contented, relaxed, calm, and comfortable.

3.2 Exhaustion and Positive Mood

3.2.1 Exhaustion

We will focus on Exhaustion as the basic individual strain dimension of burnout. It refers to feelings of being overextended and depleted of one's emotional and physical resources. The self-report measure of burnout which has been mostly used is the Maslach Burnout Inventory (MBI; Maslach, Jackson, & Leiter, 1996), which was developed by Maslach and Jackson (1981). Schaufeli and Taris (2005) criticize the different elements in the Maslach Burnout Inventory (MBI) to conclude that "burnout should be conceptualized as a work-related phenomenon consisting of at least two dimensions (fatigue and withdrawal, perhaps supplemented with lack of efficacy) that can be measured generally (i.e., using items applicable to a wide variety of occupations) or specifically

(with items tailored towards one type of occupation only). The distinction between these two approaches is a matter of specificity, and does not involve a major change in our orientation towards the basic conceptualization of burnout” (p.261). Kristensen, Borritz, Villadsen, and Christensen (2005) conceptualize burnout as: a form of Exhaustion that can be measured generally or in connection to particular work aspects.

The discussion on the dimensions of burnout is ongoing (see for a review Shirom, 2005), however for this study it is relevant to note that we will distinguish between more General Exhaustion and Exhaustion which is related to the workplace. General Exhaustion refers to feelings of Exhaustion which are not reported as originating from an explicit source. In other words, the reported Exhaustion is not necessarily linked to the work place (example of an item: “Occasionally I feel emotionally tired”). The advantage of this measure is that it also contains strain which stems from other sources than work, e.g. the interaction between stress at home and stress at the workplace (de Jong, Kooman, & Peeters) . On the other hand, Work Exhaustion has an explicit link with the day-to-day job (example of an item: “ Working all day in my current job is really a strain for me”).

3.2.2 Positive Mood

The negative consequences of Exhaustion, both economic and social have been widely acknowledged (Shirom, 2005). However the effects of negative and Positive Moods have not always been found to be parallel or symmetrical (Tsai, Chen, & Liu, 2007). In this study we do not only want to include a negative emotional reaction to work (Exhaustion), we also want to include ‘Positive Mood’ in order to have a broader understanding of the emotional reactions to work spectrum.

In a meta-study on the benefits of frequent positive affect, Lyubomirsky et al. (2005) conclude that Positive Mood is associated with and precedes numerous successful outcomes, as well as behaviors paralleling success. They suggest that positive affect, the hallmark of well-being, may be the cause of many of the desirable characteristics, e.g. happy people appear to be more successful than their less happy peers in the three primary life domains: work (mean $r = .27$), relationships (mean $r = .27$), and health (mean $r = .32$).

3.3 The Big Five, Exhaustion and Positive Mood

The Five Factor Model of Personality, commonly referred to as the "Big Five" (Digman, 1990; Hogan et al., 1996) has become a dominant theme in the personality literature, and proves to be an integrated framework that can be used to examine the role that dispositional factors play determining organizational health (Hart & Cooper, 2001). Based on meta-analytic studies we will discuss the expected relationship of each trait of the Big Five with Exhaustion (Hart & Cooper, 2001) and positive affect (DeNeve & Cooper, 1998; Steel et al., 2008).

3.3.1 Conscientiousness

Conscientious people are described as organized, reliable, hardworking, determined, self-disciplined and achievement oriented (Barrick, Stewart, & Piotrowski, 2002). At its roots, Conscientiousness relates to a desire to exercise self-control and Autonomy and thereby to follow the dictates of one’s conscience (Costa & McCrae, 1992).

It is possible that employees who display these characteristics are more likely to be enthusiastically engaged in their work (Hart & Cooper, 2001). Indeed, Piedmont (1993), Deary, Blenking, Agius, Endler, Zealley, & Wood (1996), and Deary et al. (2003) have found a positive relationship between Conscientiousness and one of the dimensions of burnout: personal accomplishment (Bakker et al., 2006). LePine, LePine, and Jackson (2004) found a negative association between Conscientiousness and emotional Exhaustion.

With regards to positive affect DeNeve and Cooper (1998) found an average weighted correlation of .14 ($p < .01$) between Conscientiousness and positive affect. Likewise Steel et al. (2008) found a significant positive relationship between Conscientiousness and positive affect.

3.3.2 Extraversion

Extraverted people tend to be more sociable, assertive and talkative than average. Conversely, low Extraversion (introversion) is characterized by rather quiet, restrained and withdrawn patterns of behavior (McCrae & Costa, 1985).

Extraversion tends to be associated with the use of rational, problem-solving coping strategies and with social-support seeking and positive reappraisal. It is therefore not surprising that some studies have shown a negative relationship between Extraversion and burnout (Bakker et al., 2006). Also, other researchers have argued that Extraversion is related to problem- focused coping, positive life experience, and indices of psychological well-being and occupational stress (Hart & Cooper, 2001). Regarding positive affect DeNeve and Cooper (1998) found an average weighted correlation of .20 ($p < .01$) with Extraversion. Steel et al. (2008) found similar effects in their meta-analysis.

3.3.3 Agreeableness

Individuals high in Agreeableness value affiliation and avoid conflict (Bono & Judge, 2004). One of their basic traits is flexibility; their ability to adapt and adjust in different situations and circumstances. That is probably the reason why Agreeableness has also been named as friendliness, social conformity and likeability (Noller, Law, & Comrey, 1987).

Following the latter, people high on Agreeableness may experience less conflict with their supervisors and coworkers, hence they would experience a more positive organizational climate, fewer interpersonal stressors and better levels of well-being (Hart & Cooper, 2001). Piedmont (1993) showed that Agreeableness correlates negatively with emotional Exhaustion. According to Deary et al. (1996) Agreeableness is negatively related to depersonalization (but no relationship between Agreeableness and emotional Exhaustion / personal accomplishment was found). Zellars and Perrewe (2001) reported similar results and found a weak negative relationship between Agreeableness and depersonalization and no relationship between Agreeableness and the two other burnout variables.

DeNeve and Cooper (1998) found an average weighted correlation of .17 ($p < .01$) between Agreeableness and positive affect. Steel et al. (2008) did not find a significant relationship.

3.3.4 Neuroticism

Individuals high on Neuroticism are emotionally unstable, with frequent mood swings, closely associated with negative affectivity. They tend to be anxious, sleepless and doubting. As a result they are less inclined to seek control of their life and work environment. At the core of Neuroticism is the tendency to experience negative affects (Bono & Judge, 2004).

As the name of the trait suggests, this personality trait has often been associated with high levels of burnout (Hart & Cooper, 2001). Schaufeli and Enzmann (1998) have associated burnout with Neuroticism more frequently than with any of the other Big Five dimensions. According to Bakker et al. (2006) many scholars have associated Neuroticism with the use of ineffective coping strategies. People high in Neuroticism seem to use avoiding and distracting coping strategies (e.g. denying and self-criticism) instead of more approaching strategies (e.g. problem solving and proactive behavior). Empirical research (e.g. Deary et al., 1996; LePine et al., 2004) on the relationship between Neuroticism and burnout has shown that individuals who are high in Neuroticism are more likely to report feelings of emotional Exhaustion.

DeNeve and Cooper (1998) found an average weighted correlation of $-.14$ ($p < .01$) between Neuroticism and positive affect. Also, Steel et al. (2008) reported a significant negative relation.

3.3.5 Openness

Individuals high on Openness to Experience tend to be highly sensitive to art, science and civilization. Since they are “open to experience”, they are more effective at managing change and this has been confirmed by studying their behavior during the transitional job stage. Traditional conceptualization of Openness includes affinity for culture and a critical attitude toward societal values and intellect and the ability to learn and reason (Bono & Judge, 2004).

Intellect is largely unrelated to coping but appears to reflect a more flexible, imaginative, and intellectually curious approach in dealing with stressful situations (Hart & Cooper, 2001). In addition, Openness to Experience has been related to the use of humor as a way of dealing with stress (McCrae & Costa, 1985). Deary et al. (1996) found a modest but significant positive relationship between Openness and personal accomplishment. Zellars and Perrewe (2001) also reported a positive relationship between Openness and personal accomplishment and in addition found a negative relationship between Openness and depersonalization. Piedmont (1993) reported non significant relationships between Openness and the three burnout dimensions.

DeNeve and Cooper (1998) found an average weighted correlation of $.14$ ($p < .01$) between Openness and positive affect. Steel et al. (2008) found a similar positive relationship.

3.3.6 Conclusion and Hypotheses

Although the results of different studies on the Big Five, Exhaustion and Positive Mood give a mixed picture, all five dimensions seem to be relevant in the prediction of Exhaustion and Positive Mood. Hence, when we are building a model to predict Exhaustion and Positive Mood, there is reason to include all five traits in the equation.

Table 3.1

Summary of meta-studies on Exhaustion and Positive Mood

Big Five factor	Relation to Exhaustion	Relation to Positive Mood
Conscientiousness	-	+
Extraversion	-	+
Agreeableness	-	+
Neuroticism	+	-
Openness	ns	+

ns = not significant

Based on the above we can conclude that Proactive Personality predicts Exhaustion and Positive Mood, such that it is expected that it would be negatively related to Exhaustion and positive to Positive Mood. According to Major et al. (2006) the overlap between the Big Five dimensions and Proactive Personality was 26% ($R = .51, p < .01$), which we replicated in chapter 1 where we found similar results, the Netherlands $R = .57$ and India $R = .50$. The fact that Proactiveness is only partly associated with the Big Five, gives reason to test the hypothesis that it has incremental validity in predicting Exhaustion and Positive Mood.

- Hypothesis 1a: Proactive Personality is negatively related with Exhaustion.
 Hypothesis 1b: Proactive Personality predicts Exhaustion over and above the Big Five.
 Hypothesis 2a: Proactive Personality is positively related with Positive Mood.
 Hypothesis 2b: Proactive Personality predicts Positive Mood over and above the Big Five.

3.4 Autonomy

Another possible source of a positive or negative reaction to work can be the design of the work itself. Hackman and Oldman (1976) introduced the 'Job Characteristics Model' (JCM) which argues that jobs which contain intrinsically motivating characteristics will lead to higher levels of job satisfaction, as well as other positive work outcomes, such as enhanced Job Performance and lower withdrawal. They define Autonomy as: "The degree to which the job provides substantial freedom, independence, and discretion to the individual in scheduling the work and in determining the procedures to be used in carrying it out." (p.258). Increased Autonomy will allow individuals greater flexibility in how they define their role because they will have greater discretion in deciding how to work. They found that the feeling of personal responsibility leads individuals to develop favorable affective and behavioral reactions to their work.

Spector and Jex (1991) tested the direct effects of job characteristics on stress. They found that task identity, Autonomy, and feedback were negatively related to anxiety and frustration. Similarly, Kelloway and Barling (1991) found that Autonomy, task identity, and feedback were negatively related to Exhaustion. Also Maslach, Schaufeli and Leiter (2001) explain burnout in terms of job characteristics such as lack of Autonomy. "Burnout is (...) higher for people who have little participation in decision making. Similarly, a lack of Autonomy is correlated with burnout..." (p.407). Conversely, Autonomy is positively related to positive affect at work (Staw, Sutton, & Pelled, 1994).

3.4.1 Proactive Personality X Autonomy

Autonomy itself is likely to be correlated to Proactive Personality, e.g. Parker et al. (2006) found a significant positive correlation between Autonomy and Proactive Personality ($r = .34, p < .01$). Also, Parker (1998) and Parker and Sprigg (1999) found a similar significant positive correlation between job control and Proactive Personality.

Proactive Personality is likely to operate in conjunction with Job Autonomy (Cunningham & De La Rosa, 2008). Proactive employees have the tendency to direct personal energies toward active control, which is likely to improve an individual's ability to handle many sources of occupational stress. Moreover, proactive employees will only have an advantage when stressors develop from more controllable origins (i.e., when they are based on time demands), highly proactive people may be protected from developing certain forms of strain. Although Parker and Sprigg (1999) did not find a significant two-way interaction between Proactive Personality and job control, Parker (1998) provides insight into why Autonomy will increase the impact of Proactiveness. She found not only that enhanced Autonomy increased ownership of problems but also that employees recognized a wider range of skills and knowledge as important for their roles. When employees felt that they had more empowerment, it was more likely that they would develop confidence in carrying out a range of proactive, interpersonal, and integrative tasks.

3.5 Quantitative Work Pressure

One of the sources for Exhaustion is the overload of work. According to Maslach et al. (2001) "a mismatch in workload is generally found as excessive overload, through the simple formula that too many demands exhaust an individual's energy to the extent that recovery becomes impossible (...) Generally, workload is most directly related to the Exhaustion aspect of burnout" (p.14). In a meta-analysis on the correlates of stressors on the three dimensions of job burnout, Lee and Ashforth (1996) found an uncorrected weighted mean correlation of .41 between Work Pressure and Exhaustion (see also Maslach & Leiter, 2008; Meier, Semmer, Elfering, & Jacobshagen, 2008).

3.6 Proactive Personality X Work Pressure X Autonomy

Many studies have been done on the interaction between job-demands and control on well-being, specially on Karasek's (1979) demands-control model. This model implies that psychological strain results from the combined effects of the demands of a work situation and the amount of control employees have to manage the demands. However, some authors have criticized this two way interaction, arguing that the interaction may hold only in the presence of other dispositional characteristics (De Rijk, Le Blanc, & Schaufeli, 1998; Meier et al., 2008); in other words, even when there is a stressor and there is a possibility to cope with it, the question remains whether or not the individual will act in order to decrease the level of stress. According to Meier et al. (2008) the Job Demand-Control model postulates that Autonomy attenuates the effects of job demands on well-being, but that the support for this interactive effect is rather weak. "Conceivably, it holds only when there is a match between job control and individual characteristics that relate to exercising control options" (p.244). Here we will assess whether or not one of these personal characteristics could be the Proactive Personality.

Harvey et al. (2006) hypothesized that Proactive Personality would moderate the relationship of interpersonal conflict to several work outcome variables under which psychological strain (a measure of overall psychological functioning and well-being), emotional Exhaustion from work and emotional Exhaustion from school. In predicting emotional Exhaustion from work and emotional Exhaustion from school, the interaction terms between Proactiveness and interpersonal conflict, were found to be significant at $\Delta R^2 = .06$ and $\Delta R^2 = .07$ respectively. This suggests that employees high on Proactiveness experienced higher levels of Exhaustion from work and emotional Exhaustion from school, when they were having conflicts at work. "Overall, support was found for a

moderating effect suggesting that those who are high in Proactive Personality reacted more readily and negatively to being at conflict in the workplace. These effects were only noted for context-specific measures focused on constructs relating to work and school. (...) Interpersonal relationships may be a special challenge that can work against expected findings normally associated with the assertive proactive style (Parker & Sprigg, 1999; Seibert et al., 1999). The lack of control one has over conflict, particularly affective conflict, as a stressor may well be an important factor in these findings” (p.1071).

The findings in this study are of importance to us. First Harvey et al. (2006) suggest that specific stressors lead to more specific (and not general) stress for proactive people. In our study we will also make a distinction between work related Exhaustion and General Exhaustion. Second, they give as a possible explanation the lack of control one has over conflict. In this same line of thinking, Autonomy could be an important factor in the stressor-stress relationship.

On a similar note, Cunningham and De La Rosa (2008), found that Proactive Personality can play an ameliorating role in the occupational stress process, however its relevance can depend on the nature of the stressors themselves. When stressors stem from more controllable origins, highly proactive people may be protected from developing certain forms of strain. This is relevant to us, as it suggests that when proactive employees work with a high degree of Autonomy, they are better able to cope with stressors than under low Autonomy condition. In other words, more proactive employees are likely to have less strain if they can control the situation.

Parker and Sprigg (1999) found support for the premise that Work Pressure will cause strain unless employees have both the opportunity (i.e., job control) and the propensity (e.g. Proactive Personality) to act on them. The three-way interaction between Work Pressure, job control, and Proactive Personality was significant in a regression equation after the entry of previous steps ($\Delta R^2 = .02, p < .01$). They conclude “that Karasek’s (1979) demands-control interaction would only apply to more proactive employees who are likely to take advantage of high job control to manage more effectively the demands they face (...). For employees categorized as passive, there was no demands-control interaction: Work Pressure was strongly associated with strain, regardless of the degree of job control. In contrast, for proactive employees, higher Work Pressure was strongly associated with strain when control was low, but demands had a much attenuated, almost negligible, association with strain when job control was high. For even more proactive employees (i.e., those with Proactiveness scores greater than two *SDs* from the mean), job demands were associated with lower strain, suggesting that these employees prefer at least some job demands” (p.934).

3.6.1 Conclusion and Hypothesis

Similar to Parker and Sprigg (1999), we assume that there is a three-way interaction between Work Pressure, Autonomy and Proactiveness. However, we would like to include two important elements. Harvey et al. (2006) found support for a moderating effect suggesting that those who are high on Proactive Personality reacted more negatively to being at conflict in the workplace. These effects were only noted for *context-specific* measures focused on constructs relating to work and school. No moderating effect emerged in predicting overall psychological strain, which was consistent with the notion that high proactive personalities experience less overall strain. If we combine the results of these two studies, it has adding value to test the above for different measures of Exhaustion (specific measures regarding the workplace versus more General Exhaustion measures). Second, the opposite could also be true that proactive employees report higher degrees of Positive Mood in the presence of Autonomy than less proactive employees.

Hypothesis 3: There is a three-way interaction between Proactive Personality, Work Pressure and Autonomy when predicting Exhaustion and Positive Mood, such that the three-way interaction has an additional a) negative impact on Exhaustion and b) an additional positive impact on Positive Mood.

3.7 Proactive Coping

An alternative to the previously described model where proactive employees are able to cope with job strain in situations where they have sufficient Autonomy, is that Proactiveness makes people evade stressful situations. As stated before in this chapter, Autonomy is negatively related to Exhaustion (Kelloway & Barling, 1991; Maslach et al., 2001; Spector & Jex, 1991). On the other hand, Autonomy is positively related to positive affect at work (Staw et al., 1994).

Also, there is a significant positive correlation between Autonomy and Proactive Personality (Parker, 1998; Parker et al., 2006; Parker & Sprigg, 1999), which could mean that “more proactive employees self-selected themselves into more autonomous roles, or that they created more Autonomy for themselves within their existing jobs” (Parker & Sprigg, 1999, p.930). The latter explanation gives room to an alternative hypothesis on the Proactiveness – Exhaustion and Positive Mood relationship. Being, that proactive employees create an environment of more Autonomy which leads them to having less Exhaustion and more Positive Affect in the workplace.

Evading stress is what can be called Proactive Coping which “consists of efforts undertaken in advance of a potentially stressful event to prevent it or to modify its form before it occurs” (Aspinwall & Taylor, 1997; p.417). Some empirical studies have shown that indeed Proactive Coping can be a successful way to evade stress (see for an overview Crant, 2000).

Hence, we want to test if Autonomy mediates the relationship between Proactive Personality on the one hand and Exhaustion and Positive Mood on the other.

Hypothesis 4: Autonomy mediates the relationship between Proactive Personality and Exhaustion and Positive Mood.

3.8 Method

3.8.1 Samples

We will only give a short description of the samples, for a more elaborate description please see the method section of chapter 1.

The Netherlands (Sample 1)

In total 309 employees filled in the questionnaire (60% male, 40% female). The average length of service was 21.15 years ($\sigma = 10.11$).

India (Sample 3)

This sample consisted of 320 employees, of which 55% were male; 45% female and the average length of service was 1.83 years ($\sigma = 1.04$). There was hardly any difference in level among these employees.

3.8.2 Measures

Big Five personality Questionnaire The Netherlands. In the Dutch sample, the Big Five dimensions were assessed by means of the GITP Big Five test, based on the NEO-PI-R. It is a personality questionnaire in Dutch consisting of 186 short sentences. The respondent has to indicate on a 5-point scale to what degree he or she thinks the sentence applies to him/her.

Reliability of the scales: Conscientiousness $\alpha = .93$; Extraversion $\alpha = .92$; Agreeableness $\alpha = .82$; Neuroticism $\alpha = .91$, Openness $\alpha = .88$.

Big Five personality Questionnaire India. The NEO PI-R (Costa & McCrae, 1992) is a measure of the five major domains of personality as well as the six facets that define each domain. The questionnaire consists of 240 questions on which the respondent can answer on a 5-point scale from “completely disagree” to “completely agree”. The NEO PI-R is recognized internationally as a good standard for personality assessment.

Reliability of the scales: Conscientiousness $\alpha = .90$; Extraversion $\alpha = .90$; Agreeableness $\alpha = .87$; Neuroticism $\alpha = .92$, Openness $\alpha = .86$.

Proactive Personality. This concept, defined as “the relatively stable tendency to effect environmental change”, was assessed using the highest loading items in Bateman and Crant’s (1993) scale. Like Parker and Sprigg (1999) we used 4 items on a seven point Likert-scale. Responses ranged from (1 = fully disagree to 7 = fully agree). An example item: “I excel at identifying opportunities”.

Cronbach’s alpha for this scale was .88 in the Netherlands and .82 in India.

Autonomy. Autonomy is defined as the degree to which the job provides substantial freedom, independence, and discretion to the individual in scheduling the work and in determining the procedures to be used in carrying it out (Hackman & Oldham, 1976). The 3 items of the scale originate from the same author’s Job Diagnostic Survey (JDS), and were measured on a 5-point Likert scale (1 = strongly disagree to 5 = strongly agree). Example of an item: “I have quite a lot of opportunity to do my work autonomously”.

Cronbach’s alpha for this scale was .65 in the Netherlands and .62 in India.

Work Pressure. We used the “Vragenlijst Organisatie Stress- Doetinchemse variant” (Reiche & Dijkhuizen, 1980), which is a variant of the Job Stress Questionnaire (Caplan, Cobb, French, Harrison, & Pinneau, 1975). The scale had 3 items on a 5-point scale (1 = never, 3 = sometimes to 5 = very often). An example of an item: “Are there moments that you have insufficient time to finish your work?”

Cronbach’s alpha for this scale was .75 in the Netherlands and .63 in India.

Work Exhaustion. We used the Maslach Burnout Inventory, a self-report measure of burnout (Maslach et al., 1996). We used 5 items on a 6-point scale (1 = never to 6 = daily). Example of an item: “Working all day in my current job is really a strain for me.”

Cronbach’s alpha for this scale was .89 in the Netherlands and .83 in India.

General Exhaustion. We used 3 items on a 5-point scale (1 = never to 5 = very often). Items were “Occasionally I feel emotionally tired”, “Occasionally I feel burned out” and “Occasionally I feel exhausted.”

Cronbach’s alpha for this scale was .85 in the Netherlands and .83 in India.

Positive Mood. We used 3 items on a 4-point scale (1 = never to 5 = always), from the NIOSH- scale (Caplan et al., 1975). Items were “I feel strong”, “I feel cheerful” and “I feel active”. Cronbach’s alpha for this scale was .85 in the Netherlands and .81 in India.

3.8.3 Intercultural Comparison

In chapter one, we already examined the Big Five and the Proactive Personality scale on their cross-cultural equivalence.

Structural equation modeling using LISREL 8.71 (Joreskog & Sorbom, 2004) was applied to examine the cross-cultural equivalence of Autonomy, Work Exhaustion and Positive Mood (General Exhaustion was not included in the Dutch study). Covariances between the items were analyzed (after listwise deletion), and maximum likelihood was used as the estimation method. Table 3.2 reports the goodness-of-fit statistics of the models tested. The analysis revealed that for all practical purposes there is sufficient equality of measurement, loadings and factor variance. We did not find sufficient equality of error variance, however, we consider this as a minor point as it does not hinder us in the analyses that we want to conduct.

Table 3.2
Multi-group Confirmatory factor Analysis for Autonomy, Work Exhaustion and Positive Mood

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
1) Equality of measurement model	356.50**	2.51	.06	.95	.96
2) 1 + Equality of loadings	385.57**	2.54	.06	.94	.95
3) 2 + Equality of covariances	406.06**	2.57	.07	.94	.95
4) 3 + Equality of factor variance	425.59**	2.63	.06	.94	.95
5) 4 + Equality of error variances	797.87**	4.53	.11	.87	.88

*p < .05, ** p < .01

3.9 Results the Netherlands

3.9.1 Independent Variables

In table 3.3 means, standard deviations and correlations among the independent variables are presented. Proactive Personality was positively correlated to Extraversion and Openness and negatively to Neuroticism. Autonomy was marginally correlated to Work Pressure. Proactiveness was positively correlated to Autonomy ($r = .24, p < .01$), which is consistent with previous research (Parker et al., 2006). The correlation between Proactive Personality and Work Pressure was not significant ($r = .05, p = ns$).

Table 3.3

Correlation matrix independent variables (the Netherlands)

Variable	M	SD	1	2	3	4	5	6	7	8
1. Conscientiousness	106.63	9.72	-							
2. Extraversion	115.78	15.00	.06	-						
3. Agreeableness	63.57	5.54	.32**	.05	-					
4. Neuroticism	91.03	9.17	-.19*	-.42**	-.15*	-				
5. Openness	94.34	9.25	.09	.62**	-.19**	-.49**	-			
6. Proactive Personality	5.20	.99	.10	.41**	-.07	-.32**	.48**	-		
7. Autonomy	4.59	.70	-.06	.19*	-.12*	.10	.24**	.24**	-	
8. Work Pressure	3.77	.69	-.06	-.06	-.07	.06	-.01	.05	.07*	-

Note. $N = 302$.* $p < .05$, ** $p < .01$

The Big Five is reported in raw scores.

3.9.2 Dependent Variables

In table 3.4 the means, standard deviations and correlation are given of the dependent variables. The correlation between Exhaustion and Positive Mood was significant and in the expected direction. Work Exhaustion was negatively correlated with Positive Mood ($r = -.44$, $p < .01$). Also here we have reason to believe that Positive Mood is not the opposite of Exhaustion, given the limited correlation.

Table 3.4

Correlation dependent variables (the Netherlands)

Variable	M	SD	1	2
1. Work Exhaustion	2.27	.89	-	
2. Positive Mood	3.29	.50	-.44**	-

Note. $N = 302$.* $p < .05$, ** $p < .01$

3.9.3 Independent Variables versus Dependent Variables

In table 3.5 the correlations between the independent and the dependent variables are reported. Conscientiousness was only significantly correlated to Positive Mood. Extraversion had a negative correlation with Work Exhaustion, and was positively related to Positive Mood. Agreeableness was significantly related to Work Exhaustion, such that higher levels of Agreeableness lead to lower levels of Work Exhaustion, albeit no significant relation was found with Positive Mood. Neuroticism had a positive correlation with Work Exhaustion and conversely a negative correlation with Positive Mood. Openness was significantly associated with Positive Mood; however the relation to Work Exhaustion did not reach significance.

Proactive Personality correlated significantly with Work Exhaustion ($r = -.12$, $p < .05$; hypothesis 1a) and positively with Positive Mood ($r = .37$, $p < .01$; hypothesis 2a).

Autonomy was negatively correlated to Work Exhaustion and positively to Positive Mood. On the other hand Work Pressure was significantly correlated with Work Exhaustion but the correlation with Positive Mood did not reach significance.

Table 3.5
Correlation matrix dependent and independent variables (the Netherlands)

Variable	Work Exhaustion	Positive Mood
1. Conscientiousness	.02	.13*
2. Extraversion	-.21**	.32**
3. Agreeableness	-.17**	.13
4. Neuroticism	.23**	-.37**
5. Openness	-.05	.22*
6. Proactive Personality	-.12*	.37**
7. Autonomy	-.19*	.27**
8. Work Pressure	.29**	-.02

Note. $N = 302$.

* $p < .05$, ** $p < .01$

The presented correlations in this table were tested 1-tailed.

Table 3.6 contains a hierarchical regression of Work Exhaustion and Positive Mood on the Big Five personality factors and Proactive Personality.

We found no support for hypothesis 1b that Proactive Personality has incremental validity over and above the Big Five in predicting Work Exhaustion ($\beta = -.06$, $p = ns$; $\Delta R^2 = .00$). However, we did find clear support for hypothesis 2b that Proactive Personality has incremental validity over and above the Big Five in predicting Positive Mood ($\beta = .26$, $p < .01$; $\Delta R^2 = .05$).

Table 3.6
Exhaustion and Positive Mood regressed on the Big Five and Proactive Personality (hypotheses 1b and 2b, the Netherlands)

	Criteria	
	Work Exhaustion	Positive Mood
<i>Step 1:</i>		
1. Conscientiousness	.09	.06
2. Extraversion	-.22**	.23**
3. Agreeableness	.12	.05
4. Neuroticism	.22**	-.28**
5. Openness	.16*	-.05
R	.33**	.42**
ΔR^2	.11**	.18**
Adj R^2	.10**	.18**
<i>Step 2:</i>		
1. Conscientiousness	.09	.04
2. Extraversion	-.21**	.18**
3. Agreeableness	-.13*	.06
4. Neuroticism	.21**	-.26
5. Openness	.18*	-.14
6. Proactive Personality	-.06	.26**
R	.34**	.48**
ΔR^2	.00	.05**
Adj R^2	.10	.23**

Note. $N = 291$.

* $p < .05$, ** $p < .01$

Table 3.7 contains a hierarchical regression of Work Exhaustion on Proactive Personality, Work Pressure and Autonomy. When the two-way interactions were put into the equation none of them reached significant levels. In the third step we inputted a three-way interaction, which did not reach a significant level ($\beta = -.02$, $p = ns$; $\Delta R^2 = .00$) rejecting hypothesis 3 that there is a three-way interaction between Autonomy, Work Pressure and Proactive Personality when predicting Work Exhaustion.

Table 3.7
Work Exhaustion regressed on Proactive Personality, Work Pressure and Autonomy (Hypothesis 3 , the Netherlands)

	β - Step 1	β - Step 2	β - Step 3
<i>Step 1:</i>			
Proactive Personality	-.05		
Work Pressure	.28**		
Autonomy	-.17**		
<i>Step 2:</i>			
Proactive Personality (PP)		-.08	
Work Pressure (WP)		.27**	
Autonomy		-.17**	
PP x Autonomy		-.01	
WPx Autonomy		-.05	
PP x WP		-.01	
<i>Step 3:</i>			
Proactive Personality (PP)			-.08
Work Pressure (WP)			.28**
Autonomy			-.17**
PP x Autonomy			-.01
WPx Autonomy			-.04
PP x WP			-.01
PP x WP x Autonomy			-.02
R	.37**	.38**	.38**
ΔR^2	.14**	.02†	.00
Adj R ²	.13**	.14†	.14

Note. $N = 303$.

† $p < .10$, * $p < .05$, ** $p < .01$

All reported values are in standardized scores.

Table 3.8 contains a hierarchical regression of Positive Mood on Proactive Personality, Work Pressure and Autonomy. Proactive Personality had a significant negative impact on Positive Mood ($\beta = .32$, $p < .01$), the same applied for Autonomy ($\beta = .20$, $p < .01$). Work Pressure did not have a significant impact on Work Exhaustion ($\beta = -.05$, $p = ns$) in the presence of Proactive Personality and Autonomy. When the two-way interactions were put into the equation none of them reached significance.

The third step was an interaction between Proactive Personality, Autonomy and Work Pressure, which did not significantly increase the explained variance ($\beta = .04$, $p = ns$; $\Delta R^2 = .00$), rejecting hypothesis 3 for Positive Mood.

Table 3.8
Positive Mood regressed on Proactive Personality, Work Pressure and Autonomy (Hypothesis 3, the Netherlands)

	β - Step 1	β - Step 2	β - Step 3
<i>Step 1:</i>			
Proactive Personality	.32**		
Work Pressure	-.05		
Autonomy	.20**		
<i>Step 2:</i>			
Proactive Personality (PP)		.32**	
Work Pressure (WP)		-.05	
Autonomy		.20**	
PP x Autonomy		.04	
WPx Autonomy		.07	
PP x WP		.00	
<i>Step 3:</i>			
Proactive Personality (PP)			.32**
Work Pressure (WP)			-.06
Autonomy			.20**
PP x Autonomy			.04
WPx Autonomy			.07
PP x WP			.00
PP x WP x Autonomy			.04
R	.41**	.41**	.41**
ΔR^2	.17**	.00	.00
Adj R ²	.16**	.16	.16

Note. $N = 302$.

† $p < .10$, * $p < .05$, ** $p < .01$

3.9.4 Mediation

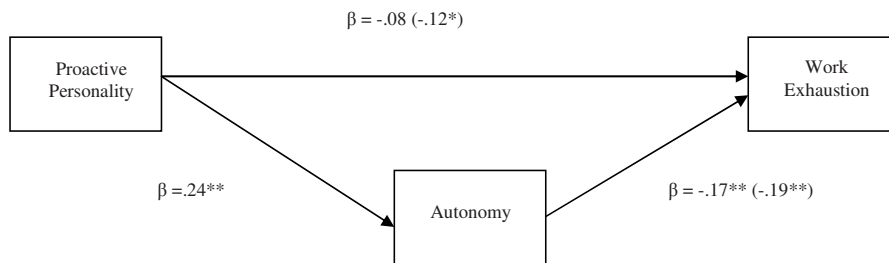
We tested the possibility of a mediating effect of Autonomy on the Proactive Personality – Exhaustion and Positive Mood relationship (hypothesis 4). We computed the regression weights for the impact of Proactiveness on Exhaustion and Positive Mood before and after including Autonomy into the model (see table 3.9 and figure 3.1 and 3.2). To test the mediating effect we conducted a Sobel-test (MacKinnon, Warsi, & Dwyer, 1995; Sobel, 1982). The Sobel test revealed that there is a significant mediating effect of Autonomy on the Proactive Personality – Work Exhaustion relationship. We also found a mediating effect of Autonomy on the relationship between Proactive Personality and Positive Mood, however we have to note that this mediation was only partial and small, as the decrease of the direct effect in the presence of the mediator was very limited.

Table 3.9
Work Exhaustion and Positive Mood regressed on Proactive Personality, before and after including Autonomy (Hypothesis 4, the Netherlands)

Variable	Work Exhaustion			Positive Mood		
	B	SEb	β	B	SEb	β
Step 1 Proactive Personality	-.03	.01	-.12*	.05	.01	.37**
	Adj R ² = .01			Adj R ² = .13		
Step 2 Proactive Personality	-.02	.01	-.08	.04	.01	.32**
Autonomy	-.21	.07	-.17**	.13	.04	.19**
	Adj R ² = .04 Δ R ² = .03			Adj R ² = .16 Δ R ² = .03		
Sobel- test	2.59**			6.87**		

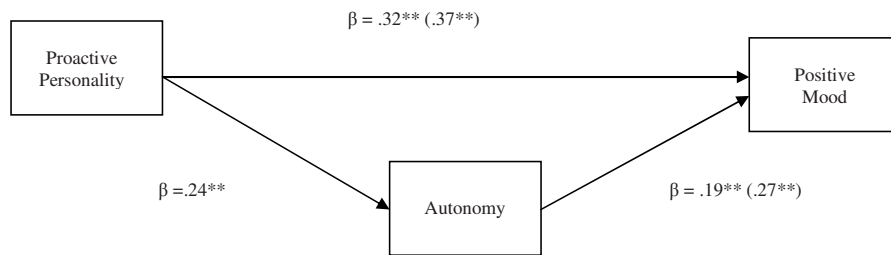
Note. *N* = 299.
 $\dagger p < .10$, * $p < .05$, ** $p < .01$

Figure 3.1
The direct and indirect effect of Autonomy on the Proactive Personality – Work Exhaustion relationship (the Netherlands)



Note. Between brackets the values are displayed of the zero-order effect on Work Exhaustion.
 * $p < .05$, ** $p < .01$

Figure 3.2
The direct and indirect effect of Autonomy on the Proactive Personality – Positive Mood relationship (the Netherlands)



Note. Between brackets the values are displayed of the zero-order effect on Positive Mood.
*p < .05, **p < .01

3.10 Results India

3.10.1 Independent Variables

In table 3.10 means, standard deviations and correlations among the independent variables are presented. All inter-correlations in the Big Five were significant at $p < .01$. Proactive Personality was positively correlated to Conscientiousness and Extraversion, and negatively to Neuroticism. Autonomy was negatively correlated to Work Pressure, such that higher levels of Autonomy lead to lower levels of Work Pressure. Proactiveness was positively correlated to Autonomy ($r = .12$, $p < .05$) and although not hypothesized, this result is consistent with previous research (Parker et al., 2006). The correlation between Work Pressure and Proactive Personality did not reach significance.

Table 3.10
Correlation matrix independent variables (India)

Variable	M	SD	1	2	3	4	5	6	7	8
1. Conscientiousness	29.58	3.01	-							
2. Extraversion	27.86	2.75	.59**	-						
3. Agreeableness	26.92	2.33	.47**	.37**	-					
4. Neuroticism	21.51	2.87	-.65**	-.49**	-.33**	-				
5. Openness	26.33	3.88	.41**	.59**	.40**	-.34**	-			
6. Proactive Personality	5.32	.94	.36**	.28**	.03	-.36**	.10	-		
7. Autonomy	3.95	.83	.10	.06	.03	-.12*	-.06	.12*	-	
8. Work Pressure	3.18	.80	-.06	-.10	-.09	.07	-.03	-.07	-.12*	-

Note. $N = 302$. The Big Five is reported in raw scores.
†p < .10, *p < .05, **p < .01

3.10.2 Dependent Variables

In table 3.11 the means, standard deviations and correlations are given of the dependent variables. The correlation between the different measures of Exhaustion and Positive Mood were significant and in the expected direction. Work Exhaustion and General Exhaustion were positively related ($r = .53, p < .01$), however, the two constructs do not overlap in such a way that we have reason to exclude one of the two. Positive Mood was negatively correlated with both Work Exhaustion ($r = -.40, p < .01$) and General Exhaustion ($r = -.33, p < .01$).

We adopted Positive Mood in our model because the effects of negative and Positive Moods have not always been found to be parallel or symmetrical (Tsai et al., 2007). Given these correlations we can assume that this claim is right: exhaustion is not the full opposite of Positive Mood.

Table 3.11

Correlation matrix dependent variables (India)

Variable	M	SD	1	2	3
1. Work Exhaustion	2.74	1.01	-		
2. General Exhaustion	2.80	0.85	.53**	-	
3. Positive Mood	3.39	0.58	-.40**	-.33**	-

Note. $N = 302$.

* $p < .05$, ** $p < .01$

3.10.3 Independent Variables versus Dependent Variables

In table 3.12 the correlations between the independent and the dependent variables are reported. Conscientiousness and Extraversion were significantly associated with Exhaustion and Positive Mood, being negative to Exhaustion and positive to Positive Mood. Agreeableness was not significantly correlated to Positive Mood. Neuroticism was significantly correlated with all dependent variables, but in the opposite direction. Openness correlated significantly with General Exhaustion and Positive Mood.

Proactive Personality correlated negatively with Work Exhaustion ($r = -.16, p < .01$) and General Exhaustion ($r = -.23, p < .01$), in line with hypothesis 1a. Also, Proactive Personality has a positive relationship with Positive Mood ($r = .34, p < .01$; hypothesis 2a). Autonomy was negatively correlated to Exhaustion and positively to Positive Mood. The opposite applies for Work Pressure.

Table 3.12

Correlation matrix dependent variables and independent variables (India)

Variable	Work Exhaustion	General Exhaustion	Positive Mood
1. Conscientiousness	-.16**	-.30**	.26**
2. Extraversion	-.21**	-.23**	.31**
3. Agreeableness	-.13*	-.18**	.10
4. Neuroticism	.19**	.38**	-.30**
5. Openness	-.10	-.13*	.12*
6. Proactive Personality	-.16**	-.23**	.34**
7. Autonomy	-.19**	-.20**	.12*
8. Work Pressure	.55**	.31**	-.22**

Note. $N = 302$.

* $p < .05$, ** $p < .01$

The presented correlations in this table were tested 1-tailed.

Table 3.13 contains a hierarchical regression of Work Exhaustion, General Exhaustion and Positive Mood on the Big Five personality factors and Proactive Personality. We did not find support for hypothesis 1b that Proactive Personality has incremental validity over and above the Big Five in predicting Work Exhaustion ($\beta = -.13, p = ns; \Delta R^2 = .01$) and General Exhaustion ($\beta = -.09, p = ns$;

$\Delta R^2 = .01$). However, we did find clear support for hypothesis 2b that Proactive Personality has incremental validity over and above the Big Five in predicting Positive Mood ($\beta = .22$, $p < .01$; $\Delta R^2 = .04$).

Table 3.13
Exhaustion and Positive Mood regressed on the Big Five and Proactive Personality (hypotheses 1b and 2b, India)

	Criteria		
	Work Exhaustion	General Exhaustion	Positive Mood
<i>Step 1:</i>			
1. Conscientiousness	.04	-.05	.04
2. Extraversion	-.20*	-.06	.28**
3. Agreeableness	-.08	-.05	-.02
4. Neuroticism	.11	.34**	-.19*
5. Openness	.08	.06	-.11
R	.25**	.41**	.37**
ΔR^2	.06**	.17**	.14**
Adj R ²	.04**	.15**	.12**
<i>Step 2:</i>			
1. Conscientiousness	.07	-.03	-.02
2. Extraversion	-.18*	-.04	.25**
3. Agreeableness	-.10	-.06	.02
4. Neuroticism	.08	.32**	-.13
5. Openness	.06	.05	-.10
6. Proactive Personality	-.13	-.09	.22**
R	.27**	.42**	.42**
ΔR^2	.01	.01	.04**
Adj R ²	.05	.16	.16**

Note. Work Exhaustion $N = 278$. General Exhaustion $N = 280$. Positive Mood $N = 282$.

* $p < .05$, ** $p < .01$

In table 3.14 a stepwise regression of Work Exhaustion on Proactive Personality, Work Pressure and Autonomy and the interaction variables is displayed. Proactive Personality had a significant negative impact on Work Exhaustion ($\beta = -.11$, $p < .05$), which was also the case for Autonomy ($\beta = -.12$, $p < .05$). On the other hand Work Pressure had a positive impact on Work Exhaustion ($\beta = .53$, $p < .01$). When the two-way interactions were put into the equation none of them reached significant levels. In the third step we inputted a three-way interaction, which did not reach a significant level ($\beta = -.03$, $p = ns$; $\Delta R^2 = .00$), rejecting hypothesis 3 that there is a three-way interaction between Work Pressure, Autonomy, and Proactive Personality when predicting Work Exhaustion.

Table 3.14
Work Exhaustion regressed on Proactive Personality, Work Pressure and Autonomy (Hypothesis 3, India)

	β - Step 1	β - Step 2	β - Step 3
<i>Step 1:</i>			
Proactive Personality	-.11*		
Work Pressure	.53**		
Autonomy	-.12*		
<i>Step 2:</i>			
Proactive Personality (PP)		-.11*	
Work Pressure (WP)		.52**	
Autonomy		-.12*	
PP x Autonomy		.03	
WPx Autonomy		.04	
PP x WP		-.02	
<i>Step 3:</i>			
Proactive Personality (PP)			-.12*
Work Pressure (WP)			.52**
Autonomy			-.12*
PP x Autonomy			.04
WPx Autonomy			.02
PP x WP			-.02
PP x WP x Autonomy			-.03
R	.57**	.57**	.57**
ΔR^2	.33**	.00	.00
Adj R ²	.32**	.32	.32

Note. $N = 292$.

† $p < .10$, * $p < .05$, ** $p < .01$

Table 3.15 contains a hierarchical regression of General Exhaustion on Proactive Personality, Work Pressure, Autonomy and the interaction-variables. Proactive Personality had a significant negative impact on General Exhaustion ($\beta = -.19$, $p < .01$), which was also the case for Autonomy ($\beta = -.15$, $p < .01$). However, Work Pressure had a positive impact on Work Exhaustion ($\beta = .29$, $p < .01$). When the two-way interactions were put into the equation, none of them were significant. However, the three-way interaction did reach significance at $\beta = -.10$, $p < .05$; $\Delta R^2 = .02$), in line with hypothesis 3 that there is a three-way interaction between Proactive Personality Work Pressure and Autonomy when predicting General Exhaustion (see also figure 3.3).

Table 3.15
General Exhaustion regressed on Proactive Personality, Work Pressure and Autonomy (Hypothesis 3, the Netherlands)

	β - Step 1	β - Step 2	β - Step 3
<i>Step 1:</i>			
Proactive Personality	-.19**		
Work Pressure	.29**		
Autonomy	-.15**		
<i>Step 2:</i>			
Proactive Personality (PP)		-.19**	
Work Pressure (WP)		.29**	
Autonomy		-.14**	
PP x Autonomy		-.08	
WPx Autonomy		-.03	
PP x WP		.00	
<i>Step 3:</i>			
Proactive Personality (PP)			-.22**
Work Pressure (WP)			.31**
Autonomy			-.16**
PP x Autonomy			-.07
WPx Autonomy			-.04
PP x WP			-.01
PP x WP x Autonomy			-.10*
R	.40**	.42**	.42**
ΔR^2	.16**	.00	.02*
Adj R ²	.15**	.15	.17

Note. $N = 293$.

† $p < .10$, * $p < .05$, ** $p < .01$

Figure 3.3

The interaction between Proactive Personality and General Exhaustion for high and low Work Pressure

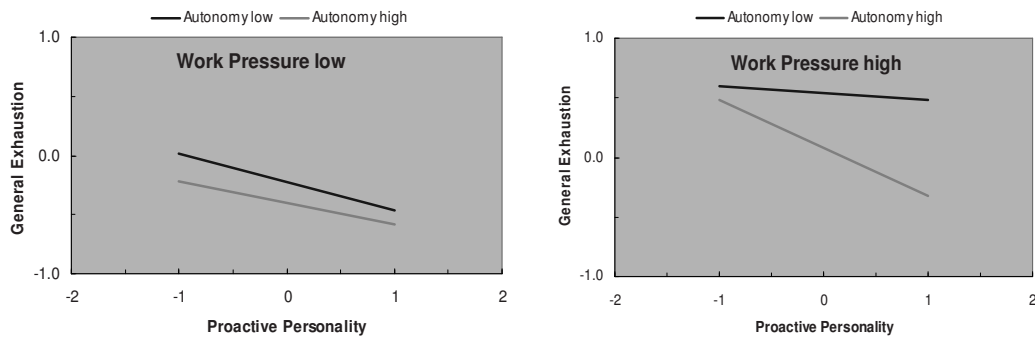


Table 3.16 contains a hierarchical regression of Positive Mood on Proactive Personality, Work Pressure, Autonomy and the interaction-variables. Proactive Personality had a significant positive impact on Positive Mood ($\beta = .32$, $p < .01$), but Autonomy ($\beta = .06$, $p = ns$) did not. Work Pressure had a negative impact on Positive Mood ($\beta = -.18$, $p < .01$). When the two-way interactions were put into the equation Proactiveness X Work Pressure interaction reached a significant level ($\beta = .11$, $p < .05$; see figure 3.4). The third step was an interaction between Proactiveness, Autonomy and Work Pressure which did not reach significance ($\beta = .02$, $p = ns$; $\Delta R^2 = .00$) rejecting hypothesis 3.

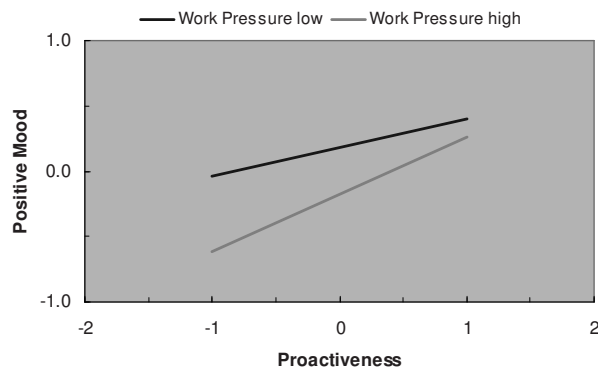
Table 3.16
Positive Mood regressed on Proactive Personality, Work Pressure and Autonomy (Hypothesis 3, India)

	β - Step 1	β - Step 2	β - Step 3
<i>Step 1:</i>			
Proactive Personality	.32**		
Work Pressure	-.18**		
Autonomy	.06		
<i>Step 2:</i>			
Proactive Personality (PP)		.32**	
Work Pressure (WP)		-.17**	
Autonomy		.05	
PP x Autonomy		.05	
WPx Autonomy		-.05	
PP x WP		.11*	
<i>Step 3:</i>			
Proactive Personality (PP)			.33**
Work Pressure (WP)			-.18**
Autonomy			.06
PP x Autonomy			.05
WPx Autonomy			-.05
PP x WP			.11*
PP x WP x Autonomy			.02
R	.39**	.39**	.39**
ΔR^2	.15**	.00	.00
Adj R ²	.15**	.16	.16

Note. $N = 295$.

† $p < .10$, * $p < .05$, ** $p < .01$

Figure 3.4
The interaction between Proactive Personality and Work Pressure in predicting Positive Mood



3.10.4 Mediation

We tested the possibility of a mediating effect of Autonomy on the Proactive Personality – Work Exhaustion and Positive Mood relationship (hypothesis 4). We computed the regression weights for the impact of Proactiveness on Exhaustion and Positive Mood before and after including Autonomy into the model (see table 3.17 and figure 3.5, 3.6 and 3.7). To test the mediating effect we conducted a Sobel-test (Sobel, 1982; MacKinnon et al., 1995). The Sobel test revealed that there is a significant mediating effect of Autonomy on the relation between Proactiveness, Exhaustion and Positive

Mood, being Work Exhaustion, General Exhaustion and Positive Mood, respectively. However, like in the case of Positive Mood in the Dutch sample, we have to note that this mediation was only partial.

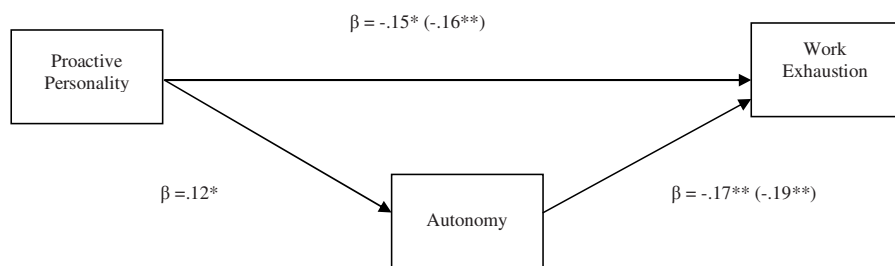
Table 3.17
Work Exhaustion, General Exhaustion and Positive Mood regressed on Proactive Personality, before and after including Autonomy (Hypothesis 4, India)

Variable	Work Exhaustion			General Exhaustion			Positive Mood		
	B	SEb	β	B	SEb	β	B	SEb	s β
Step 1 Proactive Personality	-0.05	.02	-.17**	-0.05	.01	-.23**	.05	.01	.34**
	Adj R ² = .03			Adj R ² = .05			R ² = .11		
Step 2 Proactive Personality	-0.04	.02	-.15*	-0.05	.01	-.21**	.05	.01	.33**
Autonomy	-0.21	.07	-.17**	-0.18	.06	-.18**	.06	.04	.08
	Adj R ² = .06 Δ R ² = .03			Adj R ² = .08 Δ R ² = .03			Adj R ² = .12 Δ R ² = .01		
Sobel- test	2.65**			3.20**			2.77**		

Note. N = 295.

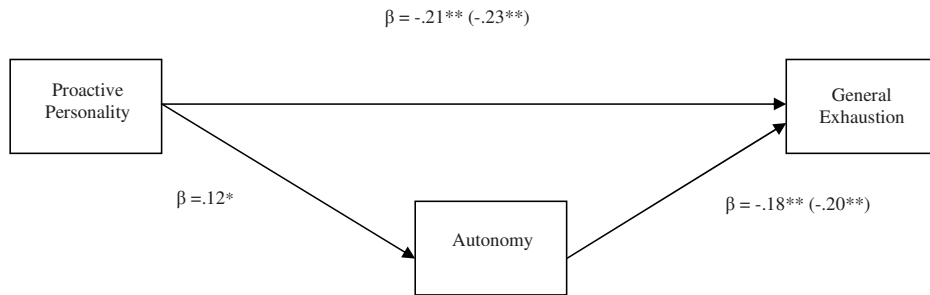
†p < .10, *p < .05, **p < .01

Figure 3.5
Mediation effect of Autonomy on the Proactive Personality – Work Exhaustion relationship (India)



Note. Between brackets the values are displayed of the zero-order effect on Work Exhaustion.
*p < .05, **p < .01

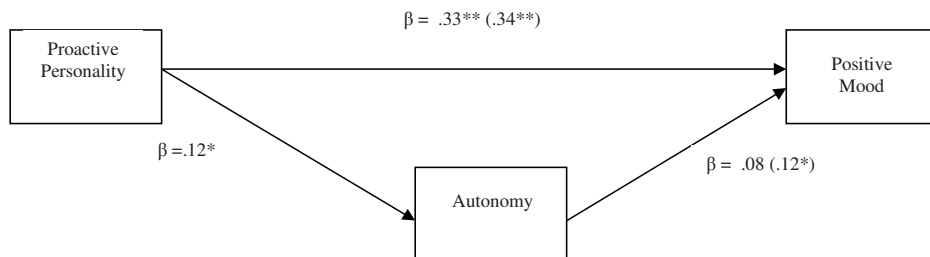
Figure 3.6
 Mediation effect of Autonomy on the Proactive Personality – General Exhaustion relationship (India)



Note. Between brackets the values are displayed of the zero-order effect on General Exhaustion.
 * $p < .05$, ** $p < .01$

Also for the relationship between Proactive Personality, Autonomy and Positive Mood, all correlations were significant, as can be found in figure 3.7. A Sobel test revealed that there is a mediating effect of Autonomy on the Proactive Personality – Positive Mood relationship.

Figure 3.7
 Mediation effect of Autonomy on the Proactive Personality – Positive Mood relationship (India)



Note. Between brackets the values are displayed of the zero-order effect on Positive Mood.
 † $p < .10$, * $p < .05$, ** $p < .01$

3.11 Discussion

In two samples of an international financial institute in the Netherlands and India we researched the impact of Proactive Personality on different measures of Exhaustion and Positive Mood. In both samples Work Exhaustion and Positive Mood were dependent variables; In India we also included General Exhaustion.

In the first part of this chapter we wanted to know if Proactive Personality predicts different measures of Exhaustion and Positive Mood over and above the Big Five personality dimensions. The zero-order correlations of Proactive Personality with Exhaustion and Positive Mood were all

significant and in the expected direction: it correlated negatively with both measures of Exhaustion and positively with Positive Mood. The finding that Proactiveness is negatively related to Exhaustion is consistent with previous research (see Cunningham & De La Rosa, 2008; Harvey et al., 2006; Parker & Sprigg, 1999). Like Tsai et al. (2007), we believe that the effects of negative and positive moods have not always been found to be an antipole, hence we have added 'Positive Mood' to our model. Indeed, the impact of Proactive Personality on Positive Mood and Exhaustion was in both samples not just the reverse as the impact on Exhaustion: the positive impact on Positive Mood was stronger than the negative impact on Exhaustion. After controlling for the Big Five, the difference in impact became even more eminent (none of the relations with Exhaustion were significant at $p < .05$, whereas in both samples the impact on Positive Mood was significant at $p < .01$). The result that Proactive Personality has a clear impact on Positive Mood even over and above the Big Five personality traits adds to the current research as to our knowledge no research so far has been done on this relationship. The finding is important as past research has shown the importance of Positive Mood in many areas such as work, relationships, and health (Lyubomirsky et al., 2005).

However, it does not answer the question of causality between Proactiveness and Positive Mood. Lyubomirsky et al. (2005) describe Positive Mood as a disposition when they elaborate on its causal relationship with success: "Although many researchers presuppose that happiness follows from successes and accomplishments in life, our review provides strong, albeit not conclusive, evidence that happiness may, in many cases, lead to successful outcomes, rather than merely following from them". (p.840). If indeed success in work is preceded by Positive Mood, the question arises how positive affect relates to Proactive Personality, which also has been proven to precede success in different areas of life (Crant, 2000). If indeed Proactive Personality is closely related to Positive Mood, more research is needed to understand the causal relationship between the two. Is positive affect a part of the Proactive Personality construct? Is Proactive Personality an antecedent of Positive Mood? If yes, what is the incremental validity of the Proactive Personality over and above Positive Mood in predicting Job Performance? Researchers could develop a theoretical framework around Positive Mood and Proactive Personality.

Partly replicating Parker and Sprigg (1999) we hypothesized a three-way interaction between Proactive Personality, Work Pressure and Autonomy when predicting Exhaustion and Positive Mood. The interaction between Autonomy on the one hand and Exhaustion and Positive Mood on the other, would only apply to more proactive employees with high levels of Autonomy in their work. Only in the Indian sample we did find a significant effect of the three-way interaction between Proactiveness, Work Pressure and Autonomy on General Exhaustion (in the Netherlands this variable was not included). Hence, our results only partly supported our premise. Future studies could replicate this study in a research design in which all demographic and organizational variables are kept equal.

The results on the alternative model (hypothesis 4) in which proactive employees create an environment which is less stressful, were more promising. We found a mediating path between Proactive Personality, Autonomy and Exhaustion (and Positive Mood). However we have to note that in four of the five equations, the effect of Proactiveness remained significant in the presence of Autonomy as a mediator (with the effect on Work Exhaustion in the Netherlands as an exception). Hence, we conclude that in our study, Autonomy only partly mediated the relationship between Proactive Personality, Exhaustion and Positive Mood. This could mean that proactive employees have more positive affect towards the workplace, partly because they create their own environment. This model fits in the interactionist tradition in which workers are differently disposed in the extent

to which they change working conditions (Bandura, 1986; Hirschman, 1970). An adequate example of this behavior was found by Buss (1987) who concluded that employees can intentionally and directly change their circumstances. He found strong differences in people's use of manipulation tactics across contexts, and considers the use of such tactics a type of individual difference. Our results are also in line with Crant (2000) who defined the Proactive Personality as: "Taking initiative in improving current circumstances or creating new ones; it involves challenging the status quo rather than passively adapting to present conditions." (p.436). However, we have to be cautious in concluding that proactive employees experience more Autonomy due to their ability to change the environment. Parker and Sprigg (1999) leave the possibility open that proactive employees self-selected themselves into more autonomous roles.

The finding that proactive employees tend to report higher levels of Autonomy, which mediates the relation between Exhaustion and Positive Mood, is a clear benefit of our study. In this respect being proactive is clearly beneficial for both the employee and the employer, as lower levels of Exhaustion and higher levels of Positive Mood have been found to have a positive effect on the workplace, and life in general.

Chapter 4

Proactive Personality and Organizational Citizenship Behavior, Work Satisfaction and Turnover Intention

Organizational Citizenship Behavior (OCB), Work Satisfaction and low voluntary turnover are beneficial for organizations. OCB has been proven to enhance organizational effectiveness (cf. Dunlop & Lee, 2004; Podsakoff, Ahearne, & MacKenzie, 1997; Podsakoff & MacKenzie, 1994), Work Satisfaction has been proven to be a good predictor for work effectiveness (see for a meta-analysis Judge, Thoresen, Bono, & Patton, 2001b), and also less voluntary turnover is a competitive advantage for organizations (O'Reilly & Pfeffer, 2000). We will study the relationship between Proactive Personality (Bateman & Crant, 1993) and OCB, Work Satisfaction and Turnover Intention.

To our knowledge there are no studies to date on the relationship between Proactive Personality and OCB. Regarding the relation between Proactiveness and Work Satisfaction, past studies yielded rather inconsistent results. Proactive Personality has been found to be correlated with Work Satisfaction and one's overall level of satisfaction with the career (Harvey et al., 2006; Seibert et al., 1999; Seibert et al., 2001). We also know that more proactive teams experience higher levels of Work Satisfaction, organizational commitment and team commitment (Kirkman & Rosen, 1999). On the other hand, Chan (2006) and Cunningham and De La Rosa (2008) did not find a significant relation between the two, and they suggest that it could be that highly proactive individuals experience higher levels of satisfaction in situations that require more personal initiative. Hence, it could be that Autonomy has a roll to play in the relation between Proactiveness and Work Satisfaction. The same applies for the relationship between Proactive Personality and OCB: we do not know if this relationship is moderated by Autonomy. Regarding the Proactiveness - Turnover Intention relationship, in the only study done so far, Allen, Weeks, and Moffitt (2005) did not find a significant relation.

It was the purpose of the present study to examine the relationship between Proactive Personality and OCB, Work Satisfaction and Turnover Intention, over and above the Big Five personality traits. Also, we will study the moderating impact of Autonomy on the relationship with OCB and Work Satisfaction. Furthermore we will explore the option that the relationship between Proactive Personality and Turnover Intention is mediated by Work Satisfaction. Given the benefits for organizations, the results of this study are relevant both for researchers and HR practitioners.

4.1 Proactive Personality

Bateman and Crant (1993) introduced the proactive disposition as a construct that identifies differences among people in the extent to which they take action to influence their environments. Research suggests that more proactive individuals are more likely to take initiatives and act to change the environment and accomplish their goals. More proactive individuals should be more likely to make changes, act to solve problems, and actively pursue possibilities that could advance

their interests and careers. Crant (2000) suggests that proactive people are less likely to passively adapt to undesirable conditions and are more likely to create new circumstances in response. This disposition has been found to be relatively stable over time, has been found in different countries, and has been proven to predict different criteria, which are clearly beneficial for employees across different functions (see chapter 1 for a more elaborate explanation of the concept).

4.2 Organizational Citizenship Behavior (OCB)

OCB is considered a key element of organizational effectiveness. Employees high on OCB engage more in helping behavior which enhances Performance. It is of great importance to an organization that employees who possess certain knowledge and skills are willing to help others who lack this knowledge. In a meta-analysis based on 168 independent samples ($N = 51,235$), Podsakoff, Whiting, Podsakoff, and Blume (2009) found that OCBs are related to a number of individual-level outcomes, including managerial ratings of employee Performance, reward allocation decisions, and a variety of withdrawal-related criteria. In addition, OCBs were found to be related to a number of organizational-level outcomes (e.g., productivity, efficiency, reduced costs, customer satisfaction, and unit-level turnover). In another meta-analysis on the criterion domain of OCB, Hoffman, Blair, Meriac, and Woehr (2007), showed that OCB is strongly related to task performance.

Past studies on specific traits of the Big Five and helping behaviors demonstrated a positive relationship between Conscientiousness and citizenship performance (Hattrup, O'Connell, & Wingate, 1998; Kamdar & Van Dyne, 2007; Konovsky & Organ, 1996; Van Emmerik, Jawahar, & Stone, 2004; Van Scotter & Motowidlo, 1996). Similar results have been found for Agreeableness (Barrick, Stewart, Neubert, & Mount, 1998). In a broader study, LePine and Van Dyne (2001) found that cooperative behavior was higher for those with high Conscientiousness ($r = .17, p < .05$), high Extroversion ($r = .14, p < .05$), high Agreeableness ($r = .18, p < .05$), or low Neuroticism ($r = -.11, p < .05$); for Openness no significant relation was found ($r = .05, p = ns$). In a recent meta-study on the relationship between the Big Five and OCB, Ilies, Fulmer, Spitzmuller, and Johnson (2009) conclude that the correlation between overall OCB and Agreeableness was $\rho = .18$ ($k = 31, N = 10, 693$), and $\rho = .24$ ($k = 34, N = 10, 049$) with Conscientiousness.

Although Crant (2000) suggests that Proactiveness could be related to OCB, to our knowledge, no empirical research to date has studied this field. We assume that Proactive Personality predicts OCB. According to Bateman and Crant (1993), Proactive Personality is positively correlated ($r = .26, p < .01$) to civic, community, and extracurricular activities (memberships in professional associations, charitable activities, and no compensated activities aimed at bettering the community). In other words, in their definition of the concept, they indicated that Proactiveness is related to helping behavior. It's well possible that the proactive disposition to set ideas into action, also adds to employees' ability to help others who need it. Furthermore, Proactiveness has been found to correlate with altruism (see Major et al., 2006 and study 1 of chapter 1). According to Redman and Snape (2005), 'altruism' involves helping specific individuals in relation to organizational tasks. The last indication of this relationship is more circumstantial: according to Parker (1998) role breadth self-efficacy (RBSE) is closely related to OCB. He defines RBSE as employees' perceived capability of carrying out a broader and more proactive set of work tasks that extend beyond prescribed technical requirements. He found that Proactive Personality was a significant predictor of RBSE ($\beta = .24, p < .001$). Hence, we assume that given the similarities between OCB and RBSE, Proactiveness will also predict OCB.

4.3 Work Satisfaction

Work Satisfaction is one of the most-studied concepts in the social and behavioral sciences (Judge, Parker, Colbert, Heller, & Ilies, 2001a). The importance of Work Satisfaction is to be explained by its relation to other work-related criteria such as Work Performance (Judge et al., 2001b). Work Satisfaction can be defined as “the extent to which people like (satisfaction) or dislike (dissatisfaction) their jobs” (Spector, 1997, p.2). This definition suggests that Work Satisfaction is a general or global affective reaction that individuals hold about their work. Most scholars recognize that Work Satisfaction is a global concept comprised of various facets such as employee satisfaction with pay, supervisor, and co-workers (Judge et al., 2001a).

In a meta-analysis (334 correlations from 163 independent samples) on Work Satisfaction and the Big Five, Judge et al. (2002) found estimated true score correlations of $-.29$ for Neuroticism, $.25$ for Extraversion, $.02$ for Openness to Experience, $.17$ for Agreeableness, and $.26$ for Conscientiousness. Also, as a set, the Big Five traits had a multiple correlation of $.41$ with Work Satisfaction.

The studies so far on the relationship between Proactive Personality and Work Satisfaction, give a rather inconsistent image. Some have found that Proactiveness correlates with Work Satisfaction (Harvey et al., 2006) and one’s overall level of satisfaction with the career (Seibert et al., 1999; Seibert et al., 2001). Also, proactive teams have been found to experience higher levels of Work Satisfaction (Kirkman & Rosen, 1999). However, Chan (2006) and Cunningham and De La Rosa (2008) did not find a significant relation between the two.

4.4 Autonomy as a Moderator

Hackman and Oldham (1976) define Autonomy as: “The degree to which the job provides substantial freedom, independence, and discretion to the individual in scheduling the work and in determining the procedures to be used in carrying it out.” (p.258). Increased Autonomy will allow individuals greater flexibility in how they define their role because they will have greater discretion in deciding how to work. They found that the feeling of personal responsibility leads individuals to develop favorable affective and behavioral reactions to their work.

We want to test whether Autonomy could influence the impact of Proactiveness on OCB, Work Satisfaction and Turnover Intention. First Autonomy could moderate the relation between Proactiveness and OCB, as engaging in OCB is depending on the level of Autonomy. According to Parker (1998) “... enhancing day-to-day Autonomy and participation in decision making, job enrichment can directly increase employees’ sense of control over their environment, and can provide sustained and continually expanding opportunities for mastery and modeling experiences. Job enrichment is thus likely to be an especially salient initiative when it comes to promoting RBSE”; the latter being closely related to OCB. We hence assume that proactive employees are more likely to engage in OCB if they have the opportunity to do so. Second, if we follow the line of thinking we assume that “...highly proactive individuals experience higher levels of satisfaction in situations that require them to demonstrate creative problem solving skills or personal initiative” (Cunningham & De La Rosa, 2008; p.278). Autonomy is therefore expected to moderate the Proactiveness – Work Satisfaction relationship. Third, we assume that more proactive employees will have a stronger tendency to leave if they work in a situation where they do not have enough Autonomy to work. Parker (1998) found not only that enhanced Autonomy increased ownership of problems but also that employees recognized a wider range of skills and knowledge as important for

their roles. The more people feel empowered the more likely they will develop confidence in carrying out a range of proactive, interpersonal, and integrative tasks. In contrast, we assume that if an employee lacks these circumstances, he is likely to plan action and leave.

4.4.1 Hypotheses

- Hypothesis 1a: Proactive Personality is positively related to OCB.
Hypothesis 1b: Proactive Personality has incremental validity over and above the Big Five in predicting OCB.
Hypothesis 1c: The relationship between Proactive Personality and OCB is moderated by Autonomy.
- Hypothesis 2a: Proactive Personality is positively related to Work Satisfaction
Hypothesis 2b: Proactive Personality has incremental validity over and above the Big Five in predicting Work Satisfaction.
Hypothesis 2c: The relationship between Proactive Personality and Work Satisfaction is moderated by Autonomy.

4.5 Turnover Intention

Especially in emerging economies such as India, turnover rates are high (Salivati, 2008). High turnover is undesirable for the organization due to the high costs involved. The estimates of the cost of turnover range from 100% to 250% of the departing person's salary (Cascio, 2000; Johnson, 1995), making it a relevant phenomenon to study. For these reasons, Turnover Intention has been used in the present study.

Behavioral intentions constitute the most immediate determinant of actual behavior (Fishbein & Ajzen, 1975), in the present study we will use intent to leave, rather than actual turnover behavior as a criterion variable; this because intentions can be researched much easier. Additionally, Turnover Intention which is under more individual control can provide results much more quickly, and is less difficult to predict than actual turnover (Price & Bluedorn, 1977). Also, the moment of measurement of turnover is always arbitrary (do you measure it after 3 months, after one year, or after 5 years). According to Salgado (2002) turnover was predicted by all the Big Five personality dimensions. The best predictor of lack of turnover was emotional stability ($r = .25$), followed by Conscientiousness ($r = .23$), Agreeableness ($r = .16$), Extraversion ($r = .14$), and Openness ($r = .11$). Past studies on the relationship of Proactive Personality with Turnover Intention have been limited. In the only study on this topic, Allen et al. (2005) found a non significant zero order correlation of $-.01$ ($p = ns$) between Proactive Personality and Turnover Intention.

However, it could be that the predisposition to act of proactive employees will lead to a restriction of range in the sample, as proactive employees who do not like their job, might leave sooner than their not proactive colleagues. In other words, the proactive employees who did not like their jobs were already gone. This would mean that there is no correlation to be found in a field study, where in fact more proactive employees do have a tendency to leave when they do not like their work. Allen et al. (2005) opt for another explanation, being that "it may be that extremely proactive individuals choose to actively attempt to change and improve their current situation before leaving. Wanberg and Kammeyer-Mueller (2000) have suggested that an important aspect of Proactive Personality is the active negotiation of work changes." (p.988). If we follow this way of thinking, it could be that proactive employees will have a lower tendency to leave, since they are more likely to act on the sources which made them want to leave.

Given the lack of research on the relation of Proactive Personality and Turnover Intention, and the different explanations for the absence of a correlation between the two in the only study done so far, we will not formulate a hypothesis, but ask ourselves an open research question.

4.6 Work Satisfaction as a Mediator

We will also explore an alternative relation between Proactive Personality and Turnover Intention, which is the possibility that this relation is mediated by Work Satisfaction. Past studies have led to clear empirical evidence that Work Satisfaction is negatively correlated to turnover and Turnover Intention (Griffeth, Hom, & Gaertner, 2000; Hom & Griffeth, 1991; Hom & Kinicki, 2001). We also assume that Proactive Personality is related to Work Satisfaction. We will ask ourselves an open research question if the relationship between Proactive Personality and Turnover Intention is mediated by Work Satisfaction.

4.6.1 Research questions

Research question 1: Is Proactive Personality related to Turnover Intention, and if yes, does it have incremental validity over and above the Big Five in predicting Turnover Intention?

Research question 2: Is the relation between Proactive Personality and Turnover Intention mediated by Work Satisfaction?

4.7 Method

4.7.1 Samples

We will only give a short description of the samples, for a more elaborate description please see the method section of chapter 1.

The Netherlands (Sample 1)

In total 309 employees filled in the questionnaire (60% male, 40% female).

India (Sample 3)

This sample consisted of 320 employees, of which 55% were male; 45% female.

4.7.2 Measures

Proactive Personality. This concept, defined as “the relatively stable tendency to effect environmental change”, was assessed using the highest loading items in Bateman and Crant’s (1993) scale. Like Parker and Sprigg (1999) we used 4 items on a seven point Likert-scale. Responses ranged from (1 = fully disagree to 7 = fully agree). An example item: “I excel at identifying opportunities.”

Cronbach’s alpha for this scale was .88 in the Netherlands and .82 in India.

Autonomy. Autonomy is defined as the degree to which the job provides substantial freedom, independence, and discretion to the individual in scheduling the work and in determining the procedures to be used in carrying it out (Hackman & Oldham, 1976). The 3 items of the scale originate from the same author’s Job Diagnostic Survey (JDS), and were measured on a 5-point

Likert scale (1 = strongly disagree to 5 = strongly agree). Example of an item: “I have quite a lot of opportunity to do my work autonomously.”
Cronbach’s alpha for this scale was .65 in the Netherlands and .62 in India.

Organizational Citizenship Behavior. We used the altruism dimension of OCB from Podsakoff, MacKenzie, Moorman, and Fetter (1990), which is defined as: discretionary behaviors that have the effect of helping a specific other person with organizationally relevant task or problem. Responses ranged from (1 = fully disagree to 7 = fully agree). Example of an item: “I help others who have been absent.”
Cronbach’s alpha for this scale was .78 in the Netherlands and .84 in India.

Work Satisfaction. We used 4 of the 5 highest loading items of the Work Satisfaction measure of Judge, Bono, and Locke (2000). All items were scored on a 5-point Likert scale (1 = strongly disagree, 5 = strongly agree). Example of an item “I feel fairly satisfied with my present job.”
Cronbach’s alpha for this scale was .93 in the Netherlands and .84 in India.

Turnover Intention. This was measured by one item taken from the ISR-Towers Perrin Employee Engagement survey. The question was “I am currently seriously considering leaving [name company]”, measured on a 5 point Likert-scale (1 = disagree, 5 = agree).

4.7.3 Intercultural Comparison

In chapter 1, we already examined the Big Five and the Proactive Personality scale on their cross-cultural equivalence., similarly Autonomy was examined in chapter 3. Here we will do a similar analysis for the remaining variables.

Structural equation modeling using LISREL 8.71 (Joreskog & Sorbom, 2004) was applied to examine the cross-cultural equivalence of Organizational Citizenship Behavior and Work Satisfaction (Turnover Intention was measured with one item). Covariances between the items were analyzed (after listwise deletion), and maximum likelihood was used as the estimation method. Table 4.1 reports the goodness-of-fit statistics of the models tested. The analysis revealed that for all practical purposes there is sufficient equality of measurement, loadings and factor variance. We did not find sufficient equality of error variance, however, we consider this as a minor point as it does not hinder us in the analyses that we want to conduct.

Table 4.1
Multi-group Confirmatory factor Analysis for Organizational Citizenship Behavior and Work Satisfaction

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
1) Equality of measurement model	172.15**	3.31	.07	.95	.96
2) 1 + Equality of loadings	206.78**	3.50	.09	.93	.95
3) 2 + Equality of covariances	208.76**	3.48	.09	.93	.95
4) 3 + Equality of factor variance	219.98**	3.55	.09	.93	.95
5) 4+ Equality of error variances	648.16**	9.12	.14	.79	.81

*p < .05, ** p < .01

4.8 Results the Netherlands

Table 4.2 shows the means, standard deviations and correlations among the independent variables and Autonomy. Autonomy was negatively correlated with Agreeableness and positively with Extraversion Openness and Proactive Personality.

Table 4.2
Correlation matrix independent variables and Autonomy (Netherlands)

Variable	M	SD	1	2	3	4	5	6	7	8
1. Conscientiousness	106.63	9.72	-							
2. Extraversion	115.78	15.00	.06	-						
3. Agreeableness	63.57	5.54	.32**	.05	-					
4. Neuroticism	91.03	9.17	-.19*	-.42**	-.15*	-				
5. Openness	94.34	9.25	.09	.62**	-.19**	-.49**	-			
6. Proactive Personality	5.20	.99	.10	.41**	-.07	-.32**	.48**	-		
7. Autonomy	4.59	.70	-.06	.19*	-.12*	.10	.24**	.24**	-	

Note: N ranged from 295 to 304.
The Big Five is reported in raw scores.
*p < .05, ** p < .01

In table 4.3 the correlation matrix and the means and standard deviations of the dependent variables are presented. OCB was positively related to Work Satisfaction; Work Satisfaction was negatively related to Turnover Intention. There was a significant negative correlation between OCB and Turnover Intention.

Table 4.3
Correlation matrix dependent variables (Netherlands)

Variable	M	SD	1	2	3
1. OCB	5.86	.86	-		
2. Work Satisfaction	4.24	.68	.20**	-	
3. Turnover Intention	1.61	1.02	-.14*	-.35**	-

Note: N = 302.
*p < .05, **p < .01

Table 4.4 contains the correlation matrix of the independent and dependent variables. Contrary to previous studies (LePine & Van Dyne, 2001) when predicting OCB there was no significant contribution of Conscientiousness, and there was a significant relationship with Openness. Proactive Personality had a significant correlation of .27 (p < .01) with OCB (hypothesis 1a). The absence of positive relationship between Work Satisfaction and Conscientiousness was not expected, although not hypothesized. Proactive Personality was positively correlated to Work Satisfaction (r = .28, p < .01) in line with hypothesis 2a. To our surprise and contrary to previous studies, none of the Big Five dimensions correlated to Turnover Intention. Proactiveness was also not correlated to Turnover Intention (research question 1).

Table 4.4
Correlation matrix independent variables and dependent variables (Netherlands)

Variable	OCB	Work Satisfaction	Turnover Intention
1. Conscientiousness	.08	.09	-.09
2. Extraversion	.19**	.17**	.04
3. Agreeableness	.16**	.03	-.11
4. Neuroticism	-.11*	-.15*	.03
5. Openness	.21**	.17**	.10
6. Proactive Personality	.27**	.28**	-.07
7. Autonomy	.08	.41**	.02

Note: N ranged between 290 and 302.
*p < .05, ** p < .01

Table 4.5 shows OCB, Work Satisfaction and Turnover Intention regressed on the Big Five and Proactive Personality. Proactive Personality predicted significantly more variance of OCB ($\beta = .23$, $p < .01$; $\Delta R^2 = .04$) and Work Satisfaction ($\beta = .23$, $p < .01$; $\Delta R^2 = .04$), in line with both hypothesis 1b and 2b. Proactive Personality had incremental validity ($\beta = -.15$, $p < .05$) over and above the Big Five in predicting Turnover Intention (research question 1), however the zero-order correlation was not significant ($r = .07$; see table 4.4).

Table 4.5
OCB, Work Satisfaction and Turnover Intention regressed on the Big Five and Proactive Personality (Netherlands)

	Criteria		
	OCB	Work Satisfaction	Turnover Intention
<i>Step 1:</i>			
	β	β	β
1. Conscientiousness	.00	.07	-.07
2. Extraversion	.04	.10	.01
3. Agreeableness	.22**	.01	-.05
4. Neuroticism	.07	.06	.07
5. Openness	.26**	.08	.13
ΔR^2	.09**	.05*	.03
Adj R^2	.07	.03	.01
<i>Step 2:</i>			
1. Conscientiousness	-.02	.05	-.06
2. Extraversion	.00	.06	.03
3. Agreeableness	.23**	.03	-.06
4. Neuroticism	.09	.03	.06
5. Openness	.19*	.00	.18*
6. Proactive Personality	.23**	.23**	-.15*
ΔR^2	.04**	.04**	.02*
Adj R^2	.11	.07	.02

Note. N ranged between 282 and 285.

* $p < .05$, ** $p < .01$

Table 4.6 contains hierarchical regression analyses of OCB and Work Satisfaction on Proactive Personality and Autonomy. Only in the case of Work Satisfaction, Autonomy predicted Work Satisfaction over and above Proactiveness. In the second step the interaction between Proactive Personality and Autonomy did not predict any more variance, rejecting hypothesis 1c and 2c.

Table 4.6
OCB and Work Satisfaction regressed on Proactive Personality and Autonomy (Netherlands)

	Criteria	
	OCB	Work Satisfaction
<i>Step 1:</i>		
	β	β
1. Proactive Personality	.27**	.20**
2. Autonomy	.01	.36**
ΔR^2	.08**	.20**
Adj R^2	.07	.20
<i>Step 2:</i>		
1. Proactive Personality	.27**	.19**
2. Autonomy	.01	.36**
3. PP x Autonomy	.01	.04
ΔR^2	.00	.00
Adj R^2	.07	.19

Note. N ranged between 301 and 303.

* $p < .05$, ** $p < .01$

4.8.1 Mediation

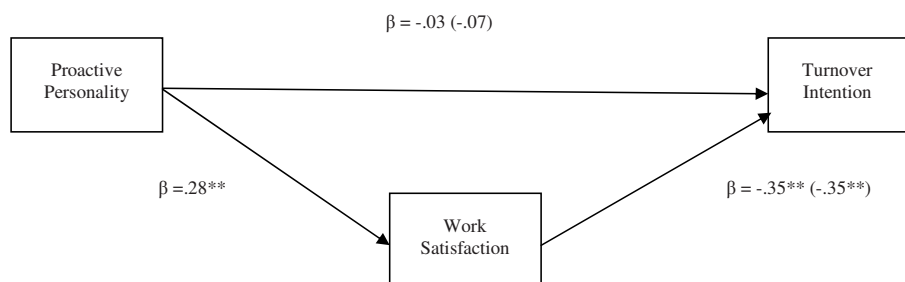
We tested the possibility of a mediating effect of Work Satisfaction on the Proactive Personality – Turnover Intention relationship (research question 2). We computed the regression weights for the impact of Proactiveness on Turnover Intention before and after including Work Satisfaction into the model (see table 4.7 and figure 4.1). We note that there is no significant relation between Proactiveness and Turnover Intention ($\beta = -.07$, $p = ns$) hence, we lack one of the preconditions to have mediation, being a significant relationship between independent and dependent variable (Baron & Kenny, 1986). However, we wanted to leave to option open of an indirect effect, which differs from mediation in the sense that there is no direct effect between the antecedent and the criterion (Matthieu & Taylor, 2006). To test the indirect effect we conducted a Sobel-test (MacKinnon et al., 1995; Sobel, 1982). The Sobel test revealed that there is a significant indirect effect of Work Satisfaction on the relation between Proactiveness and Turnover Intention.

Table 4.7
Turnover Intention regressed on Proactive Personality, before and after including Work Satisfaction (research question 2, the Netherlands)

Variable	B	Turnover Intention SEb	β
Step 1 Proactive Personality	-.01	.02	-.07
		Adj $R^2 = .00$	
Step 2 Proactive Personality	.01	.02	-.03
Work Satisfaction	-.56**		-.35**
		Adj $R^2 = .11^{**}$ $\Delta R^2 = .12^{**}$	
Sobel- test		3.85**	

Note. $N = 303$.
† $p < .10$, * $p < .05$, ** $p < .01$

Figure 4.1
Mediation effect of Work Satisfaction on the Proactive Personality – Turnover Intention relationship (research question 2, the Netherlands)



* $p < .05$, ** $p < .01$

4.9 Results India

In table 4.8 means, standard deviations and correlations among the independent variables and Autonomy are presented. The average self-reported level of Autonomy was 3.95 on a 5 point scale, in contrast with the Netherlands where the reported level of Autonomy was much higher ($M = 4.59$).

The correlations between Proactive Personality and the Big Five were in line with previous studies (see Major et al., 2006; chapter 1). Autonomy was negatively correlated with Neuroticism and positively with Proactive Personality.

Table 4.8
Correlation matrix independent variables and Autonomy (India)

Variable	M	SD	1	2	3	4	5	6	7	8
1. Conscientiousness	29.58	3.01	-							
2. Extraversion	27.86	2.75	.59**	-						
3. Agreeableness	26.92	2.33	.47**	.37**	-					
4. Neuroticism	21.51	2.87	-.65**	-.49**	.33**	-				
5. Openness	26.33	3.88	.41**	.59**	.40**	-.34**	-			
6. Proactive Personality	5.32	.94	.36**	.28**	.03	-.36**	.10	-		
7. Autonomy	3.95	.83	.10	.06	.03	-.12*	-.06	.12*	-	

Note. N ranged between 292 and 302.

The Big Five is reported in raw scores.

* $p < .05$, ** $p < .01$

In table 4.9 the correlation matrix of the dependent variables is presented.

The reported level of Work Satisfaction in India ($M = 3.90$), was much lower than in the Netherlands ($M = 4.24$). Also, the reported Turnover Intention in the Indian sample ($M = 2.19$) was higher than that in the Dutch sample ($M = 1.61$). The latter corresponds with the finding that turnover rates in India are relatively high compared to western economies.

Although not hypothesized OCB was positively related to Work Satisfaction; Work Satisfaction was negatively related to Turnover Intention. There was no significant correlation between OCB and Turnover Intention.

Table 4.9
Correlation matrix dependent variables (India)

Variable	M	SD	1	2	3
1. OCB	6.07	.72	-		
2. Work Satisfaction	3.90	.64	.24**	-	
3. Turnover Intention	2.19	1.25	.03	-.34**	-

Note. N ranged between 301 and 302.

* $p < .05$, ** $p < .01$

Table 4.10 contains the correlation matrix of the independent and dependent variables. Four of the five correlations between the Big Five and OCB were significant and in the same direction as previous studies (LePine & Van Dyne, 2001); only exception was Openness which in our sample also had a significant correlation with OCB. Proactive Personality had a correlation of .44 ($p < .01$)

with OCB, which leads us to accept hypothesis 1a. Similarly, also the correlation between the Big Five and Work Satisfaction had one exception to previous studies (Judge et al., 2002): Openness was in our study positively correlated ($r = .14$, $p < .05$) to Work Satisfaction. Proactive Personality was positively correlated to Work Satisfaction ($r = .25$, $p < .01$), hence we accepted hypothesis 2a. To our surprise and contrary to previous studies, only Conscientiousness was significantly correlated to Turnover Intention. Proactiveness was not correlated to Turnover Intention (research question 1).

Table 4.10
Correlation matrix independent variables and dependent variables (India)

Variable	OCB	Work Satisfaction	Turnover Intention
1. Conscientiousness	.39**	.31**	.12*
2. Extraversion	.33**	.32**	.06
3. Agreeableness	.27**	.20**	.07
4. Neuroticism	-.25**	-.26**	-.08
5. Openness	.17**	.14*	.03
6. Proactive Personality	.44**	.25**	.00
7. Autonomy	.06	.33**	.07

Note. N ranged between 285 and 298.

The presented correlations in this table were tested 2-tailed, with the exception of Proactive Personality

* $p < .05$, ** $p < .01$

Table 4.11 shows OCB, Work Satisfaction and Turnover Intention regressed on the Big Five and Proactive Personality. Proactive Personality predicted significantly more variance, after controlling for the Big Five, of OCB ($\beta = .39$, $p < .01$; $\Delta R^2 = .12$) and Work Satisfaction ($\beta = .15$, $p < .05$; $\Delta R^2 = .02$) (in line with hypothesis 1b and 2b). None of the Big Five traits predicted Turnover Intention nor did Proactive Personality (research question 1).

Table 4.11
OCB, Work Satisfaction and Turnover Intention regressed on the Big Five and Proactive Personality (India)

	Criteria		
	OCB	Work Satisfaction	Turnover Intention
<i>Step 1:</i>	β	β	β
1. Conscientiousness	.27**	.14	.10
2. Extraversion	.19*	.24**	.01
3. Agreeableness	.13*	.05	.05
4. Neuroticism	.03	-.08	.01
5. Openness	-.10	-.11	-.04
ΔR^2	.18**	.14**	.01
Adj R^2	.16	.12	.00
<i>Step 2:</i>			
1. Conscientiousness	.17*	.11	.11
2. Extraversion	.14*	.22**	.02
3. Agreeableness	.20**	.08	.05
4. Neuroticism	.13	-.04	.00
5. Openness	-.06	-.09	-.04
6. Proactive Personality	.39**	.15*	-.03
ΔR^2	.12**	.02*	.00
Adj R^2	.29	.13	.00

Note. N ranged between 282 and 285.

* $p < .05$, ** $p < .01$

Table 4.12 contains two hierarchical regression analyses, being OCB and Work Satisfaction on Proactive Personality and Autonomy. Autonomy did not predict OCB alongside with Proactiveness; for Work Satisfaction both Proactive Personality and Autonomy reached significance. In the second step, the interaction between Proactive Personality and Autonomy did not have a significant

contribution in predicting the dependent variables, hence we did not find support for hypothesis 1c and 2c on the moderating effect of Autonomy on the relationship with OCB and Work Satisfaction.

Table 4.12
OCB and Work Satisfaction regressed on Proactive Personality and Autonomy (India).

	Criteria	
	OCB	Work Satisfaction
<i>Step 1:</i>	β	β
1. Proactive Personality	.43**	.22**
2. Autonomy	.00	.30**
ΔR^2	.18**	.16**
Adj R ²	.18	.16
<i>Step 2:</i>		
1. Proactive Personality	.53*	.22
2. Autonomy	.15	.30
3. PP x Autonomy	-.19	.00
ΔR^2	.00	.00
Adj R ²	.18	.16

Note. N ranged between 294 and 295.

*p < .05, **p < .01

4.9.1 Mediation

We tested the possibility of a mediating effect of Work Satisfaction on the Proactive Personality – Turnover Intention relationship (research question 2). We computed the regression weights for the impact of Proactiveness on Turnover Intention before and after including Work Satisfaction into the model (see table 4.13 and figure 4.2). Like for the Dutch sample we note that there is no significant relation between Proactiveness and Turnover Intention. We wanted to test the possibility of an indirect effect by conducting a Sobel-test (MacKinnon et al., 1995; Sobel, 1982). The Sobel test revealed that there is a significant indirect effect of Work Satisfaction on the relation between Proactiveness and Turnover Intention.

We also note that there is a suppressor effect when Work Satisfaction is put into the equation. This could mean that Proactiveness has two effects on Turnover Intention: one, being that it makes employees to contemplate on leaving; the other, that being proactive makes employees satisfied with their job, which in turn makes them less likely wanting to leave.

Table 4.13

Turnover Intention regressed on Proactive Personality, before and after including Work Satisfaction (research question 2, India)

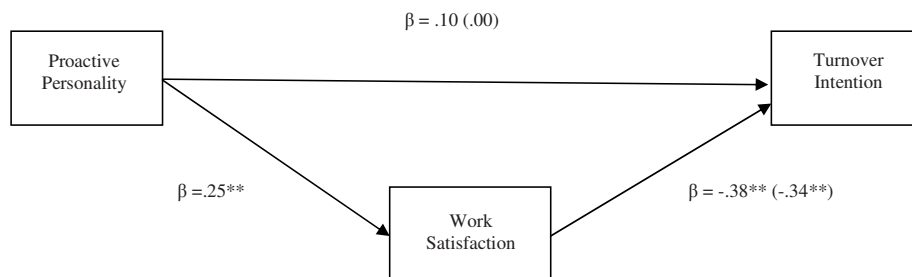
Variable	B	Turnover Intention SEb	β
Step 1 Proactive Personality	.00	.02	.00
Adj R ² = .00			
Step 2 Proactive Personality	.03	.02	.10
Work Satisfaction	-.73**		-.38**
Adj R ² = .13** $\Delta R^2 = .13**$			
Sobel- test		3.37**	

Note. N = 298.

†p < .10, *p < .05, **p < .01

Figure 4.2

Mediation effect of Work Satisfaction on the Proactive Personality – Turnover Intention relationship (India)



*p < .05, **p < .01

4.10 Discussion

The results of this study contribute to the understanding of the Proactive Personality concept in multiple ways. First we found that there is a significant relation between Proactive Personality and Organizational Citizenship Behavior. From past studies we already knew that Proactive Personality is a significant predictor of role breadth self-efficacy (RBSE) which is in itself closely related to OCB (Parker, 1998). Also Crant (2000) suggested that OCB could be related to Proactiveness, when he stated that “.. one opportunity for future research is to study proactive behaviors in new contexts. For example, impression management and Organizational Citizenship Behavior are two often-studied variables in organizational behavior, and it seems likely that proactive behavior would be

relevant to the exhibition and effectiveness of both” (p.455). Our study gives empirical evidence that the assumption of Crant (2000) is correct, and that indeed Proactiveness is related to OCB, also after controlling for the Big Five personality traits. Also we found proof for this relationship in two samples in two different cultures and different primary processes.

In generalizing our results we have to bear in mind that we have used a rather narrow definition of OCB, as we took the altruism dimension of OCB from Podsakoff et al. (1990), which was defined as: discretionary behaviors that have the effect of helping a specific other person with organizationally relevant task or problem. The concept of OCB contains more dimensions; Organ’s (1990) definition is much broader: an employee’s willingness to go above and beyond the prescribed roles which they have been assigned. On the other hand, it is especially the ‘altruism’ dimension of OCB which is of interest to us, as it gives a different perspective on the results of chapter 2, where we saw that proactive employees are better in chasing their self-interest. The Proactive Personality had a positive impact on reward related Performance and to a lesser extent on the opinion of the manager. In chapter 2 we assumed that proactive employees were able to influence their managers in such a way, that they receive more positive Appraisals and Bonuses, even after controlling for the actual opinion of the manager. The picture that emerged from that chapter is that proactive employees are actively safeguarding their self-interest (reward) and that high levels of Proactiveness are not necessarily beneficial for the organization. OCB has been found to be related to a number of organizational-level outcomes such as productivity, efficiency, reduced costs, customer satisfaction, and unit-level turnover (Podsakoff et al., 2009). If indeed Proactiveness is positively related to OCB, we conclude that based on this study higher levels of Proactiveness are indeed beneficial for organizations. Our study reconciles previous studies where proactive individuals were more likely to engage in civic, community, and extracurricular activities (Bateman & Crant, 1993). Combining the results of chapter 2 and this chapter we call for more research on the co-existence of self-interest and altruism of proactive employees. The philanthropic CEO is a good example of such coexistence: a proactive employee can be altruistic, but at the same time protecting his self-interest.

Past studies on the relationship between Proactiveness and Work Satisfaction have been rather inconsistent, as some did find a relation between the two (e.g. Harvey et al., 2006; Seibert et al., 1999; Seibert et al., 2001), and others did not (Chan, 2006; Cunningham & De La Rosa, 2008). Although in this study we found a positive relationship between Proactive Personality and Work Satisfaction, more research is needed to understand this relationship. We tested whether or not the Proactiveness – Work Satisfaction correlation was moderated by the level of Autonomy in the job. We did not find a significant effect of Autonomy as a moderator. There is however reason to continue this path for further research. Proactive Personality has been found to be a disposition for entrepreneurial posture of a president who owns his own business ($r = .33, p < .01$; Becherer & Mauer, 1999) and students’ intentions to own one’s own business ($r = .48, p < .01$; Crant, 1996). We assumed that proactive employees needed the freedom to engage in proactive behavior. The question is if the Autonomy concept describes the work environment adequately in terms of the possibility to be proactive. The opportunity to be ‘entrepreneurial’ might be a more adequate description of the sort of environment where Proactive Personality comes to fruition.

The fact that Autonomy was measured in a self- rating makes the chance of inadequacy even bigger. We suggest more experimental setups, opposed to our field research method, to fully control the level of entrepreneurship in the task. The latter also applies for the moderating effect of Autonomy on the Proactiveness - OCB relationship. We assumed that when given more Autonomy, an employee would have more possibility to put his altruistic disposition into citizenship behavior. Like for Work Satisfaction we call for more experimental research to test this hypothesis in order to fully control the variables in our model. The fact that the value of Proactive Personality has been found

over and above the Big Five in predicting OCB, and Work Satisfaction, in different cultural contexts and in different primary processes (back-office and front-office), proves the adding value of the Proactive Personality construct.

At present there are not many studies on the relationship between Proactive Personality and Turnover Intention. Hence we have asked ourselves research questions instead of hypothesizing on the possible relationship between the two. We did not find a significant zero-order correlation between Proactive Personality and Turnover Intention in both samples. Given the importance of Turnover Intention for an organization we call for more research on this topic. An important question is, whether or not proactive employees actively seek change in order to achieve better working conditions, or that their predisposition to act will lead to them to leave when they do not like the task or the social environment. We echo the call of Wanberg and Kammeyer-Mueller (2000) for more research on this topic.

We also asked ourselves if the relation between Proactive Personality and Turnover Intention is mediated by Work Satisfaction. In both samples we rejected the possibility of mediation in an early stage as there was no significant direct effect between Proactiveness and Turnover Intention. However, we did find an indirect effect via Work Satisfaction.

The latter effect, that proactive employees are more likely to be satisfied with their work, and are as a result less likely to contemplate on leaving, combined with the finding that Proactive Personality leads to higher levels of OCB, makes Proactiveness an interesting disposition for employers. Turnover is an important topic for organizations, especially for emerging economies such as India. The same applies for OCB and Work Satisfaction which have been found to predict other important work outcomes such as Job Performance.

Chapter 5

The Direct and Indirect Effect of Proactive Personality on Performance: the moderating role of OCB, Positive Mood, Exhaustion, and Work Satisfaction

In this chapter we will study the direct and indirect effects of Proactive Personality on different measures of Performance. In the previous chapters we found that Proactiveness has incremental validity over and above the Big Five personality dimensions in predicting: Work Performance, Organizational Citizenship Behavior (OCB), Positive Mood, Exhaustion, and Work Satisfaction. We choose Performance as a central point of interest as good employee Performance is the key objective for any Human Resources practitioner.

From past studies we know that Proactive Personality is related to OCB, Positive Mood, Exhaustion and Work Satisfaction (Cunningham & De La Rosa, 2008; Harvey et al., 2006; Parker & Sprigg, 1999; chapter 3 and 4), and in turn they are all related to Performance (Crant, 1995; Judge et al., 2001b; Podsakoff et al., 2009; Thoresen, Kaplan, Barsky, Warren, & de Chermont, 2003; Wright & Cropanzano, 2000). Given these relations the connection between Proactive Personality on the one hand and various indicators of Performance may be mediated by OCB, Positive Mood, Exhaustion and Work Satisfaction.

In this chapter we will partly replicate the findings of our previous chapters in three new samples. First we will again examine the relationship between Proactive Personality and OCB, Positive Mood, Exhaustion and Work Satisfaction. Second, we will examine to what extent the connection between Proactiveness on the one hand and different measures of Performance on the other, are direct and to what extent they are mediated by the above mentioned mediators. Third, we want to know if Proactive Personality has incremental validity over and above the mediators as well as Manager's Opinion in predicting the appraisal score. The Appraisal has a reward impact, so we can study if proactive employees are genuinely better in their jobs (Manager's Opinion) or that they receive significantly better Appraisals, even when this is not justified by the Manager's Opinion.

5.1 The Effect of Proactive Personality on Performance

According to Bateman and Crant (1993), people who are proactive are less constrained by situational issues and are more willing to change their direct environment. They identify opportunities more easily, show initiative and demonstrate resilience in achieving targets. They will take the responsibility when encountering problems and will make an impact on the world around them.

After the introduction of the Proactive Personality Scale by Bateman and Crant (1993), several authors have proven its value in predicting Performance in different areas, e.g. objective sales data ($r = .23, p < .01$, Crant, 1995) and Manager's Opinion ($r = .16, p < .05$, Chan, 2006; $r = .19, p < .05$, Thompson, 2005). Also chapter 2 revealed that Proactive Personality did have a positive correlation with the Bonus and formal annual Performance Appraisal (ranging between $r = .25$ and $.41$ in the

Netherlands and India), and to a lesser extent the opinion of the manager ($r = -.02$, $p = ns$ for the Netherlands and $r = .10$, $p < .05$ for India).

5.2 The Indirect Effect of Proactive Personality on Performance

Here we will display the expected indirect effect of Proactive Personality on Performance, in order of expected effect size.

Proactive Personality - OCB - Performance

In chapter 4 we discussed the concept of Organizational Citizenship Behavior (OCB). We used the dimension of OCB which deals with 'helping behavior'. This dimension is of importance to an organization, as it is beneficial for organizations when employees who possess certain knowledge and skills are willing to help others who lack this knowledge and skills. Given the tendency of proactive people to engage in civic, community, and extracurricular activities (Bateman & Crant, 1993), we assumed that Proactive Personality was related to OCB. In both samples in chapter 4 this turned out to be the case (the Netherlands 1: $r = .27$, $p < .01$; India 1: $r = .44$, $p < .01$).

In their meta-analysis Podsakoff et al. (2009) found an uncorrected correlation between overall OCBs and Job Performance ratings of .49 ($k = 72$, $N = 21,881$). They give multiple explanations for this relationship. Managers may recognize that OCBs such as helping behavior make their own jobs easier, or that employees are more able to influence their level of OCBs than Task Performance, hence managers may use them as indicators of motivation. The latter is consistent with other studies (Hoffman et al., 2007) that show that OCB consistently relates more strongly to attitudes than does Task Performance.

Proactive Personality - Positive Mood - Performance

Positive emotions signify that life is going well, the person's goals are being met, and resources are adequate (Lyubomirsky et al., 2005). Although no studies to date have been done on the relationship between Proactive Personality and Positive Mood we assumed in chapter 3 a positive relationship between the two, which we found indeed in both samples (the Netherlands 1: $r = .37$, $p < .01$; India 1: $r = .34$, $p < .01$).

Positive well-being is, according to Wright and Cropanzano (2000), significantly correlated with Job Performance, $r = .32$; $p < .01$. By quoting various longitudinal studies Lyubomirsky et al., (2005) gave evidence for the causal link between positive affect and Performance. It turned out that positive affect measured at one point in time predicted Performance after several years in a row, suggesting that positive affect is rather stable and indeed precedes Job Performance.

Proactive Personality - Exhaustion - Performance

Exhaustion refers to feelings of being overextended and depleted of one's emotional and physical resources (Halbesleben & Demerouti, 2005). Few studies have been done on the relationship between Proactiveness and the relation with emotional reactions to work. Cunningham and De La Rosa (2008) found a zero-order correlation of $-.20$ ($p < .05$) between Proactive Personality and stress due to home-work interference, Harvey et al. (2006) reported a main effect of Proactive Personality on psychological strain of $\beta = -.22$ ($p < .05$), Parker and Sprigg (1999) found that Proactive Personality was negatively correlated to job strain ($r = -.13$, $p < .05$). In chapter 3 we found a direct effect of Proactiveness on Exhaustion of $r = -.12$, $p < .05$ (the Netherlands 1) and $r = -.16$ -.23, $p < .01$ (India 1).

Past studies have found a negative correlation between Exhaustion and Performance, e.g. Wright and Cropanzano (1998) found a zero-order correlation of $-.27$ ($p < .05$) between Emotional Exhaustion and supervisory ratings (see for a literature overview, Halbesleben & Buckley, 2004).

Proactive Personality - Job Satisfaction - Performance

Although previous studies are not unanimous, some authors believe that Proactiveness correlates with Work Satisfaction (Harvey et al., 2006) and one's overall level of satisfaction with the career (Seibert et al., 1999; Seibert et al., 2001). In chapter 4 we found that Proactive Personality was significantly related to Work Satisfaction: $r = .28$, $p < .01$ (the Netherlands 1) and $r = .25$, $p < .01$ (India 1). We explained this relationship in terms of the ability to engage in entrepreneurship. From past studies we know that proactive people tend to have a preference for entrepreneurship (Becherer & Mauer, 1999; Crant, 1996). If indeed they are able to be proactive, for instance by putting creative ideas into action, they will be more likely to be satisfied with their jobs. Judge et al. (2001b) conducted a meta-analysis on the Satisfaction - Performance relationship, on 312 samples with a combined N of 54,417. They found a sample size weighted mean correlation of $.18$ between overall job satisfaction and Job Performance (uncorrected for study artifacts or unreliability). They propose a reciprocal model in which Satisfaction predicts Performance, and vice versa. For this study it is relevant to note that more satisfied employees tend to be performing better in their jobs.

5.3 The Present Study

Our main objective is to examine to what extent the connection between Proactive Personality on the one hand and different measures of Performance on the other, are direct and to what extent they are mediated by OCB, Positive Mood, Exhaustion and Job Satisfaction.

In chapters 3 and 4 we found that Proactive Personality is positively related to OCB, Positive Mood and Job Satisfaction, and negatively to Exhaustion. In this chapter we expect to replicate these findings.

Hypothesis 1: Proactive Personality is positively related to OCB, Positive Mood and Work Satisfaction, and negatively to Exhaustion.

Proactive Personality is expected to predict Performance, however the impact is not expected to be the same for all measures of Performance. Proactive employees have a strong entrepreneurial disposition (Brecherer & Mauer, 1999; Crant, 1996). Being entrepreneurial can imply in a financial institution that an employee tries to sell more or take more risk than is beneficial for the company in the long run. We do not know if this 'entrepreneurial' behavior will overlap with OCB, Positive Mood, Exhaustion or Job Satisfaction. It is possible that, after controlling for OCB, Positive Mood, Exhaustion and Job Satisfaction, there will be no incremental validity when predicting the Manager's Opinion. The latter measurement is not shared with the employee and is hence a reflection of what the employer sincerely thinks. We do not have enough evidence to formulate a hypothesis so we will ask ourselves an explorative research question:

Research question 1: Does Proactive Personality have incremental validity in predicting the Manager's Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction?

We do expect that Proactive Personality will have incremental validity in predicting the reward related Performance. Bank employees who sell more (or take more risk), tend to make more money

for the company on the short term, which is the most important target set at the beginning of the year. Moreover, we expect that if we also include the opinion of the manager on the employee, still Proactiveness will have a positive impact on reward related Performance.

Hypothesis 2: Proactive Personality has incremental validity in predicting the Appraisal over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion.

Also, we expect Proactiveness to have a positive impact on the Self-Opinion of Performance. The feedback that proactive employees receive from their manager is more positive, moreover they genuinely believe that their performance is better due to the fact that they are more likely to achieve more.

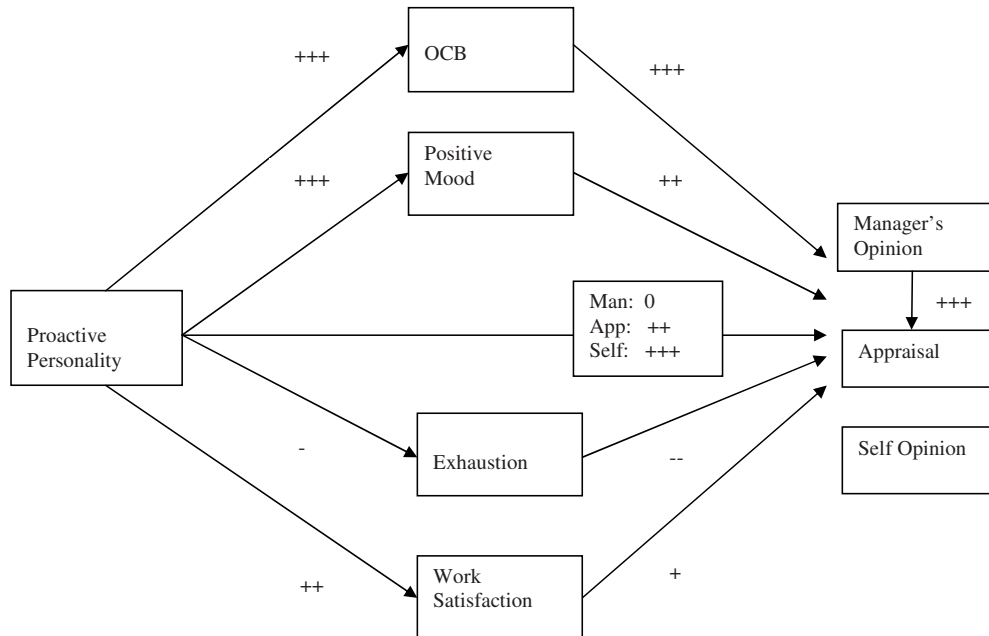
Hypothesis 3: Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction.

We expect Proactiveness to be related to OCB, Positive Mood, Exhaustion and Job Satisfaction, which are in turn are expected to be related to Performance. Hence we assume that the effect of Proactiveness on different measures of Performance is (partly) indirect via OCB, Positive Mood, Exhaustion and Job Satisfaction.

Research question 2: What is the indirect effect of Proactive Personality via OCB, Positive Mood, Exhaustion and Work Satisfaction on different measures of Performance?

Figure 5.1 shows the overall model that we want to test. The arrow between Manager's Opinion and Appraisal indicates that Appraisal is corrected for the Manager's Opinion. Hence, the Manager's Opinion and Self-Opinion have the same predictors (Proactive Personality, OCB, Positive Mood, Exhaustion and Work Satisfaction), Appraisal has one extra, being the Manager's Opinion.

Figure 5.1
 Direct and indirect effects of Proactive Personality in predicting different measures of Performance.



5.4 Method

5.4.1 Samples

For our final study we only studied those samples that included all relevant variables, leading to a total population of 831 employees; in 765 cases the manager filled in a questionnaire on their performance. With the exception of India 1, all samples have not been studied before in relation to Performance or OCB, Positive Mood, Exhaustion and Work Satisfaction.

For a full description of the samples please see the method section of chapter 1.

The Netherlands 2

This sample consisted of 190 Dutch management trainees, and 155 of their managers. The average work experience was 4.5 years with a standard deviation of 2.1 years; 61% was male, 39% female.

India 1

This sample consisted of 320 back-office employees in Mumbai and Chennai, and 291 of their respective managers. The average work experience was 1.83 years with a standard deviation of 1.04 years; 55% was male, 45% female.

India 3

This sample consisted of 177 call center agents and 175 of their managers of a bank in Mumbai. The average work experience was 2.01 years, with a standard deviation of 1.30 years; 38% was male, 62% female.

Brazil

This sample consisted of 144 head-office employees of which all 144 managers participated, with an average work experience of 5.32 years and a standard deviation of 5.31 years; 37% were male, 63% were female.

As explained in the method section of chapter 1, the data stem from a research project with a different aim, namely the validation of the selection process. Not every participating unit allowed the research team to include all desired variables for all kinds of reasons: such as time or focus. As a result we could not include all samples after designing our model. Hence, the following samples were not used, with between brackets the missing variable(s): Netherlands 1 (General Exhaustion), India 2 (OCB, Positive Mood, General Exhaustion), USA (OCB, Positive Mood, and General Exhaustion), Romania (OCB, Positive Mood, and General Exhaustion).

5.4.2 Measures

Proactive Personality. This concept, defined as “the relatively stable tendency to effect environmental change”, was assessed using the highest loading items in Bateman and Crant’s (1993) scale. Like Parker and Sprigg (1999) we used 4 items on a seven point Likert-scale. Responses ranged from (1 = fully disagree to 7 = fully agree). An example item: “I excel at identifying opportunities.”

Cronbach’s alpha for this scale was .81 in the Netherlands 2, .82 in India 1, .79 in India 3, and .78 in Brazil.

Organizational Citizenship Behavior. We used the altruism dimension of OCB from Podsakoff et al. (1990), which is defined as: discretionary behaviors that have the effect of helping a specific other person with organizationally relevant task or problem. Responses ranged from (1 = fully disagree to 7 = fully agree). Example of an item: “I help others who have been absent.”

Cronbach’s alpha for this scale was .75 in the Netherlands 2 and .84 in India 1, .75 in India 3, and .79 in Brazil.

Positive Mood. We used 3 items on a 4-point scale (1 = never to 4 = always), from the NIOSH- scale (Caplan et al., 1975). Items were “I feel strong”, “I feel cheerful” and “I feel active”.

Cronbach’s alpha for this scale was .78 in the Netherlands 2 and .81 in India 1, .81 in India 3, and .82 in Brazil.

Exhaustion. In chapter 3 we used two Exhaustion measures: Work Exhaustion and General Exhaustion of which the latter showed the strongest relation with Proactive Personality ($r = .16, p < .01$ for Work Exhaustion versus $r = .23, p < .01$ for General Exhaustion). To make our model as strong as possible we chose General Exhaustion as our measure, which was measured with 3 items on a 5-point scale (1 = never to 5 = very often). Items were “Occasionally I feel emotionally tired”, “Occasionally I feel burned out” and “Occasionally I feel exhausted”.

Cronbach’s alpha for this scale was .83 in the Netherlands 2 and .83 in India 1, .82 in India 3, and .84 in Brazil.

Work Satisfaction. We used 4 of the 5 highest loading items of the Work Satisfaction measure of Judge et al. (2000). All items were scored on a 5-point Likert scale (1 = strongly disagree, 5 = strongly agree). Example of an item: “I feel fairly satisfied with my present job.”

Cronbach's alpha for this scale was .93 in the Netherlands 2 and .84 in India 1, .73 in India 3, and .85 in Brazil.

In our study we will make use of different performance measures, all given by the same manager more or less in the same timeframe (maximum 3 months apart), regarding the same performance period (mostly one calendar year). The Manager's Opinion was the only confidential one, and collected especially for this study; it had no financial impact. The Appraisal was given by the same manager on the performance of the employee, and did have a financial impact.

Manager's Opinion. Job Performance was assessed by asking participants' managers to rate their subordinates on a three-item measure (e.g., "The employee does a lot of work in terms of output") developed for this study, but similar to the supervisory rating of Chan (2006). We used a five-point Likert-type rating scale (1 = fully disagree to 5 = fully agree). Cronbach's alpha for this scale was .77 in the Netherlands 2, .88 in India 1, .80 in India 3, and .82 in Brazil.

Appraisal. An appraisal score is based on the achievement of goals which were set at the beginning of the year. Scores ranging from 1 = not at all meeting requirements, to 5 = exceeding requirements, imply a standard financial incentive. The amounts differ per country, business unit and level in the organization, but the principle is the same across the globe and functions. For instance in the Netherlands: a '1' Appraisal leads to 0% of the gross salary extra pay, a '2' = 4%, a '3' = 7%, a '4' = 11% and a '5' = 15%. The outcome is shared with the employee in an appraisal interview.

Self-Opinion. The same questions on Job Performance for the manager (Manager's Opinion) were also included in a self-rating for the employee. On the same three-item measure (e.g., "In my job I function effectively") developed for this study. We used a five-point Likert-type rating scale (1 = fully disagree to 5 = fully agree). Cronbach's alpha for this scale was .77 in the Netherlands 2 and .66 in India 1, .60 in India 3, and .68 in Brazil.

5.5 Results

Structural equation modeling using LISREL 8.71 (Joreskog & Sorbom, 2004) was applied to examine our model (see table 5.1). Subsequently we will discuss the outcomes of the different models. Model 1 gives an idea of the equality of measurement across the samples. In model 2 we have set all loadings equal. At the end of the results sector we will show model 3, with all coefficients set equal.

Table 5.1

Multi-group Analysis for model testing

Model	χ^2	χ^2/df	RMSEA	TLI	CFI
1) Equality of measurement model	1854.6**	1.70	.06	.94	.95
2) 1 + Equality of loadings	1979.1**	1.73	.06	.93	.94
3) 2 + Equality of coefficients	2206.9**	1.80	.06	.93	.93

In model 1 covariances between the items were analyzed (after pair wise deletion), and maximum likelihood was used as the estimation method. Although the analysis revealed that for all practical purposes there is sufficient equality of measurement (TLI = .94; CFI = .95), we have to note that a part of the model systematically does not fit with the data ($\chi^2 = 1854.6$, $p < .01$). Regarding the

cross-cultural equivalence, we found sufficient support to continue with this model; the same applied for model 2 and 3.

The fit decreased significantly in the second model ($\chi^2 = 1979.1$, $p < .01$; $\Delta \chi^2 = 124.5$), however there is still sufficient equality of the loadings across samples (TLI = .93; CFI = .94). To give a complete picture of the differences across the samples we will first display here all results per sample, before showing our results for the whole group in model 3.

Here we will report the correlations within the samples and the β - weights per sample. We have to note that the correlations and the β - weights are difficult to compare. The β - weights in LISREL stem from latent variables that are generated through a factor analysis, hence the measurement error is reduced to zero, and unlike the correlations that contain significant measurement error. Comparing both types of variables is therefore not possible, however, for the sake of being complete we will display both the correlation matrix and the LISREL model.

5.5.1 Netherlands 2

Table 5.2
Correlation matrix sample Netherlands 2

Variable	M	SD	1	2	3	4	5	6	7	8
1. Manager's Opinion	3.95	.57	-							
2. Appraisal	3.38	.53	.44**	-						
3. Self-Opinion	4.08	.51	.40**	.41**	-					
4. Proactive Personality	5.34	.76	.03	.21**	.37**	-				
5. OCB	5.79	.61	.03	.13	.25**	.34**	-			
6. Positive Mood	3.31	.44	.14	.14	.39**	.33**	.14*	-		
7. Exhaustion	2.06	.77	-.24**	-.13	-.23**	-.15*	-.08	-.42**	-	
8. Work Satisfaction	4.18	.66	.28**	.18*	.28**	.14*	.13	.33**	-.33**	-

Note. Manager's Opinion $N = 175$. Last Appraisal score $N = 191$. Other variables $N = 213$.
* $p < .05$, ** $p < .01$

In table 5.2 mean, standard deviations and correlations among all variables are presented for the Netherlands 2 sample. Like for the Netherlands 1 sample, the average score on the Manager's Opinion ($M = 3.95$; $SD = .57$) did not differ much from the Self-Opinion ($M = 4.08$; $SD = .51$). Consistent with the Netherlands 1 sample the correlation between the Manager's Opinion and the Self-Opinion was rather low ($r = .40$; $p < .01$). The correlation between the Appraisal and the Manager's Opinion ($r = .44$, $p < .01$) is, like in the Indian and the other Dutch sample which were used in chapter 2, higher, but still strikingly low given the fact that both ratings come from the same manager. Proactive Personality was correlated significantly to OCB, Positive Mood, Exhaustion and Work Satisfaction, in line with hypothesis 1.

Figure 5.2 shows the direct and indirect effects of Proactive Personality in predicting different measures of Performance. As noted previously, the arrow between Manager's Opinion and Appraisal indicates that Appraisal is corrected for the opinion of the manager. Hence, the Manager's Opinion

and Self-Opinion have the same predictors (Proactive Personality, OCB, Positive Mood, Exhaustion and Work Satisfaction), Appraisal has one extra, being the Manager's Opinion; this remark applies for all figures in this chapter.

Although not hypothesized, we note that the coefficients of Proactive Personality with respect to the different mediators are in the expected hierarchy: the highest impact was on OCB, the lowest on Work Satisfaction. Proactiveness did not have incremental validity in predicting Manager's Opinion ($\beta = -.03$; $p = ns$, research question). We did not find support for hypothesis 2, that Proactive Personality has incremental validity in predicting the Appraisal ($\beta = .02$, $p = ns$) over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion. We did find support for hypothesis 3 that Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction ($\beta = .23$, $p < .01$).

Figure 5.2
Direct and indirect effects of Proactive Personality in predicting different measures of Performance (model 2; the Netherlands 2)

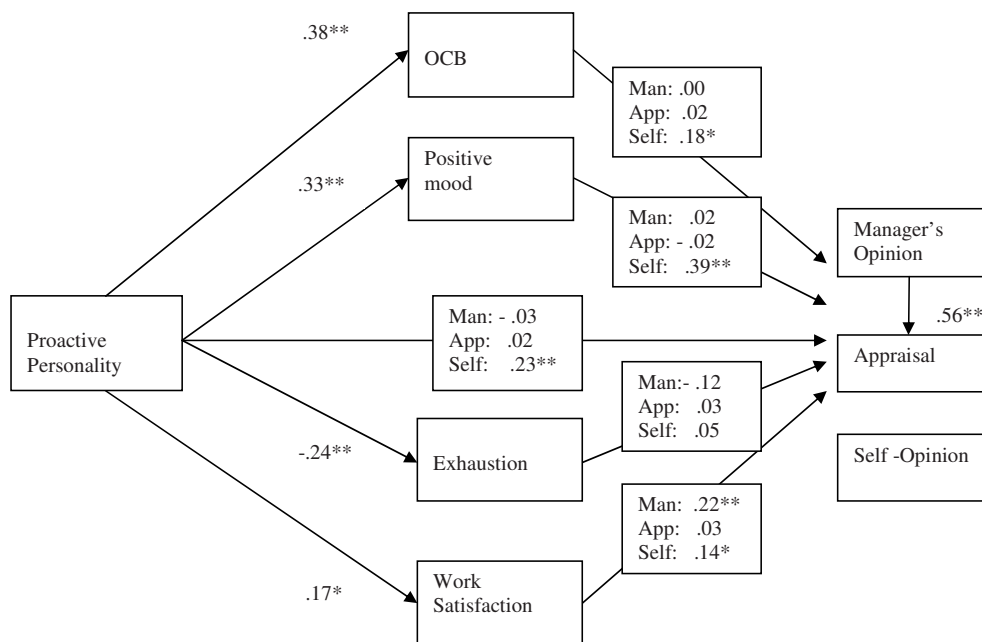


Table 5.3 summarizes the direct and indirect effect of Proactive Personality on different measures of Performance. The covariances gave us the total effect, which was reduced by the direct effect of Proactive Personality in order to obtain the indirect effect. The indirect effect equals the sum of all indirect effects per Performance measure. The indirect effects are a composite of multiple effects, hence we do not have information on the level of significance. As a result we can only mention if a certain effect is substantial or not.

For this sample we can conclude that Proactiveness does not have a substantial direct or indirect impact on Manager's Opinion or on the Appraisal. It does have a substantial direct and indirect impact on the Self-Opinion of Performance.

Table 5.3
Effects of Proactive Personality on different measures of Performance (model 2; the Netherlands 2)

	Indirect effects		Direct effect		Total effect
Proactive Personality – Manager's Opinion	.07	+	(-.03)	=	.04
Proactive Personality – Appraisal	.04	+	(.02)	=	.06
Proactive Personality – Self-Opinion	.21	+	(.23)	=	.44

5.5.2 India 1

Table 5.4
Correlation matrix sample India 1

Variable	M	SD	1	2	3	4	5	6	7	8
1. Manager's Opinion	4.04	.66	-							
2. Appraisal	3.72	.79	.64**	-						
3. Self-Opinion	4.34	.59	.24**	.31**	-					
4. Proactive Personality	5.33	.93	.10	.25**	.31**	-				
5. OCB	6.07	.72	.22**	.31**	.44**	.44**	-			
6. Positive Mood	3.39	.58	.07	.11	.26**	.34**	.31**	-		
7. Exhaustion	2.72	1.00	-.04	.01	-.04	-.16**	-.18**	-.40**	-	
8. Work Satisfaction	3.40	.64	.03	.13	.20**	.25**	.24**	.24**	-.38**	-

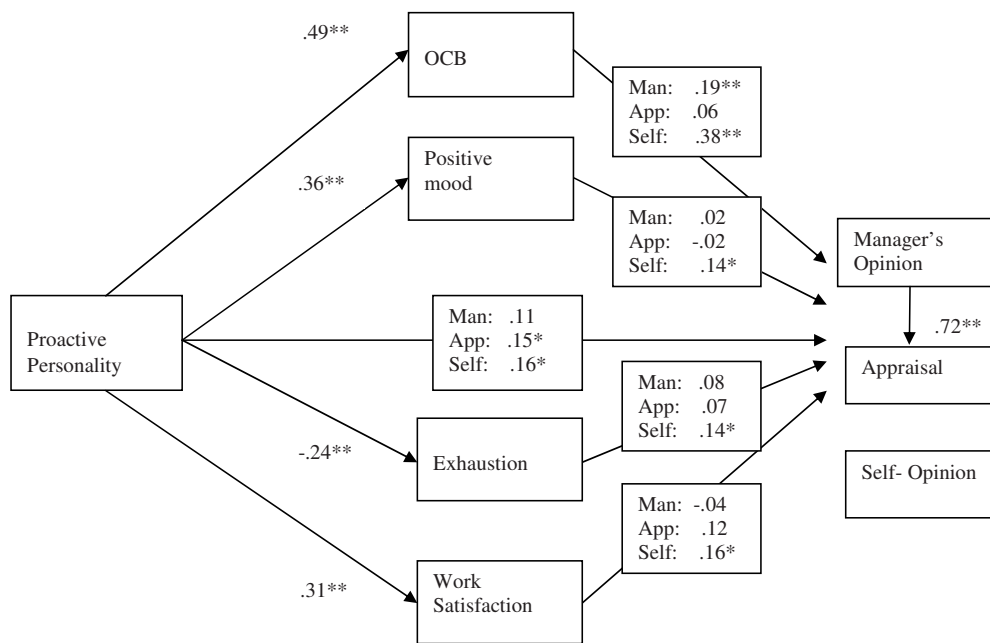
Note. Manager's Opinion $N = 201$. Appraisal score $N = 205$. Other variables N ranged between 292 and 302.
* $p < .05$, ** $p < .01$

In table 5.4 mean, standard deviations and correlations among all variables are presented for the India 1 sample. The average score on the Manager's Opinion ($M = 4.04$; $SD = .66$) is less positive than the answers of the employee on the same date on the same questions ($M = 4.34$; $SD = .59$), suggesting that employees have a more positive self-image of their Performance than their manager. Also the correlation between both variables ($r = .24$; $p < .01$) is rather low. The correlation between the Appraisal and the Manager's Opinion ($r = .64$, $p < .01$) is much higher, however the difference is also striking given the fact that both ratings were given by the same manager in a short period of time on the Performance of the same individual. Proactive Personality was correlated significantly to OCB, Positive Mood, Exhaustion and Work Satisfaction, in line with hypothesis 1.

Figure 5.3 shows the direct and indirect effects of Proactive Personality in predicting different measures of Performance. Proactive Personality was as expected strongest related to OCB ($\beta = .49$, $p < .01$) and Positive Mood ($\beta = .36$, $p < .01$), however the relation with Work Satisfaction ($\beta = .31$, $p < .01$) was unexpectedly higher than for Exhaustion ($\beta = -.24$, $p < .01$).

Proactiveness did not have incremental validity in predicting Manager's Opinion ($\beta = .11$; $p = ns$, research question 1). We found support for hypothesis 2, that Proactive Personality has incremental validity in predicting the Appraisal ($\beta = .15$, $p < .05$) over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion. We found support for hypothesis 3 that Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction ($\beta = .16$, $p < .05$).

Figure 5.3
Direct and indirect effects of Proactive Personality in predicting different measures of Performance (model 2; India 1)



In table 5.5 the direct and indirect effects of Proactive Personality on different measures of Performance are summarized. In this sample Proactiveness does have substantial direct and indirect impact on Manager's Opinion, Appraisal and the Self-Opinion of Performance.

Table 5.5
Effects of Proactive Personality on different measures of Performance (India 1)

	Indirect effects		Direct effect		Total effect
Proactive Personality – Manager's Opinion	.09	+	(.11)	=	.20
Proactive Personality – Appraisal	.11	+	(.15)	=	.26
Proactive Personality – Self-Opinion	.25	+	(.16)	=	.41

5.5.3 India 3

Table 5.6
Correlation matrix sample India 3

Variable	M	SD	1	2	3	4	5	6	7	8
1. Manager's Opinion	3.80	.59	-							
2. Appraisal	3.54	.74	.27**	-						
3. Self-Opinion	4.21	.64	-.04	.20*	-					
4. Proactive Personality	5.39	.85	-.03	.35**	.46**	-				
5. OCB	5.88	.81	.10	.30**	.35**	.63**	-			
6. Positive Mood	3.25	.61	.03	.18*	.25**	.31**	.24**	-		
7. Exhaustion	3.04	1.10	-.08	-.09	-.03	-.17*	-.19*	-.50**	-	
8. Work Satisfaction	3.77	.69	-.07	-.03	.26**	.23**	.27**	.51**	-.62**	-

Note. Manager's Opinion $N = 175$. Appraisal score $N = 141$. Self-Opinion $N = 176$. Other variables N ranged between 174 and 177.

* $p < .05$, ** $p < .01$

In table 5.6 mean, standard deviations and correlations among all variables are presented for the India 3 sample. The standard deviation of Exhaustion is like in the other Indian sample relatively high ($SD = 1.10$), suggesting that there is big difference in the experience of Exhaustion. Also in this sample the average score on the Manager's Opinion ($M = 3.80$; $SD = .59$) differed much from the Self-Opinion ($M = 4.21$; $SD = .64$). Likewise, the correlation between the latter two was low, not even significant ($r = -.04$; $p = ns$). The correlation between the Appraisal and the Manager's Opinion ($r = .27$, $p < .01$) was also very low. A post hoc explanation for these low correlations among the different measures of Performance in both India 1 and India 3, is the work experience of the employees ($M = 2.01$, $SD = 1.30$ for India 3). New employees did not receive much feedback yet, where more experienced colleagues have an idea of their Performance. Proactive Personality was correlated significantly to OCB, Positive Mood, Exhaustion and Work Satisfaction, in line with hypothesis 1.

Figure 5.4 shows the direct and indirect effects of Proactive Personality in predicting different measures of Performance. Like in the other Indian sample the effects of Proactive Personality were highest on OCB and Positive Mood, but similarly the beta with Work Satisfaction ($\beta = .35$, $p < .01$) was a bit higher than expected.

Proactiveness was related to Manager's Opinion beyond the mediating variables, however in the opposite direction ($\beta = -.53$; $p < .01$; research question 1). We did not find support for hypothesis 2, that Proactive Personality has incremental validity in predicting the Appraisal ($\beta = -.04$, $p = ns$) over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion. We did find support for hypothesis 3 that Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction ($\beta = .66$, $p < .01$).

Figure 5.4
Direct and indirect effects of Proactive Personality in predicting different measures of Performance (model 2; India 3)

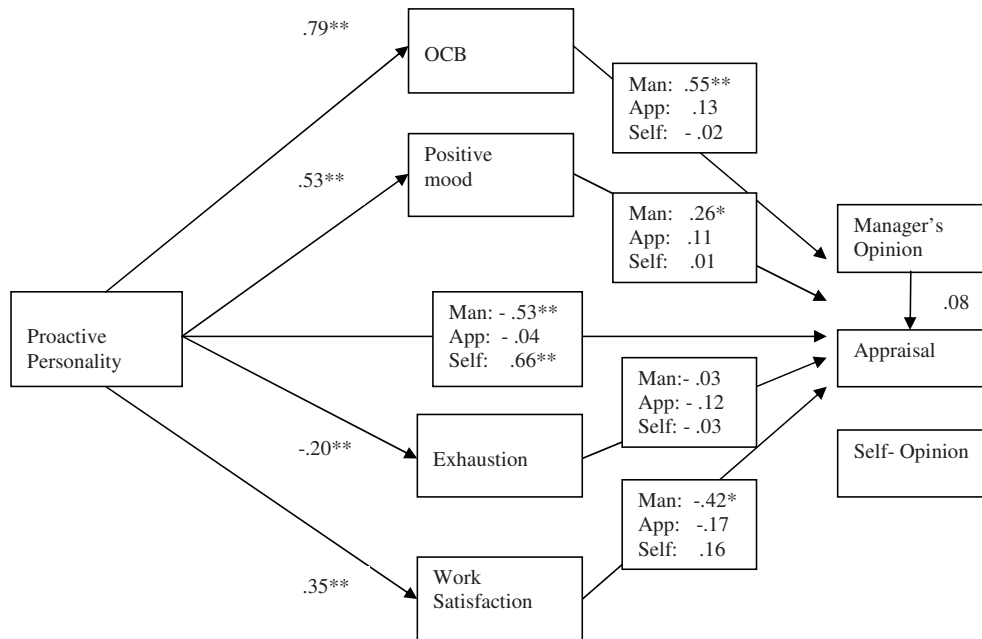


Table 5.7 summarizes the direct and indirect effect of Proactive Personality on different measures of Performance. Regarding the Manager's Opinion we can conclude that there is substantial impact, however that the indirect effect is positive and the direct effect has a negative impact. For the Appraisal, there is some indirect effect. Lastly Proactiveness did not have substantial indirect effect, but did have significant direct effect.

Table 5.7
Effects of Proactive Personality on different measures of Performance (India 3)

	Indirect effects		Direct effect		Total effect
Proactive Personality – Manager's Opinion	.43	+	(-.53)	=	.10
Proactive Personality – Appraisal	.16	+	(-.04)	=	.12
Proactive Personality – Self-Opinion	.05	+	(.66)	=	.71

5.5.4 Brazil

Table 5.8
Correlation matrix independent variables in sample Brazil

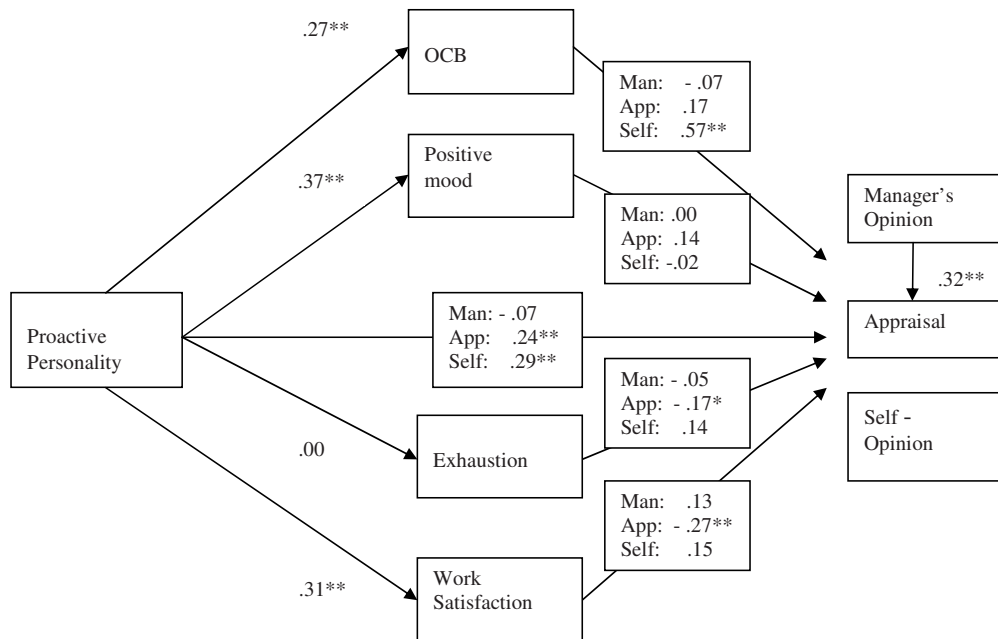
Variable	M	SD	1	2	3	4	5	6	7	8
1. Manager's Opinion	4.01	.56	-							
2. Appraisal	3.54	.59	.32**	-						
3. Self-Opinion	4.12	.60	.19*	.19*	-					
4. Proactive Personality	5.03	.89	.03	.28**	.38**	-				
5. OCB	5.96	.52	.03	.14	.39**	.34**	-			
6. Positive Mood	3.27	.52	.05	.13	.27**	.33**	.30**	-		
7. Exhaustion	2.46	.88	.00	-.22*	-.02	-.15*	-.21*	-.33**	-	
8. Work Satisfaction	3.53	.45	-.01	-.10	.20*	.14*	.23**	.44**	-.27**	-

Note. Manager's Opinion $N = 143$. Last Appraisal score $N = 112$. Other variables $N = 142$.
* $p < .05$, ** $p < .01$

In table 5.8 means, standard deviations and correlations among all variables are presented for the Brazil sample. The average score on the Manager's Opinion ($M = 4.01$; $SD = .56$) did not differ much from the Self-Opinion ($M = 4.12$; $SD = .60$). The correlation between the Manager's Opinion and the Self-Opinion was low ($r = .19$; $p < .05$), the same applied to the correlation between the Appraisal and the Manager's Opinion ($r = .32$, $p < .01$). Proactive Personality was correlated significantly to OCB, Positive Mood, Exhaustion and Work Satisfaction, in line with hypothesis 1.

Figure 5.5 shows the direct and indirect effects of Proactive Personality in predicting different measures of Performance. The effect of Proactive Personality on OCB was lower than expected ($\beta = .27$, $p < .01$), this was even more the case for Exhaustion ($\beta = .00$, $p = ns$). Proactiveness was not related to Manager's Opinion beyond the mediating variables ($\beta = -.07$; $p = ns$; research question 1). We found support for hypothesis 2, that Proactive Personality has incremental validity in predicting the Appraisal ($\beta = .24$, $p < .01$) over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion. Lastly, we found that Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction ($\beta = .29$, $p < .01$), therefore we accept hypothesis 3.

Figure 5.5
 Direct and indirect effects of Proactive Personality in predicting different measures of Performance (model 2; Brazil)



In table 5.9 the direct and indirect effects of Proactive Personality on different measures of Performance are summarized. In this sample Proactiveness does have substantial direct and indirect impact on Manager's Opinion. For the Appraisal there was a significant direct effect. For the Self-Opinion both a substantial direct and indirect effect was found.

Table 5.9
 Effects of Proactive Personality on different measures of Performance (Brazil)

	Indirect effects		Direct effect		Total effect
Proactive Personality – Manager's Opinion	.00	+	(-.07)	=	-.07
Proactive Personality – Appraisal	.04	+	(.24)	=	.28
Proactive Personality – Self-Opinion	.19	+	(.29)	=	.48

5.5.5 Model 3

Table 5.1 already showed that the fit decreased significantly in the third model ($\chi^2 = 2206.9$, $p < .01$; $\Delta \chi^2 = 227.8$), however there is still sufficient equality of the coefficients across samples (TLI = .93; CFI = .93). Figures 5.6 and 5.7 show the direct and indirect effects of Proactive Personality in predicting different measures of Performance. We have made a separate figure for Self-Opinion as this is a self-rating whereas the Manager's Opinion and the Appraisal are both ratings given by the manager.

Although in this model we only have beta-coefficients with respect to the relationships between Proactive Personality and the mediators, we found support for hypothesis 1 as Proactive Personality is significantly related to OCB ($\beta = .49$, $p < .01$), Positive Mood ($\beta = .39$, $p < .01$), Exhaustion ($\beta = -.19$, $p < .01$) and Work Satisfaction ($\beta = .29$, $p < .01$). We did not find the expected hierarchy in the mediators: the relationship with Work Satisfaction ($\beta = .29$, $p < .01$) was higher than expected. Proactiveness was not related to Manager's Opinion beyond the mediating variables ($\beta = -.05$; $p = ns$; research question 1). We found support for hypothesis 2, that Proactive Personality has incremental validity in predicting the Appraisal ($\beta = .14$, $p < .01$) over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion. Lastly, we found that Proactive Personality has incremental validity in predicting the Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction ($\beta = .24$, $p < .01$) in line with hypothesis 3.

Figure 5.6
Direct and indirect effects of Proactive Personality in predicting Manager's Opinion and Appraisal (model 3, 4 samples).

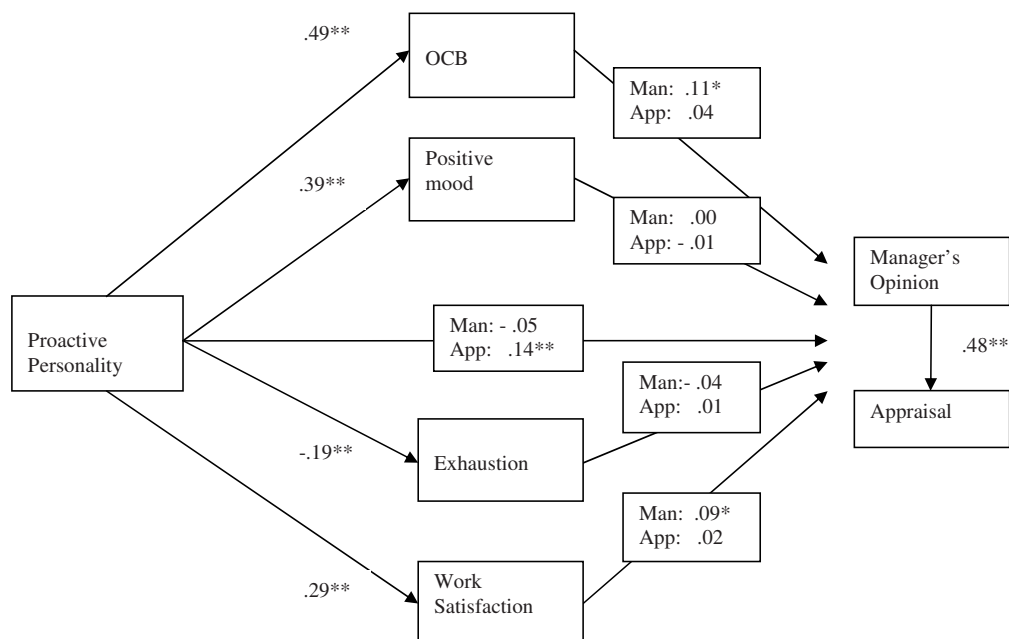
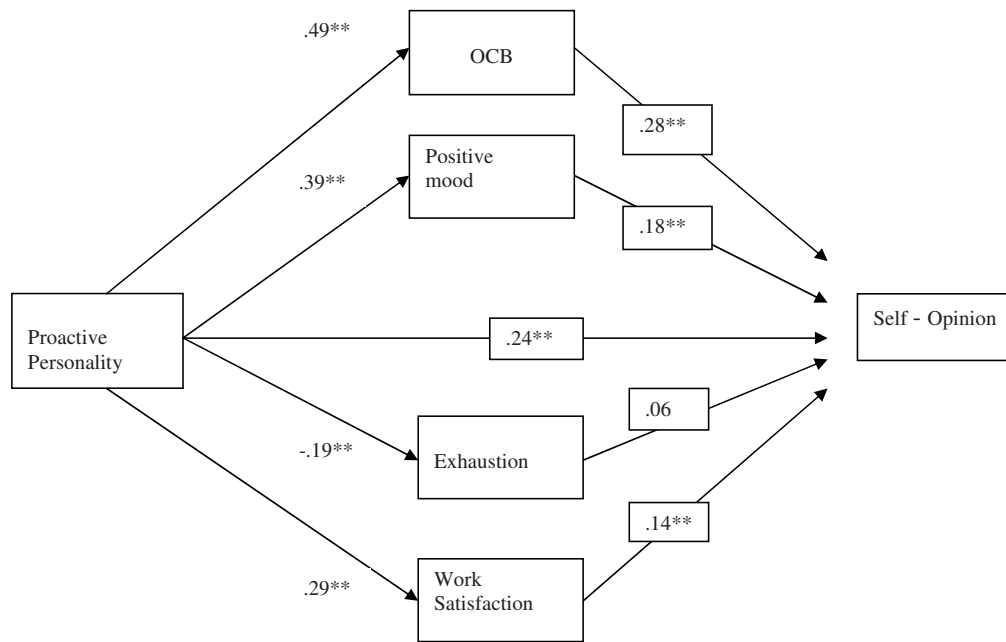


Figure 5.7
Direct and indirect effects of Proactive Personality in predicting Self-Opinion (model 3, 4 samples).



The direct and the indirect effects for model 3 per measure of Performance can be found in table 5.10.

Table 5.10
Effects of Proactive Personality on different measures of Performance

	Indirect effects		Direct effect		Total effect
Proactive Personality – Manager’s Opinion	.09	+	(-.05)	=	.04
Proactive Personality – Appraisal	.04	+	(.14)	=	.18
Proactive Personality – Self-Opinion	.22	+	(.24)	=	.46

5.6 Discussion

The direct and indirect effects of Proactive Personality on different measures of Performance were the core of this study. We found that across samples Proactiveness is positively related to OCB, Positive Mood, Exhaustion and Work Satisfaction. In turn, they have been found to be related to

different measures of Performance. Although we have to note that we found substantial differences across the samples, when all coefficients were set equal in model 3, we found evidence for the following relations: Proactiveness did not have a substantial direct or indirect effect on Manager's Opinion. There was also no substantial indirect effect on the Appraisal, however, we did find a significant direct effect. Regarding the Self-Opinion we did find a substantial indirect and a significant direct effect of Proactiveness.

Especially the discrepancy in the measures of the manager can be interpreted in different ways. It is possible that proactive employees are better at making the numbers, which is reflected in their Appraisal which is based on objectives that are set at the beginning of the year. In a meta-analysis Bommer, Johnson, Rich, Podsakoff, and Mackenzie (1995) found a corrected mean correlation of .39 between objective and subjective ratings of employee performance. Our results could be seen in the light of other research which states that subjective interpretations of Performance are not necessarily the same as objective results. The process of target setting at the beginning of the year could also be influenced by one's level of Proactiveness, although the leeway in this organization was limited. However, another interpretation is also possible which is that proactive employees are able to influence their manager to make them receive better reward related Appraisals, without a justification based on the opinion of the manager. This interpretation is more in line with previous research that states that proactive employees are better at influencing a social network (Thompson, 2005) and have more political skills and less voice, the latter meaning that they are less likely to engage in discussions on changing the work environment for the sake of the group, which has been found to be negatively correlated with career progression (Seibert et al., 2001). In other words, they might show behavior which they know is more likely to be rewarded.

Future studies could elaborate more on the motives of proactive employees. We especially would like to know if proactive employees are more likely to pursue their self-interest, even if this is against the goals of the organization. Social psychological experiments have shown that in a competitive environment people will start sharing less information or even false information to make the numbers (Stapel & Koomen, 2005). In an experimental setting the hypothesis could be tested if more proactive people engage more in counterproductive competition. Another question which future studies could answer is on the motivation of proactive people. Are they more than their less proactive colleagues driven by a financial motive, or by winning?

Furthermore, this study gives a better understanding of the value of Proactiveness for a large organization. We have found support for hypothesis 1 that Proactive Personality is positively related to OCB, Positive Mood and Work Satisfaction, and negatively to Exhaustion. The positive relation between Proactiveness and Work Satisfaction is consistent with some past studies (e.g. Harvey et al., 2006) and chapter 4. To the best of our knowledge no past studies have been done on the relationship between Proactive Personality on the one hand and OCB, Positive Mood and General Exhaustion on the other. In this study we did find the hypothesized relationships, which is consistent with the results in chapters 3 and 4.

Although not hypothesized, in model 3 in which all samples were put together, we found that the strongest relationship was with OCB, followed by Positive Mood, Work Satisfaction and Exhaustion. With the exception of the Brazilian sample, we found this sequence in all samples.

Potential limitations of this study should be noted. When evaluating these results the generalization to other sectors should be done with caution. Although the data stem from employees in different

cultural contexts and different job types, the organization where this research was done, links performance Appraisal to a financial incentive. The latter is not the case in all types of organizations. We also note that, in the Indian samples the employees were all quite new to the organization, all around 2 years with the organization with a standard deviation of 1.04 (India1) and 1.30 (India 3). This might influence the self-assessment of the employee and the opinion of the manager. Also, Proactiveness, the mediators and the Self-Opinion of Performance are all self-ratings, and relations between these variables might therefore be influenced by common method variance. Lastly, the data of this study stem from a research project with the aim to find common global denominators of Performance. Proactiveness was one of the variables, and did not have the central position that it received here. When trying to replicate the results, we suggest including more items of the original scale of Bateman and Crant (1993). On the other hand we have to note that past research has shown that a short version of the Proactive Personality Scale can be equally one-dimensional as the long version (Claes et al., 2005). Moreover in our study when we used LISREL 8.71 to conduct a multi-group Confirmatory Factor Analysis, we concluded that for all practical purposes there was sufficient equality of measurement, loadings and factor variance to proceed with our short version. In fact, the latter is a benefit of this study, as we found that a short version of the Proactive Personality Scale could to be used across samples in different cultures.

Chapter 6

Major Conclusions and Implications for Theory and Practice

In chapter 1 we discussed the nature of the Proactive Personality and its relation to the Big Five personality questionnaire. Proactiveness was defined as "a dispositional construct that identifies differences among people in the extent to which they take action to influence their environments" (Bateman & Crant, 1993, p.103). Crant (2000) described the Proactive Personality as: "Taking initiative in improving current circumstances or creating new ones; it involves challenging the status quo rather than passively adapting to present conditions." (p.436). From previous studies it is known that Proactiveness is linked to innovation (Parker, 1998). Becherer and Mauer (1999) describe proactive people as entrepreneurs who engage in 'Organizational Creation' and 'Innovation'. Past studies showed that Proactiveness is significantly related to dimensions of the Big Five, being Conscientiousness and Extraversion; a relationship with Openness and Neuroticism was found in two studies, a relation with Agreeableness in none (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000; Major et al., 2006). We (partly) replicated a study of Major et al. (2006) by regressing Proactive Personality on the facets of the Big Five. We concluded that the overlap between Proactive Personality and the significant facets of the Big Five is between adjusted $R = .50$ and adjusted $R = .57$. The strongest relation was with Extraversion, followed by Conscientiousness. Subsequently we studied the overlap between Proactive Personality and the Big Five at an item level in five samples from the Netherlands, India, USA, Romania and Brazil. Based on the correlations with the short version of the Big Five the common denominators seem quite positive for both the organization and the individual. Characteristics such as: Energetic, Imaginative, Intellectual, Complex, Creative, have no clear downside. This is different for the facets of the Big Five, for which we found correlations in study 1: lack of 'Vulnerability', combined with a high level of 'Self-Confidence', 'Dominance' and 'Assertiveness'. We suggested that proactive employees might not only have positive impact on an organization.

In chapter 2 we studied the incremental validity of Proactive Personality on different measures of Performance over and above Conscientiousness and Extraversion in the Netherlands and India. The results of our study indicated that indeed Proactiveness was related to Bonus, Appraisal and Self-Opinion even when we controlled for Extraversion and Conscientiousness. This finding is consistent with previous studies that found that Proactiveness had incremental validity over the same Big Five dimensions in predicting Performance (Chan, 2006; Crant, 1995; Thompson, 2005). However, for Manager's Opinion, Proactiveness had no incremental validity (in one case it was negatively related). Additionally, Proactive Personality had incremental validity in predicting Bonuses and Appraisals after controlling for the opinion of the manager with respect to the employee's Performance as such. Based on the latter we discussed the possible explanations for this discrepancy. Clearly being proactive is beneficial for the employee as it generates better pay-related performance, but when asked confidentially the manager does not acknowledge the benefits of being proactive to the same degree.

In chapter 3 the impact of Proactive Personality on different measures of Exhaustion and Positive Mood was studied, in the Netherlands and India. We found that Proactive Personality predicts different measures of Exhaustion and Positive Mood over and above the Big Five personality dimensions. Partly replicating Parker and Sprigg (1999) we hypothesized a three-way interaction between Proactive Personality, Work Pressure and Autonomy when predicting Exhaustion and Positive Mood. Only in the Indian sample did we find a significant effect of the three-way interaction between Proactiveness, Work Pressure and Autonomy on General Exhaustion (in the Netherlands this variable was not included). The results on the alternative model in which proactive employees create an environment which is less stressful, were more promising. We found a mediating path between Proactive Personality, Autonomy and Exhaustion (and Positive Mood). However we have to note that in four of the five equations, the effect of Proactiveness remained significant in the presence of Autonomy as a mediator. Hence, we conclude that in our study, Autonomy only partly mediated the relationship between Proactive Personality and Exhaustion and Positive Mood. This could mean that proactive employees have more positive affect towards the workplace, partly because they create their own environment. This model fits in the interactionist tradition in which workers are differently disposed in the extent to which they change working conditions (Bandura, 1986; Hirschman, 1970). The finding that proactive employees tend to report higher levels of Autonomy, which mediates the relation with Exhaustion and Positive Mood, was a clear benefit of our study. In this respect being proactive is clearly beneficial for both the employee and for the employer, as lower levels of Exhaustion and higher levels of Positive Mood have been found to have a positive effect on the workplace, and life in general.

In chapter 4 we found that Proactiveness is related to OCB and Work Satisfaction, also after controlling for the Big Five personality traits. Past studies on the relationship between Proactiveness and Work Satisfaction have been rather inconsistent, as only some did find a relation between the two. We tested whether or not the Proactiveness – Work Satisfaction relationship was moderated by the level of Autonomy in the job. We did not find a significant effect of Autonomy as a moderator. We had asked ourselves a research question on the possible relationship between Proactive Personality and Turnover Intention. We did not find a significant zero-order correlation between Proactive Personality and Turnover Intention in both samples. Lastly, we also asked ourselves whether the relation between Proactive Personality and Turnover Intention is mediated by Work Satisfaction. In both samples we rejected the possibility of mediation in an early stage as there was no significant direct effect between Proactiveness and Turnover Intention. However, we did find an indirect effect via Work Satisfaction. This implies that more proactive employees do not have a tendency to leave more often than less proactive employees. Conversely, the fact that they feel more joy in their work makes them less likely to leave.

Chapter 5 partly replicated and combined the major findings of chapter 2, 3 and 4, and introduced a model to study the direct and indirect impact of Proactiveness on different measures of Performance. We did not find a significant positive direct effect of Proactiveness on Manager's Opinion. However, we did find support for the incremental validity of Proactive Personality over and above OCB, Positive Mood, Exhaustion, Work Satisfaction and Manager's Opinion in predicting the Appraisal. Additionally, Proactive Personality predicted Self-Opinion over and above OCB, Positive Mood, Exhaustion and Work Satisfaction. Besides the direct effects of Proactiveness on different measures of Performance we found evidence that there is some indirect effect via OCB, Positive Mood, Exhaustion and Work Satisfaction. We have found that Proactive Personality is positively related to OCB, Positive Mood and Work Satisfaction, and negatively to Exhaustion.

6.1 Implications for Theory

Our study adds to the current understanding of Proactive Personality in multiple ways. We replicated the finding that Proactive Personality is more than a composite of the Big Five personality dimensions. We found almost the same amount of overlap between the Big Five and Proactive Personality as Major et al. (2006). No past studies had linked the Proactiveness scale to items of the Big Five. Claes et al. (2005) found unidimensionality across three countries (Belgium, Finland and Spain). We have added new countries to this list, additionally the items used differed slightly from their items. Our study gave additional support for the intercultural use of a short version of the Proactive Personality Scale. We also found that the factorstructure of the 40-item Big Five adjectives of Goldman (Saucier, 1994) was poor, although a multi-group CFA revealed that on an item level we were able to use the instrument interculturally as the poor fit was common across samples.

We found a strong relationship between Proactiveness and OCB, which had not been studied before. Crant (2000) mentioned OCB as an opportunity for future research and predicted that it would be likely that proactive behavior would be relevant in this context. Our study indeed found a strong relationship in all samples. In addition, we have studied the 'altruism' dimension of OCB, which gives a more balanced image of proactive employees: they are not only guided by self-interest but are willing to help colleagues if necessary. Another criterion which had not yet been studied with Proactiveness was Positive Mood. We found strong relationships in all samples between both variables. Past research (Lyubomirsky et al., 2005) has shown the benefits of a Positive Mood for various aspects of work and life in general. Our study gives reason to believe that being proactive might have positive consequences for many aspects in life beyond the workplace. We found modest negative correlations between Proactiveness and Exhaustion which was in line with previous research (Cunningham & De La Rosa, 2008; Harvey et al., 2006; Parker and Sprigg, 1999). Also in line with previous research were the correlations we found between Proactiveness and Autonomy, which past research has found to be substantial (e.g. Parker, 1998; Parker et al., 2006; Parker & Sprigg, 1999). Regarding the relation between Proactive Personality and Turnover Intention, past research found a non-significant zero order correlation (Allen et al., 2005). We also did not find a significant relationship in both samples. We did add a new possibility, which is an indirect relation. We did find evidence that more proactive employees feel more joy in their work which makes them less likely to leave. From the employer's point of view, this makes Proactiveness a desirable disposition. So far studies on the relationship between Proactiveness and Work Satisfaction have been rather inconsistent (Chan, 2006; Cunningham & De La Rosa, 2008; Harvey et al., 2006; Seibert et al., 1999; Seibert et al., 2001). In our study we found incremental validity of Proactive Personality in predicting Work Satisfaction over and above the Big Five, and we excluded the possibility that the relationship between the latter two is moderated by Autonomy.

The most important adding value of this study is on the relationship between Proactive Personality and the different measures of Performance. For the first time we have linked Proactiveness to a self rating of Performance. Clearly in all samples we found a strong relationship between the two. Also new was the fact that we have linked Proactiveness to reward, for which we found a relatively strong relationship. The relationship between the opinion of the manager was less eminent, not direct, nor indirect via OCB, Positive Mood, Work Satisfaction and Exhaustion. We gave a new perspective to the discussion on the relationship between Proactive personality and Performance, as it turned out that the impact of Proactiveness differed substantially for different measures of Performance.

Lastly, although not the core of this study, we also gave some insight in the validity to OCB, Positive Mood, Work Satisfaction and Exhaustion in predicting different measures of Performance.

6.2 The Advantages and Disadvantages of an Entrepreneurial Disposition in the Financial Industry

The subtitle of this study is: The advantages and disadvantages of an entrepreneurial disposition in the financial industry. There are two perspectives to summarize our findings: from the point of view of the employee and from the point of view of the financial institute.

From the employee's perspective our results are one-dimensional: being disposed with a Proactive Personality is advantageous. Experiencing more Positive Mood, OCB and Work Satisfaction and less Exhaustion is a clear advantage for any human being. Moreover, proactive employees value their own Performance higher and have a bigger chance of being better appraised and rewarded, even if this is not justified by what the manager truly thinks.

Past research shows that if the employee is self-employed being proactive is a clear advantage. For example Crant (1996) showed that undergraduate and MBA students demonstrated more entrepreneurial intentions over and above gender, education and entrepreneurial parents. In a sample of 215 small company presidents, Becherer and Mauer (1999) found that the president's level of Proactiveness was positively and significantly related to company sales and with an aggressive entrepreneurial posture. They concluded that a Proactive Personality disposition is related to entrepreneurship and that proactive self-employed presidents create an organization that scans for opportunities and a bold and aggressive approach towards the market. Even when taking risks of selling aggressively, the goals of the company and of the president will be aligned, as a failure of the business will impact the owner.

When the employer is a big company, like in the case of the financial institution where this research was done, the advantages and disadvantages are more complex. A significant difference between entrepreneurs and employees is what Campbell (2000) calls the 'initiative paradox' for a company. In today's workplace job descriptions are unlikely to capture all work situations, hence the organizations need proactive employees who make their own judgment when something unplanned happens. At the same time, the organization desires predictable outcomes: they also expect the employees' diagnostics and actions to mirror their own. This leads to the 'initiative paradox': employees are expected to use independent judgment and initiative and simultaneously they are expected to think and act like their bosses. "... truly substantive problems associated with the initiative paradox really are not caused by the enterprising qualities, but by a misalignment of the organization's and the individual's goals and interests. Thus the resolution of the paradox is to keep the various parties' interests and goals aligned. Given the complexities of organizational environments, its resolution is often easier to suggest than to accomplish." (p.59).

This brings us to one of the underlying problems when answering the question whether or not having proactive employees is advantageous for an organization: the discussion on performance management. In a meta-analysis of studies containing both objective and subjective ratings of employee performance Bommer et al. (1995) found a corrected mean correlation of .39. Indicating that objective and subjective performance measures should not be used interchangeably and they suggest that there is a lack of convergent validity. This gives a different perspective to some past

studies regarding Proactiveness in organizations. Crant (1995) showed that more proactive real estate agents scored higher on a Job Performance Index which was computed for each agent from archival records of the number of houses sold, number of listings obtained, and commission income over a 9-month period. If indeed more proactive employees sell more products, it is not a surprise that they receive higher Appraisals and hence value their Performance higher. In chapter 2 and 5 we also found a positive impact of Proactiveness on the Appraisal and the Bonus, however, when the manager was asked to give an opinion for research purposes the value of being proactive decreased to a non significant level.

Bateman and Crant (1999), noted in a discussion paper that misguided Proactiveness can be dysfunctional. Campbell (2000) pointed out the possibility of proactive persons receiving negative reactions from the organization. "Are employees' enterprising qualities truly universally desirable, or do particular job and organizational circumstances make them relatively more or less valuable?" (p.57). Bateman and Crant (1999), Campbell (2000), and Frese and Fay (2001) theorized about the conditions under which Proactiveness would be more positively related to outcomes. In their discussions, the alignment of proactive actions and organizational goals emerges as a recurrent theme. Where the alignment for a self-employed entrepreneur is clear, the alignment in a complex organization is less eminent.

As for the employee there are advantages for the employer to have more proactive staff. For example, higher levels of OCB, Positive Mood, and Work Satisfaction and less Exhaustion are from an ethical point of view desirable. However, when it comes to the impact on Performance, we have to be more cautious. The impact of Proactiveness on the Manager's Opinion was not found whereas Proactive Personality predicted the Appraisal over and above OCB, Positive Mood, Work Satisfaction, Exhaustion and the Manager's Opinion.

In the discussion of chapter 5 we already indicated that there are more interpretations possible of the latter finding. It could be that proactive employees are better at influencing their manager in order to receive a better Appraisal. On that same note Seibert et al. (1999) discuss this mechanism when they state about proactive employees: "They may alter their own work methods, procedures, and task assignments and even exert influence over decisions affecting their pay, promotions, and the distribution of other organizational rewards." (p.417). Alternatively it could be that proactive employees are better at making the numbers. In itself there is nothing wrong with employees who make their numbers. However, this gives an extra dimension for managers when managing their proactive staff. When not guided properly, proactive employees might be better at making the numbers, while disregarding other important factors for a sustainable business. In his classic article where the title tells the whole story - 'On the folly of rewarding A, while hoping for B' - Kerr (1995) has insightfully analyzed numerous examples of situations where the firm's reward system has created or contributed to the misalignment of individual and organizational objectives (see also Thierry & de Jong, 1979). He states that managers have a fascination with objective criterions. "Many managers seek to establish simple, quantifiable standards against which to measure and reward performance. Such efforts may be successful in highly predictable areas within an organization, but are likely to cause goal displacement when applied anywhere else" (p.12). It is possible that proactive employees might be better at 'making the numbers', however in a complex environment like a bank, there might be more to Performance than just 'making the numbers'. According to a meta-analysis of Jenkins, Mitra, Gupta, and Shaw (1998) financial incentives are not related to Performance quality but had a corrected correlation of .34 ($p < .01$) with Performance quantity. Moreover, the quantitative objectives of an individual employee generate an element of

competition in the workplace: in order to gain more, a salesperson needs to acquire as many clients as possible, which often will lead to internal competition. In experimental settings, social psychology has shown that the sheer fact that one is brought in a competitive environment can cause people to share less information or even false information in order to 'win' (Stapel&Koomen, 2005). In other words, making the numbers, which leads to reward, might in the long run be disadvantageous. The difference in the opinion of a manager and his Appraisal of Performance could be influenced by this discrepancy.

6.3 Putting the Possible Disadvantages into Context

The discussion on 'who gets rewarded for what?' in the financial industry should be put into the context of the current financial crisis.

Cools (2005) shows that making the numbers can have a negative impact on organizations. He makes a comparison between organizations with a recent fraud scandal and similar companies without such a scandal. He concludes that the explanation for fraud should not be found in the number of rules and regulations, power of the audit department or number of financial specialists in the top of the organization. He states that, a) non realistic high targets, combined with b) huge financial gain if the targets are met, c) extravagant behavior of the managing directors, predict fraud much better. A relevant risk in variable pay systems like in the organization where this research was done, is 'bonus-blindness'. Bonus-blindness occurs when the employee only focuses on the objectives in order to receive a higher reward. What happens in the case of bonus-blindness is that employees start focusing on 'making the numbers', which we saw earlier is a quality that proactive people possess (Becherer & Mauer, 1999), regardless of other relevant indicators. Bonus-blindness could also partly be an explanation of the credit crisis: account managers of banks who were given incentives to sell products to clients, while the risks were enormous for the often low-educated customers. Another even more extreme risk that Cools (2005) describes, is 'gaming', which implies changing the results of an organization in such a way that the result looks better. In fact the line between 'gaming' and fraud is a thin one.

Performance management is in daily practice being made even more difficult by the fact that in a business environment we are often 'fooled by randomness': a 'good decision' might just come from the sheer fact that we are lucky (Taleb, 2004). Big commercial successes like the Internet, the computer, SMS, were found coincidentally. Taleb (2007) calls these 'black swans': events that, a) are unlikely to happen, b) have a big impact, and c) were in hindsight easy to explain. It is the latter attribute which is crucial in this context as it could be that those who are able to attribute success to themselves (even if this is unjustified) have an advantage in getting rewarded.

Taleb (2004) makes a distinction between "those skills that are visible (like the ability of a dentist) and those that present more difficulty in nailing down (...). The degree of randomness in such an activity and our ability to isolate the contribution of the individual determine the visibility of the skills content" (p.254). Also, in the organization where this research has been done many variables that influence the Performance are not controllable by the employee, and are in fact subject to randomness, e.g. the credit crisis in 2008 was not foreseen when the objectives were set at the beginning of the year. This makes the judgment at the end of the year more difficult, and will give the employee a possibility to negotiate. Objective criteria are a part of the annual target setting. In the personal objectives that are set at the beginning of the year, the financial targets of the company, the division and (if applicable) the employee, are given almost half the weighting. In practice,

employees (and possibly especially the proactive ones) will give a positive explanation to the figures (e.g. “unlike the company I did a good job by keeping the losses to a minimum”). Many numbers such as the profit of the organization are however not influenced by the employee, but influenced by randomness. This makes the evaluation much more difficult at the end of the year. Taleb (2007) describes a class of employees in organizations called “empty suits” who are good at convincing others that they are good, without any tangible better outcome of their work. “What they have is skill in getting promoted within a company rather than pure skills in making optimal decisions – we call that ‘corporate political skill’” (p.256). The perspective that Taleb (2004, 2007) adds, is that some of the dimensions that influence Performance derive from randomness, and that some employees are better than others in convincing the people around them that their Performance comes from their well developed skills. The ‘corporate political skill’ that he describes resembles the Proactive Personality. Indeed, Proactive Personality has been found to have a positive influence on career outcomes (Seibert et al., 1999; Seibert et al., 2001). If we take into consideration that proactive employees are better at influencing their social network (Thompson, 2005), we leave the possibility open that receiving better evaluations and climbing the hierarchical ladder, might be easier for proactive people because they are better able to attribute random success to themselves.

This study was done in a financial institute and while gathering the data, and making the analysis, the (financial) world changed dramatically. We found that there are clear upsides of being proactive in a financial institution as higher levels of Positive Mood, OCB and Work Satisfaction and less Exhaustion are clear upsides for the organization and the employee. However, the finding that Proactiveness does have a direct effect on the reward related Appraisal, but not on the Manager’s Opinion in particular should be researched in the light of the context described. Future research should give more insight in the way Proactive employees are able to receive higher rewards. Is it the networking, political skills and impression management? Or are they able to benefit from imperfect performance management? In any case, the current state of the financial industry makes entrepreneurial behavior an important subject to study.

Samenvatting

Deze studie begon als een onderzoeksproject in 2002 dat het doel had het selectieproces bij een financiële instelling te valideren. De volgende metingen van Prestatie wilden we voorspellen: a) de beoordeling van de werknemer door zijn leidinggevende (deze bepaalt de hoogte van de bonus), b) de mening van de leidinggevende (deze werd verkregen voor dit onderzoek alleen en niet gedeeld met de medewerker) en c) de mening van de medewerker over zijn eigen prestatie. Om deze variabelen te voorspellen werd een lijst samengesteld van mogelijke predictoren op basis van vakliteratuur, de Big Five persoonlijkheidsschalen, IQ, etc. Eén specifiek concept dat werd opgenomen in het onderzoek zou later centraal komen te staan binnen dit proefschrift: de Proactieve Persoonlijkheid. Proactieve werknemers zijn zelfstarters, ze hebben ideeën die ze omzetten in actie (Crant, 2000). Ze worden vaak ondernemer (Crant, 1996). Dat laatste was van belang voor de financiële instelling omdat ondernemerschap één van de belangrijkste elementen was van de bedrijfsstrategie: om de organisatie te laten groeien waren ondernemers nodig die mogelijkheden zouden verkennen om nieuwe inkomsten te genereren. Maar er was ook discussie of het wel goed is om medewerkers zelf te laten ondernemen binnen een grote organisatie. Zou het kunnen dat een ondernemende houding leidt tot werknemers die hun omgeving beïnvloeden ten behoeve van een hogere beloning voor zichzelf? En staat het op korte termijn veel verkopen niet op gespannen voet met het opbouwen van een lange termijn relatie met de klant? Was een dergelijk belangenconflict niet één van de oorzaken van de kredietcrisis?

Hoewel de gegevens voor deze studie dus oorspronkelijk werden verkregen om een beter inzicht te krijgen in de predictoren van werkprestaties verschoof de aandacht langzamerhand naar de oorzaken van de kredietcrisis: waar is het allemaal mis gegaan in de financiële sector? Proactieve werknemers bleken hogere bonussen te ontvangen, maar de bonuscultuur werd gezien als één van de oorzaken van de kredietcrisis. Het hele prestatie management systeem bij financiële instellingen werd onderwerp van felle publieke debatten. Is bijvoorbeeld een bankier die veel producten verkoopt een betere dan één die minder producten verkoopt door minder agressief te zijn in zijn benadering? Het grote publiek gaf uiting aan onvrede over het beleid van (voornamelijk Amerikaanse) banken die enorme winsten maakten door het nemen van te veel risico's. Het was precies de ondernemende bankier die voortdurend op zoek was naar mogelijkheden om geld te verdienen, die verantwoordelijk bleek te zijn voor enorme verliezen. Het is tegen deze achtergrond dat deze studie zijn definitieve vorm kreeg. In totaal hebben 1487 medewerkers deelgenomen bij financiële instellingen in Nederland, India, Brazilië, Roemenie en de VS, en in 1174 gevallen hebben de respectievelijke leidinggevendenden meegewerkt. Naast een geografische spreiding vormen de verschillende Business Units die deelnamen (Retail, Private Banking en Wholesale) een tweede dimensie in de onderzoekspopulatie zodat we een goede dwarsdoorsnede hadden van de hele organisatie.

In hoofdstuk 1 wordt het centrale begrip van deze studie besproken: Proactieve Persoonlijkheid. Proactieve Persoonlijkheid (als trek ook wel Proactiviteit genoemd) wordt gedefinieerd als een dispositioneel construct dat verschillen tussen werknemers beschrijft in de mate waarin zij hun omgeving beïnvloeden (Bateman & Crant, 1993). Crant (2000) beschrijft Proactieve Persoonlijkheid als: initiatief nemen bij het verbeteren van de huidige omstandigheden of het creëren van nieuwe; het bestrijden van de status-quo in plaats van zich passief aan te passen aan de huidige situatie. Uit eerdere studies is bekend dat proactiviteit is gekoppeld aan innovatie (Parker, 1998). Becherer en Mauer (1999) beschrijven proactieve medewerkers als ondernemers die zich bezighouden met

organisatieopbouw en innovatie. Op basis van ander onderzoek is bekend dat proactiviteit significant gerelateerd is aan meerdere factoren van de Big Five, te weten Nauwgezetheid en Extraversie. Relaties met Openheid en Neuroticisme werden gevonden in twee studies en een relatie met Vriendelijkheid werd niet gevonden (Bateman & Crant, 1993; Crant, 1995; Crant & Bateman, 2000; Major et al., 2006). In het eerste hoofdstuk hebben we (gedeeltelijk) een studie van Major et al. (2006) gerepliceerd door via regressie-analyse Proactieve Persoonlijkheid in verband te brengen met de facetten van de Big Five. In een steekproef in Nederland en in India vonden we dat Proactieve Persoonlijkheid en de significante facetten van de Big Five een correlatie hebben van respectievelijk $R = .50$ en $R = .57$. We vonden de sterkste relatie met Extraversie, gevolgd door Nauwgezetheid. Vervolgens hebben we gekeken naar de overlap tussen Proactieve Persoonlijkheid en de Big Five op item niveau in vijf steekproeven in Nederland, India, Verenigde Staten, Roemenië en Brazilië. Op basis van de correlaties met de korte versie van de Big Five lijkt de gemene deler positief te zijn voor zowel de organisatie als de medewerker. Eigenschappen als: 'energiek', 'creatief', 'intellectueel', 'complex', hebben geen duidelijke keerzijde. Dit is anders voor de overlap met de facetten van de Big Five die we vonden in studie 1: gebrek aan 'verantwoordelijkheidsgevoel', 'kwetsbaarheid', gecombineerd met een hoog niveau van 'zelfvertrouwen', 'dominantie' en 'assertiviteit'. Op basis van de bevindingen van hoofdstuk 1, stelden we ons de vraag of proactieve medewerkers naast een positieve ook negatieve invloed kunnen hebben op een organisatie.

In hoofdstuk 2 hebben we in Nederland en India, in ieder land één steekproef, onderzocht of Proactieve Persoonlijkheid extra variantie voorspelt van verschillende prestatieingen boven de Big Five dimensies Nauwgezetheid en Extraversie. De resultaten van onze studie laten zien dat proactiviteit inderdaad gerelateerd is aan verschillende metingen van Werk Prestatie: Bonus, Beoordeling en de Zelf-Opinie, zelfs als gecontroleerd wordt voor Extraversie en Nauwgezetheid. Deze bevinding is in overeenstemming met eerdere studies die hadden vastgesteld dat proactiviteit incrementele validiteit heeft boven de Big Five dimensies in het voorspellen van prestaties (Chan, 2006; Crant, 1995; Thompson, 2005). Echter, voor Manager's Opinie had proactiviteit geen incrementele validiteit (in één geval was er wel incrementele validiteit, maar negatief). Bovendien had Proactieve Persoonlijkheid incrementele validiteit bij het voorspellen van Bonussen en Beoordeling na correctie voor de Manager's Opinie. Mogelijke verklaringen voor deze discrepantie worden besproken. Het is duidelijk dat proactief zijn gunstig is voor de werknemer omdat het leidt tot een beter inkomen. Echter, managers erkennen de waarde van proactiviteit niet of nauwelijks als hen vertrouwelijk wordt gevraagd een evaluatie van de medewerker te geven.

In hoofdstuk 3 wordt de impact van Proactieve Persoonlijkheid op de verschillende vormen van Uitputting en Positieve Stemming bestudeerd in Nederland en India. We vonden dat Proactieve Persoonlijkheid verschillende vormen van Uitputting en Positieve Stemming voorspelt boven de Big Five persoonlijkheidsdimensies. We hebben een studie van Parker en Sprigg (1999) deels gerepliceerd door het berekenen van een drieweg interactie tussen Proactieve Persoonlijkheid, werkdruk en autonomie bij het voorspellen van Uitputting en Positieve Stemming. Alleen in de Indiase steekproef vonden we een significant effect van de drieweg interactie tussen Proactiviteit, werkdruk en Autonomie op Algemene Uitputting (in Nederland was deze laatstgenoemde variabele niet beschikbaar). De resultaten van een alternatief model waarin proactieve medewerkers een klimaat creëren dat minder stress oplevert, bleek waarschijnlijker. We vonden een mediërend pad tussen Proactieve Persoonlijkheid, Autonomie en Uitputting (en Positieve Stemming). Maar we moeten aantekenen dat in vier van de vijf berekeningen, het directe effect van proactiviteit significant was in de aanwezigheid van Autonomie als mediator. Daarom concluderen we in onze studie dat Autonomie slechts gedeeltelijk een mediator is van de relatie tussen Proactieve

Persoonlijkheid en Uitputting en Positieve Stemming. Dit kan betekenen dat proactieve werknemers een meer Positieve Stemming hebben op hun werkplek, deels omdat ze hun eigen omgeving creëren. Dit model past in de interactionistische traditie waarin werknemers verschillen in het vermogen om hun werkomgeving te beïnvloeden (Bandura, 1986; Hirschman, 1970). De bevinding dat proactieve werknemers een hogere mate van Autonomie rapporteren die de relatie met Uitputting en Positieve Stemming medieert, is een duidelijke bijdrage van onze studie. In dit opzicht levert proactiviteit duidelijk een positieve bijdrage voor zowel de werknemer als voor de werkgever, aangezien lagere niveaus van Uitputting en hogere niveaus van Positieve Stemming een positief effect hebben op de werkplek, en het leven in het algemeen.

In hoofdstuk 4 hebben we geconstateerd dat proactiviteit positief gerelateerd is met Organization Citizenship Behavior en Werk Tevredenheid, ook na correctie voor de Big Five persoonlijkheidskenmerken. Ook in dit hoofdstuk maakten we gebruik van twee steekproeven: één in Nederland en één in India. Eerdere studies over de relatie tussen proactiviteit en Werk Tevredenheid hebben een inconsistent beeld laten zien. Sommigen vonden een relatie tussen de twee, anderen niet. We testten de hypothese dat de proactiviteit - Werk Tevredenheid relatie wordt gemodereerd door de mate van Autonomie in het werk. We vonden geen significant effect van Autonomie als moderator. Ook hebben we ons afgevraagd of er een relatie bestaat tussen Proactieve Persoonlijkheid en Vertrek Intentie. We hebben geen significante correlatie gevonden tussen Proactieve Persoonlijkheid en Vertrek Intentie in beide steekproeven. Tot slot hebben we ons ook afgevraagd of de relatie tussen Proactieve Persoonlijkheid en Vertrek Intentie wordt gemedieerd door Werk Tevredenheid. In beide steekproeven hebben we in een vroeg stadium de hypothese verworpen dat er sprake is van mediatie, omdat er geen significant direct effect was van proactiviteit op Vertrek Intentie. Echter, we vonden wel een indirect effect via Werk Tevredenheid. Al met al impliceren de uitkomsten dat meer proactieve werknemers niet sterker de neiging hebben om te vertrekken dan hun minder proactieve collega's.

In hoofdstuk 5 hebben we de belangrijkste bevindingen van hoofdstuk 2, 3 en 4 gecombineerd en gerepliceerd. Centraal stond de vraag wat het indirecte en directe effect was van Proactieve Persoonlijkheid op verschillende prestatie indicatoren (de Manager's Opinie, Beoordelingen en de Zelf-Opinie). Proactiviteit had een significant direct en een substantieel indirect effect op de zelfmeting van prestatie. Onze belangrijkste bevinding was dat proactiviteit niet of nauwelijks via OCB, Positieve Stemming, Uitputting en Werk Tevredenheid, de mening van de manager beïnvloedt. Ook is er nauwelijks sprake van een direct effect. Dit is echter anders voor de Beoordeling. Deze laatste bevinding is voor meerdere interpretaties vatbaar. Het is mogelijk dat proactieve medewerkers beter zijn in het behalen van kwantitatieve doelstellingen, wat zijn weerslag vindt in de Beoordeling die hoofdzakelijk is geënt op vooraf gestelde kwantitatieve doelen. In een meta-analyse van Bommer et al. (1995) komt naar voren dat er een wezenlijk verschil is tussen objectieve metingen van prestaties op basis van kwantitatieve data en subjectieve meningen van managers. Onze resultaten zouden in dit licht kunnen worden geïnterpreteerd. Echter, een andere verklaring is ook mogelijk, namelijk dat proactieve medewerkers beter zijn in het beïnvloeden van hun leidinggevend, zonder dat dit gebaseerd is op de werkelijke mening van de manager.

Naast het directe en indirecte effect vonden we steun voor de hypothese dat Proactieve Persoonlijkheid positief gerelateerd is met OCB, Positieve Stemming en tevredenheid met het werk, en negatief met Uitputting.

Implicaties voor de theorie

Onze studie draagt op meerdere manieren bij aan de huidige kennis betreffende Proactieve Persoonlijkheid. Net als Major et al. (2006) vonden we dat Proactieve Persoonlijkheid meer is dan een samenstelling van de Big Five persoonlijkheidsdimensies, en ook vonden we ongeveer dezelfde mate van overlap. Wat betreft het construct vonden we net als Claes et al. (2005) dat een verkorte versie van de Proactieve Persoonlijkheidsschaal te gebruiken is in verschillende landen c.q. culturen. Ook hebben we laten zien dat er een matige fit is voor de factorstructuur van de verkorte versie van de Big Five (Saucier, 1994); desondanks konden we deze schaal wel in de verschillende landen gebruiken omdat deze beperking gold in alle steekproeven.

Tot nu toe is er geen onderzoek gedaan naar de relatie tussen Proactiviteit en OCB. We vonden een sterke relatie tussen proactiviteit en OCB. Bovendien hebben we de dimensie 'altruïsme' van OCB onderzocht, wat een evenwichtiger beeld van proactieven op de werkvloer gaf: daar waar we in de eerste hoofdstukken vooral de schaduwzijde van proactief gedrag benadrukten, is altruïsme een eigenschap die de organisatie ten goede komt.

Een ander criterium dat nog niet was onderzocht in relatie tot proactiviteit is Positieve Stemming. We hebben in alle steekproeven sterke relaties gevonden tussen beide variabelen. Uit eerder onderzoek (Lyubomirsky et al., 2005) waren de voordelen van een Positieve Stemming voor verschillende aspecten van het werk en het leven in het algemeen, al bekend. Onze studie geeft reden om aan te nemen dat proactiviteit positieve gevolgen kan hebben voor vele aspecten, ook buiten de werkomgeving. We vonden bescheiden correlaties tussen proactiviteit en Uitputting, in overeenstemming met eerder onderzoek (Cunningham & De La Rosa, 2008; Harvey et al., 2006; Parker en Sprigg, 1999). Eveneens in overeenstemming met eerder onderzoek vonden we correlaties tussen Proactiviteit en Autonomie (bv. Parker, 1998; Parker et al., 2006; Parker & Sprigg, 1999). Wat de relatie tussen Proactieve Persoonlijkheid en Vertrek Intentie betreft, eerder onderzoek vond een niet significante correlatie (Allen et al., 2005). Ook vonden we geen significante relatie in beide steekproeven. Wel hebben we de mogelijkheid geopperd van een indirecte relatie. We vonden aanwijzingen dat meer proactieve medewerkers meer plezier hebben in hun werk en dat ze daardoor minder snel geneigd zijn het bedrijf te verlaten. Dit maakt proactiviteit vanuit het oogpunt van de werkgever een wenselijke dispositie.

Eerdere studies lieten een inconsistent beeld zien van de relatie tussen Werk Tevredenheid en Proactiviteit (Chan, 2006; Cunningham & De La Rosa, 2008; Harvey et al., 2006; Seibert et al., 1999; Seibert et al., 2001). In onze studie vonden we dat Proactieve Persoonlijkheid, Werk Tevredenheid voorspelt boven de Big Five persoonlijkheidsschalen, en we vonden dat de relatie tussen de twee niet gemodereerd wordt door Autonomie.

De belangrijkste toegevoegde waarde van deze studie betreft de relatie tussen Proactieve Persoonlijkheid en de verschillende indicatoren van de Werk Prestatie. Voor de eerste keer hebben we een koppeling gemaakt tussen proactiviteit en verschillende indicatoren van Werk Prestatie; eerdere studies concentreerden zich op één prestatiemaat. We vonden in alle steekproeven duidelijke verschillen in de wijze waarop proactiviteit de verschillende maten van prestatie beïnvloedt. Voor de zelf-meting van prestatie vonden we zowel een direct als een indirect effect via OCB, Positieve Stemming, Werk Tevredenheid en Uitputting. Proactiviteit had geen impact op de mening van de manager, niet direct, noch indirect via OCB, Positieve Stemming, Werk Tevredenheid en Uitputting. Voor de beoordeling, waar ook een beloning aan gekoppeld was, was er een direct effect, maar nauwelijks een indirect effect via OCB, Positieve Stemming, Werk Tevredenheid en Uitputting. Met de discrepantie tussen het effect van proactiviteit op de mening van de manager en de beloning

gerelateerde beoordeling, hebben we een nieuwe discussie geopend over de relatie tussen proactieve persoonlijkheid en Werk Prestatie.

Ten slotte: Hoewel het niet de kern was van deze studie hebben we nader inzicht gegeven in de validiteit van OCB, Positieve Stemming, Werk Tevredenheid en Uitputting in relatie tot verschillende metingen van Werk Prestatie.

Implicaties voor de praktijk

Onze belangrijkste vraag met betrekking tot de praktische implicaties van proactiviteit werd verwoord in de ondertitel van deze studie: de voor- en nadelen van een ondernemende dispositie binnen de financiële dienstverlening. We kunnen de bevindingen van deze studie vanuit twee perspectieven bespreken: vanuit de medewerker en vanuit de organisatie.

Vanuit de medewerkers kunnen we eenduidig stellen dat een proactieve persoonlijkheid voordelig is. Een hogere mate van OCB, Positieve Stemming en Werk Tevredenheid en minder Uitputting is voor iedere medewerker wenselijk. Bovendien blijkt proactiviteit een gunstig effect te hebben op de beloning, zelfs als de mening van de manager daar geen aanleiding toe geeft.

Deels overlappen de voordelen voor de medewerker de voordelen voor de organisatie. Een hogere mate van OCB, Positieve Stemming en Werk Tevredenheid, en minder Uitputting is ook voor iedere werkgever wenselijk. Wat betreft de invloed die proactiviteit heeft op verschillende prestatie-indicatoren, is het beeld complexer. Proactiviteit heeft een gunstige impact op de beloning gerelateerde Beoordeling, maar nauwelijks op de mening van de manager, die diezelfde beloning nota bene geeft. Er zijn hiervoor verschillende verklaringen mogelijk. Het zou kunnen dat proactieve medewerkers beter zijn in het behalen van hun targets die ze aan het begin van het jaar hebben opgekregen. Eerder onderzoek heeft aangetoond dat het halen van objectieve doelen slechts een correlatie van .39 heeft met de mening van de manager (zie voor een meta-analyse Bommer et al., 1995). Onze resultaten zouden bezien kunnen worden vanuit dit perspectief: het halen van doelen in een organisatie is niet hetzelfde als het werk goed doen. Zaken als kwaliteit van het werk, verder gaan dan de werkomschrijving als dat gewenst is, etc. zijn belangrijke aspecten van iedere baan die niet (volledig) worden gevat in iemand's objectieve targets. Een andere verklaring voor het verschil tussen de impact op de mening van de manager en de Beoordeling is dat proactieven betere netwerkers zijn (Thompson, 2005). In eerder onderzoek (Seibert et al., 2001) bleken ze bovendien een beter politiek gevoel te hebben en minder geneigd te zijn om gevoelige zaken aan te snijden als dat de baas niet welgevallig is. Kortom, ze laten wellicht gedrag zien waarvan ze weten dat het gewaardeerd wordt.

Op zich is er niets mis met medewerkers die zich zodanig gedragen dat ze beter beloond worden, echter de huidige financiële crisis heeft een ander licht geworpen op deze zaak. Het idee dat het behalen van doelstellingen in alle omstandigheden goed is, werd gelogenstraft door financiële instellingen die er alles aan deden om zo veel mogelijk producten te verkopen. Ondernemerschap bleek niet in alle gevallen goed, omdat de voorwaarde in een groot bedrijf is dat de doelen van het individu en de doelen van de organisatie gelijk moeten lopen. Maar als een verkoper een manier vindt om meer van een bepaald product te verkopen, terwijl dit jaren later tot problemen leidt, heeft alleen de organisatie daar last van.

Eerder onderzoek heeft al aangetoond dat als proactieve medewerkers niet goed begeleid worden Proactiviteit disfunctioneel kan zijn (zie bijvoorbeeld Bateman en Crant, 1999 en Campbell, 2000).

Seibert et al. (1999) stellen dat proactieven hun gedrag afstemmen op hun eigen doelen en daardoor sneller carrière maken. De vraag is of dergelijk gedrag wenselijk is voor een organisatie. In een klassiek artikel laat Kerr (1995) aan de hand van voorbeelden zien dat de meeste beloningssystemen niet belonen wat uiteindelijk goed is voor de organisatie. Het kan zo zijn dat proactieven beter zijn in het behalen van hun targets, maar targets alleen geven nooit een compleet beeld van wat een organisatie wil bereiken. In een meta-analyse laat Jenkins et al. (1998) zien dat beloning impact heeft op de kwantiteit van het werk ($r = .34, p < .01$), maar niet op de kwaliteit. En juist dat kwalitatieve element is in de financiële dienstverlening zo belangrijk gebleken. Bovendien, als proactieven door hun ondernemerschap in staat zijn om meer te verkopen, dan leidt dit naar alle waarschijnlijkheid tot een competitieve omgeving. Immers, wie meer klanten wil, vist al gauw in de vijver van een collega. Sociaalpsychologisch onderzoek heeft laten zien dat een competitieve omgeving ertoe kan leiden dat proefpersonen geneigd zijn om minder en zelfs valse informatie te delen om te “winnen” (Stapel & Koomen, 2005). Proactiviteit zou in dit licht bezien, een eigenschap kunnen zijn die om een zorgvuldige begeleiding vraagt.

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Curriculum Vitae

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